The mission of the Office of Developmental Programs is to support Pennsylvanians with developmental disabilities to achieve greater independence, choice and opportunity in their lives.

AUDIENCE: Office of Developmental Programs (ODP) Direct Service Providers and Vendors, Supports Coordination Organizations (SCOs), Supports Coordinators (SCs), Administrative Entities (AEs), and Other Interested Parties

PURPOSE: This ODP communication is intended to describe the procedure that will be implemented when a direct service provider or vendor has not met the provider qualification requirements in Appendix C of the waivers and completed their qualification application in the Home and Community Services Information System (HCSIS) by the Due Date of April 30, 2013 and Expiration Date of June 30, 2013.

NOTE:
This communication does not apply to qualification of SCOs, Vendor Fiscal/Employer Agent Financial Management Service (VF/EA FMS) providers, or providers that render only base-funded services.
BACKGROUND

Per Chapter 51 regulations, providers must submit qualification documentation by the “Due Date” determined by the Department. Providers who fail to meet this deadline must participate in transitional planning for their waiver participants. Providers who fail to submit their qualification documentation by the “Expiration Date” will not receive payment for services rendered beyond the “Expiration Date” and will no longer be qualified to provide expired services.

ODP has determined the “Due Date” to be April 30 and the “Expiration Date” to be June 30. Please note, however that due to HCSIS terminology the “Due Date” of April 30, 2013 is reflected in HCSIS as the “Expiration Date”.

ODP issued Announcement #004-13 on January 10, 2013. The intention of this announcement was to remind all direct service providers and vendors with a HCSIS “Expiration Date” of April 30, 2013 (“Due Date”) that they must submit their qualification applications in HCSIS starting February 1, 2013. Qualification applications must be finalized in HCSIS by the qualifying AE no later than April 30, 2013 as stated in Informational Memo # 068-12.

All providers and vendors must be qualified by April 30, 2013 to ensure they transition appropriately to the new biennial qualification schedule and to ensure they are not negatively impacted by fiscal year (FY) 2013-2014 renewal activities.

Please review Announcement #004-13 for other important qualification related dates, past communications and resources applicable to provider and vendor qualification.

DISCUSSION

On the next two pages is a chart that summarizes the dates and corresponding activities that have occurred and will continue to occur over the next six (6) months related to the Provider Qualification process and noncompliance.
### TIMELINE

<table>
<thead>
<tr>
<th>Date Range</th>
<th>Activity</th>
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<tbody>
<tr>
<td>August 15, 2012 &amp; January 10, 2013</td>
<td>ODP notification to Providers/Vendors regarding qualification process: Informational Memo # 068-12 and Announcement #004-13</td>
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<tr>
<td>February 1, 2013 – April 30, 2013</td>
<td>This date range is the timeframe that providers/vendors have to submit their qualification applications and supporting documentation to AEs. Providers are encouraged to submit their qualification materials by March 31.</td>
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| April 1, 2013               | • Qualifying AEs will send warning e-mails to providers/vendors who have not finalized their qualification applications in HCSIS.  
  ➢ See APPENDIX A to view the notification titled “Reminder to Provider - AE Warning” e-mail |
| April 30, 2013 **DUE DATE** | Providers/vendors who have not submitted their documentation by April 30, 2013 will be considered out of compliance with 55 Pa. Code §51.13 (d) regarding the need to be submit their documentation by the due date for FY 2013-2014. |
| May 1, 2013                 | • ODP will identify which providers/vendors do not have a finalized provider qualification application in HCSIS by this date by reviewing the “PQ Status Report” in HCSIS.  
  • If a Qualification application is not submitted by the provider/vendor by April 30, 2013, on May 1, 2013 the qualification status of all services for the provider/vendor will automatically change to “Expired.”  
  • If, on May 1, 2013 a qualification application changes to “Expired,” Providers/vendors can still resubmit a qualification application up and through June 30, 2013 in order to provide services for FY 2013-2014. |
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| May 1, 2013 – May 15, 2013 | • The Qualifying AE will send a failure to comply with 55 Pa. Code §51.13 notification to providers/vendors who have been determined to be out of compliance. The notification will inform providers/vendors that SCOs will begin transition planning activities for an alternate provider/vendor in order to meet the assessed needs of the participant.  
  ➢ See APPENDIX B to view the standard notification letter titled “Qualifying AE Failure to Comply Notification to Provider”  
• ODP will notify all AEs that have authorizations with providers/vendors who have been determined to be out of compliance with 55 Pa. Code §51.13. This notification will be sent via e-mail. The notification will instruct Authorizing AEs to communicate with SCOs that they should begin transition planning activities for an alternate provider/vendor in order to meet the assessed needs of the participant.  
  ➢ See APPENDIX C to view the notification titled “ODP Notification to Authorizing AEs”  
• AEs will notify SCOs to begin transition planning activities. See the section of this communication titled “SCO ACTION – FACILITATING THE SELECTION OF A NEW PROVIDER” for information regarding the SCO’s role in this process.  
  ➢ See APPENDIX D to view the notification titled “AE Communication to SCOs”. |
| May 15, 2013 – June 30, 2013 | • Per 55 Pa. Code §51.31, SCs will begin transition planning activities with waiver participants, families and Individual Support Plan (ISP) teams for all waiver providers who have not submitted their qualification materials by April 30.  
• AEs should notify ODP of any providers whose supporting documentation is not acceptable in order to determine next steps.  
• The intent of the transition planning activities is for SCs to offer participants and families choice in regard to alternate willing and qualified provider(s).  
• Providers/Vendors that are out of compliance with provider qualification requirements may still qualify during this timeframe; however, there is no guarantee the existing provider/vendor will resume service delivery to the participant because he or she may select a new willing and qualified provider to render services.  
• If, during planning activities, the waiver participant chooses to begin service with an alternate willing and qualified provider prior to July 1, 2013, service authorizations for the current provider will be end-dated accordingly in the FY 2012-2013 ISPs in HCSIS.  
• If the provider remains in a status other than “Qualified” through June 30, 2013, a contract will not be created in HCSIS for the upcoming fiscal year (FY). If a contract is not created in HCSIS, the services the provider intended to provide in FY 2013-2014 will not be available in HCSIS to be authorized on ISPs. |
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<td>June 30, 2013</td>
<td>• Providers/vendors who have not become “Qualified” by June 30, 2013 will be considered out of compliance with 55 Pa. Code §51.13 (d) regarding the need to be qualified by the expiration date for FY 2013-2014.</td>
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<td><strong>Expiration Date</strong></td>
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<td>July 1, 2013</td>
<td>• Effective July 1, the following actions will occur:</td>
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<td>★ ODP will confirm which providers/vendors’ do not have a completed Qualification application in HCSIS.</td>
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<td>★ ODP, in conjunction with AEs, will review all applications in “Pending Review” status to determine steps to resolve any outstanding issues.</td>
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<td>• Service authorizations will <strong>not</strong> be carried forward to FY 2013-2014 ISPs.</td>
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<td>• Both the provider’s/vendor’s service offerings in HCSIS and their Consolidated and Person/Family Directed Support (P/FDS) PROMISe™ enrollment(s) will be end dated with June 30, 2013. When this action occurs, the provider/vendor will no longer be able to receive payment for services rendered to participants enrolled in the Consolidated and P/FDS waivers.</td>
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<td>★ <strong>Note:</strong> To re-enroll in PROMISe™ could take up to 6 months or possibly longer.</td>
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SCO ACTION – FACILITATING TRANSITION PLANNING

The authorizing AE will inform the SCO when the provider/vendor has not submitted their qualification documentation by the due date of April 30, 2013.

Once notification has been received by the SCO the following actions should be performed:

- Inform the participant and family that the provider/vendor was not qualified by the due date and is at risk of not being able to render services as of July 1, 2013.
- Schedule an ISP Team meeting/discussion with the participant and family to review providers that are qualified, willing and able to provide a service necessary to support the participant’s assessed needs and Outcomes.
- Generate a list of available qualified providers who are willing and able to render the same service. This can be done by generating the Provider Qualification Status Report via HCSIS.
- The participant shall exercise choice in the selection of qualified providers. To support this, the SCO shares the list of providers with the participant and family and instructs them to review the list. The SCO documents this activity in service notes in HCSIS.
- If the participant makes a replacement selection, inform them that you will be sending a referral to the selected provider. The SC is responsible for making prompt referrals to the providers selected by the participant. The SCO documents this activity service notes in HCSIS.
- If at any point during the transition planning an alternate provider is not identified, the SCO should be in contact with the AE.

The SC should utilize “Choosing an Alternate Provider - SC Talking Points for Facilitation” in Appendix E of this communication to guide their discussion with the individual/family.

PROVIDER APPEALS

When a provider/vendor is not qualified and is therefore unable to receive waiver payments for services rendered, the provider/vendor has appeal rights under 55 Pa. Code Chapter 41 (Medical Assistance Provider Appeal Procedures). For providers/vendors that are not qualified by June 30, 2013, ODP will notify the provider/vendor describing the Department’s attempts to bring the provider into compliance and instructions on how a provider may file an appeal. The qualifying and authorizing AE will be copied on this letter.
RESOURCES

- 55 Pa. Code Chapter 51 Subchapter B. Provider Qualification and Participation
- Informational Memo # 068-12 – Titled, “PROVIDER QUALIFICATIONS: Revisions to the Provider Qualification Process During Fiscal Year (FY) 2012-2013
- Informational Packet # 104-12 – Titled, “Clarification and Changes to Provider Qualification Requirements”.
- Informational Memo # 106-12 – Titled, “Qualification of Vendors”, was issued on November 30, 2012.

INQUIRIES

For inquiries regarding this communication, contact the ODP Provider Qualification mailbox at: ra-odpproviderqualif@pa.gov.
Reminder to Provider  
AE Warning E-mail

Email to: Provider Director  
From: AE PQ Lead  
Date: 30-45 Days Prior to Due Date  
Subject: ***WARNING---PQ Application Action Required***

Dear: Provider Director

Please be advised that Provider Provider Qualification due date is April 30, Year and as of the date of this e-mail the qualification application has not yet been submitted.

As of the date of this letter, AE Name has yet to receive your completed application for qualification. Please submit an application for qualification in HCSIS and/or the required supporting documentation to:

AE PQ Lead  
AE's Address  
City, State, Zip

If your Provider Qualification application is not finalized by April 30, Year, Supports Coordinators (SCs) will start planning activities with waiver participants, families and Individual Support Plan (ISP) teams on May 1, Year for the transition of waiver participants to willing and qualified provider(s).

Not having your service specialties in a qualified status will result in having waiver participants who receive your waiver services transitioned to another willing and qualified provider on July 1, Year. If during planning activities the waiver participant chooses to begin service with an alternate willing and qualified provider prior to July 1, Year, service authorizations in the Fiscal Year (FY) 20XX-20XX ISP will be end-dated accordingly.

Because HCSIS reflects the “Due Date” of April 30, Year as the “Expiration Date”, specialties not in a “Qualified” status as of May 1, Year will be reflected as “Expired” in HCSIS. A real contract will not be created in HCSIS for the upcoming FY for providers not in “Qualified” status and therefore, the affected provider’s service(s) cannot be authorized with waiver dollars in the FY 20XX-20XX ISP until the provider becomes qualified. Waiver services rendered by a provider with a qualification status other than “Qualified” after June 30, Year will not be paid as per 55 Pa. Code § 51.13 (f).

Sincerely,

AE PQ Director

Cc: Provider CEO  
Administrative Entity  
Regional Program Manager  
Regional Provider Qualification Coordinator
Qualifying AE Failure to Comply Notification letter to Provider

Provider
CEO/Executive Director
Address

Dear CEO/Executive Director:

In accordance with 55 Pa. Code § 51.13, all waiver providers have two separate qualification target dates: a “Due Date” and an “Expiration Date”. The “Due Date” for Fiscal Year (FY) 2012-2013 for all qualified waiver providers is April 30, 2013.

This letter serves as notice that Provider Name & MPI # has not submitted their qualification applications and supporting documentation by April 30, 2013 for the following service specialties:

- Specialty #/Service Name

Supports Coordinators (SCs) have been notified to begin planning activities with waiver participants, families and Individual Support Plan (ISP) teams as of May 1, 2013 for the transition of waiver participants to willing and qualified provider(s).

If Provider Name does not become qualified by June 30, 2013, Provider Name will not receive payment for waiver services rendered beyond that date and will no longer be qualified to provide the service specialties noted above. If during transition planning activities the waiver participant chooses to begin service with an alternate willing and qualified provider prior to July 1, 2013, service authorizations in the FY 2012-2013 will be end-dated accordingly.

Sincerely,

AE Director (Qualifying AE)

Cc: Applicable AE Staff
    SCO Director(s)
    ODP Regional Program Manager (ODP)
    Regional Provider Qualification Point Person
APPENDIX C: NOTIFICATION E-MAIL TO ALL AUTHORIZING AE(S) WITH ATTACHED AUTHORIZATIONS

Notification e-mail to ALL Authorizing AE(s) with attached authorizations

The following provider(s) have not yet submitted their qualification application in HCSIS and/or supporting documentation to Qualifying AE.

- Provider (MPI#)

Please find the attached report(s) that details the individuals who are currently authorized to receive services from provider(s) listed above.

Starting in Fiscal Year (FY) 2012-2013, in accordance with 55 Pa. Code § 51.13, waiver providers were assigned a “due date” for qualification purposes. Providers have been informed that if they do not submit their qualification documentation by April 30, 2013, Supports Coordinators (SCs) would begin planning activities with waiver participants, families and Individual Support Plan (ISP) teams as of May 1, 2013 for the transition to willing and qualified provider(s).

Please notify the appropriate SCOs that planning activities shall begin with teams effective immediately. Please forward the “Choosing Alternative Providers” talking points as a planning tool.

The Authorizing AE & SCO shall pull the Provider Qualification Status Report in HCSIS on a weekly basis to check on the qualification status of Provider. If Provider becomes qualified and the individual chooses to continue to receive services by Provider, the SCO can cease planning activities. However, if during planning activities the waiver participant chooses to begin service with an alternate willing and qualified provider prior to July 1, 2013, waiver service authorizations in the individual’s FY 2012-2013 ISP should be end-dated accordingly.

If, as of June 30, 2013, Authorizing AE has not received notification from ODP that the above provider(s) have been qualified, Authorizing AE shall ensure that waiver authorizations for the provider(s) were not carried forward into individual FY 2013-2014 ISP.
Notice from Authorizing AE to SCO with attached authorizations

The following provider(s) have not completed their qualification by the due date.

- Provider (MPI#)

Please find the attached report(s) that details the individuals who are currently authorized to receive services from provider(s) listed above.

Providers have been informed that if they do not submit their qualification documentation by April 30, 2013, Supports Coordinators (SCs) would begin planning activities with waiver participants, families and Individual Support Plan (ISP) teams as of May 1, 2013 for the transition to willing and qualified provider(s).

At this time, SCs shall begin planning activities to discuss alternative providers with individuals and teams immediately. Please find “Choosing Alternative Provider’s” talking points attached to be used as a planning tool.

The SCO shall pull the PQ Status Report in HCSIS on a weekly basis to check on the qualification status of Provider. If Provider becomes qualified and the individual chooses to continue to receive services by Provider, the SCO can cease planning activities. If during planning activities the waiver participant chooses to begin service with an alternate willing and qualified provider prior to July 1, 2013, a Critical Revision shall be completed to the individual’s Fiscal Year (FY) 2012-2013 ISP.

If, as of June 30, 2013, provider(s) have not been qualified, Authorizing AE will ensure that waiver authorizations for provider(s) are not carried forward into individual’s FY 2013-2014 ISP.
Choosing an Alternate Provider
SC Talking Points for Facilitation

- Individuals have choice of willing and qualified waiver providers

- Provider ______ has not qualified by the Due Date of April 30, 2013. They have until June 30, 2013 to become qualified; however if not qualified by this date they will NOT be qualified to render services and will not be authorized in your Fiscal Year (FY) 2013-2014 ISP. This means the provider will not be able to get paid for any services they provide since they will not be authorized.

- In order to ensure there is no gap in services you are being given the choice to select another qualified provider. In the event your current provider does not become qualified by June 30, 2013 you will be without services effective July 1, 2013 if you do not choose an alternate provider.

- The following providers are qualified and also offer the services that you are receiving from your current provider. Please review this list and alert me of your choice to move forward (SCOs to use PQ Status report and filter by service the individual receives and then by qualified provider and region)

- If you would like to proceed with transitioning to an alternate provider, I will send referrals

- There is no guarantee of acceptance with a new provider as they must be willing to provide services to you

- You may want to identify more than one alternate provider to be sure you receive services on July 1, 2013.