



Home and Community-Based Services Waivers Local Level Supervisory On-Site Review Process

June 23, 2015

Purpose

The Local Level Supervisory On-Site File Review measures Services Coordination and Resource Development compliance, CMS Assurances, Client Outcomes, and Utilization.

Each local agency/office (excluding EDN offices) providing Services Coordination and Resource Development for HCBS Waiver services will complete Supervisory Reviews.

HCBS Quality Improvement staff will provide the local agency/office with the sample of client and provider files to be reviewed as well as the sample month for which claims/billings should be reviewed.

1. Supervisors/Reviewers must review a 2% random sample per quarter of client CONNECT open cases for the current eligibility year which equals 8% yearly. Assistive Technology Only cases or cases which have Home Again as the only service are excluded.

For Section B (Providers), supervisors/reviewers will review only one provider as identified by the HCBS Quality Improvement Unit. The Provider selected will be one for which the agency/local office staff maintains the provider agreement.

Supervisors/Reviewers must complete the standardized HCBS Waivers' QA File Review including Sections A, B, & C on CONNECT. Supervisors must document decisions made and have supportive documentation available for HCBS Quality Improvement staff, if requested.

2. **Section A:** Section A must be completed for the current eligibility period for each client file selected by the HCBS Quality Improvement staff. Each supervisor/reviewer will receive an e-mail notification indicating which clients are to be reviewed. All narratives in CONNECT with dates inclusive of the current eligibility year should be reviewed.
3. **Section B:** Each supervisor/reviewer will receive an e-mail identifying which provider is to be reviewed. The provider selected for review by the HCBS Quality Improvement staff will be selected at random; however, the provider must be one whose provider agreement is maintained by that supervisor's Services Coordination agency. The provider selected will also have a current services authorization. **A provider review will be completed whether or not the provider submitted a claim for the sample month.**

Providers that serve multiple clients only need to be reviewed once per year. HCBS Quality Improvement staff will determine whether a Section B review has been completed within the past 12 months by choosing "Search Section B" and entering the provider name. If all providers for the client have been reviewed within the last 12 months, it will be noted as such in the e-mail and no Section B review will be required.

4. **Section C:** Authorizations/timesheets/billings must be reviewed for **all submitted waiver claims for services provided to the selected client during the sample month** specified by the HCBS Waiver Unit.
5. Based on the results of the review, supervisors/reviewers will indicate in CONNECT which indicators require remediation. Remediation will need to be completed by either the Services Coordinator or Resource Developer.

Remediation must be completed within 45 days from the time the review is completed (submitted to Central Office) by the Local Level Supervisor/Reviewer. Indications of abuse, neglect, exploitation, and client safety risks with no indication that a referral, investigation and/or action occurred to address the problem must be followed up immediately with the Services Coordinator or Resource Developer.

6. **Once the review is finalized in CONNECT the system will not allow further edits to the review. Only the HCBS Waiver Unit staff are able to unfinalize a review.**
7. Results of the File Review must be shared with the Services Coordinator, Resource Developer, and other Waiver Supervisors in the local office/agency.
8. Local Supervisors/Reviewers will have the ability to run reports in CONNECT providing them with the results of their reviews for their local agency/office by performance measure and by completed Remediation. HCBS Quality Improvement staff will also run reports in CONNECT as part of the Quality Improvement System.