# Commonwealth of Pennsylvania
# Department of Human Services
# Office of Developmental Programs

# Attachment 2:
# Technical Guidance for Claim and Service Documentation

*For providers of services in the Adult Autism Waiver*

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## Introduction

This technical guide is an attachment to Bulletin 00-26-04. To fully understand the requirements and expectations of claim and service documentation, this document must be used in conjunction with Bulletin 00-26-04. This attachment is intended to provide specific guidance on the documentation that must be kept in the record for each service to support a claim and service delivery.

This attachment applies to providers of Adult Autism Waiver (AAW) services. For guidance on services provided through the Consolidated, Community Living, and P/FDS Waivers, as well as Targeted Support Management and Base-funded Services, refer to Attachment 1. This document applies to AAW services rendered by providers that have enrolled directly with ODP and services provided through organized health care delivery systems (OHCDS).

**How to Use this Technical Guide:**

**Column 1:** Identifies the name of the service.

**Column 2:** Specifies for each service the required content of service notes, invoices, receipts, mileage logs, etc. that are used to substantiate billing for a service. Each of the items listed in column 2 must be completed and on record for each individual prior to submitting a claim for payment of service to that individual. This list is not exhaustive, as some services require other documentation to be present prior to service authorization or delivery and therefore prior to billing for a service. The elements of each service note are further defined, and examples of acceptable documentation are included on pages 2 through 8 of the bulletin.

**Column 3:** Specifies for each service whether progress notes are required and other documentation requirements that need to be completed. Further guidance on the timeframes for completion of the progress notes can be found on pages 9 and 10 of the bulletin. The timeframe by which the other documentation must be completed varies by service.

The term “professional” in this attachment applies to any full or part-time direct support professional that provides a service funded through the AAW (including contractors and consultants).

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| American Sign Language – English Interpreter | **Invoice That Includes:**<br>- Identifying information for the individual.<br>- Identifying information for the provider (if different than the interpreter).<br>- Name and contact information of the interpreter(s) that delivered the service.<br>- Date(s), start and end times, and total amount of time for service delivery.<br>- The 15-minute rate charged for the service.<br>- Location where services were performed.<br>- Information about whether service delivery was in-person or virtual.<br><br>Service notes are not required for American Sign Language – English Interpreter. | **Progress Notes:**<br>The invoice in column 2 satisfies requirements for progress notes. Therefore, a separate progress note is not needed for this service.<br><br>**Direct Payment to Vendor Through an OHCDS**<br>- Invoice must be provided to the Support Coordination Organization (SCO). |

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| Assistive Technology | **Invoice That Includes:**<br>- An itemized list of assistive technology purchased or leased (short term).<br>- The date the device was purchased.<br>- The date(s) and total amount of time for service delivery that includes designing, fitting, customizing, adapting, installing, maintaining, repairing, or replacing assistive technology devices, if applicable.<br>- The date(s) and total amount of time for service delivery that includes training or technical assistance on how to use and/or care for the assistive technology. This includes to whom the training or technical assistance was provided (for example, the individual, the individual's family members, guardian, advocate, professionals or authorized representative), if applicable.<br><br>When an independent evaluation is paid through Assistive Technology an invoice documenting the cost of the evaluation and a copy of the evaluation of the individual's assistive technology needs, including a functional evaluation and a list of all devices, supplies, software, equipment, product systems and/or systems that would be most effective to meet the needs of the individual, if applicable must be submitted to substantiate the claim.<br><br>Service notes are not required for this service. | **Progress Notes:**<br>The invoice and independent evaluation (when required) in column 2 satisfies requirements for progress notes. Therefore, a separate progress note is not needed for this service.<br><br>**Other Documentation:**<br>When an independent evaluation of the individual's assistive technology needs is required and not covered through Assistive Technology (the evaluation was covered through another funding source such as Medical Assistance or another service such as the Therapy service) the independent evaluation must be submitted with the invoice for the assistive technology purchased or leased (short term). The independent evaluation must include a functional evaluation and a list of all devices, supplies, software, equipment, product systems, and/or systems that would be most effective to meet the needs of the individual.<br><br>**Direct Payment to Vendor Through an OHCDS**<br>- Invoice and independent evaluation (when required) must be provided to the SCO. |

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| Career Planning – Vocational Assessment and Job Finding | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed.<br>- Name and signature of the person completing the service note.<br>- Place(s) the service is rendered.<br>- A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units.<br>*The provider may choose to create and use a checklist to document allowable service activities as long as it includes all other elements listed above.<br><br>The checklist for Vocational Assessment may include, but is not limited to:<br>- Gathering and conducting a review of the individual's interests, skills, and work or volunteer history.<br>- Identifying types of jobs in the community that match the individual's interests, strengths, and skills.<br>- Evaluating job try outs, performing skills assessments, and exploring employment goals.<br>- Conducting informational interviews.<br>- Developing the Vocational Profile.<br>- Reviewing the individual's work preferences or sensitivities.<br>- Identifying other learning opportunities such as internships.<br>- The checklist for Job Finding may include, but is not limited to | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the Individual Support Plan (ISP).<br><br>For Vocational Assessment, a completed Vocational Profile. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Job search activities including securing and scheduling interviews.<br>- Contacting prospective employers or networking with others relevant to job finding.<br>- Contact with the individual's natural supports to identify potential employment opportunities.<br>- Identifying customized employment positions.<br>- Self-employment assistance.<br>- Facilitating informational interviews and job try-outs.<br>- Negotiating reasonable accommodations once a job is secured.<br>- Resume preparation.<br>- Interview assistance.<br>- Development of job skills specific to a job being sought.<br><br>Consistency between Job Finding activities and the Vocational Profile is required if the individual has a current Vocational Profile. | |
| Community Transition Services | **The Record Must Include (as applicable):**<br>- Receipts for essential furnishings and initial supplies purchased under this service.<br>- Invoices and receipts for moving expenses.<br>- Copy of rental agreement/lease and receipt of payment for associated security deposits or other such one-time payments that are required to obtain or retain a lease on an apartment or home. | **Progress Notes:**<br>The record in column 2 satisfies requirements for progress notes. Therefore, a separate progress note is not needed for this service.<br><br>**Direct Payment to Vendor Through an OHCDS**<br>- Invoice must be provided to the SCO. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Invoices and receipts of payment for set-up fees or deposits for utility services.<br>- Invoice(s) and receipt(s) of payment for personal and environmental health and welfare assurances.<br><br>Service notes are not required for this service. | |
| Day Habilitation | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed.<br>- Name and signature of person completing the service note.<br>- Place(s) the service is rendered.<br>- A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units.<br><br>*The provider may choose to create and use a checklist to document allowable service activities as long as it includes all other elements listed above. The checklist may include, but is not limited to:<br>Activities relating to acquiring, retaining and improving communication, socialization, self-direction, self-help, and adaptive skills necessary to reside in the community. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>In addition, Progress Notes for this service must:<br>- Document the services resulted in active, valued participation in a broad range of integrated activities.<br>- Document that activities were chosen based on the individual's interests, preferences, talents, and strengths.<br>- Document that the activities reflect the individual's desired outcomes related to employment, community involvement, and membership. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Developing skills and competencies necessary to pursue competitive integrated employment.<br>- Developing mutual support and community connection.<br>- Developing social networks and connections within local communities.<br>- Implementing activities and strategies identified in the individual's Behavior Support Plan and/or Skill Building Plan, if applicable.<br>- Data collection for the Behavioral Support Plan, Crisis Intervention Plan and/or Skill Building Plan, if applicable.<br><br>NOTE: If Day Habilitation is rendered via teleservices to an individual receiving Residential Habilitation, Community Home or Life Sharing, the skills being taught remotely must be of a nature that cannot be taught by residential professionals, or the remote service must support personal relationships by connecting the individual to peers from the Day Habilitation facility or friends met through the Day Habilitation service. The activity must be recorded in the service note.<br>Consult the AAW for specific examples of the types of services that can be rendered via teleservices to an individual receiving Residential Habilitation. | **Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP.<br><br>The provider must retain an attendance roster that records the individuals who receive services each day, including individuals who meet at a hub.<br>• A roster is not required for individuals who received Day Habilitation for 100% of time in the community.<br><br>Providers must maintain documentation of quarterly conversations with each individual about preferred community participation and activities in accordance with ODP Announcement 24-061. There is no required format for this documentation. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| . | **Transitioning Between Settings:**<br>The start and end time for transitioning between service delivery in a licensed setting and services in the community must be documented in the service note in order to document compliance with program requirements. A provider may choose to do a separate service note for each setting but is not required to do so for the Day Habilitation service in the AAW. A separate service note must be completed for each separate procedure code billed. Multiple service notes for the same individual for services delivered on the same day may be documented on one form as long as all required information listed above is included for each service. For instance, a new service note would be needed if there is a ratio change in the community or facility that affects the procedure code billed; however, the service notes can be combined into one document.<br><br>**Documenting Services Delivered by Multiple Professionals:**<br>When multiple professionals deliver services to the same individual at the same time, only one service note is required.<br><br>Documentation must be maintained that verifies the staffing ratio that was used to support the individual. This may be completed as part of the service note or may be documented separately. | |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | To minimize the need for individual service notes from each professional involved in providing the Day Habilitation service, a provider has the following options:<br>• A single service note can be used but contain multiple entries based on information provided by each professional involved in providing the service.<br>• A supervisor or program specialist who is present for the entirety of the service provision on the day services were delivered can complete the service note based on their observations of service delivery and professional reports about the activities that were provided to or on behalf of the individual. This could include the provider developing a check list to support the documentation of the activities provided, making sure to include information regarding ratios.<br>• The provider can create a checklist for professionals to document the service provided.<br>In all cases, the documentation provided must include information regarding the specific activities and staffing ratios. | |
| Family Support | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Licensed social worker's, licensed psychologist's, licensed professional counselor's, or licensed marriage and family therapist's name and signature.<br>- Place(s) the service is rendered; and<br>- A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units.<br><br>*The provider may choose to create and use a checklist to document allowable service delivery as long as it includes all other elements listed above. The checklist may include, but is not limited to:<br>- Implementation of strategies and interventions that support the acquisition of coping skills, the improvement of communication, and the acquiring of healthy approaches to reducing stress, and balances responsibilities.<br>- Supporting unpaid family members or caregivers to support the individual during times of difficulty, crisis, loss, change, and transition.<br>- Implementation of activities and strategies identified in the individual's Behavior Support Plan and/or Skill Building Plan, if applicable.<br>- Data collection for the Behavioral Support Plan, Crisis Intervention Plan and/or Skill Building Plan, if applicable. | **Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| Home Modifications | **Invoice that Includes:**<br>- Itemized list of provided/delivered goods.<br>- Date(s) the service was rendered.<br>- Detailed costs for products and services.<br>- As appropriate, original bid that includes before and after floor plans.<br><br>Service notes are not required for this service.<br><br>**Other Documentation:**<br>- Copies of at least three bids for home modifications costing more than $2,500. If the least expensive bid is not chosen, documentation from the service plan team that justifies not choosing the lowest bid.<br>- If three companies, contractors, etc., cannot be located to obtain bids for modifications costing more than $2,500, documentation of the companies contacted.<br>- A copy of the budget proposal approved by ODP.<br>- Copies of required permits and licenses, if applicable.<br>- Copy of inspection certifying that work meets standards of manufacture, design, installation, and building codes, if applicable. | **Progress Notes:**<br>The invoice and other documentation in column 2 satisfies requirements for progress notes. Therefore, a separate progress note is not needed for this service.<br><br>**Direct Payment to Vendor Through an OHCDS**<br>- Invoice must be provided to the SCO |
| Nutritional Consultation | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Dietitian-Nutritionist's name and signature.<br>- Place(s) the service is rendered.<br>- A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units.<br><br>*The provider may choose to create and use a checklist to document allowable service delivery activities as long as it includes all other elements listed above. The checklist may include, but is not limited to:<br>- Assessment.<br>- Development of diet and meal plans to be followed by the individual.<br>- Training and technical assistance to carry out the home diet and meal plan.<br>- Monitoring of the individual, natural supports, and provider, if applicable, in the implementation of the home diet and meal plan. | **Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |
| Remote Supports | **Invoice that Includes**<br>An itemized invoice must be submitted monthly (or more frequently if chosen by the provider) and include all of the following:<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- The technology/equipment used and costs for purchasing or leasing technology/equipment.<br>- The costs for the equipment necessary to operate the technology and the costs for delivery, installation, adjustments, monthly | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes.<br><br>**Other Documentation for Remote Supports:**<br>A Remote Supports Implementation Plan that must include: |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | testing, monitoring, maintenance & repairs to the technology equipment (this may be included in the costs for technology/equipment referenced above).<br>- The dates and times that professionals will be rendering Remote Supports (check-ins, monitoring of individual through technology/equipment).<br>- The cost for rendering Remote Supports.<br><br>Service notes are not required for Remote Supports. | - How the individual's rights, including the individual's right to privacy of person and possessions, will be protected.<br>- How the individual's health, welfare, and safety needs will be met, including completion of a back-up plan that will be implemented if there is a problem with Remote Supports.<br>- The training individuals and any other designated persons will receive to enable the individual and others to successfully utilize the technology and equipment.<br>- How Remote Supports are more cost effective than other Waiver services. |
| Residential Habilitation – Community Home | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Time the individual left or returned from therapeutic or medical leave, if applicable.<br>- The service delivered.<br>- The date the service note is completed;<br>- Name and signature of the person completing the service note.<br>- Place(s) the service is rendered.<br>- A description of activities.* | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP.<br><br>Documentation that is required by the appropriate licensing chapter. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | A service note must be included for each day that services are provided and billed.<br><br>*The provider may choose to create and use a checklist to document allowable service delivery activities as long as it includes all other elements listed above.<br><br>**Additional Required Claim Documentation:**<br>The provider must have documentation that substantiates that an individual was provided support for at least 8 hours for each date that is billed. This documentation may be in a service note or through other documentation such as a record of start and end times when service was provided, an attendance record, a Medication Record (MR), activity log, etc.<br><br>*Note:* In certain circumstances a claim cannot be submitted regardless of documentation completed by the provider. Please see the Billing Guidance at the end of this document for details. | |
| Life Sharing | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Time the individual left or returned from therapeutic or medical leave, if applicable.<br>- The service delivered. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - The date the service note is completed;<br>- Name and signature of the person completing the service note.<br>- Place(s) the service is rendered.<br>- A description of activities.*<br><br>A service note must be included for each day that services are provided and billed.<br><br>*The provider may choose to create and use a checklist to document the allowable service delivery activities as long as it includes all other elements listed above.<br><br>**Additional Required Claim Record Information:**<br>The provider must have documentation that substantiates that an individual was provided support for at least 8 hours for each date that is billed. This documentation may be in a service note or through other documentation such as a record of start and end times when service was provided, an attendance record, an MR, activity log, etc.<br><br>If additional professionals are providing services as part of the Life Sharing service, there must be a record of time worked.<br><br>*Note:* In certain circumstances a claim cannot be submitted regardless of documentation completed<br><br>by the provider. Please see the Billing Guidance at the end of this document for details. | **Other Documentation:**<br>Documentation that is required by the appropriate licensing chapter, if applicable. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| 15-Minute Unit Respite (In-Home Respite and Licensed and Unlicensed Out-of-Home Respite Services) | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed.<br>- Name and signature of person completing the service note.<br>- Place(s) the service is rendered.<br>- A description of activities.<br><br>A service note must be included for each continuous span of 15-minute units. | **Progress Notes:**<br>Service notes satisfy requirements for progress notes. Therefore, a separate progress note is not needed for this service.<br><br>**Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |
| Day Unit Respite (Licensed and Unlicensed Out-of-Home Respite Services) | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date(s) of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed.<br>- Name and signature of person completing the service note.<br>- Place(s) the service is rendered.<br>- A description of activities. | **Progress Notes:**<br>Service notes satisfy requirements for progress notes. Therefore, a separate progress note is not needed for this service.<br><br>**Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | A service note must be included for each day unit that services are provided and billed. Please note that one day unit of Respite may cover two consecutive calendar days.<br><br>*Note:* In certain circumstances a claim cannot be submitted regardless of documentation completed by the provider. Please see the Billing Guidance at the end of this document for details. | |
| Small Group Employment | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed.<br>- Name and signature of the person completing the service note.<br>- Place(s) the service is rendered.<br>- A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units.<br><br>*The provider may choose to create and use a checklist to document allowable service delivery activities as long as it includes all other elements listed above. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| Specialized Skill Development: Behavioral Specialist | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed.<br>- Behavioral Specialist's name and signature.<br>- Place(s) the service is rendered.<br>- A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units.<br><br>*The provider may choose to create and use a checklist to document allowable service delivery activities as long as it includes all other elements listed above. The checklist for Behavioral Specialist – Direct may include, but is not limited to:<br>- Implementation of activities and strategies identified in the Behavior Support Plan (BSP) provided directly to the individual.<br>- Implementation of supports identified in the Crisis Intervention Plan (CIP) provided directly to the individual.<br>- Collection of behavioral data.<br>- Monitoring implementation of the BSP or CIP by other supports while the individual is present.<br>- Activities directly with the individual to address the complex needs and/or risk of the individual. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>The Functional Behavioral Assessment (FBA) used to determine behavior(s) to be targeted.<br><br>The Behavioral Support Plan (BSP) and Crisis Intervention Plan (CIP).<br><br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Educating the individual and supporters regarding the underlying causes/functions of behavior and modeling and/or coaching of supporters to carry out interventions.<br>- Modeling and/or coaching of supporters to carry out interventions while the individual is present.<br><br>A checklist documenting activities provided for Behavioral Specialist - Consultative may include, but is not limited to:<br>- Evaluation and documentation of behavioral data and progress.<br>- Revisions to the BSP.<br>- Revisions to the CIP.<br>- Collaboration with or support to the individual's formal or informal supports, when the individual is not present. | |
| Specialized Skill Development: Systematic Skill Building (SSB) | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery;<br>- The service delivered.<br>- The date the service note is completed.<br>- Systematic Skill Builder name and signature;<br>- Place(s) the service is rendered.<br>- A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>The individual's SBP for each active goal in the ISP.<br><br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
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| | *The provider may choose to create and use a checklist to document allowable service delivery activities, as long as it includes all other elements listed above. The checklist for Systematic Skill Building - Ongoing may include, but is not limited to:<br>- Coordination and oversight of implementation of the Skill Building Plan (SBP) by other supports, while the individual is present.<br>- Direct interaction or observation of the individual to evaluate progress and the need to revise the SBP or its objectives.<br>- Intervention delivered to the individual that impacts the individual's skill development while modeling skills for natural supports or staff.<br>- Support to the individual to help the individual understand the purpose, objectives, methods, and documentation of the SBP.<br>- Collection of data while the individual is present.<br><br>A checklist documenting activities provided for Systematic Skill Building - Consultative may include, but is not limited to:<br>- Modifying a SBP for current goals.<br>- Creating a SBP for a new goal.<br>- Support to the individual's formal and informal supports to help them understand the purpose, | |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | objectives, methods, and documentation of the SBP.<br>- Development of materials that support the individual (e.g., development of visual materials to assist with skills).<br>- Explanation or modeling of skills for formal and informal supports when no intervention or explanation is delivered directly to the individual.<br>- Communication with individuals, including primary caregivers and other natural supports, other than the individual.<br>- Development of materials to help the team to accurately collect data necessary for implementation or revision of the SBP.<br>- Training of families and providers on how to implement the SBP and collect data for evaluating effectiveness of the SBP, when the individual is not present.<br>- Monitoring and analyzing data collected during implementation of the SBP.<br>- Evaluation and documentation of data and progress.<br>- Explanation of data to staff and natural supports. | |
| Specialized Skill Development: Community Support (CS) | **Service Notes Must include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed. | **Progress Notes:**<br>Progress notes are required for this service. When an individual receives SSB and CS, the progress notes for the services must be completed by the SSB provider. When an individual receives CS without SSB, the progress notes must be completed by the CS provider. Please refer to the bulletin for the requirements for progress notes and the |

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| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Name and signature of the person completing the service note.<br>- Place(s) the service is rendered.<br>- A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units.<br><br>*The provider may choose to create and use a checklist to document allowable service delivery activities as long as it includes all other elements listed above. The checklist for Community Support may include, but is not limited to:<br>- Engaging in social interaction.<br>- Supporting the individual during volunteer activities.<br>- Supporting the individual during educational activities.<br>- Grooming, dressing and hygiene activities including clothing care.<br>- Maintaining health and wellness through general exercise.<br>- Completing recommended therapeutic activities.<br>- Meal planning and preparation.<br>- Scheduling/attending medical appointments.<br>- Making choices and decisions, including identifying and evaluating options. | Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Shopping in the community or online to purchase items for the home, for personal use, gifts, etc.<br>- Managing the home including, maintenance, cleaning, or doing laundry.<br>- Managing personal finances including budgeting and banking.<br>- Communicating and maintaining relationships with family, friends, coworkers and others through personal visits, phone contact, internet, etc.<br>- Support with travel using public transportation;<br>- Developing/maintaining relationships in the community (neighbors, community members, groups, or associations).<br>- Exercising rights and fulfilling civic duty through participation in events, volunteering with civic groups, or voting.<br>- Developing personal interests and personal growth activities (e.g., hobbies).<br>- Implementation of activities and strategies identified in the individual's BSP and/or SBP, if applicable.<br>- Data collection for the BSP, CIP and/or SBP, if applicable. | |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| Supported Employment | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery;<br>- The service delivered.<br>- The date the service note is completed.<br>- Name and signature of the person completing the service note.<br>- Place(s) the service is rendered.<br>- A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units.<br><br>*The provider may choose to create and use a checklist to document allowable service delivery activities as long as it includes all other elements listed above. The checklist for Supported Employment – Direct may include, but is not limited to:<br>- Training the individual on job assignments.<br>- Encouraging the use of aids to support independence, such as use of a visual chart or steps of a task analysis.<br>- Encouraging the use of natural aids that support independence, such as posted employee schedules.<br>- Workplace support impacting the individual's behavior.<br>- Implementing activities and strategies identified in the individual's BSP and/or SBP, if applicable. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP.<br><br>The provider must retain a copy of the fading plan. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Collection of data for the BSP, CIP and/or SBP, if applicable.<br>- Supporting the individual to maintain acceptable job performance and work habits.<br>- Assistance with learning new work assignments.<br>- Maintaining job skills.<br>- Assisting the individual with achieving the employer's performance expectations.<br><br>A checklist documenting activities provided for Supported Employment - Indirect may include, but is not limited to:<br>- Collaborating with the employer to facilitate employment success and reduce workplace barriers.<br>- Developing materials, such as visual schedules or self-evaluation checklists, to help the individual to increase workplace independence.<br>- Collaborating with unpaid workplace supports.<br>- Facilitating activities with unpaid supports to plan for the fading of the direct service. | |
| Supports Coordination | *Supports Coordinators should reference page 8 of the bulletin for specific information.*<br><br>**Service Notes Must Include:**<br>- Identifying information for the individual *(pre-populated in HCSIS).*<br>- Identifying information for the provider *(pre-populated in HCSIS).* | **Progress Notes:**<br>Progress notes are not required for Supports Coordination.<br><br>**Other Documentation:**<br>Individual monitoring results maintained in HCSIS at the required monitoring frequency including:<br>- Any identified concerns and status of the concern. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Date of service delivery.<br>- Start and end times of service delivery.<br>- Number of units.<br>- The date the service note is completed *(pre-populated in HCSIS).*<br>- Name of the person completing the service note. In HCSIS, this name is recorded electronically. If the person entering the service note in HCSIS is different than the Supports Coordinator rendering the service, the name of the Supports Coordinator that rendered the service must be documented in HCSIS or in source documentation.<br>- The location of service.<br>- The service type, category, and sub-category;<br>- If the service is billable or non-billable.<br>- A description of activities.<br><br>A service note must be included for each continuous span of 15-minute units. | - Progress toward, maintenance of, or lack of progress toward action and outcomes.<br>- Required follow up. |
| Temporary Supplemental Services (TSS) | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered<br>- The date the service note is completed.<br>- Name and signature of the person completing the service note.<br>- Place(s) the service is rendered. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - A description of activities.*<br><br>A service note must be included for each continuous span of 15-minute units.<br><br>*The provider may choose to create and use a checklist to document allowable service activities as long as it includes all other elements listed above. | |
| Therapies: Counseling | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery.<br>- The service delivered.<br>- The date the service note is completed.<br>- Licensed social worker's, licensed psychologist's, licensed psychiatrist's, licensed professional counselor's, or licensed marriage and family therapist's name and signature.<br>- Place(s) the service is rendered.<br>- A description of activities.<br><br>A service note must be included for each continuous span of 15-minute units.<br><br>When applicable and at a minimum, service notes must include/address: | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for requirements and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>A copy of the initial evaluation.<br><br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | - Description of how the Counseling service meets the need of the individual based on the individual's evaluation.<br>- Description of the individual's mood and affect.<br>- Symptoms the individual describes or displays.<br>- Individual's progress and/or barriers to progress.<br>- Activities performed with the individual that align with the treatment plan. | |
| Therapies: Speech/Language Therapy | **Service Notes Must Include:**<br>- Identifying information for the individual.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Start and end times of service delivery;<br>- The service delivered.<br>- The date the service note is completed.<br>- Licensed speech/language pathologist's name and signature.<br>- Place(s) the service is rendered.<br>- A description of activities.<br><br>A service note must be included for each continuous span of 15-minute units. | **Progress Notes:**<br>Progress notes are required for this service. Please refer to the bulletin for the requirements for progress notes and the Guidance on Reporting Requirements section of Home.MyODP.org for further resources.<br><br>**Other Documentation:**<br>A copy of the initial evaluation.<br><br>The provider must retain a record of time that each professional worked that demonstrates the service was provided as specified in the ISP. |
| Transportation - Public | **Claim Documentation:**<br>– Receipt or verification that the item was purchased. If purchases for multiple individuals are made together, the agency or OHCDS must document the identifying information for whom the purchase was made. For example, a receipt | **Progress Notes:**<br>Claim documentation in column 2 satisfies requirements for progress notes. Therefore, a separate progress note is not needed for this service. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | for 50 monthly bus passes could have an attachment with the names of the 50 individuals for whom the passes were purchased, or the agency could utilize a log.<br>- A receipt is required when the individual is using a Taxi, Uber or Lyft. A printed, downloaded or emailed version of the receipt is acceptable.<br><br>Service notes are not required for this service. | |
| Transportation - Trip | **Trip Log That Includes:**<br>- Identifying information for the individual(s) transported.<br>- Identifying information for the provider.<br>- Date of service delivery.<br>- Address for point of pickup and address for destination.<br>- Total miles for the trip.<br>- Purpose of trip.<br>- Signature of the transportation coordinator, driver, or aide to document that transportation was provided for activities identified in the ISP.<br><br>Service notes are not required for this service. | **Progress Notes:**<br>The trip log described in column 2 satisfies requirements for progress notes. Therefore, a separate progress note is not needed for this service.<br><br>**Other Documentation:**<br>If more than six riders are listed in the record for the same time period, there must be a time sheet to document the presence of an aide. |
| Vehicle Modifications | **Invoice That Includes:**<br>- Itemized list of provided/delivered goods.<br>- Date(s) the service was rendered.<br>- Detailed costs for products and services.<br><br>Service notes are not required for this service. | **Progress Notes:**<br>The invoice and other documentation in column 2 satisfies requirements for progress notes. Therefore, a separate progress note is not needed for this service. |

| Service | Required Elements of Service Notes and/or Claim Documentation | Progress Notes & Other Required Documentation |
|---|---|---|
| | **Other Documentation:**<br>- Copy of ODP-approved budget proposal.<br>- Copies of required permits and licenses, if applicable.<br>- Copy of inspection to certify that work meets standards of manufacture, design, installation, and building codes, if applicable. | **Direct Payment to Vendor Through an OHCDS**<br>- Invoice must be provided to the SCO |

**Checklists in Service Notes that Document the Nature or Description of the Activities**

A separate service note is not required if the checklist includes all the information required by 55 Pa. Code § 6100.226(c) and as described in this Technical Guide. Checklists may be developed broadly based on the service definition or specifically for the individual being served. When developed broadly, the list of activities that can be "checked off" on a provider's checklist are full or abbreviated descriptions of activities as described in the service definitions. The description must include names of places in the community where the activity occurred or the community activity.

When a checklist is allowed, the checklist satisfies the requirement for the service note to include the nature or description of activities. A narrative of activities in addition to a checklist is not required but is recommended because checklists alone do not capture specific details of an individuals' everyday lives.

Providers should consider the following prior to using checklists:

- Can a checklist meet the provider's documentation needs?
- Does a checklist provide enough information to substantiate billing and claims?
- Will the use of a checklist provide enough information to determine if the quality of the service provided meets the provider's expectations? This could include what works well and what does not work well and information about whether service provision meets the individual's goals and outcomes/objectives identified in the ISP.
- Will the use of the checklist provide adequate documentation on the individual's level of assistance, support, and guidance needed to enable the provider to evaluate an individual's progress towards a goal and develop a high-quality progress note?
- Should a narrative in addition to a checklist be used by direct support professionals?

The following are examples of checklists or information included on a checklist that are unacceptable because they do not meet the requirements for claim documentation included in 55 Pa. Code § 6100.226:

- Only listing the name of the service and not describing any activities that occurred during service delivery.
- A description of activities that are not included in the service definition.
- A listing of activities that are not compensable.
- The checklist does not support the amount of time billed on the claim.
- The checklist solely includes a list of outcomes/objectives or goals and does not include an additional description of the activities that were performed during service delivery. For example, "improve social skills" may be an outcome/objective or goal for an individual but does not describe the activity that occurred to work towards that outcome/objective or goal.

| BILLING GUIDANCE<br>Each procedure code has been assigned a service unit that is used for rate development and billing. Each service unit equals the amount of time that a provider must render the service to submit a claim to be paid for the service. | |
|---|---|
| 15 Minute Unit of Service | The 15-minute unit of service will be comprised of 15 minutes of continuous or non-continuous service. The full 15 minutes of service does not need to be provided consecutively but must be rendered during the same dates of service indicated on the claim for the same individual, same 13-digit MPI and same service including the same staffing ratios. **The only procedure code where minutes of continuous or non- continuous service rendered must be added within the same calendar day for an individual to make a full 15-minute unit is W0163 (Specialized Skill Development: Behavioral Specialist Direct Service).**<br><br>Please note that a claim (and thus the combination of partial units of service) cannot span multiple fiscal years. For example, if services were rendered from June 22nd to July 3rd, the provider would need to submit two claims. One from June 22nd to June 30th and another one from July 1st to July 3rd. |
| Day Unit of Service | For Residential Habilitation: Community Homes and Life Sharing, a day is defined as a period of a minimum of 8 hours of non-continuous care rendered by a provider within a 24-hour period beginning at 12:00 a.m. and ending at 11:59 p.m.<br><br>For Out-of-Home Respite, a day is defined as a period of a minimum of 16 hours of non-continuous care rendered by a residential provider within a 24-hour period.<br><br>There are two exceptions to the day unit rule as follows:<br><br>1. When an individual is admitted to a hospital, nursing facility, or rehabilitation facility the provider may not bill for the day the individual is admitted regardless of how many hours of care the provider has rendered during the 24-hour period. A provider may bill for 15-minute unit TSS rendered when the individual is admitted to an acute care hospital. |

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| | When the individual is discharged from a hospital, nursing facility, or rehabilitation facility the provider may bill for Residential Habilitation: Community Homes, Life Sharing or Respite on the discharge day of service regardless of how many hours of care the provider has rendered during the 24- hour period.<br><br>2. When an individual receives Residential Habilitation: Community Homes, Life Sharing, or Respite services from one provider and is transitioning from that provider to a new Community Home, Life Sharing, or Respite provider, only the current provider that the individual is transitioning away from can bill for the day that the transition occurs regardless of the number of hours of service rendered by either provider. The reason for this is because 2 day units of service may not be billed on the same day. |
| Vendor Goods and Service-Based Units | A service unit is tied to the actual cost of a purchased good. These services are reimbursed based on the cost charged to the general public and must be the most cost-effective service to meet the individual's needs. |
| Per Trip Unit | A trip is defined as transportation to a Waiver service or resource specified in the individual's ISP from an individual 's home, from the Waiver service or resource to the individual 's home, from one Waiver service or resource to another Waiver service or resource, or transportation to and from a job that meets the definition of competitive integrated employment. The Transportation Trip provider agency decides the geographical area that equals the per trip service unit based on the zones defined in the service definition. |
| Plan Development Unit | The Plan Development unit of service is comprised of all time necessary to complete development and approval of the initial plan. Activities performed during the process of developing and revising the plan are accounted for in the reimbursement rate. If an initial plan is rejected and requires revisions, the completion of the revisions are considered part of the one-unit plan development service and therefore are not billable as ongoing services. After plan approval, all subsequent revisions to plans may be done as part of ongoing services billed in 15-minute units and documented accordingly. |