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

SCOPE

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

POLICY

A.   When authorizing payment for intended services to clients, all DDD staff will take reasonable precautions to prevent abuse of the SSPS. Division staff authorizing payments to DDD 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:

1.   Be familiar with the *SSPS Basic Instruction Manual* and *Appendix E*; and

2.   Complete all SSPS authorizations on the CASIS input screen and place a printout of the authorization in the client's case file. If input is done by someone other than the assigned CRM, the assigned CRM must sign and date the printout.

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 his/her 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 SSPS coordinator, SSPS processes a global transfer to change service authorizations to new worker ID numbers on a monthly basis.

C.   **DDD Central Office**

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

1.   Coordinate and deliver staff training;

2.   Provide direction to SSPS coordinators;

3.   Serve as the DDD 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;

9.   Review certain CASIS reports for possible payment problems and forward findings to regional staff for further review; and

10.   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 COLD (Computer Output to Laser Disc);

2.   Have a basic understanding of DDD 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 CASIS output reports on a monthly basis. Monitoring reviews will be documented in the database on the DDD SSPS SharePoint site. The supervisor will monitor these reports for accuracy of authorizations:

        a.   *Authorizations by Service Code,* reviewing for authorizations with a "9" code;

        b.   *Authorizations with Service Codes Requiring Approval*; and

        c.   *Open Authorizations for Discharged or Deceased Client*.

2.   Case File Review

        a.   Supervisors of case-carrying staff will review one (1) non-waiver case file per CRM per year as selected by DDD Central Office. Supervisors will monitor for appropriateness of services currently authorized. These file reviews are intended to accomplish the following:

                i.   A review of the Individual Total Cost Report (SSRS Report) for the client;

                ii   Identify 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 service plan; and

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

b.   Supervisors may also be required to review additional individual files as directed by the SSPS Program Manager.

c.   Waiver case files will be reviewed according to the DDD Assessment review requirements.

d.   Supervisors will maintain documentation of CRM report reviews (identified in section F).

3.   Client Contact

a.   Each region will contact three (3) clients per supervisor per month to determine whether services are being delivered as authorized.

b.   DDD Central Office will provide a monthly list of clients to be contacted.

c.   Contacts will be documented in the database on the DDD SSPS SharePoint site.

4.   Service Provider Monitoring

a.   DDD Central Office will send letters to a random selection of service providers requesting they send timesheets to a central location.

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 DDD SSPS SharePoint site.

5.   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 her/his supervisor when reviews have been completed.

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> *Daily Report* (CASIS):

- 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 Business 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;

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 DDD SSPS Program Manager, access to SSPS WebConnect for DDD 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 DDD workers requiring access to WebConnect, the regional SSPS coordinator will complete DSHS 17-130, *SSPS Security Clearance Request;* 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-DDD staff for inquiry only is allowed on a limited basis.

      a.   Regional requests for access to WebConnect by non-DDD 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 DDD regional workers.

I.   **Service Provider Files**

   1.   <u>Service Provider File Request</u>

      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.   Service 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.   A service provider's presence in the Service provider File does not give authority to do business with that service provider or indicate that 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. 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 service provider:

  a. Has a current contract;

  b. Has a current license (if applicable); and

  c. Is contracted for the service and rate 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.

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

2. Underpayments

  a. An underpayment occurs 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*, 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.   <u>Overpayments</u>

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

      a.   When a service provider overpayment is identified, use [DSHS 18-398A, *Vendor Overpayment Notice*](#), and [DSHS 18-399, *Social Service Incorrect Payment Computation*](#). Follow the instructions provided with the forms. If the overpayment is for a service provider who receives a W-2, you must also send a copy of the overpayment notice to SSPS.

      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*](#). See DDD Policy 16.01, *State Supplementary Payment Program*, for further information.

      c.   When any other DDD client overpayment is identified, use DSHS 18-398, *Client Overpayment Notice,* and [DSHS 18-399, *Social Service Incorrect Payment Computation*](#). See DDD Policy 6.10, *Client Overpayments*, for further information.

L.   **Suspected Fraud**

The CRM will report to her/his supervisor immediately upon receiving information that indicates possible fraud on the part of a service provider, client, or DSHS staff. The Regional Administrator RA) or designee will report suspected service provider fraud to the [Central Contract Services Office](#) (360/664-6200). In addition, the RA or designee will report the suspected fraud to the [Division of Fraud Investigations](#) or the [Medicaid Fraud Unit](#), as appropriate.

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 Division Director.

SUPERSESSION

DDD Policy 6.01
Issued April 1, 2008

Approved: _/s/ Linda Rolfe_____   Date: July 1, 2009
             Director, Division of Developmental Disabilities