



DEVELOPMENTAL DISABILITIES ADMINISTRATION
Olympia, Washington

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

Authority: [Chapter 71A RCW](#) *Developmental Disabilities*
[RCW 43.20B.675](#) *Vendor Overpayments*
[RCW 43.20A.400 - 430](#) *Purchase of services*
[WAC 388-05-0010](#) *Contractor submission of claims*

References: DSHS Administrative Policy 10.02, *Vendor/Provider Overpayment & Debt*
DDA Policy 6.10, *Client Overpayments*
SSPS Basic Manual

PURPOSE

This policy establishes expectations for the use of the Social Service Payment System (SSPS) and Client Authorization Services Input System (CASIS) for the Developmental Disabilities Administration (DDA) as well as for monitoring authorizations and payments for client services. This policy will be used by the regions to develop internal control procedures.

SCOPE

This policy applies to DDA Central Office staff and all staff in DDA Field Services offices and outstations.

DEFINITIONS

CRM means the Developmental Disabilities Administration Case Resource Manager and/or the Social Worker or Social Service Specialist.

POLICY

- A. When authorizing payment for intended services to clients, all DDA staff will take reasonable precautions to prevent abuse of the SSPS. DDA staff authorizing payments to service providers must use CASIS, which is a front end to the Department of Social and

Health Services (DSHS) SSPS. The SSPS Program Manager in Central Office may, when not possible through CASIS, use SSPS WebConnect for authorization purposes.

- B. Only designated personnel will authorize services and payments in the CASIS system. Regions will develop monitoring and documenting procedures in compliance with this policy. The *SSPS Basic Manual, Appendix E*, and the following procedures are a guide for authorizing and monitoring payments to service providers.

PROCEDURES

A. Authorization of Services

Case Resource Managers (CRMs) authorizing services must do the following:

1. Be familiar with the *SSPS Basic Manual, Basic Instructions, and Appendix E*.
2. Attend SSPS Basic Training as soon as possible after hiring.
3. Attend other SSPS training as recommended by the SSPS Program Manager.
4. Complete all SSPS authorizations on the CASIS input screen. If input is done by someone other than the assigned CRM, the input CRM must print the authorization, sign and date it, and give it to the assigned CRM.
5. Ensure that all authorization/payment errors discovered on their caseload (whether or not they are responsible for the error), including overpayments and payment adjustments, are corrected.

B. Worker Identification Numbers

1. The regional SSPS Coordinator assigns worker identification (ID) numbers. The Coordinator or designee must make a request to Central Office for activation of worker ID numbers. Worker ID numbers are used by 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 of a caseload reassignment.
 - c. If a new worker cannot be assigned to a caseload at the same time, the caseload will be assigned to the supervisor of the unit using a worker ID different from their usual supervisor ID ending in '00.'

- d. Central Office will make the appropriate request to SSPS and maintain a record of requests.
- e. At the request of the regional Coordinator, SSPS processes a global transfer to change service authorizations to new worker ID numbers on a monthly basis.

C. **DDA Central Office**

The SSPS Program Manager will provide the following support to Field Services:

1. Coordinate and deliver staff training;
2. Provide direction to regional SSPS Coordinators;
3. Serve as the DDA liaison with SSPS, including maintenance of SSPS codes and data sheets;
4. Review regional written procedures;
5. Oversee regional policy implementation;
6. CASIS edit overrides and reviews;
7. WebConnect input as needed;
8. Worker ID input oversight; and
9. 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 when there are changes in the SSPS Coordinator position.

The regional SSPS Coordinator will:

1. Have a basic understanding of the SSPS authorization, billing, and payment system, including SSPS Web Based Reports, and COLD (Computer Output to Laser Disc);
2. Have a basic understanding of DDA program services authorized by SSPS;

3. Assist in developing and monitoring regional procedures to ensure compliance with this 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/Regional Monitoring and Review**

1. **Report Monitoring**

Supervisors or their designees will review the following output reports on a monthly basis. Monitoring reviews will be documented in the database on the DDA SSPS SharePoint site. The supervisor will monitor these reports for accuracy of authorizations and require corrections by CRMs as needed:

- a. *Authorizations by Service Code*, reviewing for authorizations with a “9” code;
- b. *Audit 00646 Invalid Payment*;
- c. *Audit 00646 Duplicated Payments*;
- d. *Paid Services Without Contract* (as supplied by DDA HQ); and
- e. *Open Authorizations for Discharged or Deceased Client*.

2. **Case File Review**

- a. Supervisors of case-carrying staff will review one (1) case file per non-waiver CRM per year as selected by DDA Central Office. These file reviews are intended to accomplish the following:
 - i. A review of the Individual Total Cost Report (SSRS Report) for the client;

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- ii Identify payment problems or irregularities;
 - iii. Ensure compliance with SSPS procedures, including:
 - (a) Overpayments;
 - (b) Payment adjustments;
 - (c) Under authorizations; or
 - (d) Underpayments.
 - iv. Ensure that services authorized are part of the client's Individual Support Plan (ISP); and
 - v. Ensure that DSHS/DDA policies and procedures are followed.
- b. Supervisors may also be required to review additional individual files as directed by the SSPS Program Manager.
 - c. File Reviews will be documented in the database on the DDA SSPS SharePoint site.
 - d. Waiver case files will be reviewed according to the DDA Assessment review requirements.
3. Client Contact
- a. Each region will contact a specified number of clients per month to determine whether services are being delivered as authorized. The total number of clients to be contacted is determined by multiplying three (3) times the number of supervisors with SSPS authorizing workers.
 - b. DDA Central Office will provide a monthly list of clients to be contacted. Client contacts must be made using this randomly generated list.
 - c. Contacts will be documented in the database on the DDA SSPS SharePoint site.
4. Service Provider Monitoring (See [MB D10-002](#))
- a. DDA Central Office will send letters to a random selection of service providers, at least annually, requesting they send timesheets to a central location.

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- b. Quality Compliance Coordinators (QCC) will compare timesheets to SSPS billing to ensure that services billed for are consistent with the service provider timesheet.
 - c. Monitoring will be documented in the database on the DDA SSPS SharePoint site.
5. Supervisors will maintain documentation of CRM report reviews (identified in section F below).
 6. Information in the SharePoint database will be retained for at least three (3) years.

F. Case Resource Manager Monitoring and Review

Each CRM will review the following reports monthly and make needed corrections. The worker will inform their supervisor when reviews have been completed.

1. *Expiring and Expired Service Tickler Report (SSPS013)*: Identify and terminate any services that are expired for more than three (3) months.
2. *Worker Service Report (SSPS032)*: Review authorizations to identify duplicates, incorrect SSPS codes, or any other unusual authorizations or payments.

G. Regional CASIS Edit Override Monitoring

1. CASIS security levels for edit overrides will be assigned by the Field Services Administrator (FSA) to the Regional Operations Manager or a supervisor. Any other designee must be approved by the Regional Administrator (RA). Requests for this security level must be made to the SSPS Program Manager.
2. The security level for CASIS edit overrides may not be given to a staff person whose regular job duties include or require the regular input of SSPS authorizations.
3. The security level for CASIS edit overrides should be limited to one primary staff and one backup staff per region.
4. The regional Joint Requirements Planner (JRP) will add regional staff to the CASIS Full Access and CASIS Read Only security groups as directed by the FSA.
5. CASIS edit overrides will be monitored within the region, as follows:

- a. A supervisor must review and approve edit override requests;
- b. A copy of the CASIS edit override authorization with a detailed explanation will be placed in the client's case file; and
- c. An additional copy will be placed in a separate file maintained by the region and organized by supervisor.

H. **SSPS WebConnect Plus Access**

1. Other than the DDA SSPS Program Manager, access to SSPS WebConnect for DDA staff is for inquiry only. The security process for accessing WebConnect is as follows:
 - a. All workers wishing to access WebConnect will require an individual security profile;
 - b. For all regular DDA workers requiring access to WebConnect, the regional SSPS Coordinator will complete [DSHS 17-130, SSPS Security Clearance Request](#) (this form is only available on the DSHS Intranet); and
 - c. The completed form must be submitted to [DATASECDSHS](#) (or type datasecdshs@dshs.wa.gov in the address line of your email message).
2. Access to SSPS WebConnect for non-DDA staff for inquiry only is allowed on a limited basis.
 - a. Regional requests for access to WebConnect by non-DDA workers must be forwarded to the SSPS Program Manager; and
 - b. The SSPS Program Manager will submit requests for WebConnect access by workers other than DDA regional workers.

I. **Service Provider Files**

1. Service 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](#) (this form is only available on the DSHS Intranet).

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- c. Service provider file additions and changes will be made in a timely manner.
 - d. Each region must maintain copies of all completed DSHS 06-097 forms for at least three (3) years.
2. A service provider's presence in the service provider file does not give authority to do business with that service provider or indicate that training, licensing, certification, or contractual requirements are current or valid.

J. **Contracts**

1. Regions will use the DSHS Enterprise Agency Contracts Database (EACD) system to store and provide the following contract information to all persons who authorize or input SSPS services:
 - a. Current contracted and/or licensed service providers;
 - b. Contract number;
 - c. SSPS Provider File number;
 - d. Contract effective dates;
 - e. Type of service; and
 - f. 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:
 - a. Verify that the provider has a contract for the service period, service, and rate being authorized; and
 - b. Verify with the regional site coordinator that the provider meets training requirements for the service period being authorized.

K. **Problem Resolution**

1. **Duplicate Invoices**
 - a. When a service provider requests a duplicate invoice, a designated staff person in each office will make duplicate invoice requests to SSPS.

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- b. A file of these requests must be maintained in each region for four (4) months.

2. Payment Adjustments

- a. A Payment Adjustment is required when:
 - i. The correct amount was authorized and invoiced, but the service 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 twelve (12) calendar months prior to the first day of the current invoice month.
- b. Complete [DSHS 07-055, SSPS Payment Adjustment](#) (this form is only available on the DSHS Intranet), according to the instructions.
- c. Payment adjustments must be signed by the supervisor. SSPS will process all payment adjustments.
- d. DSHS does not pay for services that have not been claimed by the service provider within twelve (12) months of the month of service. Authorizations for services more than twelve (12) months old must be approved by the SSPS Program Manager.

3. Overpayments

Overpayments are defined in DSHS Administrative Policy 10.02, *Vendor/Provider Overpayment and Debt Policy*. This policy applies to service provider overpayments and DDA client overpayments.

- a. When a service provider overpayment is identified, the overpayment will be processed using the automated [Vendor Overpayment Notice](#). Once the form has been submitted, the worker will print the overpayment notice and place it in the client file.
- 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](#). Place a copy of the overpayment notice in the client file.

- c. When any other DDA client overpayment is identified, use [DSHS 18-398, Client Overpayment Notice](#) (this form is only available on the DSHS Intranet), and [DSHS 18-399, Social Service Incorrect Payment Computation](#). See DDA Policy 6.10, *Client Overpayments*, for further information. Place a copy of the overpayment notice in the client file.

L. **Suspected Fraud**

1. The CRM will report to their supervisor immediately upon receiving information that indicates possible fraud on the part of a service provider, client, or DSHS staff.
2. The Regional Administrator (RA) or designee will report suspected service provider fraud to the [Central Contract Services Office](#) (360/664-6200).
3. Additionally, the RA or designee will report all suspected fraud to DDA Central Office using [DSHS 12-209, Client Fraud Report](#), for clients and [DSHS 12-210, Provider Fraud Report](#), for providers. (These two forms are only available on the DSHS Intranet.)
4. DDA Central Office will make a report to the appropriate entities as required and maintain a system of tracking reports.

M. **Training**

1. The SSPS Program Manager 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 Assistant Secretary.

SUPERSESSSION

DDD Policy 6.01
Issued July 1, 2009

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CLIENT AUTHORIZATION SERVICES INPUT SYSTEM

POLICY 6.01

Approved:

/s/ Kathy Leitch

Assistant Secretary

Developmental Disabilities Administration

Date: April 15, 2013