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DIVISION OF DEVELOPMENTAL DISABILITIES
Olympia, Washington

TITLE: SOCIAL SERVICE PAYMENT SYSTEM AND   POLICY 6.01
            CLIENT AUTHORIZATION SERVICES INPUT SYSTEM

Authority: 45 CFR 1357.30
                RCW 43.20A.060, 43.20A.400-430
                Public Law 93-647, Sec. 2003
                Public Law 96-272

References: SSPS Manual

PURPOSE

This policy establishes regional internal control procedures for the Social Service Payment System (SSPS) and Client Authorization Services Input System (CASIS) for the Division of Developmental Disabilities (DDD).

SCOPE

This policy applies to all DDD Field Services offices and outstations.

POLICY

A.   Field Services staff will take reasonable precautions to prevent abuse of the Social Services/ Payment System while authorizing payment for intended services to clients. DDD staff authorizing payments to DDD vendors must use CASIS, which is a front end to the Department of Social and Health Services (DSHS) SSPS.

B.   Only authorized personnel will input services and payments in the CASIS system. Regions will develop monitoring and documenting procedures in compliance with this policy. The SSPS Manual, Appendix E, and the following procedures are a guide for authorizing payments to vendors.

PROCEDURES

A.   Authorization of Services

Case/Resource Managers (CRM) authorizing services will be familiar with the *SSPS Basic Instruction Manual and Appendix E*, which is available on the DSHS Intranet.

All SSPS authorizations will be completed on the CASIS input screen. A printout of the authorization will be signed and dated by the authorizing CRM and a copy will be placed in the client's case file.

B.   Worker Identification Numbers

1.   The regional SSPS coordinator assigns worker identification (ID) numbers. The regional SSPS coordinator or designee must make a request to DDD Central Office for activation of worker ID numbers. Worker ID numbers are used by the Common Client Database (CCDB) and SSPS.

   a.   Assignment of worker ID numbers for CRMs and supervisors will follow rules outlined in the *SSPS Basic Manual*.

   b.   Requests for changes, deletions, or new worker IDs will be made within five (5) working days.

   c.   If a new worker cannot be assigned to a caseload at the same time, the caseload will be assigned as a vacant position (VP) within the supervisory unit.

   d.   DDD Central Office will make the appropriate request to SSPS and maintain a record of requests.

   e.   SSPS initiates a global transfer to change service authorizations to new worker ID numbers on a monthly basis.

C.   DDD Central Office

The program manager assigned to SSPS will provide the following support:

1.   Coordinate and deliver staff training;

2.   Direct SSPS coordinators;

3.   Liaison with SSPS, including maintenance of SSPS codes and data sheets;

4.   Review regional written procedures;

5.   Random oversight of regional policy implementation;

6.   CASIS edit overrides and reviews;

7.   Worker ID input oversight; and

8.   Ongoing assistance and support.

D.   Regional SSPS Coordinator

Each region will appoint a regional SSPS Coordinator. A SSPS Coordinator may also be assigned in each reporting unit as needed. The regions will notify the SSPS Program Manager of changes in the SSPS Coordinator. The regional SSPS Coordinator will:

1.   Have a full understanding of the SSPS authorization, billing, and payment system, including COLD;

2.   Have a full understanding of DDD program services authorized by SSPS;

3.   Assist in developing and monitoring a regional policy to ensure compliance with DDD SSPS policy and all SSPS procedures;

4.   Coordinate development and presentation of SSPS training for regional staff;

5.   Be available to assist regional staff with SSPS questions and problems;

6.   Communicate with the SSPS Program Manager and SSPS to resolve problems;

7.   Disseminate information from SSPS or the SSPS Program Manager as needed; and

8.   Meet with the SSPS Program Manager and other SSPS coordinators when scheduled by the SSPS Program Manager.

E.   Supervisor Monitoring and Review

1.   Report Monitoring

Supervisors or their designees will review, sign and date the following CASIS output reports on a monthly basis. The supervisor will monitor these reports for appropriateness of services.

a.   Authorizations by Service Codes (CASIS) reviewing for:

    i.   One-time payments;

    ii.   One-time invoices;

    iii.   Authorizations with a "9" code only for non-waiver services; and

    iv.   Services opened and closed at the time of input.

b.   Authorizations with Service Codes requiring approval (CASIS).

c.   Clients with duplicate authorizations (CASIS).

d.   Discharged or deceased clients (CASIS).

2.   Case File Review

a.   Supervisors of case-carrying staff will select and review three (3) case files per month to monitor for appropriateness of services currently authorized.

These file reviews are intended to monitor the following:

    i.   Identify problems or irregularities;

    ii.   Ensure compliance with SSPS procedures, including:

        1)   Overpayments;

        2)   Payment adjustments;

        3)   Under authorizations; or

        4)   Underpayments;

    iii.   Ensure that services authorized are part of the service plan; and

    iv.   Ensure that DSHS/DDD policies and procedures are followed.

        b.   Case file reviews will include:

             i.   A review of the *Individual Total Cost Report* (CCDB), and

             ii.   Direct contact of the client and/or family. The direct contact may be by telephone, or face-to-face with the client and/or family.

        c.   A separate file of documented case reviews and corrective actions must be retained for at least three (3) years.

F.   <u>Case/Resource Manager Monitoring and Review</u>

Each CRM will review the following reports monthly and make needed corrections:

1.   Expiring and Expired Service Tickler Report (COLD SSPS013)

- Identify and terminate any services that are expired for more than one (1) month.

2.   Worker Service Report (COLD SSPS032) <u>or</u> Authorizations by Service Code (CASIS)

- Review client authorizations to identify duplicate authorizations, incorrect SSPS codes, or any other unusual authorizations or payments.

G.   <u>Regional CASIS Edit Override Monitoring</u>

1.   CASIS security levels for edit overrides will be assigned by the Field Services Administrator to the Regional Business Manager or a supervisor. Any other designee must be approved by the Regional Administrator.

2.   The security level for CASIS edit overrides may not be given to a staff person whose regular job duties include or require the input of SSPS authorizations.

3.   In general, the number of staff given the security level for CASIS edit overrides should be limited to one primary staff and one backup staff per region.

4.   The CASIS Central Office program staff will add the regionally-assigned edit override staff to the CCDB Security Group.

5.   CASIS edit overrides will be monitored within the region, as follows:

     a.   A supervisor must review and approve of edit override requests.

     b.   A copy of the CASIS edit override authorization with a detailed narrative explanation will be placed in the case file.

     c.   An additional copy will be placed in a separate file maintained by the region.

H.   Provider Files

     1.   Provider File Request

     a.   A limited number of staff in each region will be designated to process new provider file requests and changes to existing provider files.

     b.   Provider File Requests will be processed using DSHS 06-097, *Provider File Action Request*.

     c.   Provider file additions and changes will be made in a timely manner.

     d.   A copy of all DSHS 06-097, *Provider File Action Requests* will be maintained in each region for at least three (3) years.

     2.   Vendors with Non-Standard Rates

     DDD Central Office staff will initiate and maintain provider file information for contracted providers with vendor unique rates. Changes to this file must be requested through DDD Central Office.

     3.   A vendor's presence in this file does not give authority to do business with that vendor or indicate that licensing, certification, or contractual requirements are current or valid.

I.   Contracts

     1.   Each region will use the DSHS Automated Contract Database (ACD) system to store and provide the following contract information to all persons who authorize or input SSPS services:

     a.   Current contracted and/or licensed providers;

     b.   Contract number;

      c.   Contract effective dates;

      d.   Type of service; and

      e.   Rate.

2.   A payment may not be authorized for services that do not fall within the effective dates of the contract.

3.   Before authorizing services and payments, all CRMs will verify that each provider:

      a.   Has a current contract;

      b.   Has a current license, if applicable; and

      c.   Is contracted for the service and rate authorized.

J.   <u>Problem Resolution</u>

1.   Duplicate Invoices

      a.   When a provider requests a duplicate invoice, a designated staff person in each office will make duplicate invoice requests from SSPS.

      b.   A file of these requests must be maintained locally for four (4) months.

2.   Underpayments

      a.   An underpayment occurs when:

            i.   The correct amount was authorized and invoiced, but the provider claimed fewer units of service than was actually provided. This is an under-claim.

            ii.   Invoiced services are authorized with service dates that are more than six calendar months prior to the first day of the current invoice month.

      b.   Complete DSHS 07-055, *SSPS Payment Adjustment*, according to the instructions.

      c.   Payment adjustments must be signed by the supervisor. SSPS will process all payment adjustments.

3.   Overpayments

Overpayments are defined in DSHS Administrative Policy 10.02, *Vendor/Provider Overpayment and Debt Policy*. This policy applies to vendor overpayments and SSP client overpayments. Procedures for processing an overpayment are found in the SSPS Basic Manual.

      a.   When a vendor overpayment is identified, use form DSHS 18-398A, *Vendor Overpayment Notice*, and DSHS 18-399, *Social Service Incorrect Payment Computation* (both forms are available on the DSHS Forms website and may be downloaded).

      b.   When an SSP overpayment is identified, use DSHS 18-627, *SSP Client Overpayment Notice (State Supplementary Program)* and DSHS 18-399, *Social Service Incorrect Payment Computation* (both forms are available on the DSHS Forms website and may be downloaded).

K.   <u>Possible Fraud</u>

The CRM will report to the supervisor immediately upon receiving information that indicates possible fraud on the part of the provider or the client. The Regional Administrator or designee will report suspected provider fraud to the Central Contract Services Office. In addition, the Regional Administrator or designee will report the suspected fraud to the Division of Fraud Investigation or the Medicaid Fraud Unit as appropriate.

L.   <u>Training</u>

1.   DDD Central Office will make SSPS and CASIS training available for all staff.

2.   Each region must ensure that all employees who authorize services using CASIS and SSPS are adequately trained.

3.   Each region must ensure that all employees who monitor authorized services are adequately trained.

4.   Training should occur at least annually and as needed for new employees.

EXCEPTIONS

Any exceptions to this policy must have the prior written approval of the Division Director.

SUPERSESSION

DDD Policy 6.01
Issued April 7, 2005

DDD Policy 6.01
October 20, 2003

DDD Policy 6.01
Issued August 11, 2003

DDD Policy 6.01
Issued April 1, 2003

DDD Policy 6.01
Issued July 23, 1998

DDD Policy 6.01
Issued February 14, 1994

DDD Policy 6.01
Issued February 26, 1993

Policy Directive 411
Issued November 18, 1991

Approved: _/ s / Linda Rolfe_   Dated: July 12, 2005
                Director, Division of Developmental Disabilities