PA PROMISe™ PROVIDER HANDBOOK – 837 INSTITUTIONAL/UB-04 CLAIM FORM

837 INSTITUTIONAL/UB-04 CLAIM FORM HANDBOOK
SECTION 1 – INTRODUCTION

The PA PROMIS*e*™ Provider Handbooks were written for the Pennsylvania Provider Reimbursement and Operations Management Information System (PA PROMIS*e*™) providers who submit claims on the 837 Professional/CMS-1500 Claim Form, the 837 Institutional/UB-04 Claim Form, the NCPDP Version 5.1/Pharmacy transactions, and the 837 Dental/ADA Claim Form – Version 2006.

Four handbooks have been designed to assist PA PROMIS*e*™ providers:

PA PROMIS*e*™ Provider Handbook for the 837 Professional/CMS-1500 Claim Form

PA PROMIS*e*™ Provider Handbook for the 837 Institutional/UB-04 Claim Form

PA PROMIS*e*™ Provider Handbook for the 837 Dental/ADA Claim Form – Version 2006

PA PROMIS*e*™ Provider Handbook for NCPDP 5.1/Pharmacy Billing

The following sections detail the PA PROMIS*e*™ providers who should access the PA PROMIS*e*™ Provider Handbook for the 837 Institutional/UB-04 Claim Form, a general overview of each section of the handbook, and how to obtain a hardcopy PA PROMIS*e*™ Provider Handbook for the 837 Institutional/UB-04 Claim Form.

Note: The PA PROMIS*e*™ Provider Handbooks have been designed to be fully functional as paper-based documents; however, providers will realize the full benefit of the handbooks when they access them in their online version.

1.1 PA PROMIS*e*™ Provider Handbook for the 837 Institutional/UB-04 Provider Handbook

The following PA PROMIS*e*™ providers should access the PA PROMIS*e*™ Handbook for the 837 Institutional/UB-04 Claim Form to obtain general information, provider specific policies, eligibility information, and billing instructions:

- General Hospitals (including Outpatient Hospital Clinic, Emergency Room, and Hospital Short Procedure Unit (SPU) providers);
- Inpatient Hospitals;
- Ambulatory Surgical Centers (ASCs);
- Inpatient Rehabilitation Hospitals/Rehabilitation Facilities;
- Inpatient Psychiatric Hospitals/Psychiatric Facilities;
- Nursing Facilities (including general nursing and county nursing facilities);

- State Mental Retardation Centers;
- Intermediate Care Facilities for the Mentally Retarded (ICF/MR);
- Intermediate Care Facilities for Other Related Conditions (ICF/ORC);
- State Restoration Centers;
- Long-Term Care (LTC) Units Located at State Mental Hospitals.

1.2 PA PROMIS*e*™ Provider Handbook for the 837 Institutional/UB-04 Claim Form Sections

The 837 Institutional/UB-04 Provider Handbook contain the following sections:

Section 2 – General Information	This section contains a high-level introduction for PA PROMIS*e*™ providers, which includes information on the Commonwealth's delivery systems, Freedom of Choice, invoicing options, time limits for claim submission, inquiries, Internet functions, and claim form reordering procedures.
Section 3 – Policies	This section contains links to Regulations, which pertain to PA PROMIS*e*™ providers. For example, this handbook will contain a link to the Pennsylvania Code, which houses Department of Public Welfare (DPW) Regulations. Hospitals will need to access 55 Pa. Code Chapters 1101, 1221, 1126 and 1163 to ensure that they are submitting claims in accordance with MA policy for hospital clinic, emergency room, short procedure unit, and inpatient hospital services.
Section 4 – Recipient Eligibility	This section reviews how to determine if a recipient is eligible for services, describes the recipient ACCESS plastic identification cards; defines client-specific requirements including waivers and base programs, as well as third party liability, other insurance and Medicare.
Section 5 – Special Requirements for PA PROMIS*e*™ Providers	This section contains information on Federally Required Forms and State Required Forms. It contains links to policies surrounding the proper completion of these forms, when applicable, as well as links to the forms and their instructions. Information regarding waiver services, behavioral health services, and MA Early Intervention is included in this section as well.
Section - 6 Provider Enrollment Information	This section contains information necessary for a provider to understand how to enroll in PA PROMIS*e*™. Provider information such as enrollment/provider agreements, termination information, provider notice information, changes to enrollment, provider certification, provider-specific rate settings, and provider responsibilities.

Section 7 – Prior Authorization	This section reviews Prior Authorization (PA) requirements and includes instructions and information regarding Program Exception (PE), Automated Utilization Review Admission Certification Process, Place of Service Review (PSR), Recipient Restriction/Lock-In, administrative items, and special guidelines.
Section 8 - Remittance Advice	This section describes how to read and understand the contents of the Remittance Advice (RA) Statement for claims and adjustments, as well as a sample claim reconciliation method.
Section 9 - HIPAA	This section presents an overview of the Health Insurance Portability and Accountability Act (HIPAA).
Appendix A	This section contains provider specific and/or service specific Billing Guides, which provide instruction on the proper completion of each block of the UB-04 Claim Form.
Appendix B	This section contains MA Bulletins.
Appendix C	This section contains instructions for the PROMIS*e*™ Internet functions.
Appendix D	This section contains DPW forms and federally required forms with their instructions.
Appendix E	This section contains the Diagnosis Related Group (DRG) Manual for inpatient hospitals.
Appendix F	This section contains the Concurrent Hospital Review (CHR) Manual for inpatient rehabilitation and inpatient psychiatric hospitals.
Appendix G	This section contains the Place of Service Review (PSR) Manual for inpatient hospitals.
Appendix H	This section contains the Utilization Management Review (UMR) Process for long term care facilities.
Appendix I	This section contains the APR DRG pricing manual.
Appendix J	This section contains the APR DRG manual.
Appendix K	This section contains a glossary of PA PROMIS*e*™ terms and phrases.

837 INSTITUTIONAL/UB-04 CLAIM FORM HANDBOOK
SECTION 2 – GENERAL INFORMATION

The General Information section provides a high-level overview of the Pennsylvania (PA) Provider Reimbursement and Operations Management Information System (PROMIS*e*™) and the various Offices and Programs whose providers will utilize PA PROMIS*e*™ for claims processing. This section also provides an overview of Nondiscrimination, Freedom of Choice, Medical Assistance (MA) Delivery Systems, invoicing options, payment process, inquiries, time limits for claim submission, the 180-Day Exception Request Process, claim adjustments, and MA forms and UB-04 Claim Form ordering instructions.

2.1 Overview for PA PROMIS*e*™

PA PROMIS*e*™ is the name of the Pennsylvania Department of Public Welfare's (DPW) claims processing and management information system. PROMIS*e*™ stands for Provider Reimbursement and Operations Management Information System. PA PROMIS*e*™ incorporates the claims processing and information activities of the following DPW program areas:

- Office of Medical Assistance Programs (OMAP)
- Office of Mental Retardation (OMR)
- Office of Mental Health and Substance Abuse Services (OMHSAS)
- Office of Social Programs (OSP)
- Special Pharmaceutical Benefits Program (SPBP)
- Healthy Beginnings Plus (HBP)

In addition, PA PROMIS*e*™ processes some claims for the Departments of Aging, Education and Health.

Each program area is described in this section of the handbook.

2.1.1 Office of Medical Assistance Programs

The Office of Medical Assistance Programs (OMAP) administers the joint state/federal Medical Assistance Program that purchases health care for needy Pennsylvania residents. Based on an individual's eligibility category, covered services may include physician and clinic visits; inpatient hospital care; home health care; medical supplies and equipment; nursing facility care; inpatient and outpatient psychiatric and drug and alcohol services; prescription drugs; dental and other medically necessary services.

The Office of Income Maintenance's local county assistance offices determine eligibility for Medical Assistance. These offices also determine eligibility for Temporary Assistance for Needy Families (TANF), food stamps, and energy assistance. Family and individual eligibility criteria for Medical Assistance include income and resources.

MA purchases services through contracts with managed-care organizations and under an indemnity, or traditional, fee-for-service (FFS) system. Facility-based services are reimbursed under case-mix for long-term care for the elderly, while other facilities are paid on a prospective, or cost, basis. A medical provider is required to enroll in the program and must meet applicable national, federal and state licensing and credential requirements.

OMAP is also responsible for enrolling providers, processing provider claims, establishing rates and fees, contracting and monitoring of managed care organizations (MCO), detecting and deterring provider and recipient fraud and abuse, and administering some waiver services.

2.1.2 Office of Mental Retardation

The Office of Mental Retardation (OMR) provides a comprehensive array of services and supports for people with mental retardation of all ages. Services include supports coordination, residential, day and support services administered or operated by county MH/MR programs and contracted private and state operated intermediate care facilities for persons with mental retardation. Funding is provided through federal, state and county resources.

Community residential supports include small homes and apartments or family living settings. Additionally, individuals are offered the opportunity to participate in home-based services, provided in their own home or that of a family member. Day services, such as supported employment and vocational training are provided to individuals living at home or in community residential facilities. A wide array of services and supports are also available to families caring for a child or adult sibling with mental retardation. Many services are available for funding under the Medicaid Home and Community Based Waiver Program.

DPW is the lead agency responsible for administering the Early Intervention (EI) (birth to age three) Program through OMR. OMR administers the EI Program for children from birth through age two that are eligible for Early Intervention services and supports through the County MH/MR programs. All EI services are coordinated through a service coordinator who assists the family in gaining access to EI services and other services identified on the child's Individual Family Support Plan (IFSP). The MA EI program is operated in concert with OMAP following all MA regulations. Early Intervention is services and supports designed to help families with children with developmental delays. Early Intervention is the total effort of a statewide coordinated, comprehensive multidisciplinary, interagency system of appropriate developmental and support services designed to meet the needs of eligible infants, toddlers and their families. EI services can include, among other things, information on how children develop, early childhood education and intervention services which can help a child with hearing, seeing, talking, moving or learning, ideas for how a family can help their child at home or in the community, and designs intervention plans to help a family enhance their child's growing and learning. The EI Program is currently implemented through three funding sources: Medical Assistance Early Intervention (MA EI), the Infants, Toddlers and Families Waiver (ITF Waiver) and County Base funds.

2.1.3 Office of Mental Health and Substance Abuse Services

The Office of Mental Health and Substance Abuse Services (OMHSAS) administers a comprehensive array of behavioral health services throughout the state. Community resources are emphasized, with a goal of developing a full array of services and supports as alternatives to hospitalization. Behavioral health services range from community to hospital programs with emphasis on helping children, adolescents, and adults remain in their communities. Community-based services are emphasized, with the goal to help people who have serious mental illness or serious emotional disturbance break of the cycle of repeated hospital or residential admissions. The range of services include outpatient, partial, residential, short-term inpatient hospital care, emergency crisis intervention services, counseling, information referral and case management services. These services are provided for all ages.

Services provided to adults are based on the Community Support Program (CSP) Principles: consumer-centered, consumer-empowered, culturally appropriate, flexible, strengths-based, community-based, natural supports, needs based and coordinated. In accordance with these principles, vocational/employment services, psychiatric rehabilitation services, community treatment teams, housing supports, consumer-run drop-in centers, social/recreational services as well as other locally designed services for special needs and populations also are available to adults.

2.1.4 Office of Social Programs

The Office of Social Programs is comprised of program and administrative offices under the direction of a Deputy Secretary. The Deputy Secretary directs the Bureaus of Program Management, Home and Community Based Services and Supportive Services.

The Bureau of Program Management consists of the Division of Budget and Fiscal Evaluation and the Division of Program Evaluation and Development. The Bureau's responsibility is to provide facilitation, liaison, coordination, assistance, and support to all of the Office of Social Programs' (OSP) programs. The Division of Budget and Fiscal Evaluation is responsible for financial management and oversight, financial monitoring, budgeting and providing operational support in the areas of procurement, personnel, audit and information systems. The Division of Program Evaluation and Development is responsible for providing assistance and support to program offices in the evaluation, analysis, and quality assurance of existing programs, and in the development and refinement of new programs. The Division conducts reviews of program effectiveness, standards, protocols, procedures, instructions and requirements, and waiver applications. It assists in the development of program standards and strategies, and it coordinates new program design and development, as well as program reengineering.

The Bureau of Home and Community Based Services, Division of Home Care Services, provides services to individuals with disabilities through the Attendant Care Act 150 Program, the Attendant Care Medicaid Waiver Program, the administration of the Aging Attendant Care Waiver Program, the COMMCARE Waiver for individuals who experience a medically determinable diagnosis of traumatic brain injury, and through other new programs that are being developed. The new programs are intended to expand home and community based opportunities for persons with physical and cognitive

disabilities. In addition, the Division of Home Care Services provides services to individuals with disabilities through the Community Services Program for Persons with Physical Disabilities, which includes the Omnibus Budget Reconciliation Act-87 (OBRA-87) Waiver and the Independence Waiver. Also under the Bureau of Home and Community Based Services is the Division of Adult Residential Facilities, which manages the inspection, licensing, and enforcement activities of personal care homes statewide.

Services provided by the Bureau of Supportive Services through its Divisions of Contract Programs and County Based Programs include Homeless Assistance, Medical Assistance Transportation, Human Services Development Fund, Domestic Violence, Legal Services, Rape Crisis, Family Planning, Breast Cancer Screening, Women's Medical Services, Women's Service Programs Providing Alternatives to Abortion and Refugee Programs.

2.1.5 Special Pharmaceutical Benefits Program

The Special Pharmaceutical Benefits Program (SPBP) is a program for low and moderate-income individuals and families that helps pay for specific drug therapies used for the treatment of persons with HIV/AIDS or a DSM IV diagnosis for schizophrenia. The HIV/AIDS side of the SPBP is usually called AIDS Drug Assistance Program (ADAP) in other states.

The SPBP is administered by the Department of Public Welfare, Office of Medical Assistance Programs. The HIV/AIDS portion of the program is funded through a combination of Ryan White Emergency Care Act Title II funds and state funds. The mental health drug component is funded exclusively through state funds. The SPBP is not an entitlement program.

For additional information on SPBP, please visit DPW's Website at. http://www.dpw.state.pa.us/foradults/healthcaremedicalassistance/aidswaiverprogram/specialpharmaceuticalbenefitsprogram/S_000352

2.1.6 Healthy Beginnings Plus

Healthy Beginnings Plus (HBP) is Pennsylvania's effort to assist low-income pregnant women who are eligible for Medical Assistance (MA) to have a positive prenatal care experience. HBP significantly expands maternity services that can be reimbursed by the MA Program. The intent of HBP is to render services that meet pregnant clients' psychosocial needs in addition to rendering traditional medical/obstetric services. Federal legislation permits Pennsylvania to extend MA eligibility to pregnant women with family incomes up to 185% of federal poverty guidelines. Pregnant clients may elect to participate in HBP or receive their prenatal care in the traditional MA system.

For detailed HBP provider information, please visit DPW's Website at

http://www.dpw.state.pa.us/provider/doingbusinesswithdpw/medicalassistance/healthybeginningsplus/index.htm.

2.2 Medical Assistance (MA) Delivery Systems

All eligible recipients presenting for services in Pennsylvania receive Medical Assistance (MA) services through either the fee-for-service or managed care delivery system. The instructions in this Provider Handbook for the 837 Institutional/UB-04 Claim Form applies to the Fee-for-Service Program administered by DPW.

2.2.1 Fee-For-Service (FFS)

The traditional FFS delivery system provides payment on a per-service basis for health care services provided to eligible MA recipients.

2.2.2 Managed Care

Under the managed care delivery system, MA recipients receive physical and behavioral health care through a managed care organization (MCO) under contract with DPW or the county government.

2.2.2.1 HealthChoices

HealthChoices is the name of Pennsylvania's mandatory managed care program for eligible MA recipients. Through Physical Health MCOs, recipients receive quality medical care and timely access to all appropriate physical health services, whether the services are delivered on an inpatient or outpatient basis. The Office of Medical Assistance Programs oversees the Physical Health component of the HealthChoices Program.

Through Behavioral Health MCOs, recipients receive quality behavioral health services and timely access to appropriate mental health and/or drug and alcohol services. The behavioral health component is overseen by DPW's Office of Mental Health and Substance Abuse Services (OMHSAS).

When HealthChoices is fully implemented statewide, it will include approximately 90% of the total statewide MA population. The remaining 10%, who will remain in the FFS program, includes persons who are newly eligible (and in the process of selecting a managed care organization to serve them) and persons institutionalized for more than 30 days.

If an enrolled MA provider wants to participate in a HealthChoices MCO network, the provider must contact the participating MCO(s) directly. A provider can enroll with more than one MCO. Providers must submit documentation to the MCO verifying that they are an enrolled MA provider or have applied with DPW to be enrolled in the MA Program, and agree to meet the requirements and conditions for network participation set forth by the MCO.

For additional information on HealthChoices, visit the Managed Care section of the DPW Internet site at http://www.dpw.state.pa.us/foradults/healthcaremedicalassistance/healthchoicesgeneralinformation/index.htm.

2.2.2.2 Voluntary Managed Care

Voluntary managed care is offered in some Pennsylvania counties where HealthChoices has not yet been implemented.

For additional information on the voluntary managed care plans in your area, visit the Managed Care section of the DPW Internet site at http://www.dpw.state.pa.us/foradults/healthcaremedicalassistance/voluntarymanagedcare/index.htm.

2.3 Nondiscrimination

The provider agrees to comply with the Commonwealth's Contract Compliance Regulations which are set forth at 16 Pa. Code, §49.101, as follows:

Provider shall not discriminate against any employee, applicant for employment, independent contractor, or any other person because of race, color, religious creed, ancestry, national origin, age, or gender. Such affirmative action shall include, but is not limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training. Provider shall post in conspicuous places, available to employees, agents, applicants for employment and other persons, a notice to be provided by the contracting agency setting forth the provisions of this nondiscrimination clause.

Provider shall in advertisements or requests for employment placed by it or on its behalf state all qualified applicants will receive consideration for employment without regard to race, color, religious creed, ancestry, national origin, age or gender.

Provider shall send each labor union or workers' representative with which it has a collective bargaining agreement or other contract or understanding, a notice advising said labor union or workers' representative of its commitment to this nondiscrimination clause. Similar notice shall be sent to every other source of recruitment regularly utilized by Provider.

It shall be no defense to a finding of noncompliance with Contract Compliance Regulations issued by the Pennsylvania Human Relations Commission or this nondiscrimination clause that Provider had delegated some of its employment practices to any union, training program or other source of recruitment that prevents it from meeting its obligations. However, if the evidence indicated that the Contractor was not on notice of the third-party discrimination or made a good faith effort to correct it, such factor shall be considered in mitigation in determining appropriate sanctions.

Where the practices of a union or any training program or other source of recruitment will result in the exclusion of minority group persons, so that Provider will be unable to meet its obligations under the Contract Compliance Regulations issued by the Pennsylvania Human Relations Commission or this nondiscrimination clause, Provider shall then employ and fill vacancies through other nondiscriminatory employment procedures.

Provider shall comply with the Contract Compliance Regulations of the Pennsylvania Human Relations Commission, 16 Pa. Code Chapter 49, and with all laws prohibiting discrimination in hiring or employment opportunities. In the event of Provider's noncompliance with the nondiscrimination clause of this contract or with any such laws, this contract may, after hearing

and adjudication, be terminated or suspended, in whole or in part, and Provider may be declared temporarily ineligible for further Commonwealth contracts, and such other sanctions may be imposed and remedies invoked as provided by the Contract Compliance Regulations.

Provider shall furnish all necessary employment documents and records to, and permit access to its books, records and accounts by the contracting agency and the Human Relations Commission, for purposes of investigation to ascertain compliance with the provisions of the Contract Compliance Regulations, pursuant to §49.35 of this title (relating to information concerning compliance by contractors). If Provider does not possess documents or records reflecting the necessary information requested, it shall furnish such information on reporting forms supplied by the contracting agency or the Commission.

Provider shall actively recruit minority subcontractors or subcontractors with substantial minority representation among their employees.

Provider shall include the provisions of the nondiscrimination clause in every subcontract, so that such provisions will be binding upon each subcontractor.

Terms used in this nondiscrimination clause shall have the same meaning as in the Contract Compliance Regulations issued by the Pennsylvania Human Relations Commission, 16 Pa. Code Chapter 49.

Provider obligations under this clause are limited to the Provider's facilities within Pennsylvania, or where the contract is for purchase of goods manufactured outside of Pennsylvania, the facilities at which such goods are actually produced.

2.4 Freedom of Choice of MA Recipients

Title XIX of the Social Security Act, §1902(a)(23) (42 U.S.C. 1396(a)(23)), requires that a State Plan for medical assistance must provide that any individual eligible for MA may obtain such assistance from any MA enrolled institution, agency or person qualified to perform the service or services required. This freedom of choice provision allows MA recipients the same opportunities to choose among available MA enrolled providers of covered health care as are normally offered to the general public. For recipients enrolled in voluntary or mandatory managed care programs, the freedom of choice provision is limited to providers enrolled in the managed care network.

As an exception to this policy, DPW may restrict certain recipients to specified providers (refer to Section 4.7, Recipient Restriction/Centralized Lock-In).

The following explanations provide an overview of how freedom of choice applies to each delivery system.

2.4.1 Fee-for-Service

MA recipients are permitted to select the providers from whom they receive medical services. Therefore, there will be no service referral arrangements, profit sharing or rebates among providers who serve MA recipients.

Although providers may use the services of a single pharmacy, laboratory, or other providers in the community, they are prohibited from making oral and written agreements that would interfere with an MA recipient's freedom of choice of providers.

2.4.2 Mandatory Managed Care (HealthChoices)

Recipients residing in a HealthChoices county in Pennsylvania maintain their freedom of choice by choosing one of the HealthChoices physical health plans to use for their MA covered health care services as well as a provider who works within that plan, to be their primary care practitioner (PCP).

Under the HealthChoices Behavioral Health Program, recipients will be assigned a behavioral health plan based on their county of residence; however, a recipient maintains the freedom to choose from among the providers in the behavioral health MCOs provider network. With regards to the behavioral health component of the HealthChoices program, counties are required to ensure high quality medical care and timely access to appropriate mental health and substance abuse services and facilitate effective coordination with other needed services.

2.4.3 Voluntary Managed Care

MA recipients exercise the freedom to enroll in a voluntary MCO or to receive services through the FFS delivery system.

Many of the voluntary managed care plans do not cover behavioral health services. In this situation, behavioral health services may be covered under the FFS delivery system. The recipient maintains the same freedom of choice of behavioral health providers as any recipient in the FFS delivery system.

2.5 Invoicing Options

Providers can submit claims to DPW via the 837 Institutional/UB-04 Claim Form or through electronic media claims (EMC).

Electronic Media Claims (EMC)

PA PROMIS*e*™ can accept billing submitted on magnetic tape, diskette, compact disk (CD), through Direct Connect, through a Clearinghouse, Bulletin Board via Personal Computer (PC) modem dial up, file transfer protocol (FTP), or modem-to-modem. For more information on these invoicing options, please contact:

EDS/PA PROMIS*e*™
225 Grandview Avenue, 1st Floor
Mail Stop A-20
Camp Hill, PA 17011
Telephone: 800-248-2152 (in-state only)
717-975-4100 (local)

For information on the submitting claims electronically via the Internet, please refer to Appendix D, Provider Internet User Manual, of this handbook.

1. EMC Billing and Attachments

For claim forms submitted via any electronic media that require an attachment or attachments, you will need to obtain a Batch Cover Letter and an Attachment Control Number (ACN). Batch Cover Letters and ACNs can be obtained via the DPW Website (add specific information), from the Provider Claim Attachment Control Window. For more information on accessing the Provider Claim Attachment Control Window on the Website, refer to Appendix C, Provider Internet User Manual of this handbook.

- Attachment Control Number (ACN)

  When submitting a claim electronically that requires a paper attachment, providers must obtain an Attachment Control Number (ACN) from the PA PROMIS*e*™ website. The purpose of the ACN is to provide DPW with a means of matching paper attachments to electronic claims. (For detailed instructions on obtaining an Attachment Control Number, see Appendix C, Provider Internet User Manual of this handbook.

  An ACN must be obtained prior to completing the electronic claim requiring an attachment, such as the Sterilization Patient Consent Form (MA 31), Patient Acknowledgement Form for Hysterectomy (MA 30), or Physician Certification for an Abortion (MA 3). You will need to enter the ACN on your electronic claim prior to transmission.

  The Provider Claim Attachment Number Request window of the PA PROMIS*e*™ Internet allows providers to submit and view requests for an ACN.

  A batch cover form with the ACN must be present on all paper attachment batches. The ACN on the paper batch must match the ACN entered on the related electronic claim. The Batch Cover Form can be located in Appendix D, Special Forms of this handbook.

- Handbook

  The provider must follow the billing requirements defined in the provider handbook in addition to the electronic billing instructions.

- Claim Status

  Electronic Media Claims, except Modem-to-Modem

  Providers submitting claims electronically will receive an electronic Remittance Advice (RA) in the Health Care Payment and Remittance Advices (ANSI 835) format as well as a hardcopy RA Statement after each weekly cycle in which the provider's claim forms were processed. For questions concerning the information contained on the RA Statement, access Section 8 (Remittance Advice). If additional assistance is needed, contact the appropriate Provider Inquiry Unit at DPW at:

  http://www.dpw.state.pa.us/helpfultelephonenumbers/contactinformationhelpformaproviders/index.htm

  Please Note: For tape-to-tape billers, the enrolled and approved Service Bureau (or the provider if producing his/her own magnetic tape) will receive a reconciliation tape after each weekly cycle in which claim forms were processed.

Modem to Modem

For modem-to-modem claim submissions, all electronic payments and RAs (Medicare, MA, and private insurance) are returned in the Health Care Payment and Remittance Advices (ANSI 835) format. This provides the ability to standardize claims reconciliation.

- Signature Transmittal Form (MA 307)

  The Signature Transmittal Form (see Appendix D, Special Forms, in this handbook) must have a handwritten signature or signature stamp of a Service Bureau representative, the provider, or his/her designee.

  The Signature Transmittal Form must be submitted along with each magnetic tape, CD, or diskette billing.

2. UB-04 Claim Form (Hardcopy Submission)

   Mail completed UB-04 Claim Forms for inpatient hospitals, outpatient hospital clinics, emergency rooms, short procedure units and ambulatory surgical centers to:

   Department of Public Welfare
   Office of Medical Assistance Programs
   P.O. Box 8150
   Harrisburg, PA 17105-8150

   Mail completed UB-04 Claim Forms for nursing facilities, State Mental Retardation Centers, ICF/MRs, ICF/ORCs, State Restoration Centers and Long Term Care Units of State Mental Hospitals to:

   Department of Public Welfare
   Office of Medical Assistance Programs
   P.O. Box 8248
   Harrisburg, PA 17105-8248

   Please see Appendix A, Billing Guides, of the handbook for detailed instructions on the proper completion of the UB-04 Claim form.

   a. Special Notes for Submitting the UB-04

      - Signature Transmittal Form

        Providers billing on continuous print claim forms must follow DPW's regular billing requirements with the exception of the following items. No special enrollment arrangements are necessary to utilize this billing mode.

        The MA 307 must have a handwritten signature or signature stamp of a Service Bureau representative, the provider, or his/her designees.

        - Before submitting continuous-fed claims for payment, the claims must be separated and batched according to the individual provider who rendered the services.

- When submitting continuous-fed claims, you must include individual provider numbers in the spaces provided on the MA 307. The MA 307 must then be submitted with the corresponding batches of individual provider's claims.
- The MA 307 contains ten spaces for ten different provider numbers. If you are submitting more than ten batches of continuous-fed claim forms, for more than ten individual providers, more than on signed MA 307 should accompany the batches of claim forms.

b. Optical Character Recognition (OCR)

DPW has optical scanning as an alternative mechanism for claims processing. Optical scanning is a process whereby special equipment reads typewritten or computer-printed information on a claim form. Since image scanning eliminates the need for keypunching, providers can expect improvement in the accuracy and timeliness of claims processed.

Guidelines for OCR Processing

To take advantage of OCR processing, claim forms must be typed or computer-printed in black or blue ink. Change the ribbon frequently to obtain clear and readable information. Center the data in each block using 10 or 12 character per inch font. Do not combine handwriting (other than signatures) and machine print on a claim form. Additionally, do not use special characters, such as periods, $, etc., or space between data in the blocks. Do not use script or compressed print. Claim forms must not be folded.

For more information concerning the OCR billing mode, contact

EDS/PA PROMIS*e*™
225 Grandview Avenue, 1st Floor
Mail Stop A-20
Camp Hill, PA 17011
Telephone: 800-248-2152 (in-state only)
717-975-4100 (local)

c. Recipient Signature Requirements

Providers who bill via continuous print claim forms (pinfed) or electronic media must retain the recipient's signature on file using the Encounter Form (MA 91). (See Appendix D, Special Forms, of this handbook.) The purpose of the recipient's signature is to certify that the recipient received the service from the provider indicated on the claim form and that the recipient listed on the Pennsylvania ACCESS Card is the individual who received the service.

When keeping recipient signatures on file, the following procedures shall be followed:

- Obtain the signature of the recipient or his/her agent for each date for which outpatient services were furnished and billing is being submitted

to DPW for payment. Obtain the signature on the Encounter Form with the patient's 10-digit recipient number, taken from his/her Pennsylvania ACCESS Card.

- The Encounter Forms containing the recipient's signatures must be retained on file for a period of at least four years, independently from other medical records, and must be available for reviewing and copying by State and Federal officials or their duly authorized agents.

- Providers may photocopy and use the sample Encounter Form in Appendix A, Special Forms, of this handbook. A separate Encounter Form must be used for each recipient (HIPAA Privacy). Currently, the Encounter Form can be obtained via the MA Provider Order Form (MA 300X) or a printable version is available on DPW's Website at:

http://www.dpw.state.pa.us/dpwassets/maforms/index.htm

Situations, which do not require a recipient's signature, also do not require the Encounter Form (See Section 6, Provider Information, for a complete list of DPW's exemptions to the signature requirements.)

d. Provider Responsibility

DPW will hold the provider, not the Service Bureau or billing agent, if one is used, responsible for any errors, omissions, and resulting liabilities which are related to any claim form(s) submitted to DPW for payment under the provider's name or MA identification number.

2.6 Payment Process

PA PROMISe™ processes financial information up to the point of payment. PA PROMISe™ does not generate actual payments to providers. The payment process is managed by the Commonwealth Treasury Department's Automated Bookkeeping System (TABS). PA PROMISe™ requests payments to be made by generating a file of payments that is sent to TABS. From there, payments can take the form of checks or Electronic Funds Transfers (EFTs). PA PROMISe™ will produce a Remittance Advice (RA) Statement for each provider who has had claims adjudicated and/or financial transactions processed during the payment cycle.

Providers have the option of receiving a check via the mail from the Treasury Department or they may utilize a direct deposit service known as the Automated Clearinghouse (ACH) Program. This service decreases the turnaround time for payment and reduces administrative costs. ACH reduces the time it takes to receive payment from the Pennsylvania MA Program. Provider payments are deposited via electronic media to the bank account of the provider's choice. ACH is an efficient and cost effective means of enhancing practice management accounts receivable procedures. ACH enrollment information can be obtained from DPW's Website at:

http://www.dpw.state.pa.us/provider/doingbusinesswithdpw/electronicfundstransferdirectdepositinformation/index.htm

2.7 Time Limits for Claim Submission

DPW must receive claims for submission, resubmission, or adjustment within specified time frames, otherwise the claim will reject on timely filing related edits and will not be processed for payment.

2.7.1 Office of Medical Assistance Programs (OMAP)

http://www.pacode.com/secure/data/055/chapter1101/s1101.68.html.

2.7.2 Office of Mental Retardation (OMR) – Intermediate Care Facilities for the Mentally Retarded (ICF/MR)

http://www.pacode.com/secure/data/055/chapter1101/s1101.68.html.

2.7.3 180 Day Exception Request Process for Hospitals and Facilities

In making allowance for 180-day exceptions, DPW must be assured that the facility made every possible effort to bill DPW in a timely manner. No exceptions will be granted when the claim should have been submitted through the normal billing mechanism within 180 days from the end date of service.

DPW will consider a request for a 180-day exception if it meets *at least one* of the following criteria:

- The Medical Assistance application was submitted to the County Assistance Office within 60 days from the date of discharge or 60 days from the date of a third party rejection or partial payment, if applicable; and/or
- The facility requested payment from a third party insurer within 60 days of the date of discharge.

  Note: DPW must receive the provider's 180-day exception request within 60 days of the date indicated on the third party denial or approval or within 60 calendar days of the date on the PA 162 from the County Assistance Office.

A properly completed 837 Institutional/UB-04 Claim form must be received by DPW within 60 days of the date of the PA 162 or the third party payment statement when a DRG/PSR/CHR certification is **not** required.

For stays which require a DRG/PSR/CHR (MA 424 or PSR (MA 324) certification, a properly completed 837 Institutional/UB-04must be received by DPW within 60 days of the "Date of Notice" on the DRG/PSR/CHR Certification Notice.

Inpatient rehabilitation facilities/hospitals, inpatient psychiatric facilities/hospitals, and JCAHO Residential Treatment (RTF) facilities are reminded to submit two separate claim forms if the service covers two fiscal years.

In order to document that the above time frames were met by the facility, the 180-Day Exception Request Detail Page must be completed and submitted to DPW with each exception request. In addition, each exception request must be accompanied by

documentation to support the dates listed on the exception request form. Providers are responsible for maintaining a supply of 180-Day Exception Request Detail Pages.

A request for exception, which consists of the 180-Day Exception Request Detail Page, supporting documentation, and a correctly completed 837 Institutional/UB-04 Claim form, must be submitted to:

Department of Public Welfare
Attention 180-Day Exception
P.O. Box 8042
Harrisburg, PA 17105-8042

Please do not fold or staple your exception request documentation. Please use an "8½ by 11" envelope for mailing purposes.

An exception will be granted only if the deadline date for submission of the claim could not be met due to a delay caused by a third party resource or delay by the County Assistance Office in determining the recipient's eligibility according to the regulation time frames.

DPW may request additional documentation to justify approval of an exception. If the requested information is not received within 30 days from the date of DPW's request, a decision will be made, based on the available information.

Exceptions will be granted on a one-time basis.

Providers will receive a letter stating DPW's decision. The fact that DPW approves a 180-day exception does not guarantee that the claim will not be rejected for reasons other than time requirements.

When a request for an exception is denied by the 180-Day Exception Unit, the provider has a right to appeal. **All appeals must be requested in writing within 30-days of the date of DPW's Notice of Denial**.

If the provider wishes to appeal the denial:

- Complete all denied claims correctly. Replacements of prior claims (claim adjustments) must show the Internal Control Number (ICN) (if submitted prior to PA PROMISe™, enter the claim reference number (CRN) of the last approved claim in Form Locator 37C.
- Attach a copy of all documentation supporting your position to your appeal.
- Include a cover letter stating that you wish to appeal and the basis on which your appeal is being made. (The words "wish to appeal", must appear in the letter.)
- Send all of the above information along with a copy of DPW's Notice of Denial to:

Bureau of Hearings and Appeals
Federal Hearings and Appeals Services
117 West Main Street
Plymouth, PA 18651-2926

Please see MA Bulletin 99-03-08, "Change to Protocol for Certain Provider Appeals. Appeals" must be sent to Bureau of Hearings and Appeals" at:

Note: A copy of the appeal request and supporting documentation must also be sent to the program office that denied that 180-day exception request.

2.7.4 180-Day Exception Process for Long Term Care (LTC) Facilities

DPW will consider a request for a 180-day exception for nursing facility services if it meets one or both of the following criteria:

- An eligibility determination was requested from the County Assistance Office (CAO) within 60 days of the date of service. DPW must receive the provider's 180-day exception request within 60 days of the CAO's eligibility determination processing date, and/or
- The provider requested payment from a third party insurer within 60 days of the date of service. DPW must receive the provider's 180-day exception request within 60 days of the date of the third party denial or approval.

To submit a request for an exception, the following must be included:

- All supporting documentation, including documentation to and from the CAO and third party.
- A correctly completed claim form.
- A 180-Day Exception Request Detail Page must be completed and submitted to DPW with each exception request. A copy of the detail page, which should be photocopied, and instructions for its completion are found in Appendix C, Special Forms, of this handbook.

Please note that only claims meeting the criteria in Section 1101.68 are appropriate for review under this procedure. Untimely claims due to provider's failure to bill, to bill correctly or due to billing problems, in general, will not be granted an exception. Only requests for exceptions due to CAO or third party delays will be processed/

A request for an exception to any of the above time frames must accompany the claim form(s) and be submitted to:

Department of Public Welfare
Office of Medical Assistance Programs
Bureau of Long Term Care Programs
Division of Long Term Care Provider Services
PO Box 8025
Harrisburg, PA 17105-8025
Attn: 180-Day Exception Request

Please use envelopes supplied by DPW or envelopes large enough to accommodate the claim forms without folding. Attachments should be paper-clipped to the claim form. Please do not use staples. Folding or stapling claim forms interferes with the scanning process. Please be sure to include your return address on the envelope.

Providers who complete their claim forms by hand need to be certain that the information is legible and that black or dark blue ink is used.

DPW may request additional documentation to justify approval of an exception. If the requested documentation is not received within 30 days from the date of DPW's request, a decision will be made based on the available information.

Nursing facilities will receive a letter stating DPW's decision. For approved claims, the fact that DPW agrees to process the claim does not guarantee that the claim will not be rejected for reasons other than the time requirements.

Exceptions will be granted on a one-time basis. Exception claims rejected due to provider error will not be granted additional exceptions.

If the request for an exception is denied, LTC facilities will receive a denial letter from DPW. The denial letter provides a "Notice of Appeal". To appeal DPW's decision:

- Complete the Notice of Appeal on the back of the denial letter.
- Make a copy of the letter for your files.

Mail the letter with the signed Notice of Appeal and supporting documentation to:

Bureau of Hearings and Appeals
Federal Hearings and Appeals Services
117 West Main Street
Plymouth, PA 18651-2926

Please see MA Bulletin 99-03-08, "Change to Protocol for Certain Provider Appeals. Appeals". Appeals must be sent to Bureau of Hearings and Appeals.

A copy of the appeal request and supporting documentation must also be sent to the program office that denied that 180-day exception request. Long Term Care Facilities must send a copy of the appeal request and supporting documentation to:

Department of Public Welfare
Long Term Care Provider Services
P.O. Box 8025, Appeals Documents
Harrisburg, PA 17105-8025

2.7.5 180-Day Exception Request Process for Nursing Facilities Submitting Claims for the Long Term Care - Exceptional Payment Program

Long-term care facilities have 180 days from the date of service to submit the initial claim for payment of an LTC Exceptional Payment (i.e., exceptional and/or specially adapted wheelchairs, air fluidized beds, power air flotation beds, augmentative communication devices, and ventilator services). If you are unable to submit a claim form(s) for exceptional payment within 180-days of the date of service, you may submit a request for an exception to the time limits for claim submission. Please forward an original, properly completed 837 Institutional/UB-04 Claim form to:

Department of Public Welfare
Bureau of Long Term Care Programs
Division of Long Term Care Provider Services
P.O. Box 8025
Harrisburg, PA 17105-8025
Attn: Exceptional Payment Section

If the claim was submitted within 180-days of the date of service and rejected, do not use the address above. Claims that are received within 180-days of the date of service and subsequently reject, may be resubmitted up to 365-days from the original date of service. Please refer to your Billing Guide in Appendix A for detailed instruction on the proper completion of the claim form when resubmitting rejected claims.

2.8 Internal Control Number (ICN)

Claims processed via PA PROMIS*e*™ will be assigned a 13-digit Internal Control Number (ICN) upon receipt. The ICN is returned to providers in the first column of the Remittance Advice (RA) Statement. The ICN consists of the following elements:

Internal Control Number (ICN) Format

Region Code	Year and Julian Date	Batch Number	Claim Sequence
RR	CCYYY	BBB	SSS
10	04001	612	023

The first 2-digits of the ICN are the region code. This code is used by PA PROMIS*e*™ to denote the type of claim being processed.

The third and fourth digits of the ICN denote the year the claim was processed. For example, if the claim was processed in 2004, the third and fourth digits will be "04".

The fifth, sixth, and seventh digits denote the Julian Calendar Date.

The eighth through 11th digit is the Batch Number and the 12th through the 13th digit is the Claim Sequence. The Batch Number and Claim Sequence are used internally by DPW.

2.9 Inquiries

Providers across the Commonwealth have multiple ways to make general inquiries, such as the PA PROMIS*e*™ Internet Applications and the Provider Inquiry Unit. The following sections explain the various tools providers have at their disposal.

2.9.1 PA PROMIS*e*™ Internet Applications

Via the PA PROMIS*e*™ Internet Applications, providers can review information for specific procedures, drugs and diagnoses, and check pricing and eligibility limitation information. Providers can review and download remittance advice statements for the past two years and print an Adobe Acrobat (.PDF) copy of their original paper remittance advice.

Providers can download or review Provider manuals, forms, etc., from the DPW website. Additionally, providers can electronically file claims from any location connected to the Internet, retrieve electronic copies of remittance advice statements (RAs), and verify recipient eligibility. Providers can review the status of claims submitted to DPW for payment and can review specific Error Status Codes (ESC) and HIPAA Adjustment Reason Codes for rejected claims.

For more information on the Internet tools available and instructions on accessing the tools, please see Appendix C, Provider Internet User Manual, in this handbook.

2.9.2 Medical Assistance Program Provider Inquiry

2.9.2.1 Provider Services Inquiry Lines

The Provider Services Inquiry Lines for inpatient hospitals, outpatient hospital clinics, emergency rooms, short procedure units, and ambulatory surgical centers will be open from 8:00 a.m. to 4:30 p.m., Monday through Friday, to assist providers with their questions/inquiries. Provider Services Representatives will be available until 5:00 p.m. to answer calls that are received prior to 4:30 p.m. Please see Important Telephone Numbers and Addresses on the DPW Internet site the appropriate toll-free telephone number for your provider type. All questions regarding claim form completion or billing procedures and policy plus questions regarding claim status or inappropriate payments should be directed to:

Department of Public Welfare
Office of Medical Assistance Programs
Division of Operations
P.O. Box 8050
Harrisburg, PA 17105-8050

2.9.2.2 Long Term Care Provider Services Inquiry Lines

The Long Term Care Provider Services Inquiry Lines are available from 9:00 a.m. 12:00 noon and 1:00 p.m. to 4:00 p.m., Monday through Thursday, to assist providers with their questions/inquiries. Please see Important Telephone Numbers and Addresses on the DPW Internet site for the appropriate toll-free telephone number for your provider type.

2.9.3 MA Tele-Response System

The MA Tele-Response System provides voice-recorded messages to the most frequently asked questions, which do not require dialogue with a service representative.

The MA Tele-Response System is available 24-hours a day, seven days a week. You must have a touch-tone telephone or tone generator pad to use it.

For General Information, providers may call the MA Tele-Response System at **1-877-787-6397.**

When you call the MA Tele-Response System, you will hear the following options:

Press 1 For information on the last three Remittance Advice Cycles and Check mail date information.

Press 2 For information on how to report non-receipt of a check or Remittance Advice Statement.

Press 3 For information regarding provider enrollment in the PA PROMIS*e*™ Program, or how to report practice address or personnel changes.

Press 4 For information on invoice submission time frames and reconciling claims.

Press 5 For information on where to submit claim forms and information on billing electronically.

Press 6 For information on NDC compensability, or information on how to determine recipient eligibility.

2.10 Voiding/Canceling Claims on the UB-04 Claim Form

The UB-04 Claim Form is used to submit claims for payment as well as to void (back-out) claims when you are in receipt of an incorrect payment. It is important to note that when submitting a claim adjustment on the UB-04 Claim Form, the claim adjustment will be completed using the provider and recipient information exactly as entered on the original claim being adjusted.

When completing the UB-04 to adjust a claim that was paid in error, in addition to using the corresponding information from the paid claim, complete the following Form Locators:

- Form Locator 4 (Type of Bill) – Utilize Frequency Code "8" when you must void a previously paid claim (return all monies paid by DPW). Frequency Code "8" reflects the elimination or the "backing-out" in its entirety of a previously submitted bill for a specific provider, patient, payer, insured, and statement covers period dates.
- Form Locator 37C (MA ICN) - Enter the 13-digit Internal Control Number (ICN) for the last approved claim adjustment or last approved claim.
- *If your claim was submitted prior to the implementation of PA PROMISe™, enter the 10-digit Claim Reference Number (CRN) in place of the ICN.*
- Form Locator 42 (Revenue Code) – When using Frequency Code "8" to return all monies paid, enter Revenue Code "0001" (Total Charges).
- Form Locator 43 (Revenue Description 1-23) – Enter the words "Total Charges".
- Form Locator 47 (Total Charges) – When using Frequency Code "8" to return all monies paid, enter "000".

2.11 Ordering Forms

Sections 2.12.1 and 2.12.2 detail the various forms providers may need when billing PA PROMIS*e*™ and the addresses, telephone numbers, and website, when available, for obtaining these forms.

2.11.1 Medical Assistance Forms

Providers may order MA forms via the MA 300X (MA Provider Order Form) or by accessing DPW's website site at

http://www.dpw.state.pa.us/dpwassets/maforms/index.htm.

For providers who do not have access to the Internet, the MA 300X can be ordered directly from DPW's printing contractor:

Department of Public Welfare
MA Forms Contractor
P.O. Box 60749

Harrisburg, PA 17106-0749

Additionally, inpatient hospital, outpatient hospital clinic, emergency room, short procedure unit and ambulatory surgical center providers can obtain an order form by submitting a request for the MA 300X, in writing, to:

Department of Public Welfare
Office of Medical Assistance Programs
Division of Operations
P.O. Box 8050
Harrisburg, PA 17105-8050

LTC providers can obtain an order form by submitting a request for the MA 300X, in writing to:

Department of Public Welfare
Office of Medical Assistance Programs
LTC Provider Services
P.O. Box 8025
Harrisburg, PA 17105-8025

You can expect to receive your forms within two weeks from the time you submit your order. This quick turnaround time on delivery is designed to eliminate the need for most emergencies. You should keep a three to six month supply of extra forms, including order forms, on hand and plan your ordering well in advance of exhausting your supply.

The MA 300X can be typed or handwritten. Photocopies and/or carbon copies of the MA 300X are not acceptable. *Orders must be placed on an original MA 300X.*

The MA 300X is continually being revised as forms are added or deleted. Therefore, you may not always have the most current version of the MA 300X form from which to order. You need to be cognizant of MA Bulletins and manual releases for information on new, revised, or obsolete forms so that you can place your requisitions correctly. If a new MA

form is not on your version of the MA 300X, you are permitted to add the form to the MA 300X.

2.11.2 UB-04 Claim Form

DPW does not provide UB-04 Claim Forms. The provider can review the information listed below to obtain UB-04 Claim Forms for paper claim form submission.

To obtain UB-04 Claim Forms:

- Contact the U.S. Government Printing Office at (202) 512-1800 or your local Medicare carrier.
- For a list of local Medicare carriers in your state, including their telephone number, access the Centers for Medicare and Medicaid Services at: http://www.cms.hhs.gov/ElectronicBillingEDITrans/ and go to the Medicare Regional Homepage.

837 INSTITUTIONAL/UB-04 CLAIM FORM HANDBOOK
SECTION 3 - POLICIES

Policies are located on the Pennsylvania (PA) Code Website. Listed below are the hyperlinks to the applicable regulations and PA PROMIS*e*™ policies.

Hyperlinks to DPW Policies are currently under construction.

837 INSTITUTIONAL/UB-04 CLAIM FORM HANDBOOK
SECTION 4 – RECIPIENT ELIGIBILITY

This section explains the Eligibility Verification System (EVS), and how to verify recipient eligibility. It describes identification cards, all relevant recipient information supplied to providers, and details each eligibility verification access method available and how to use it.

Individuals eligible for Medical Assistance (MA) in Pennsylvania may have medical coverage under one of two delivery systems; through a traditional Fee-for-Service (FFS) system or a Managed Care Organization (MCO). Recipients enrolled in an MCO will receive most services through the MCO in which they are enrolled.

4.1 Pennsylvania ACCESS Cards

The following details the two types of Pennsylvania ACCESS cards providers may encounter.

4.1.1 Pennsylvania ACCESS Card (Medical Benefits Only)

All eligible recipients (including those recipients enrolled in an MCO) will have a permanent plastic identification card that identifies their eligibility for covered MA services. The plastic card, known as the "Pennsylvania ACCESS Card", resembles a yellow credit card with the word "ACCESS" printed across it in blue letters. Recipient information is listed on the front of the card and includes the full name of the recipient, a 10-digit recipient number, and a 2-digit card issue number. The back of the ACCESS card has a magnetic stripe for "swiping" through a point-of-sale (POS) device or a personal computer (PC) with an attached card reader to access eligibility information through the Eligibility Verification System (EVS). The back of the card also has a signature strip, a return address for lost cards and a misuse or abuse warning.

Recipients who are eligible for medical benefits only will receive the yellow ACCESS card.

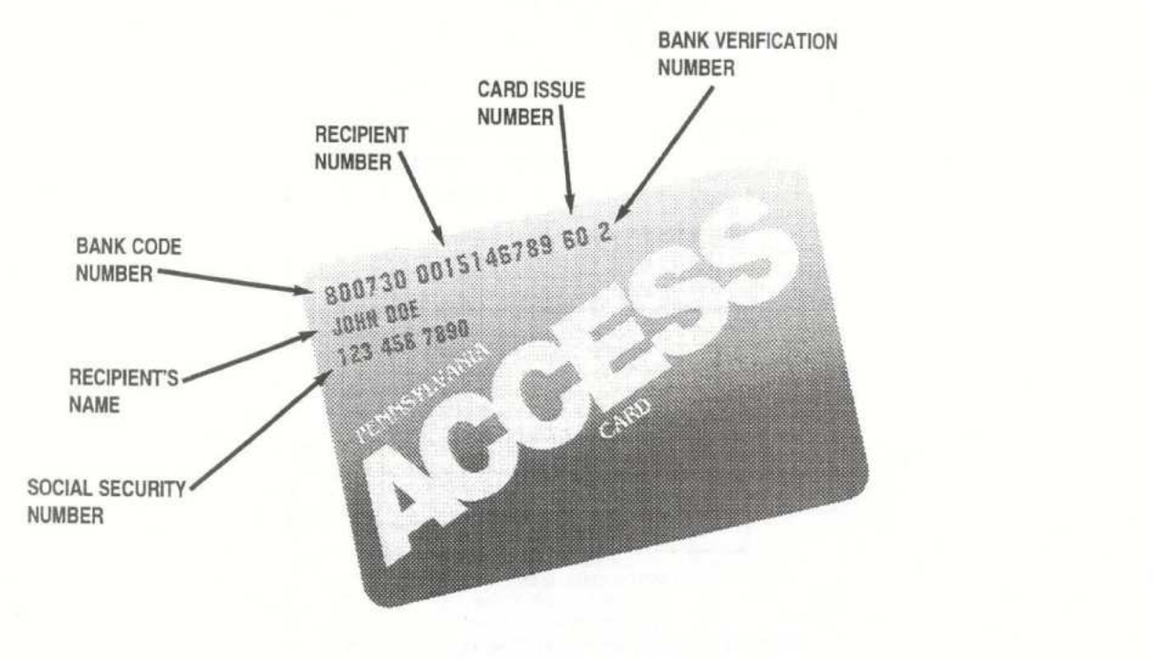
Note: The recipient's social security number is no longer being printed on the ACCESS card in accordance with the Health Insurance Portability and Accountability Act (HIPAA) privacy rule.

4.1.2 Electronic Benefits Transfer (EBT) ACCESS Card

The Electronic Benefits Transfer (EBT) ACCESS card is blue and green in color with the word "ACCESS" printed in yellow letters. This card is issued to MA recipients who receive cash assistance and/or food stamps as well as medical services, if eligible. The card is issued to individuals who are the payment names for cash and/or food stamp benefits. Remaining household members are issued the yellow ACCESS card, as well as recipients who are eligible for MA only.

Providers must verify eligibility through EVS when presented with either card. Providers will continue to use the recipient number and the card issue number to access EVS.

Note: The recipient's social security number is no longer being printed on the EBT ACCESS card in accordance with the Health Insurance Portability and Accountability Act (HIPAA) privacy rule.



4.1.3 Recipient Number and Card Issue Number

The Pennsylvania ACCESS cards contain a 10-digit recipient number followed by a 2-digit card issue number. The 10-digit recipient number is a number permanently assigned to each recipient. The recipient number and card issue number are necessary to access DPW's Eligibility Verification System (EVS).

Providers must use the 10-digit recipient number when billing for services. The card issue number is used as a security measure to deter fraudulent use of a lost or stolen card.

4.1.4 Lost, Stolen or Defective Cards

When a Pennsylvania ACCESS card is lost or stolen, the recipient should contact his/her County Assistance Office (CAO) caseworker to request a replacement card. The card issue number is voided to prevent misuse when the new card is issued. A replacement card should be received in a maximum of seven days. If a card is needed immediately, an interim paper card can be issued by the CAO. This ensures recipients of uninterrupted medical services. The interim card contains the same Recipient Number and Card Issue Number as the previous ACCESS card. It is advisable that you request additional identification when presented with an interim card.

EVS does not provide eligibility information when a provider attempts to verify eligibility using a lost or stolen ACCESS card. EVS will return the response "The ACCESS card is invalid". If the old card is found or returned after a new card is obtained, the old card should be destroyed by the recipient, as it is no longer usable.

If the ACCESS card is damaged or defective, e.g., if the magnetic stripe does not swipe, instruct the recipient to return the defective card to the CAO and request a replacement card.

4.2 Eligibility Verification System

The Eligibility Verification System (EVS) enables providers to determine an MA recipient's eligibility as well as their scope of coverage. Please do not assume that the recipient is eligible because he/she has an ACCESS card. It is vital that you verify the recipient's eligibility through EVS each time the recipient is seen. EVS should be accessed on the date the service is provided, since the recipient's eligibility is subject to change. Payment will not be made for ineligible recipients.

The purpose of EVS is to provide the most current information available regarding a recipient's MA eligibility and scope of coverage. EVS will also provide details on the recipient's third party resources, managed care plan, Family Care Network, the date of the last EPSDT screening and last dental visit and/or lock-in information, when applicable.

4.3 Method to Access EVS

Providers or approved agencies can access EVS through one of six access methods.

4.3.1 Automated Voice Response System (AVRS)

You may access EVS via the AVRS through a touch-tone telephone. The EVS telephone access system is available 24 hours a day, seven days a week. The toll-free number is 1-800–766-5387.

The EVS Response Worksheet (MA 464) is a form designed to capture recipient information obtained through an EVS verification inquiry. A copy of the form is illustrated on page 4-25 of this section of the handbook. The form can be ordered on the Provider Order Form (MA 300X) or can be ordered through or printed from the Medical Assistance Forms page of the OMAP Internet site at:

http://www.dpw.state.pa.us/dpwassets/maforms/index.htm

4.3.2 Bulletin Board System (BBS)/Modem

The Bulletin Board System (BBS)/Modem enables providers to upload eligibility requests and download eligibility responses. Recipient eligibility information is requested by contacting an electronic bulletin board maintained by Electronic Data Systems (EDS). Currently, the Provider Electronic Solutions Software utilizes the bulletin board to provide eligibility responses upon receipt of a request.

4.3.3 Internet Batch

Internet Batch files are submitted via EVS through the Internet and are protected by secure communication protocols built in to EVS.

4.3.4 Internet Interactive

An Internet interactive eligibility request window will be available to approved providers and other entities. To retrieve recipient information, click the appropriate button on the web page. The result will be returned on a new web page.

4.3.5 Direct Connect (Direct Line Users)

Direct Connect is used by larger organizations that wish to have a high-speed dedicated connection to the EVS.

4.3.6 Value Added Networks (VAN)

VAN (PC/POS) collect requests for eligibility information in a real-time interactive processing mode. Both personal computer (PC) software and point-of-service (POS) devices will use this method to gather eligibility information.

4.4 HIPAA 270/271 – Health Care Eligibility Benefit Inquiry/Response

EVS will accept and return the standardized electronic transaction formats for eligibility requests and responses as mandated by the Health Insurance Portability and Accountability Act (HIPAA). The eligibility **request** format is called the HIPAA 270 Health Care Eligibility Benefit Inquiry format (also known as 270 Eligibility Inquiry). The eligibility **response** format is called the HIPAA 271 Health Care Eligibility Benefit Response (also known as 271 Eligibility Response). Both formats may also be referenced by the 3-digit transaction number: 270 (eligibility request) and 271 (eligibility response). Providers and other approved agencies that submit electronic eligibility requests in the 270 format, will receive an EVS response with eligibility information in the 271 format.

4.5 How to Use EVS

To access EVS, providers must use one of the six access methods listed above with their individual provider identification (ID) or user ID along with their personal identification number (PIN) or password.

4.5.1 Access Methods Requiring Provider Identification and Personal Identification Number (PIN)

4.5.1.1 Automated Voice Response System (AVRS)

When accessing EVS via the AVRS (telephone access method), providers must use their 9-digit provider number and 4-digit service location, along with their PIN to access eligibility information.

The registration process is currently under construction.

4.5.2 User Identification (ID) and Password

4.5.2.1 Internet Interactive

When accessing EVS via the PROMIS*e*™ Internet site, providers must request an initial user ID, which can consist of 11 alphanumeric characters and a 9-digit PIN. After the initial logon, providers must use their 11 alphanumeric ID and user assigned password, which will be 6-8 alphanumeric characters.

The registration process is currently under construction.

4.5.3 EBX User Identification and/or EBX Password

4.5.3.1 Internet/BBS

When accessing a batch EVS method, via the Internet or BBS, providers are required to have an EBX User ID and an EBX password.

The registration process is currently under construction.

4.5.3.2 Value Added Network (VAN)

When using a VAN to access EVS, a PIN is not required; however, you will have an EBX ID, which is similar to a user ID.

The registration process is currently under construction.

4.5.4 User ID/PIN Not Required

4.5.4.1 Direct Line Users (DLU)

When using a direct line to EDS to access EVS, a PIN/password is not required as the access is set up through a fixed network path; however, you will have a user ID.

4.5.5 EVS Access Options

You have three options to access recipient eligibility information. You must use your 9-digit provider number and 4-digit service location to obtain eligibility information.

To access recipient information, you may use the:

- 10-digit recipient identification (ID) number and the 2-digit card issue number from the recipient's ACCESS card,
- Recipient's social security number (SSN) and the recipient's date of birth (DOB) or,
- Recipient's first and last name and the recipient's DOB (this access method cannot be used with the AVRS).

You must identify the date of service for which you wish to verify eligibility. EVS does not verify future eligibility.

4.5.5.1 Information Returned by EVS

The PA PROMISe™ EVS enables you to submit requests for eligibility information up to 10 years from a given date of service.

4.5.5.2 Eligibility Requests within Two Years of the Date of Service

If an MA recipient is eligible for medical benefits, EVS will provide a comprehensive eligibility response. Although you have the ability to verify eligibility for up to ten years from the date of service, you must access EVS on the date you intend to provide service to the recipient. The eligibility response will include the following information:

Recipient Demographics

- Name
- Recipient ID
- Gender
- Date of birth

Eligibility Segments

- Begin date and end date
- Eligibility status (as defined by HIPAA)
- Category of assistance
- Program status code
- Service program description

Managed Care Organization (MCO) (Physical), Family Care Network (FCN), and the Long Term Care Capitated Assistance Program (LTCCAP)

- Plan name/code and phone number
- Primary Care Provider (PCP) name and phone number, begin and end dates (up to 3 PCPs will be returned)
- Primary Care Case Manager (PCCM) name and phone number
- Begin and end date (if different from inquiry dates)

Managed Care Organization (MCO) (Behavioral)

- Plan name/code and phone number
- Begin and end date (if different from inquiry dates)

Third Party Liability (TPL)

- Carrier name/type
- Address of carrier

- Policy holder name and number (except for Medicare Part A or Part B)
- Group number
- Patient pay amount associated to a recipient and provider during a given time period
- Court ordered indicator
- Begin and end dates (if different from inquiry dates)

Lock In or Restricted Recipient Information

- Status (Y = Yes/N = No)
- Provider type
- Provider name and phone number
- Narrative (restrictions do not apply to emergency services)
- Begin and end date (if different from inquiry dates)

Limitations

- Procedure code and NDC (FFS only, not available when accessing EVS using the AVRS)

EPSDT –

- Last screen date (for under 21 only)

Dental

- Last dental visit (for under 21 only)

This information will be available to the provider for two years following the date of service.

4.5.5.3 Eligibility Requests More Than Two Years from the Date of Service

For eligibility inquiries on information older than two years, EVS will return a reduced list of basic eligibility information. The basic eligibility information provided when inquiring about a recipient's eligibility more than two years from the date of service is as follows:

Recipient Demographics

- Name
- Recipient ID
- Gender
- Date of birth

Eligibility Segments

- Begin date and end date

- Eligibility status (as defined by HIPAA)
- Category of assistance
- Program status code
- Service program description

Note: EVS will not provide MA program coverage (i.e., FFS or MC information), third party liability information, recipient restriction information (lock-in), limitations, or the date of the last EPSDT or dental screen for requests that are more than two years from the date of service.

4.6 Provider Assistance for EVS Software Problems

EDS maintains and staffs an inquiry unit called the "Provider Assistance Center" (PAC), to provide you with swift responses to inquiries and resolution of problems associated with the EVS function of the Provider Electronic Solutions Software. This service is available from 8:00 a.m. until 5:00 p.m., Eastern Standard Time, Monday through Friday (except holidays), at 1-800-248-2152.

4.7 Recipient Restriction/Centralized Lock-In Program

DPW's Recipient Restriction/Centralized Lock-In Program restricts those recipients who have been determined to be abusing and/or misusing MA services, or who may be defrauding the MA Program. The restriction process involves an evaluation of the degree of abuse, a determination as to whether or not the recipient should be restricted, notification of the restriction, and evaluation of subsequent MA services. DPW may not pay for a service rendered by any provider other than the one to whom the recipient is restricted, unless the services are furnished in response to an emergency or a Medical Assistance Recipient Referral Form (MA 45) is completed and submitted with the claim. The MA 45 must be obtained from the practitioner to whom the recipient is restricted.

A recipient placed in this program can be locked-in to any number of providers at one time. Restrictions are removed after a period of five years if improvement in use of services is demonstrated.

DPW is the only entity that sets the lock-in restrictions for recipient benefits.

If a recipient is restricted to a provider within your provider type, the EVS will notify you if the recipient is locked into you or another provider. The EVS will also indicate all type(s) of provider(s) to which the recipient is restricted.

Note: Valid emergency services are excluded from the lock-in process.

4.8 Medical Assistance Recipient Copayment

Federal law permits the MA Program to require recipients (FFS only) to pay a small copayment for most medical services. Providers will ask for the copayment when the medical service is rendered.

A recipient is obligated to pay a copayment for each unit of service provided; however, if the recipient is unable to pay, the service may not be denied. If copayment applies to the service provided, MA will automatically compute and deduct the copayment from the provider's payment, even if it is not collected.

For most medical services, the amount of the copayment is determined by the MA fee for the service, as indicated in the MA Program Fee Schedule. Some services provided to recipients contain a fixed copayment, some are based on a sliding scale, and others do not require a copayment. Please refer to the Copayment Desk Reference for details.

Note: All copayment amounts are doubled for General Assistance (GA) recipients.

4.8.1 Copayment Exemptions

There are a number of exemptions to the copayment requirement, such as emergencies, services to pregnant women, residents of nursing facilities, and recipients under the age of 18. Please refer to the Copayment Desk Reference for a complete list of exemptions.

4.9 Third Party Liability, Other Insurance and Medicare

MA is considered the payor of last resort. All other insurance coverage must be exhausted before billing MA. The MA Program is responsible only for payment of the unsatisfied portion of the bill, up to the maximum allowable MA fee for the service as listed in the MA Program Fee Schedule.

It is your responsibility to ask if the recipient has other coverage not identified through the EVS (i.e., Worker's Compensation, Medicare, etc.)

If other insurance coverage exists, you must bill it first. You would only bill MA for unsatisfied deductible or coinsurance amounts, or if the payment you receive from the other insurance coverage is less than the MA fee for that service. In either case, MA will limit its payment to the MA fee for that service. When billing DPW after billing the other insurance, indicate the resource on the claim form as indicated in the detailed claim form instructions.

When a recipient is eligible for both Medicare and MA benefits, the Medicare program must be billed first if the service is covered by Medicare. Payment will be made by MA for the Medicare Part B deductible and coinsurance up to the MA fee.

DPW does not require that you attach insurance statements to the claim form. However, the statements must be maintained in your files.

When recipients, their personal representative who can consent to medical treatment, or an attorney or insurer with a signed authorization request a duplicate copy of the claim forms, the provider may release a copy to the requestor, but shall submit a copy of the claim form and the request to the following address:

Department of Public Welfare
TPL – Casualty Unit
P.O. Box 8486
Harrisburg, PA 17105-8486
(717) 772-6604

The TPL Casualty Unit will follow-up and take appropriate action for recovery of any MA payment recouped in a settlement action.

This procedure **MUST** be followed by **ALL** providers enrolled in the MA Program for **ALL** requests for payment information about MA recipients. This includes recipients enrolled in an MCO.

The Medical Assistance Early Intervention (MA EI) program has additional requirements regarding the use of private insurance coverage for eligible children. Use of private health insurance for EI services is strictly voluntary. The family must give written consent for a provider to bill the child's private insurance. If the family does not consent to the use of their private insurance, the agency or independent provider of EI services should bill their County MH/MR Program for the child's MA EI services.

You may NOT bill a child's private insurance program or private managed care plan/HMO before billing MA.

EI services must be provided at no cost to parents or children as required by the Individuals with Disabilities Education Act (IDEA). A state may use any available fiscal source to meet this requirement. Thus, private health insurance proceeds may be used to meet the cost of EI services as long as **financial losses are not imposed** on the parents or child.

Potential financial impact/consequences:

1. A decrease in available lifetime coverage or any other benefit under an insurance policy;
2. An increase in premiums under an insurance policy; or
3. Out of pocket expenses, such as the payment of a deductible amount incurred in filing an insurance claim.

4.9.1 Third Party Resource Identification and Recovery Procedures

When DPW discovers a potential third party resource after a claim was paid, a notification letter will be sent to the provider with detailed claim/resource billing information and an explanation of scheduled claim adjustment activity. Providers must submit documentation relevant to the claim within the time limit specified in the recovery notification. If difficulty is experienced in dealing with the third party, notify DPW at the address indicated on the recovery notice within 30 days of the deadline for resubmission. If the provider fails to respond within the time limit, the funds will be administratively recovered and the claims cannot be resubmitted for payment.

4.10 Medical Assistance Managed Care

HealthChoices is Pennsylvania's mandatory MA managed care program. As part of DPW's commitment to ensure access to care for all MA eligible recipients, it is important that providers understand that there will always be some MA recipients in the Fee-For-Service (FFS) delivery system and that all MA recipients are issued an ACCESS card, even those in managed care. A small number of recipients are exempt from HealthChoices and will continue to access health care through the FFS delivery system. In addition, there is a time lag between initial eligibility

determination and managed care organization (MCO) enrollment. During that time period, recipients must use the FFS delivery system to access care.

All HealthChoices providers are required to have a current FFS agreement and an active PA PROMIS*e*™ Provider Identification Number as part of the HealthChoices credentialing process. Therefore, HealthChoices providers need not take any special steps to bill DPW for FFS recipients. They may simply use the current FFS billing procedures, forms and their Provider Identification Number and Service Location.

For questions concerning enrollment or billing the HealthChoices MCOs, providers should contact the specific MCO they are credentialed with or plan to be credentialed with.

4.11 Service Programs

4.11.1 Service Programs for PA PROMISe™ Medical Assistance Providers

The Service Programs for PA PROMIS*e*™ Medical Assistance Providers Reference Chart must be used in conjunction with the PA ACCESS Card and EVS.

As part of an eligible EVS response, you will receive a 4 or 5-digit alphanumeric code designating a recipient's scope of coverage. Locate the type of provider you are at the left of the chart and locate the service program code along the top of the chart. At the intersection of these two elements, an alphabetical character reflects the recipient's scope of coverage. The corresponding legend defines the coverage limitations.

When determining a recipient's scope of coverage, all MA regulations and limitations noted in the PA Code, this handbook, and fee schedule apply.

4.11.2 Service Programs for PA PROMISe™ Waiver and Non-Medical Assistance Providers

New Service Program Information Coming Soon!

4.12 Client Specific Requirements

The client specific requirements section will include information on how to access waiver services and base programs.

4.12.1 Waivers

Medicaid-funded home and community based services are a set of medical and non-medical services designed to help persons with disabilities and older Pennsylvanians live independently in their homes and communities. The following sections detail the various home and community based waivers, functional eligibility information, and services, which can be obtained through each waiver.

4.12.1.1 Office of Mental Retardation (OMR) Waivers

OMR administers the Infants, Toddlers, and Families Waiver, the Person/Family Directed Support Waiver, and the Consolidated Waiver for Individuals with

Mental Retardation. The following provides an overview of the waiver services available and their eligibility requirements.

Infants, Toddlers, and Families (ITF) Waiver

The Infants, Toddlers, and Families Waiver (Early Intervention) provides habilitation services to children from birth to age three who are in need of early intervention services and would otherwise require the level of care provided in an intermediate care facility for persons with mental retardation or other related conditions (ICF/MR-ORC).

Functional Eligibility:

Children, ages 0 – 3 (Birth until the 3rd birthday), may be eligible for ITF Waiver services if there is a need for early intervention services and the child is eligible for the ICF/MR (Intermediate Care Facility for Persons with Mental Retardation) level of care for mental retardation and related conditions.

Services

The ITF Waiver provides habilitation services by qualified professionals with family/caregiver participation in the child's natural environment.

Please note that income limitations may apply. To ensure that a child is eligible for waiver services, access EVS and review his/her service program.

Person/Family Directed Support Waiver (PFDS)

The Person/Family Directed Support Waiver provides services to eligible persons with mental retardation so that they can remain in the community.

Functional Eligibility:

Recipients must be at least three (3) years of age or older with a diagnosis of mental retardation. The recipient must require OMR licensed community residential services.

Services:

The PFDS Waiver provides adaptive appliances and equipment, environmental accessibility adaptations, habilitation services (residential, day, prevocational and supported employment), homemaker/chore services, personal support, respite care, therapies (physical, occupational, speech, hearing, language, visual/mobility and behavioral), transportation, and visiting nurse services.

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

Consolidated Waiver for Individuals with Mental Retardation

The Consolidated Waiver for Individuals with Mental Retardation provides services to eligible persons with mental retardation so that they can remain in the community.

Functional Eligibility:

Recipients must be at least three (3) years of age or older with a diagnosis of mental retardation.

Services:

The Consolidated Waiver provides services, such as environmental accessibility adaptations, habilitation services (residential, day, prevocational, supported employment services, homemaker/chore services, adaptive equipment), permanency planning, respite care, specialized therapy, transportation, and visiting nurses.

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

4.12.1.2 Office of Social Programs (OSP) Waivers

Attendant Care Waiver

The Attendant Care Waiver provides services to eligible persons with physical disabilities in order to prevent institutionalization and allows them to remain as independent as possible.

Functional Eligibility:

Recipients must be between the ages 18 – 59, physically disabled, mentally alert, and eligible for nursing facility services.

Services:

Attendant care services are available to eligible persons with physical disabilities in order to prevent institutionalization and allows them to remain as independent as possible

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

Independence Waiver

The Independence Waiver provides services to eligible persons with physical disabilities in order to prevent institutionalization and allows them to remain as independent as possible.

Functional Eligibility:

Recipients must be 18 years of age and older, suffer from severe physical disability which is likely to continue indefinitely and results in substantial functional limitations in three or more major life activities. Recipients must be eligible for nursing facility services, the primary diagnosis cannot be a mental health diagnosis or mental retardation, and finally, these recipients cannot be ventilator dependent.

Services:

The Independence Waiver provides services, such as community integration, daily living, environmental accessibility adaptations, Personal Emergency Response System, respite care, service coordination, specialized medical equipment/supplies, therapies (physical, occupational, speech and visual), and visiting nurse.

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

COMMCARE Waiver

The COMMCARE Waiver was designed to prevent institutionalization of individuals with traumatic brain injury (TBI) and to allow them to remain as independent as possible.

Functional Eligibility:

Pennsylvania residents age 21 and older who experience a medically determinable diagnosis of traumatic brain injury and require a Special Rehabilitative Facility (SRF) level of care.

Traumatic brain injury is defined as a sudden insult to the brain or its coverings, not of a degenerative, congenital or post-operative nature, which is expected to last indefinitely.

Services under this waiver may be provided to individuals living in community settings.

Services:

The COMMCARE Waiver provides services, such as service coordination, personal care services, respite services, prevocational services, supported employment, habilitation and support, educational services, environmental adaptations, non-medical transportation, specialized medical equipment/supplies and assistive technology, chore services, PERS, extended state plan services, coaching and cueing, night supervision, structured day

programs, behavioral specialist consultants, cognitive therapy, counseling (individual and/or family), and community integration.

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

OBRA Waiver

The OBRA Waiver, also known as the Community Services Program for Persons with Disabilities, provides services to persons with developmental disabilities so that they can live in the community and remain as independent as possible (this includes relocating or diverting individuals from a nursing home to a community setting).

Functional Eligibility:

Recipients must be developmentally disabled, the disability manifests itself before age 22, and the disability is likely to continue indefinitely which results in substantial functional limitations in three or more major life activities. The recipient can be a nursing facility resident determined to be inappropriately placed. The primary diagnosis cannot be a mental health diagnosis or mental retardation and community residents who meet ICF/ORC level of care (high need for habilitation services) may be eligible.

Services:

The OBRA Waiver provides services, such as adult day services, community integration, daily living, education services, home support, minor accessibility adaptations/assistive technology, prevocational services, service coordination/resource management, respite services, routine wellness, specialized therapy services (physical, occupational, speech, visual and behavioral), supported employment, transportation, and visiting nurses.

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

4.12.1.3 Office of Medical Assistance Programs (OMAP) Waivers

Michael Dallas Waiver

The Michael Dallas Waiver provides services to eligible persons who are technology-dependent (i.e. dependence upon a medical device to replace or compensate for a vital bodily function AND to avert immediate threat to life).

Functional Eligibility:

Recipients must be technology dependent and must provide a physician's statement for the need of a mechanical device.

Services:

The Michael Dallas Waiver provides services, such as attendant care, case management, durable medical equipment (DME), private duty nursing, and respite care.

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

Elwyn Waiver

The Elwyn Waiver provides community-based services to eligible persons who are deaf or deaf and blind and reside in Delaware County. Recipients in this waiver normally reside in the Valley View Facility on the campus of Elwyn Institute. However, a consumer may also be served in their home in the community in Delaware County.

Functional Eligibility:

Recipients must be at least 40 years of age or older, nursing facility eligible according to the Area Agency on Aging (AAA) functional review and must be deaf or deaf and blind.

Services:

The Elwyn Waiver provides assisted living. Currently, the only approved provider is Valley View Facility in Media, Pennsylvania.

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

AIDS Waiver

The AIDS Waiver Program is a federally approved special program which allows the Commonwealth of Pennsylvania to provide certain home and community-based services not provided under the regular fee-for-service program to persons with symptomatic HIV disease or AIDS.

Functional Eligibility:

Categorically and medically needy recipients may be eligible if they are diagnosed as having AIDS or symptomatic HIV disease, are certified by a physician and recipient as needing an intermediate or higher level of care and the cost of services under the waiver does not exceed alternative care under the regular MA Program.

MA recipients who are enrolled in a managed care organization (MCO) or an MA Hospice Program are not eligible to participate in this home and community-based waiver program. Contact your MCO for comparable services.

Services:

Services available through the AIDS Waiver include, additional

nursing and home health aide visits, homemaker services, nutritional consultations and supplements, and certain medical supplies not available under the MA Program.

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

4.12.1.4 Pennsylvania Department of Aging (PDA)

PDA Waiver

The PDA Waiver provides long-term care services to qualified older Pennsylvanians living in their homes and communities.

Functional Eligibility:

Recipient must be at least 60 years of age or older and nursing facility eligible according to Area Agency on Aging (AAA) functional review.

Services:

PDA Waiver provides attendant care, companion services, counseling, environmental modifications, extended physician services, and home delivered meals. Additional, PDA waiver provides home health services, home support services, older adult daily living center, personal care services, Personal Emergency Response System (PERS), respite care, specialized DME and supplies, and transportation.

Please note that income limitations may apply. To ensure that a recipient is eligible for waiver services, access EVS and review his/her service program.

For information on services provided under each of the waivers, visit DPW's Website at http://www.dpw.state.pa.us/provider/doingbusinesswithdpw/billinginformation/serviceprograminformation/index.htm

4.12.2 Medical Assistance Early Intervention

4.12.2.1 Early Intervention (EI)

Infants and toddlers between the ages of birth and their third birthday are eligible for EI services as determined by one or more of the following:

- A twenty-five percent (25%) delay in one or more areas of development compared to other children of the same age.
- A physical disability, such as hearing or vision loss
- An informed clinical opinion

- Known physical or mental conditions which have a high probability for developmental delays

In order to obtain MA EI funding, the child must:

- Be referred through the County MH/MR program
- Be determined either eligible for EI or "at risk tracking" (see below)
- Be MA eligible
- Receive services from an MA EI enrolled agency/group or independent provider.
- Receive services which are MA EI eligible

"At risk tracking"

If a child is found ineligible for EI services by the screening/evaluation, they may still be eligible for follow-up screening and tracking. Children eligible for screening and tracking include:

- A birth weight under 3.5 pounds or 1500 grams
- Cared for in a neonatal intensive care unit
- Born to chemically dependent mothers
- Seriously abused or neglected as substantiated pursuant to the Child Protective Services Law of 1975, as amended.
- Confirmed to have dangerous blood lead levels as set by DPW of Health

Service Coordinators are the only MA EI qualified professionals who can bill for "At risk tracking" services.

4.12.3 Targeted Service Management – MR (TSM-MR)

The MA Program provides payment for specific TSM-MR services provided to eligible recipients by enrolled providers. These services are covered when provided in accordance with the approved State Plan Amendment for Targeted Service Management – MR and applicable state regulations and policies.

Individuals served in a psychiatric or general medical hospital are eligible for TSM-MR services provided the stay is not longer than 180 days. If the stay is 181 days or longer, the 180-day transitional planning period applies. Additionally, TSM-MR provided during this transition cannot be a duplication of the discharge planning provided by the hospital.

Public and private ICF-MR residents are not eligible for TSM-MR services apart from the 180-day transitional planning period.

4.13 Procedures for Hospitals to Expedite Newborn Eligibility for MA

Hospitals must immediately notify the County Assistance Office (CAO) of a child's birth when the mother is eligible for MA at the time of delivery. This contact must be done by telephone or fax to the appropriate CAO. Providers that have a high volume of MA births may wish to make arrangements with the local CAO to expedite this process.

In addition, within three working days of the baby's birth, hospitals must submit a Newborn Eligibility Form (MA 112) to the appropriate CAO. The CAO authorizes eligibility for the newborn under the mother's record, enters the newborn's identifying information on the MA 112 and returns it to the hospital.

The MA 112 form may be obtained by completing the MA Provider Order Form (MA 300X) and submitting it to DPW.

PLEASE NOTE: If the birth occurs on a weekend or holiday, contact the CAO by telephone or fax on the next workday. The MA 112 must be submitted to the appropriate CAO within three workdays of the baby's birth.

4.13.1 Completion of the MA 112

The MA 112 must be completed with the assistance of the newborn's mother or the mother's authorized representative before the mother leave the hospital or is discharged from the provider's care. Instructions for completing the form are located on the reverse side of the form. However, in addition to those instructions, the following information must be entered on the form:

Item 12 – Mother's Name

Enter the mother's name (last name, first name, M.I.) as shown on her ACCESS card. Allow enough space after the mother's name to enter the mother's Recipient Identification Number, as shown on her ACCESS card, or through access EVS.

Item 16 – Newborn Name

Enter the newborn's name, if available. If the newborn has not been named, enter "Baby Girl" or "Baby Boy" followed by the mother's last name.

Item 28 – For Notary Use

Do not complete this item.

Item 30 – Applicant's Signature

The mother or her authorized representative must sign the MA 112.

Item 31 – Date

Enter the date the application was signed.

Item 32 – ID Verification

Do not complete this item.

Items 33-37 – Hospital Information

Enter the appropriate information to identify the hospital completing the form.

4.13.2 Instructions for Billing without the Newborn's Recipient Number

You may bill MA after contacting the CAO by telephone or fax, and after submitting the MA 112 to the CAO. It is no longer necessary to wait for the MA 112 to be returned to you prior to submitting your claim form. However, in order for MA to process your claim, the newborn claim form must be submitted under the mother's recipient number. Please note the following modifications to the 837 Institutional/UB-04 Claim Form:

Form Locator 60 – (Certificate – Social Security Number – Health Insurance Claim – ID Number [A, B, C])	Enter the mother's recipient number from the ACCESS card. If the ACCESS card is not available, access EVS, utilizing the mother's social security number and date of birth. EVS will return the mother's recipient number.
Form Locator 12 – (Patient's Name)	Enter the newborn's first and last name. If the newborn's first name is not available, you may enter "Baby Boy" or "Baby Girl".
Form Locator 14 – (Birthdate)	Enter the newborn's date of birth.
Form Locator 15 – (Sex)	Enter an "**M**" for male or an "**F**" for female.
Form Locators 24 through 30 – (Condition Codes)	Enter Condition Code YO (Newborn Eligibility).
Form Locator 84 – (Remarks)	Enter the mother's full name, her date of birth, and her social security number.

NOTE: DPW defines a newborn as an infant who was born in the hospital or who was born on the way to the hospital, and has not been discharged or transferred from the hospital since birth.

4.13.3 Multiple Births

Complete a separate claim form for each child.

4.13.3.1 Automated Utilization Review (AUR) Process

If a newborn requires an admission certification number and does not have a recipient number, you cannot use the mother's recipient number to obtain admission certification. Handle this admission as a late pick-up when the newborn is assigned a recipient number. See the Hospital DRG/CHR/PSR

Manuals of this handbook for additional information. See Appendices E, F, and G of this handbook.

4.13.3.2 Remittance Advice (RA) Statement

When the claim appears on your RA Statement, it will be listed with the correct recipient information for the newborn.

You will not be paid for the newborn under the mother's recipient number.

Please keep the newborn's recipient number in your records for subsequent billings.

4.13.4 Billing with the Newborn's Recipient Number

If you have the newborn's recipient number at the time of claim submission, complete the 837 Institutional/UB-04 Claim Form as per your billing guide using the newborn's recipient number designated by the CAO for the newborn.

PA PROMISe™ EVS Response Worksheet

For Providers Internal Use Only		
Recipient Name:		Date of Service:
☐ Eligible For MA Coverage	☐ Eligible for Managed Care Coverage	☐ Ineligible for Date of Service

EVS RESPONSE

Recipient Demographics	**MA Eligibility & Coverage**
Recipient Name _____ Recipient ID # _____ Gender _____ Date of Birth _____	Eligibility Status ☐ Eligible ☐ Not Eligible Category of Assistance: _____ Program Status Code: _____ Service Program Code: _____

Fee-for-Service (FFS)/Managed Care Organization (MCO)/Family Care Network (FCN)/Long Term Care Capitated Assistance Program (LTCCAP) Information (Physical Health Benefits)

Plan Name/Code:		Telephone #:
Primary Care Physician (PCP) Name	Telephone Number	Begin & End Dates
PCP #1:	(_____) _____ - _____	_____ / _____
Primary Care Case Manager (PCCM) Name	Telephone Number	Begin & End Dates
PCCM Name: _____	(_____) _____ - _____	_____ / _____

MCO Behavioral Health Benefits

Primary Care Physician (PCP) Name	Telephone Number	Begin & End Dates
Plan Name/Code:	(_____) _____ - _____	_____ / _____

Third Party Liability (TPL)

Carrier Name/Type	Address of Carrier	Policy Holder Name & No.	Group No.
TPL #1 Court Ordered: ☐ Yes ☐ No	_____ _____ _____	Name: _____ Policy No.: _____ Begin Date: _____ End Date: _____	_____

Third Party Liability (TPL) *(continued)*			
TPL #2 Court Ordered: ☐ Yes ☐ No	_____ _____ _____	Name: _____ Policy No.:_____ Begin Date:_____ End Date _____	_____
TPL #3 Court Ordered: ☐ Yes ☐ No	_____ _____ _____	Name: _____ Policy No.:_____ Begin Date:_____ End Date: _____	_____
**EVS provides up to three third party resources. Always ask the recipient if there is any other available health insurance coverage.*			

Lock-In/Restricted Recipient Information	
Is the recipient restricted?	☐ Yes ☐ No
Lock-In Provider's Type:	
Name of Lock-In Provider:	
Lock-In Provider's Telephone No.:	
Begin & End Dates: (If different from inquiry dates)	
Is the recipient restricted?	☐ Yes ☐ No
Lock-In Provider's Type:	
Name of Lock-In Provider:	
Lock-In Provider's Telephone No.:	
Begin & End Dates: (If different from inquiry dates)	
Please Note: Restrictions do not apply to emergency services.	

Early Periodic, Screening, Diagnosis, and Treatment (EPSDT)

Last EPSDT Screening Date: _____/_____/_____

**If providing an EPSDT Screen, please refer to the current Pennsylvania Children's Checkup (EPSDT) Program Periodicity Schedule and Coding Matrix Periodicity Chart to determine the recipient's EPSDT screening eligibility.*

Dental

Last Dental Exam Date: _____/_____/_____

This date is applicable to a dentist providing a dental exam.

837 INSTITUTIONAL/UB-04 CLAIM FORM HANDBOOK
SECTION 5 – SPECIAL REQUIREMENTS FOR PA PROMISe™ PROVIDERS

This section reviews waiver services, behavioral health services, and services (i.e., sterilizations, hysterectomies, and abortions) with attachments required by the federal government, as well as links to their policies and instructions for the proper completion of these forms. In addition, information regarding Medical Assistance Early Intervention (MA EI) is contained in this section.

5.1 Special Forms and Instructions

All special forms and their related instructions have been hyperlinked throughout this Provider Handbook. The hyperlinked version of these special forms and instructions are located in Appendix D, Special Forms, of this handbook.

5.2 Waiver Funded Services

Medicaid-funded home and community based services are medical and non-medical services designed to help persons with disabilities and older Pennsylvanians live independently in their homes and communities. Medicaid-funded home and community based services available in Pennsylvania are:

- Personal Support Services: Assistance needed for the person to plan, organize, and manage community resources.
- Residential Habilitation Services: Assistance with acquisition, retention, or improvement in skills related to activities of daily living.
- Day Habilitation Services: Assistance with acquisition, retention, or improvement in self-help, socialization and adaptive skills which take place in a non-residential setting, separate from where the person resides.
- Prevocational Services: Services aimed at preparing an individual for paid or unpaid employment.
- Supported Employment: Paid employment services for people who need intensive ongoing support to perform in a work setting.
- Homemaker/Chore Services: General household activities provided by a trained homemaker when the individual regularly responsible for these activities is temporarily absent or unable to manage the home and care for him or herself and others in the home.
- Adaptive Appliances and Equipment: Specially designed appliances and equipment needed for the person to live as independently as possible.
- Transportation: Transportation needed to enable persons to gain access to waiver and other community services.

- Visual/Mobility Therapy, Behavior Therapy, and Visiting Nurse Services.
- Respite Care Services: Services provided to individuals unable to care for themselves; furnished on a short-term basis because of the absence or need for relief of those persons normally providing care.
- Skilled Nursing: Skilled nursing must be provided by either a registered nurse (RN) or a licensed practical nurse (LPN) that is employed by an MA enrolled home health agency. The number of hours approved will be based on medical necessity criteria and certification from the individual's physician.

5.3 Mental Health Services

The following sections detail mental health services-available through PA PROMIS*e*™.

5.3.1 Family Based Mental Health Services for Children and Adolescents (FBMHS)

This is a team delivered service rendered in the home and community, which is designed to integrate mental health treatment, family support services and casework so that families may continue to care for their children and adolescents with serious mental illness or emotional disturbance at home.

5.3.2 Mental Health Crisis Intervention Services (MHCI)

Crisis intervention services are immediate, crisis-oriented services designed to resolve precipitating stress. The services are provided to adults, children, adolescents, and their families who exhibit an acute problem of disturbed thought, behavior, mood or social relationships. The services provide rapid response to crisis situations, which threaten the well being of the individual or others. MHCI services include the intervention, assessment, counseling, screening and disposition services which are commonly considered appropriate to the provision of MHCI. The variance of the crisis intervention program that services can be rendered include telephone crisis service, walk-in crisis service, mobile individual crisis service, mobile team crisis service, medical mobile crisis team service, and crisis residential service.

5.3.3 Mental Health Intensive Case Management

Intensive case management is targeted to adults with serious and persistent mental illness and children with serious mental illness and emotional disorders. It is designed to insure access to community agencies, services, and people whose functions are to provide the support, training and assistance required for a stable, safe, and healthy community life. Services will be offered within parameters imposed by funding and other resources.

5.3.4 Resource Coordination

Resource coordination services are targeted to adults with serious and persistent mental illness and children and adolescents with mental illness or serious emotional disturbance, and their families, who do not need the intensity and frequency of contacts provided

through intensive case management, but who do need assistance in accessing, coordinating, and monitoring of resources and services. Services are provided to assess an individual's strengths and meet needs in order to achieve stability in the community. Resource coordination is similar to intensive case management in that the activities are the same. However, caseload limits are larger and there is no requirement for 24-hour service availability. Resource coordination is established as an additional level of case management and is not intended to replace intensive case management.

5.4 Federally Required Forms

When providers perform certain services, there are instances when a federally required form must accompany a claim for payment, regardless of its mode of transmission (electronically or hardcopy on the UB-04 claim forms). The Sterilization Patient Consent Form (MA 31), Patient Acknowledgement for Hysterectomy (MA 30), and the Physician's Certification for an Abortion (MA 3) are forms that are required by the Federal Government.

Payment for sterilizations, abortions, and hysterectomies will only be made if the appropriate form(s) are completed and accurate, and the procedures were performed within any time frames specified within the regulations. It is therefore important that providers be aware of the regulations surrounding sterilizations, abortions, and hysterectomies, as well as how to complete the federally required forms accurately.

Providers frequently experience rejections for claims submitted with federally required forms, which were incomplete or incorrect. It is important to note that the MA 30, MA 31, and the MA 3 are scrutinized by federal auditors and, in order to maintain federal financial participation for the cost of these services, the Commonwealth must insure that the forms are completed correctly in every detail. The federal requirements are complex and many providers have complained to DPW that the forms must be completed numerous times before they are accepted. This problem is made more difficult because providers do not know specifically why a form has been rejected.

DPW recognizes the complexity of the federal requirements relating to these forms. In response to providers' requests, claims with federal attachments (i.e., MA 30, MA 31, or MA 3) will suspend with a special Remittance Advice (RA) Explanation Codes 4061, 4074, and 4022, and DPW will manually review each attachment for correct completion.

IF ERRORS ARE FOUND ON THE ATTACHMENT, THE CLAIM WILL BE DENIED. THE CLAIM FORM AND THE FEDERALLY REQUIRED FORM WILL BE RETURNED TO YOU WITH THE APPROPRIATE FORM LETTER. ERRORS WILL BE CIRCLED IN RED.

The following details which services require submission of a claim form and its applicable federal form:

5.4.1 Sterilization Patient Consent Form (MA 31)

This Sterilization Patient Consent Form (MA 31) must be attached to the claim when a provider is submitting a claim form for a recipient who received a sterilization service, such as a tubal ligation or a vasectomy. (See Appendix D, Special Forms, of this handbook.)

Please review 55 Pa. Code Chapter 1141, §1141.55 (Payment Conditions for Sterilizations) prior to completing the MA 31. (See Section 3, Policies, of this handbook.)

5.4.2 Patient Acknowledgement for Hysterectomy (MA 30)

The Patient Acknowledgement for Hysterectomy (MA 30) must be attached to the claim when a provider is submitting a claim form for a recipient who received a hysterectomy (See Appendix D, Special Forms, of this handbook).

Please review 55 Pa. Code Chapter 1141, §1141.56 prior to completing the MA 30. (See Section 3, Policies, of this handbook.)

5.4.3 Physician Certification for an Abortion (MA 3)

The Physician Certification for an Abortion (MA 3) must be attached to the claim when a provider is submitting a claim form for a recipient who received an elective abortion. Please note that MA will only pay for abortion services when the mother's life is endangered by the pregnancy or when pregnancy is the result of rape or incest. (See Appendix D, Special Forms, of this handbook.)

Please review MA Bulletin 1163-95-02, "Payment Policy for Abortion Services" carefully for DPW's policy regarding payment for abortions. (See Appendix B, Bulletins, of this handbook.)

5.5 Interim and Straddle Billing

5.5.1 Interim Billing (Acute Care Hospitals)

DRG payment is based on the entire stay, and payment to the hospital is usually made after the recipient is discharged, using Type of Bill 111, (billing admission through discharge).

Under certain circumstances, recipients may be hospitalized for extensive periods of time. In order to help hospitals deal with these situations, DPW will allow interim bills for recipients who remain hospitalized 90 days or longer.

DRG hospitalizations of 90 days or longer may be billed on an interim basis. After the hospital is paid for the initial interim bill (using Type of Bill 112), additional interim bills (using Type of Bill 117), may be submitted after each 30-day period. These additional bills for continued hospitalization must be submitted as a claim adjustment for the preceding paid bill. Type of Bill 117 is an accumulation of the total stay from the date of admission to the date specified in the "through" section of Form Locator 6 – Statement Covers Period.

When the patient is discharged, the final claim MUST be submitted showing the entire stay using Type of Bill 117. Day outlier claims must be sent to the Division of Medical Review**,** DRG Outlier Review Section (see section 5.6.1 for information on day outlier requests). The Division will evaluate the day outlier request. Payments made as a result of the interim billing will be adjusted up or down based upon the final review determination of allowable days.

5.5.2 Interim Billing (Inpatient Rehabilitation, Inpatient Psychiatric, & JCAHO Residential Treatment Facilities [RTFs])

Interim bills should be submitted in no less than 30-day increments. After the initial interim claim (Type of Bill 112) is submitted and paid, additional interim claims must be completed as "Replacements of Prior Claims" using Type of Bill 117.

Each replacement is an accumulation of the total stay appearing in the Statement Covers Period and should be billed in 30-day increments reflecting all ancillary information for covered days during the identified Statement Covers Period.

5.5.3 Straddle Billing (Inpatient Rehabilitation Hospitals/Facilities, Inpatient Psychiatric Hospitals/Facilities, and JACHO RTFs)

If the patient is admitted in one fiscal year and discharged in the next, the hospital must submit separate invoices for both fiscal years.

For example, if the patient is admitted June 1 and discharged July 30, you would submit one invoice for the June 1 through June 30 period using a Type of Bill 112 and another claim for the remainder of the stay in the next fiscal year using another Type of Bill 112. Remember to show the same admission date on both claims (admission date, Form Locator 17). When straddle billing at the beginning of a new fiscal year, Type of Bill 112 must be used.

Providers billing after a third party insurance (other than Medicare) which has exhausted for a patient who has MA coverage or received MA coverage retroactive to the date of admission, must have the complete stay certified through Concurrent Hospital Review (CHR) and bill for the entire stay.

If the patient remains in the hospital (Patient Status 30) and you submit an interim or straddle bill, it is not necessary for you to subtract a discharge day since the patient has not been discharged.

5.6 Outliers

5.6.1 Day Outlier Requirements

When a day outlier is due, Edit Code 4261, which notifies you that you are eligible for a day outlier, will appear on a Remittance Advice (RA) Statement. Upon receipt of Edit Code 4261, you must submit a properly completed claim, using Type of Bill 117, and Condition Code 60 with the following information:

1 Day Outlier Request Form, a copy of the "PSR/DRG Certification Notice" or "Day Outlier Request for Cases Exempt from the PSR/DRG Process", with the requested number of outlier days completed.

2 Copy of the third party statement, when applicable.

3 Copy of the RA Statement showing either the base DRG payment.

4 UR Coordinator comments on hospital letterhead stationary. Any days denied by the coordinator must be identified by the date in the comments section.

5 Copy of the complete inpatient medical record.

Mail the information to:

Department of Public Welfare
Division of Medical Review
DRG Outlier Review Section
P.O. Box 8171
Harrisburg, PA 17105-8171

Failure to follow the above instructions could result in nonpayment of a day outlier.

5.6.2 Cost Outliers

Cost Outliers are automatically paid to the facility when treating neonates and burn cases. For additional information, see MA Bulletin 11-97-10, "Cost Outlier Payments for Certain Burn and Neonate Cases, issued August 11, 1997, for additional information.

5.7 State Required Forms

5.7.1 Medical Evaluation

Medical evaluation (MA 51) must be completed by the attending physician before admission or before authorization for payment to a nursing facility, intermediate care facility for the mentally retarded (ICF-MR), intermediate care facility for other related conditions (ICF-ORC), or a psychiatric hospital. Some home and community based services also require the completion of the MA 51. A copy of the MA 51 must be kept in the recipient's medical record. Failure to complete the MA 51 in its entirety may result in its return to you.

5.8 Medical Assistance Early Intervention (MA EI) Requirements

Referral of a child for MA EI services must be through the County MH/MR Program. An agency or independent provider cannot provide services to a child without this referral.

5.8.1 Determination of Medical Necessity

In order to be reimbursed for MA EI services, the agency/provider must secure a determination of medical necessity from a physician, licensed by the Commonwealth. The authorization should include:

- Indication that EI services are medically necessary (the statement can be generalized or prescriptive based upon the physician's preference)
- It must specify the length of time the authorization covers (to/from dates)
- Length of the authorization can be up to the child's third birthday; however, this authorization should be qualified by including "or until EI services are no longer needed."

- It is recommended that this determination be obtained from the child's primary physician, but can be obtained from any Commonwealth licensed physician.

5.8.2 Service Coordination

Service coordination (EI Case Management) differs from other MA EI services as follows:

- Services can either be direct (face to face) or indirect.
- Service coordination is not a reimbursable service with any third party insurer in Pennsylvania. Agencies providing service coordination need not secure a denial from other third party insurers but may directly bill MA EI.
- Travel time related to eligible activities provided to the child/family is eligible for reimbursement.
- Service Coordinators are permitted to bill for EI children who are eligible for one of the five mandated "At risk tracking" categories (See Section 4.12.2, Medical Assistance Early Intervention, for additional information).

5.8.3 Medical Assistance Early Intervention (MA EI) Documentation Requirements

The following documentation is required in order to seek reimbursement from MA EI for eligible services:

- Parental Authorization: A written signature on the child's Individual Family Service Plan (IFSP) and/or any EI service authorization.
- Determination of Medical Necessity
- Current IFSP listing each service in the program summary section using EI terminology, location of service and frequency/duration/intensity defined in units per month.
- Service Support Plan: For each MA EI service identified, a corresponding service support plan should be developed by the appropriate MA qualified professional. The "Service Support Plan" becomes part of the child's record. It is specific to the identified service(s) listed on the IFSP (i.e., Occupational Therapy). The plan should document the outcome expected from the service and any other specific needed to understand what this service is intended to do for the child. It should have specific outcomes and objectives.
- Progress Notes: Each time the MA qualified provider provides service to the child/family, a written entry must be made in the child's progress notes or service log, including:
  - Date
  - Length of time spent

- Place of service
- Summary of activities provided that clearly reflects the appropriate activity
- Signature of the MA qualified provider

Progress notes should be written when planned service delivery is not completed (i.e., the family was not at home). Progress notes provide a summary of activities provided the child/family response to the treatment/intervention, and progress/purpose of each visit/interaction. They should link back to the child's service support plan. Ideally, the notes should be completed during the normal service visit with the parent/caregiver's participation. The parent/caregiver should also sign and date the progress note.

The progress notes are part of the child's record.

5.8.4 Early Intervention and Managed Care

Eligible services delivered through the Early Intervention (birth to age 3) Program are not included in the HealthChoices or voluntary managed care programs rates. If a child who is covered under HealthChoices or a voluntary managed care plan receives MA EI services from an enrolled MA EI agency/group or independent provider, the agency/group or independent provider is permitted to invoice PA PROMIS*e*™ for payment of the MA EI eligible services.

837 INSTITUTIONAL/UB-04 CLAIM FORM HANDBOOK
SECTION 6 – PROVIDER ENROLLMENT INFORMATION

This section contains information for providers of services under PA PROMIS*e*™.

6.1 Provider Participation Requirements

6.1.1 Licensure/Registration/Certification

To be eligible to enroll in PA PROMIS*e*™, practitioners in Pennsylvania must be licensed and currently registered by the appropriate State agency. Out-of-state practitioners must be licensed and currently registered by the appropriate agency in their state.

Other providers must be approved, licensed, issued a permit or certified by the appropriate State agency and, if applicable, certified under Medicare.

6.1.2 Enrollment/Provider Agreement

The provider is considered the legal entity and can be either a business or an individual doing business with DPW. Legal entities can complete the enrollment process in one of two ways:

1. Complete a paper enrollment form and send changes on letterhead.
2. Use the Internet and the Provider Enrollment Automation Project, known as Epeap to request changes to enrollment information.

6.1.2.1 Paper Enrollment Forms

Providers must complete a PA PROMIS*e*™ Provider Enrollment Form, PA PROMIS*e*™ Provider Agreement, and be approved by DPW. Upon successful enrollment, the provider will receive a Provider Enrollment Letter (PRV-9008-R). (Refer to Section 6.3 for information on the Provider Enrollment Letter.)

Provider enrollment forms can be found on the DPW website at

http://www.dpw.state.pa.us/provider/promise/enrollmentinformation/index.htm

Note: If you are unable to log into the Internet, you can telephone the following:

CATEGORY	TELEPHONE NUMBER	HOURS OF OPERATION
Application Requests (Inpatient and Outpatient)	(717) 772-6456 (Messages only)	24 hours/day 7 days/week
Applications In-Process (Inpatient and Outpatient)	(717) 772-6140	Monday – Friday 8:30 a.m. – 12:00 noon 1:00 p.m. – 3:30 p.m.
Long Term Care Provider Enrollment Applications	(717) 772-2571	Monday – Friday 8:30 a.m. – 5:00 p.m.

6.1.2.2 ePEAP

Through the electronic Provider Enrollment Automation Project (ePEAP) providers with Internet access can review and request changes to their provider information via the Internet. Providers are required to register and create a 4-digit password in order to use ePEAP. Please go to: http://www.dpw.state.pa.us/ucmprd/groups/webcontent/documents/manual/s_001933.pdf and follow the directions to use ePEAP.

Current limitations to ePEAP are:

This website cannot be used to enroll a new provider or to re-enroll a provider. It is to be used by currently enrolled providers to request changes to their provider information.

Certain provider types are not able to use ePEAP at this time. Please refer to http://services.dpw.state.pa.us/olddpw/bulletinsearch.aspx?BulletinId=1238for a complete list.

6.1.3 PA PROMISe™ Provider Identification

PA PROMISe™ provides the ability to enroll providers in various programs and record their demographic, certification and rate information. PA PROMISe™ maintains a single unique number to identify a provider. PA PROMISe™ supports the ability to uniquely identify locations, provider types, specialties, authorization/certification/licensing information for services and other required data within the unique provider identification number.

DPW initiated a Master Provider Index (MPI) in conjunction with PA PROMISe™. MPI is a central repository of provider profiles and demographic information that registers and identifies providers uniquely within DPW. Under MPI and PA PROMISe™, a provider is considered a unique legal entity and can be either a business or an individual provider, doing business with DPW. Additionally, providers can be assigned only one MPI provider identification number for a given Federal Employee Identification Number (FEIN) or Social Security Number.

Each enrolled PA PROMISe™ provider will be assigned a 9-digit MPI provider identification number. In addition, each provider will be assigned one or more 4-digit service locations that identify the physical address where service is provided, the provider type and at least one specialty.

Note: When submitting claims to DPW, providers must use their 9-digit provider identification number and the appropriate 4-digit service location as the unique provider identification for the claim.

6.1.4 Hearing Aid Dispensing Certification

In accordance with the policy direction set forth in MA Bulletin 01-07-07 et al., "Provider Specialty 220 (Hearing Aid Dispenser) Requirement and Updated MA Program Fee Schedule for Hearing Aid Supplies," providers who dispense hearing aid supplies must submit yearly updated proof of Department of Health (DOH) certification.

Upon annual renewal of the DOH certification, a copy of the renewed certification must be submitted to MA Provider Enrollment to ensure an active status of Provider Specialty 220 (Hearing Aid Dispenser) on your enrollment files. Please refer to the instructions as outlined in the Procedure section of MA Bulletin 01-07-07 et al. for adding Provider Specialty 220 to your provider file and for instruction on submitting the required DOH annual certification renewals. Effective August 1, 2007, failure to submit proof of DOH certification and yearly renewals will result in claim denials and inability to bill for hearing aid supplies.

6.2 Provider Enrollment Letter

Once a provider has been approved by DPW, PA PROMIS*e*™ will generate a Provider Enrollment Letter (PRV-9008-R) to be sent, with the appropriate documentation, to the provider announcing the acceptance. Pertinent information is printed on the front and back of the letter for provider verification.

- CURRENT DATE)

(PROVIDER NAME)
(STREET ADDRESS 1)
(STREET ADDRESS 2)
(CITY/STATE/ZIP)

Provider ID / Service Location: XXXXXXXXX XXXX

Dear Provider:

Your contract as a medical provider under programs administered by the Pennsylvania Department of Public Welfare has been approved.

Your program and expiration dates are listed below. Prior to expiration, you will receive a notification to extend your contract.

As an approved provider, you may submit claims for reimbursement under the medical programs within the scope of coverage of your services for eligible individuals.

The nine (09) digit identification provider number, and four (04) digit service location listed above have been assigned to you for billing purposes. In order to assure prompt reimbursement, it is imperative that these numbers be shown on each claim.

We are pleased to welcome you as a participating provider. For additional information regarding the Pennsylvania Department of Public Welfare Programs, please access our website at http://www.dpw.state.pa.us.

Sincerely,

Provider Enrollment Unit

Provider Information
Provider ID: XXXXXXXXX
Service Location: XXXX
Provider Name: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Provider Address: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

Provider Type: XX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Provider Specialty: XXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

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Provider Sub-Specialty: XXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Provider Taxonomy:      XXXXXXXXXX
(Only if multiple specialties or sub-specialties)
Provider Specialty:     XXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Provider Sub-Specialty: XXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Provider Taxonomy:      XXXXXXXXXX

Current Programs
Program:                XXXXXXXXXXXXXXXXXXX
Status:                 XXXXXXXXXXXX
Expiration Date:        MM/DD/CCYY
{Only if multiple programs}
Program:                XXXXXXXXXXXXXXXXXXX
Status:                 XXXXXXXXXXXX
Expiration Date:        MM/DD/CCYY

Rates Information
Effective Date:         MM/DD/CCYY
End Date:               MM/DD/CCYY
Total Rate:             $9999999.99
{Only if multiple rates}
Effective Date:         MM/DD/CCYY
```

6.3 Submitting Claim Forms

Providers who have been assigned a provider identification number can submit claims either on hard copy or by Electronic Media Claims (EMC).

Mail completed UB-04 Claim Forms for inpatient hospitals, outpatient hospital clinics, emergency rooms, short procedure units and ambulatory surgical centers to:

Department of Public Welfare
Office of Medical Assistance Programs
P.O. Box 8150
Harrisburg, PA 17105-8150

Mail completed UB-04 Claim Forms for nursing facilities, State Mental Retardation Centers, ICF/MRs, ICF/ORCs, State Restoration Centers and Long Term Care Units of State Mental Hospitals to:

Department of Public Welfare
Office of Medical Assistance Programs
P.O. Box 8248
Harrisburg, PA 17105-8248

EMC submissions

- Modem - Modem transmissions must be submitted using the new 492 record layout.
- Tape - Tapes received must be submitted using the new 492 record layout.
- Diskette - Diskettes received must be submitted using the new 128 record layout.

6.3.1 Claim Forms through PA PROMISe™

The provider will use their provider ID number and password to log into PA PROMISe™ and will be able to perform the following functions:

Review messages and informational notices from DPW that are displayed upon log on to the secure web site. Once read, the message can be marked “read” and will no longer appear on the initial window.

Maintain passwords and, if authorized, can create and manage user accounts for others in their organizations.

Review the status of claims submitted to DPW for payment and can review specific Error Status Codes (ESC) and HIPAA Adjustment Reason Codes for rejected claims.

Submit claims directly for payment or adjustments for services and prescriptions.

- Pharmacy claims are automatically reviewed for ProDUR (Prospective Drug Utilization Review) alerts and overrides at the time of entry and corrections can be made before final submission.
- Assuming successful completion of a claim submission, the total allowed amount of the claim, plus any adjustment information, will be displayed to the submitting provider. Although this response will be available upon submission, the claim will be held in a "Suspend" status for later processing. This prompt response to the claim submission will significantly reduce the time required for providers to submit properly completed claims and allow faster processing.

Review information for specific procedures, drugs and diagnoses.

Check pricing and eligibility limitation information.

Verify the eligibility status of recipients. Inquiries can be made by Recipient ID/Card Issue Number, SSN/Date of Birth, or Recipient Name/Date of Birth combinations.

Review and download records of payments (remittance advice) from DPW for the past two years.

The provider can search for, download, and print an Adobe Acrobat (.PDF) copy of their original paper remittance advice.

Download or review provider handbooks, billing guides, fee schedules, MA bulletins, etc., from the DPW web site.

All claims, regardless of media, are translated into a common file structure for PA PROMIS*e*™ that allows them to be communicated in a common format between different computer systems. Electronic fee-for-service claims and adjustments are accepted in the HIPAA-compliant 837 Professional (X12 837 4010) format.

PA PROMIS*e*™ supports the input of claims through multiple media, including:

- Diskette
- CD
- Tape
- Bulletin Board via PC modem dial up
- Internet

6.4 Recipient Signatures

Providers must obtain applicable recipient signatures either on the claim form or on the MA Encounter Form (MA 91). The purpose of the recipient's signature is to certify that the recipient received the service and that the recipient listed on the PA ACCESS Card is the individual who received the services provided.

A parent, legal guardian, relative, or friend may sign his or her own name on behalf of the recipient. The provider or an employee of the provider does not qualify as an agent of the recipient; however, children who reside in the custody of a County children and youth agency may have a representative or legal custodian sign the claim form or the MA 91 for the child.

The following situations do not require that the provider obtain the recipient's signature:

- When billing for inpatient hospital, short procedure unit, ambulatory surgical center, nursing home, and emergency room services.
- When billing for services which are paid in part by another third party resource, such as Medicare, Blue Cross, or Blue Shield.
- When billing for services provided to a recipient who is unable to sign because of a physical condition such as palsy.
- When billing for services provided to a recipient who is physically absent, such as laboratory services or the interpretation of diagnostic services.
- When resubmitting a rejected claim form.
- When billing on computer-generated claims. In this instance, you must obtain the recipient's signature on the Encounter Form (MA 91).

6.5 Record Keeping and Onsite Access

Providers must retain, for at least 4 years, unless otherwise specified in the provider regulations, medical and fiscal records that fully disclose the nature and extent of the services rendered to MA recipients and that meet the criteria established in regulations.

Please refer to 55 Pa. Code Chapter 1101, §1101.51(e) for more information.

http://www.pacode.com/secure/data/055/chapter1101/s1101.51.html

837 INSTITUTIONAL/UB-04 CLAIM FORM HANDBOOK
SECTION 7 – PRIOR AUTHORIZATION

The Prior Authorization process and 1150 Administrative Waiver (Program Exception) process enable providers to obtain prior approval for reimbursement of specific services and items and those services or items not listed on the PA PROMIS*e*™ Program Fee Schedule.

7.1 Prior Authorization in PA PROMIS*e*™

Prior authorization is required for those services and items so designated in the MA Program Fee Schedule with the prior authorization (PA) indicator.

The automated system ensures that a decision must be rendered on the prior authorization request within ***21 days*** of receipt of the Outpatient Service Authorization Request Form (MA 97), or the request is automatically approved.

7.1.1 Services and Items Requiring Prior Authorization

Services and items requiring prior authorization are identified in the PA PROMIS*e*™ Program Fee Schedule with the prior authorization (PA) indicator. Prior authorization is also required when a single item costing **under** $100 per item is requested in quantities totaling **more** that $100.

Prior authorization is required after ***three months*** of rental on ***any*** item.

7.1.2 Procedures for Obtaining Prior Authorization

When an MA recipient has the need for a service(s) or item(s) requiring prior authorization, the ***prescribing practitioner*** completes ***two*** copies of a prescription. The original prescription is given to the recipient. The ***prescriber*** completes the prior authorization section of the MA 97.

The ***prescriber*** submits the completed MA 97 with a copy of the recipient's prescription in the envelope (ENV 320) provided by DPW. For shift nursing services, send the completed MA 97 and prescription to:

Department of Public Welfare
Outpatient PA/1150 Waiver Services
P.O. Box 8044
Harrisburg, PA 17105-8044

For all other outpatient services, send the completed MA 97 and prescription to:

Department of Public Welfare
Outpatient PA/1150 Waiver Services
P.O. Box 8188
Harrisburg, PA 17105-8188

DPW will either approve or deny the request and notify accordingly the ***prescriber*** and the recipient by means of the Prior Authorization Notice (MA 328).

NOTE: ***AN APPROVED PRIOR AUTHORIZATION REQUEST MEANS ONLY THAT THE SERVICE WAS DETERMINED MEDICALLY NECESSARY, BUT IT DOES NOT GUARANTEE THE RECIPIENT'S ELIGIBILITY. IT IS THE RESPONSIBILITY OF THE PROVIDER, AS WELL AS THE PRESCRIBER, TO VERIFY THE RECIPIENT'S ELIGIBILITY THROUGH THE ELIGIBILITY VERIFICATION SYSTEM (EVS), NOT ONLY ON THE DATE THE SERVICE IS REQUESTED, BUT ALSO ON THE DATE THE SERVICE IS PERFORMED/PROVIDED.***

7.1.3 Exceptions

In the event that a recipient is in immediate need of a service or item requiring prior authorization, and the situation ***is an emergency***, the prescriber may indicate that the prescription be filled by the provider before submitting the MA 97. The prescriber must still complete and submit the MA 97 for review. This request will be examined in the same manner as an initial request for prior authorization.

If DPW determines that the recipient's circumstances did not constitute an emergency situation and the MA 97 is denied, the ***provider will not be compensated*** for the service or item provided.

7.1.4 Steps for Payment

When the ***provider*** is presented with the recipient's prescription, the ***provider*** fills the prescription and completes a claim form in accordance with existing instructions for completion of the 837 Institutional/UB-04 Claim Form.

Upon completion, the ***provider*** submits the original claim form to DPW for processing, while retaining a file copy. The ***provider*** should submit the 837 Institutional/UB-04 to the regular address for claim submission:

Department of Public Welfare
Office of Medical Assistance Programs
P.O. Box 8150
Harrisburg, PA 17105-8150

7.1.5 Department Approval

DPW will approve or deny any request, followed by a Prior Authorization Notice that identifies the procedure code(s) for the services approved, the number of visits approved, and any modifiers that are applicable. The Prior Authorization Notice will also identify those services DPW denied, including the reason for the denial, and the services approved other than requested.

DPW's prior authorization system has the capability to approve multiple lines of medically necessary services per authorization number. Each line item approved is for a

procedure code and includes the service or item approved for that code, plus the approved modifiers.

The Prior Authorization Number consists of ten numeric digits. The numbers are as follows:

1st – 5th digits	Julian calendar date DPW received the request.
6th digit	Origin Code
7th – 10th digits	Sequential number of the request for that day.

In most instances, DPW will attempt to list approved services under one Prior Authorization Number.

DPW will assign a second Prior Authorization Number:

- When there is a change in the recipients diagnosis, or
- After each 60-day period.

7.1.6 Claim Submission

You may submit claims as frequently as you wish. If you choose to submit claims monthly or at the end of an approval period, use the last date of service for the approval period listed on the Prior Authorization Notice, even if services were not provided on consecutive days.

You must use the procedure code listed on the approval.

You must complete the modifier fields (Form Locator 44 of the 837 Institutional/UB-04 Claim Form) with the modifiers supplied by DPW. DPW will assign modifiers as follows:

- When services extend across two consecutive months, or
- When requesting additional services after the initial approval period.

Enter the 10-digit Prior Authorization Number in Form Locator 63 of the 837 Institutional/UB-04 Claim Form.

7.2 1150 Administrative Waiver (Program Exception)

DPW, under extraordinary circumstances, will pay for a medical service or item that is not one for which the PA PROMIS*e*™ Program has an established fee, or will expand the limits for services or items that are listed on the PA PROMIS*e*™ Program Fee Schedule. If a provider concludes that lack of the service or item would impair the recipient's health, the provider may request an 1150 Administrative Waiver or Program Exception (PE).

7.2.1 Services and Items Requiring 1150 Administrative Waiver

Services and items not listed on the PA PROMIS*e*™ Program Fee Schedule require an 1150 Administrative Waiver.

An 1150 Administrative Waiver is also required for the expansion of the limits for services and items that ***are listed*** on the PA PROMIS*e*™ Program Fee Schedule.

7.2.2 Procedure for Obtaining 1150 Administrative Waiver

When an MA recipient has the need for a service(s) or item(s) requiring an 1150 Administrative Waiver, the ***prescribing practitioner*** completes ***two copies*** of a prescription. The original prescription is given to the recipient. The ***prescriber*** completes the 1150 Waiver section of the MA 97.

The ***prescriber*** submits the completed MA 97 with a copy of the recipient's prescription in the envelope (ENV 320) provided by DPW to the appropriate address listed on the cover sheet of the MA 97 form.

DPW will either approve or deny the request and notify accordingly the ***prescriber***, provider, and the recipient by means of the Program Exception Notice (MA 481).

NOTE: AN APPROVED 1150 ADMINISTRATIVE WAIVER REQUEST MEANS ONLY THAT THE SERVICE WAS DETERMINED MEDICALLY NECESSARY, BUT IT DOES NOT GUARANTEE THE RECIPIENT'S ELIGIBILITY. IT IS THE RESPONSIBILITY OF THE PROVIDER, AS WELL AS THE PRESCRIBER, TO VERIFY THE RECIPIENT'S ELIGIBILITY THROUGH THE ELIGIBILITY VERIFICATION SYSTEM, NOT ONLY ON THE DATE THE SERVICE IS REQUESTED, BUT ALSO ON THE DATE THE SERVICE IS PERFORMED/PROVIDED.

7.2.3 Exceptions

In the event that a recipient is in immediate need of a service or item requiring an 1150 Administrative Waiver, and the situation ***is an emergency***, the prescriber may indicate that the prescription be filled by the provider before submitting the MA 97. The prescriber must still complete and submit the MA 97 for regular review. This request will be examined in the same manner as an initial request for an 1150 Administrative Waiver.

If DPW determines that the recipient's circumstances did not constitute an emergency situation and the MA 97 is denied, the ***provider will not be compensated*** for the service or item dispensed.

7.2.4 Steps for Payment

When the ***provider*** is presented with the recipient's prescription, the ***provider*** fills the prescription and completes a claim form in accordance with existing instructions for completion of the 837 Institutional/UB-04 Claim Form.

Upon completion, the ***provider*** submits the original claim form to DPW for processing. (The provider should make a copy of the claim form for his/her file.) The ***provider*** should submit the 837 Institutional/UB-04 Claim Form to the regular address for claim submission:

Department of Public Welfare
Office of Medical Assistance Programs
P.O. Box 8150
Harrisburg, PA 17105-8150

NOTE: PRIOR AUTHORIZED AND 1150 ADMINISTRATIVE WAIVER SERVICES CANNOT BE BILLED ON THE SAME CLAIM FORM.

7.3 Exceptions Process and Criteria under the General Assistance Basic Health Care Package

Effective January 1, 1993, DPW implemented modifications to the MA Program for General Assistance recipients, ages 21 to 65, whose MA benefits are funded solely by State funds.

DPW established criteria and a process to grant exceptions to the limits of:

- 18 practitioner/clinic visits per fiscal year (July 1 through June 30);
- Six prescriptions/refills per month; and
- Thirty (30) home health visits per fiscal year.

7.3.1 General Criteria for Exceptions to Limits

Exceptions to the numerical limits on prescription drugs, practitioner/clinic visits, and home health visits may be granted for recipients with serious chronic systemic illnesses or other serious health conditions, which by themselves or in combination with other illnesses, conditions, or major trauma, may lead to hospitalization, nursing home admission, complications associated with the illness, a condition which could result in serious deterioration of the health of the individual, or death.

7.3.1.1 Types of Conditions That Qualify for Exceptions

- Hypertensive/Cardiovascular Disease
- Multi-system Diseases:
    - Hypertensive/Cardiovascular Disease
    - Pulmonary
    - Gastrointestinal
    - Musculoskeletal
    - Renal/Urinary
    - Central Nervous System

    - Endocrine
- Post Transplant
- Trauma Combined with any of the following diseases:
    - Hypertensive/Cardiovascular Disease
    - Pulmonary
    - Gastrointestinal
    - Musculoskeletal
    - Renal/Urinary
    - Central Nervous System
    - Endocrine
- Acute Systemic or Recurrent Infections
- Post Emergency Room Follow-up Treatment
- Post Operative Care, Incident to the Operation
- Multiple Trauma
- Major Organ System Illness
- HIV/AIDS
- The recipient's condition is not covered by the list above, but it is the practitioner's opinion that the recipient's condition meets the regulatory criteria for an exception to the limits and warrants an exception.

7.3.2 Process to Request an Exception for Additional Prescriptions

- Prescriber determines that recipient meets criteria for an exception
- Prescriber requests additional prescriptions by telephone call or in writing to DPW. The prescriber will be asked for the following information:
    - Clinical presentation?
    - Is condition acute or chronic?
    - If chronic, how treated previously?
    - Is recipient compliant in taking medication?
    - Name of medication/dosage/frequency/quantity?
    - Is this new medication?
    - Has recipient taken this or any other medication before?
    - Diagnosis?

The telephone number for the Exceptions Unit is **1-800-637-7840**. You may also send requests in writing to:

Department of Public Welfare
Exceptions Unit
P.O. Box 8044
Harrisburg, Pennsylvania 17105-8044

- DPW staff determines as quickly as possible if the request should be approved or denied. If the prescriber indicates the request is urgent, the response will be made no later than 48 hours after the request is received. If the prescriber indicates the request is non-urgent, the response will be made no later than 21 days after the request is received. If the prescriber is not notified of a decision on an exception within 21 days, the request is deemed approved.

  In some cases, DPW may need to request additional information to determine the need for an exception, such as test results, X-rays, etc. The need for additional information will be determined on a case-by-case basis. If additional information is requested, the 48-hour clock stops but then resumes when the Exceptions Unit receives the information.

  If additional prescriptions are urgently needed, they may be provided during non-business hours, weekends, or holidays. The prescriber must then seek a post approval on the next regularly scheduled business day, and the criteria and other requirements related to the exceptions process apply.

- If the exception request is **denied**, DPW will send written notice of denial to the prescriber and the recipient. Only the recipient has the right to appeal DPW denials.

- If the exception request is **approved**, DPW will provide the prescriber with an authorization number **to be placed on the prescription**. The recipient takes the prescription to his/her pharmacist to be filled.

- In order for the pharmacy claim to be paid, the pharmacist must call the Exceptions Unit at **1-800-637-7840**, with the authorization number from the prescription and the National Drug Code (NDC) for the prescription drug dispensed. The Exceptions Unit staff will verify the authorization number and confirm that the request is approved. The pharmacy will place the authorization number on the drug claim. If the authorization number and NDC do not match the Exceptions Unit file, the claim will reject.

  If for any reason the pharmacist is unable to contact the Exceptions Unit prior to dispensing the drug, the pharmacist should not refuse to fill the prescription if it is a compensable drug. The pharmacist may call the Exceptions Unit after dispensing the prescription.

- All correspondence related to an exception must include:
  - Provider's name and medical license number;
  - Provider type;
  - Provider's address;
  - Provider's telephone number;

- Recipient's name and identification number;
- 10-digit exception number, if one has been assigned.

7.3.3 Process to Request an Exception for Additional Practitioner/Clinic Visits or Home Health Visits

- Provider determines that recipient meets criteria for an exception.
- Provider requests additional visits by telephone call or in writing to DPW. The provider will be asked to explain the need for additional visits as follows:
  - Reason for visit?
  - Clinical presentation?
  - Is condition acute or chronic?
  - If chronic, how was condition treated previously, including number of visits already used to treat the condition?
  - Is recipient compliant in taking medication, if medication has been prescribed?
  - Planned treatment, including the number of visits needed over what time period?
  - Diagnosis?

The telephone number for the Exceptions Unit is **1-800-637-7840**. You may also send requests in writing to:

Department of Public Welfare
Exceptions Unit
P.O. Box 8044
Harrisburg, Pennsylvania 17105-8044

- DPW staff determines, as quickly as possible, if the request should be approved or denied. If the provider indicates the request is urgent, the response will be made no later than 48 hours after the request is received. If the provider states the request is non-urgent, the response will be made no later than 21 days after the request is received. **If the provider is not notified of a decision on an exception within 21 days, the request is deemed approved.**

  In some cases, DPW may need to request additional information to determine the need for an exception, such as test results, X-rays, etc. The need for additional information will be determined on a case-by-case basis. If additional information is requested, the 48-hour clock stops but then resumes when the Exceptions Unit receives the information.

  If additional services are urgently needed, they may be provided during non-business hours, weekends, or holidays. The provider must then seek a post approval on the next regularly scheduled business day, and the criteria and other requirements related to the exception process apply.

- If the exception request is **denied**, DPW will send written notice of denial to the provider and the recipient. **Only** the recipient has the right to appeal DPW denials.
- If the exception request is **approved**, DPW will provide the appropriate procedure code and an authorization number to be placed on the 837 Institutional/UB-04 Claim Form. The procedure code is placed in Form Locator 44 of the claim form, and the authorization number is placed in Form Locator 63 of the claim form.
- All correspondence related to the exception must include:
  - Provider's name and medical license number;
  - Provider type;
  - Provider's address;
  - Provider's telephone number;
  - Recipient's name and identification number;
  - 10-digit exception number, if one has been assigned.

NOTE: Each service requiring an authorization number must be placed on a separate claim form.

7.4 1150 Administrative Waiver Request Review Requirements for JCAHO Accredited Residential Treatment Facilities (RTFs)

To have a recipient approved for JCAHO RTF services:

1. A completed MA 325 Form (1150 Administrative Waiver Request) signed by the prescribing physician or designee.
2. A copy of the most recent psychiatric evaluation (within 30 days) signed by the treating psychiatrist that includes a recommendation for mental health residential treatment.
3. A copy of the individual's current or proposed mental health treatment plan, which specifies the goals for the residential treatment, the service to be provided, how those services will achieve the goals, and expected outcomes.
4. The Plan Care Summary, when available.
5. A copy of the completed form, Community-Based Mental Health Services – Alternative to Mental Health Residential Treatment Services.

Submit all of the above documentation in a complete package to:

Department of Public Welfare
Office of Medical Assistance Programs
Division of Medical Review/Concurrent Hospital Review Section – RTF
P.O. Box 8171
Harrisburg, PA 17105-8171

7.5 DRG Manual

The “Manual for Diagnosis Related Group (DRG) Review of Inpatient Hospital Services” is included in Appendix E of this handbook.

7.6 CHR Manual

The “Manual for Current Hospital Review (CHR) of Inpatient Hospital Services” is included in Appendix F of this handbook.

7.7 PSR Manual

The “Manual for Place of Service Review (PSR) of Inpatient Hospital Services” is included in Appendix G of this handbook.

837 INSTITUTIONAL/UB-04 CLAIM FORM HANDBOOK
SECTION 8 – REMITTANCE ADVICE

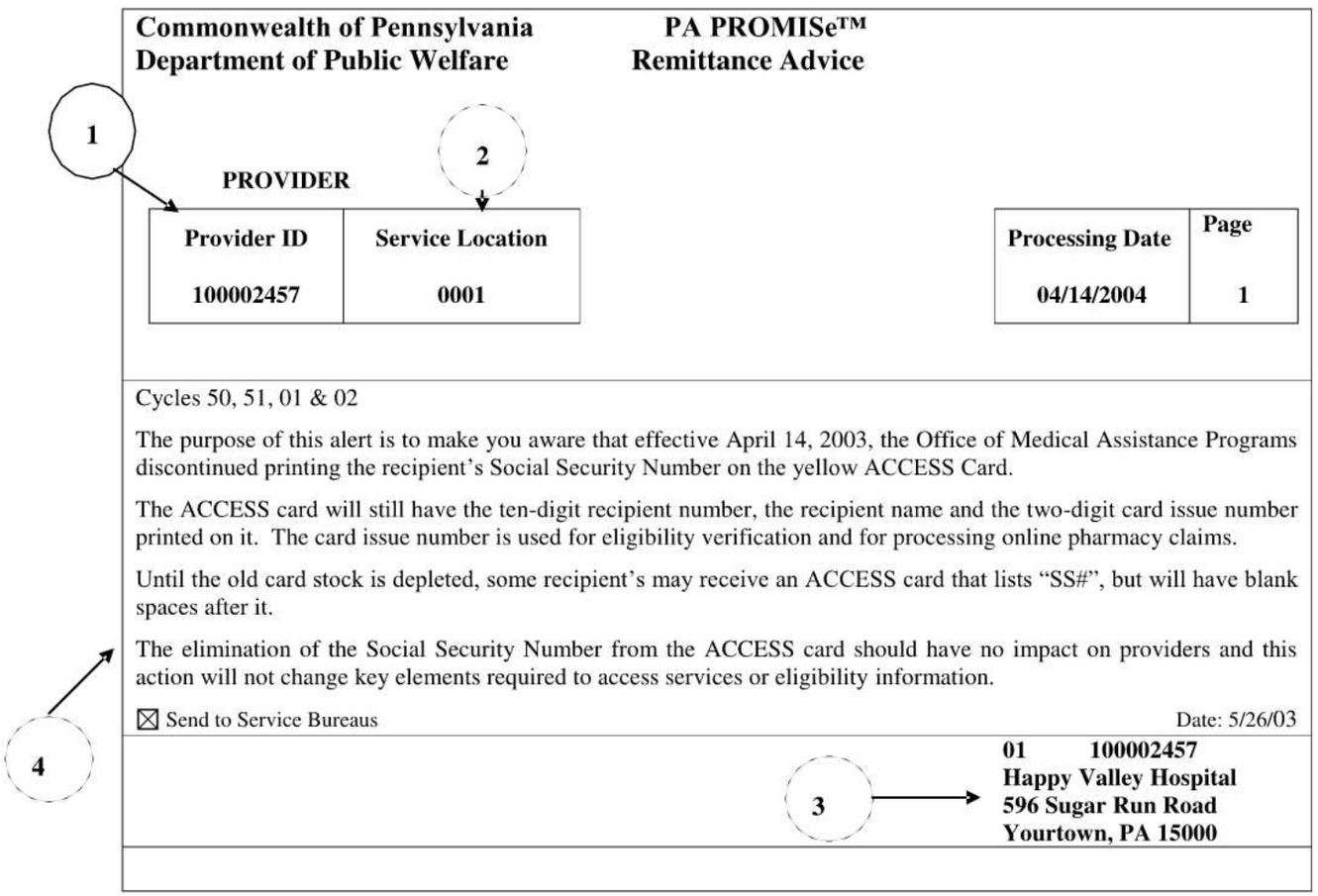
The Remittance Advice (RA) Statement explains the actions taken and the status of claims and claim adjustments processed by DPW during a daily cycle. The processing date on the RA statement is the computer processing date for the cycle. Checks corresponding to each cycle are mailed separately by the Treasury Department.

The first page of the RA is used as a mailing label and contains the "Address" where the RA is being sent. This is followed by the "Detail" page(s) that list all of the claim forms processed during the PA PROMIS*e*™ daily cycle. The next page is a "Summary" of activity from the detail page(s). Finally, the last page(s) is the Explanation of Edits Set This Cycle page(s).

8.1 Remittance Advice Address Page

The RA Address Page contains the address where the RA Statement is to be mailed and is used as a mailing label.

Providers may also find a Remittance Advice (RA) Alert on this page. From time to time, DPW may need to disseminate information quickly to the provider community. Consequently, an alert may be contained on the "Address" page of the RA Statement or in the form of an insert contained within the RA Statement.



Definitions of items circled on the above sample Remittance Advice Address Page:

1. **Provider Identification.** Provider's 9-digit PA PROMIS*e*™ provider number.

2. **Service Location** Provider's 4-digit service location.

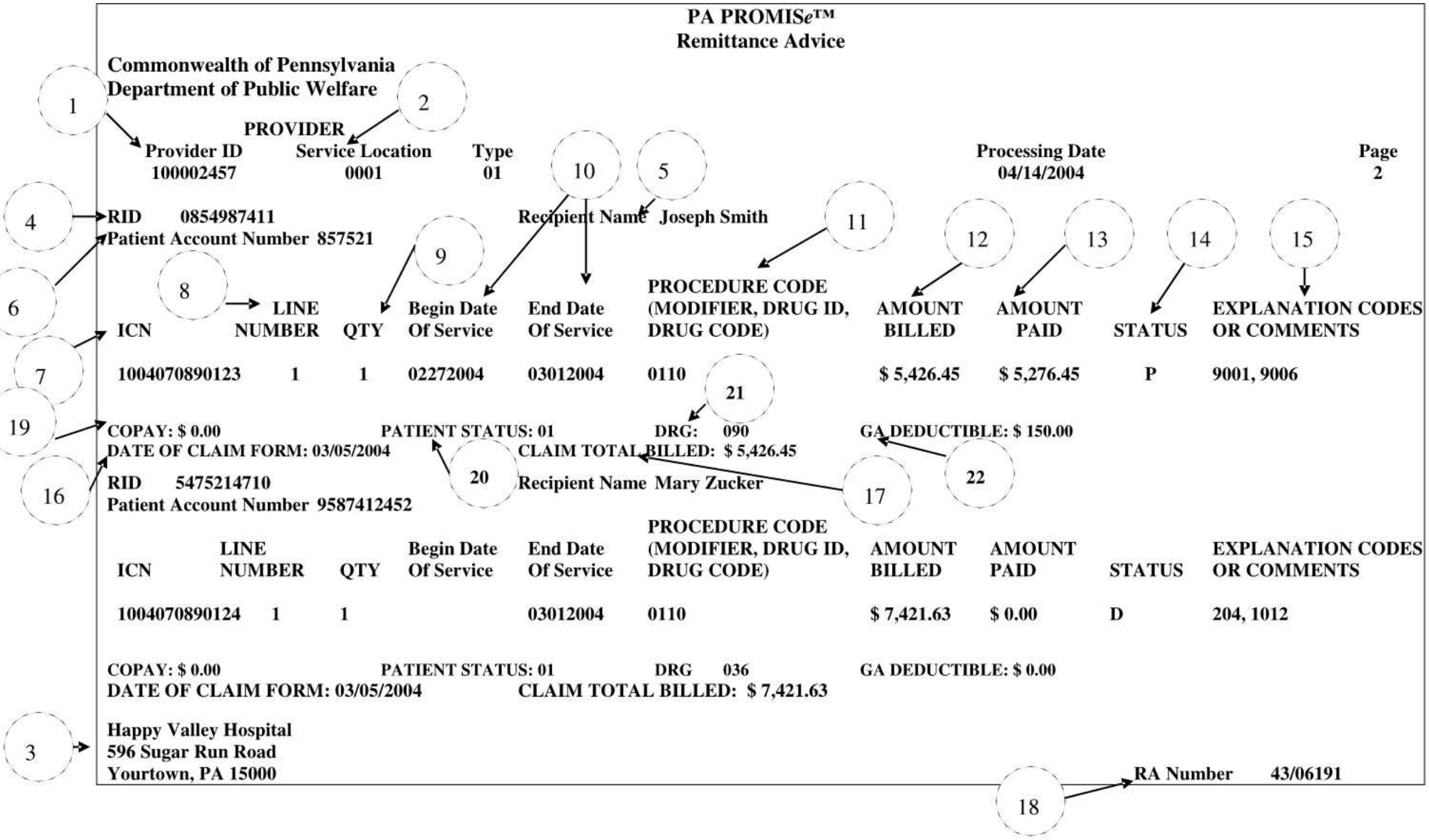
3. **Name and Address of the Provider** Address on DPW's provider files that denotes where the RA statement will be mailed.

4. **Alert** From time to time, DPW may need to disseminate information quickly to providers. Unless specifically designated for a particular provider type, the information applies to all providers.

8.2 Remittance Advice Detail Page(s)

The detail pages of the RA statement contain information about the claim forms and claim adjustments processed during the daily cycle.

Claim form information contained on the detail pages is arranged alphabetically by recipient last name. If there is more than one provider ***service location code***, claims will be returned on separate RA Statements as determined by each service location.


PA PROMISe™
Remittance Advice
Commonwealth of Pennsylvania
Department of Public Welfare
1
2
PROVIDER
Provider ID
Service Location
Type
Processing Date
Page
100002457
0001
01
10
5
04/14/2004
2
4
RID 0854987411
Recipient Name Joseph Smith
11
12
13
14
15
Patient Account Number 857521
9
6
8
PROCEDURE CODE
LINE
Begin Date
End Date
(MODIFIER, DRUG ID,
AMOUNT
AMOUNT
EXPLANATION CODES
ICN
NUMBER
QTY
Of Service
Of Service
DRUG CODE)
BILLED
PAID
STATUS
OR COMMENTS
7
1004070890123
1
1
02272004
03012004
0110
$ 5,426.45
$ 5,276.45
P
9001, 9006
21
19
COPAY: $ 0.00
PATIENT STATUS: 01
DRG: 090
GA DEDUCTIBLE: $ 150.00
DATE OF CLAIM FORM: 03/05/2004
CLAIM TOTAL BILLED: $ 5,426.45
16
20
22
RID 5475214710
Recipient Name Mary Zucker
17
Patient Account Number 9587412452
PROCEDURE CODE
LINE
Begin Date
End Date
(MODIFIER, DRUG ID,
AMOUNT
AMOUNT
EXPLANATION CODES
ICN
NUMBER
QTY
Of Service
Of Service
DRUG CODE)
BILLED
PAID
STATUS
OR COMMENTS
1004070890124
1
1
03012004
0110
$ 7,421.63
$ 0.00
D
204, 1012
COPAY: $ 0.00
PATIENT STATUS: 01
DRG 036
GA DEDUCTIBLE: $ 0.00
DATE OF CLAIM FORM: 03/05/2004
CLAIM TOTAL BILLED: $ 7,421.63
3
Happy Valley Hospital
596 Sugar Run Road
Yourtown, PA 15000
18
RA Number 43/06191

1.	**Provider Identification Number**	Provider's 9-digit PA PROMIS*e*™ provider number.
2.	**Service Location**	Provider's 4-digit service location.
3.	**Name and Mailing Address of the Provider**	Address on DPW's provider files designated to receive payment for services.
4.	**Recipient Identification Number (RID)**	Recipient's 10-digit number from Form Locator 60 of the 837 Institutional/UB-04 Claim Form.
5.	**Recipient Name**	Recipient's name as identified by the recipient ID Number. Recipients are listed alphabetically within each service location. If the recipient ID on the claim form does not match with a number in the system's files, a blank space appears instead of name.
6.	**Patient Account Number**	Alpha and/or numeric identifier entered in Form Locator 3 of the 837 Institutional/UB-04 Claim Form. This information is especially helpful to you in identifying a patient if the Recipient's Name appears as a blank space.
7.	**Internal Control Number (ICN)**	The 13-digit number assigned by DPW to the claim form. The first two digits represent the Region Code, the third through the seventh digits represent the Year and Julian Date, the eighth through the tenth digits represent the Batch Number, and the eleventh through the thirteenth digits represent the Claim Sequence within the batch.
8.	**Line Number**	Number of the claim line on the claim form. The claim line may be 1 through 6.
9.	**Quantity**	Number of services provided as indicated on the claim line.
10.	**Date of Service**	Date the service was performed, as indicated on the claim form.
11.	**Procedure Codes, Modifier, Drug ID, and Drug Code**	The Procedure Code for the DRG stays is the three-digit DRG based upon the ICD-9-CM code. The procedure code for Cost Related Reimbursement Stays will be 000099.
12.	**Amount Billed**	For DRG stays, the total of the revenue codes will be shown as the total charges from Form Locator 47. If the 837 Institutional/UB-04 Billing Form was a claim adjustment to back out the total payment, the total charges will be zero.
13.	**Amount Paid**	Amount approved by MA for payment. Please note that MA pays the lesser of the following; the provider's usual charge or

the established MA fee for the service/item.

14. Status

Disposition of the claim line as of the processing date. The Status Column of the RA indicates whether the claim has been paid, denied, or suspended:

(P) Paid If a claim is approved, the amount paid by the Commonwealth will be listed. If the amount paid is not correct, follow the instructions for submitting a Claim Adjustment (add hyperlink to General Information Section).

(D) Denied Explanation code for the denial will be listed in the Explanation Code column. Look up the code's meaning on the Explanation of Edits Set This Cycle page(s) at the end of the RA.

- Check the file copy of the claim form submitted to locate the error.
- If the service is compensable, submit a new corrected claim form for the rejected claim. Include the Internal Control Number (ICN) (or the claim reference number (CRN) if the claim was submitted prior to 03/01/2004) and RA number of the rejected claim in Form Locator 11 of the 837 Institutional/UB-04 Claim Form or the applicable area when electronically billing.

(S) Suspended If a claim form is suspended, it is being held for manual review. The explanation code for the suspended claim will be listed in the Explanation Code Column. Look up the code's meaning on the "Explanation of Edits Set This Cycle" page(s) found at the end of the RA. *If a claim is suspended and does not appear on an RA as approved or denied within 45 days, resubmit the claim.*

(W) Approved Payment is delayed due to insufficient

funds in the appropriation.

15. Explanation Codes or Comments

Messages to the provider. The code numbers help you to identify what was incorrect on the claim form or explain why DPW is manually reviewing the claim. The description for each code is found on the "Explanation of Edits Set This Cycle" page(s) at the end of the RA. We also suggest that you review the sample reconciliation method to help you set up your own accounts receivable method.

16. Date of Claim Form

Date shown in Form Locator 86 of the 837 Institutional/UB-04 Claim Form or the date the claim was transmitted electronically.

17. Claim Total Billed

Total amount billed on the claim form and the total payment authorized by the Commonwealth.

18. RA Number – XX/00000

First two digits identify the processing cycle. The five digits following the slash (/) identify the particular RA within the cycle. The RA number should be used when making inquiries about the information contained on the RA Statement.

19. Copay Deducted

The amount of copayment deducted for the service.

Please note *that nursing facility and intermediate care facility services are exempt from copayment. If you are an enrolled nursing facility or enrolled intermediate care facility, copayment should not be assessed against your charges.*

20. Patient Status

The Patient Status Code that was included on the electronic claim or in Form Locator 20 (Patient Status) on the UB-04.

21. DRG

For inpatient acute care hospitals, the DRG that was assigned to the claim.

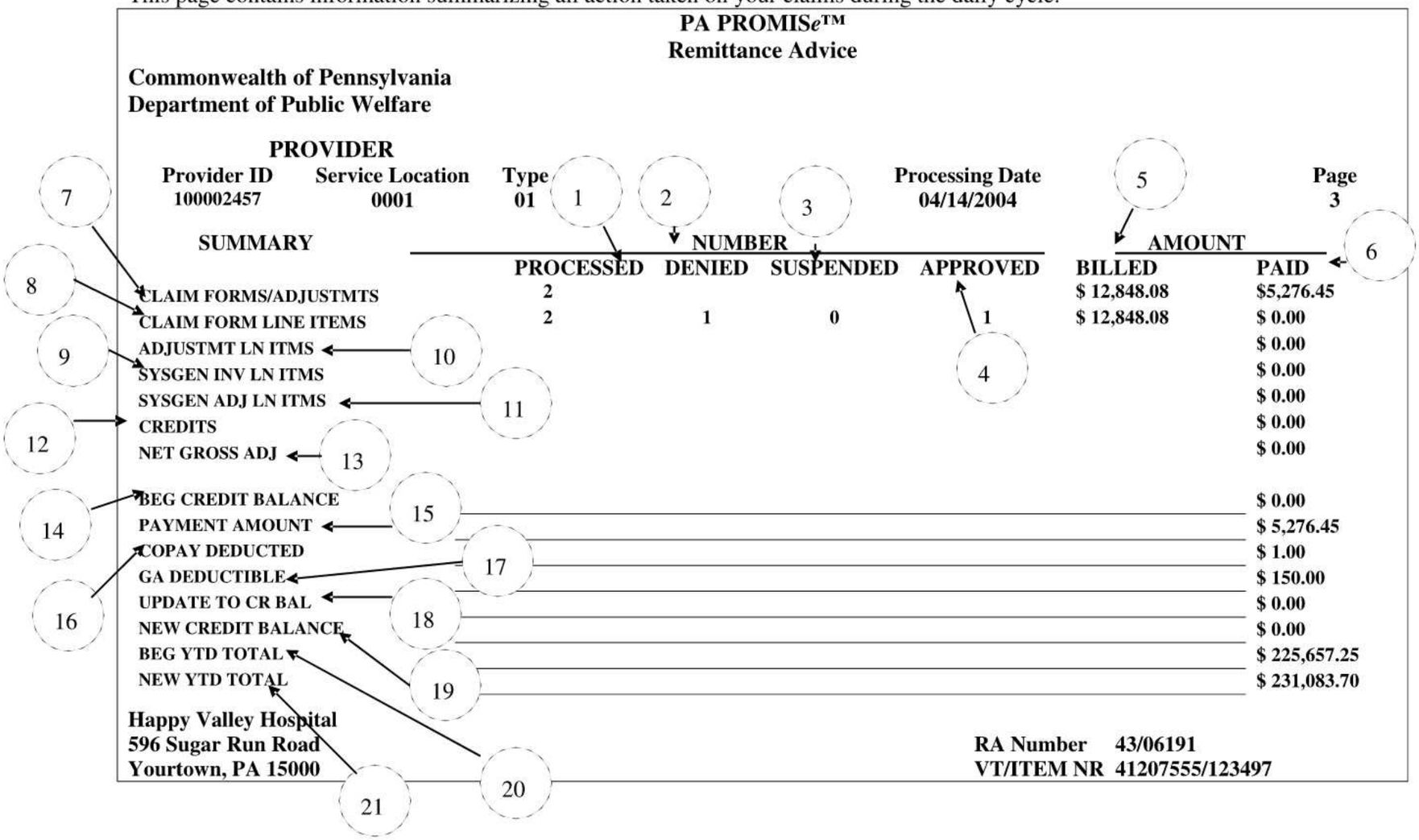
22. GA Deductible

General Assistance (GA) deductible applied to the claim for recipients in Service Programs HCB03 and HCB05 with Categories of Assistance D, PD, or TD.

GA Deductible ($150.00 per year, assessed on a fiscal year basis) may be applied to general hospitals (inpatient and outpatient, non-diagnostic services), hospital short procedure units (SPUs), ambulatory surgical centers (ASCs), rehabilitation hospitals (inpatient and outpatient), private psychiatric hospitals, and extended acute psychiatric inpatient care providers claims.

8.3 PA PROMIS*e*™ Remittance Advice Summary Page

This page contains information summarizing all action taken on your claims during the daily cycle.



1.	**Number Processed**	Total of all claim line items, system-generated line items, adjustment line items, system-generated adjusted line items, credits and/or new gross adjustments that were acted upon by PA PROMIS*e*™ during the daily cycle.
2.	**Number Rejected**	Number of line items and number of adjustments disapproved.
3.	**Number Pended**	Number of claim form line items held for further processing. These claims are awaiting approval or rejection.
4.	**Number Approved**	Number of items that were accepted for payment during the daily cycle.
5.	**Amount Billed**	Total of the usual charges less third party payments billed as shown on the claim lines and/or claim adjustments.
6.	**Amount Paid**	Dollar amount authorized for payment.
7.	**Claim Forms/Adjustments**	Total number and actual dollar amounts of claim forms and claim adjustment forms.
8.	**Claim Form Line Items**	Number of claim lines and actual dollar amounts for the daily cycle. (Note: There may be more "Claim Form Line Items" than "Claim Forms/Adjustments" since each claim form will hold more than one claim line.)
9.	**Systems Generated Claim Form Line Items**	Number of systems generated claim lines and actual dollar amounts for the daily cycle. Usually the item relates to processing of Managed Care Organization (MCO) claims.
10	**Adjustment Line Items**	Number of claim adjustment lines and actual dollar amounts for the daily cycle.
11	**Systems Generated Adjustment Line Items**	Number of systems generated claim adjustment lines and actual dollar amounts for the daily cycle. Usually the item relates to DPW initiated Third Party Liability (TPL) recoveries.
12	**Credits**	Amount originally paid on claims that are being adjusted during the daily cycle.

13	**Net Gross Adjustment**	Amounts debited (DB) and credited (CR) to a provider's account. CR indicates an amount of money owed to the Commonwealth, and this amount will be subtracted from the approved claim amount. DB indicates an amount of money owed to the provider and this amount will be added to the approved claim amount. Gross adjustments are transactions affecting a provider's account that are not processed by way of a claim form.
14	**Beginning Credit Balance**	Amount owed to the Commonwealth as of the last RA Statement.
15	**Payment Amount**	Actual dollar amount the provider will receive for the RA.
16	**Copay Deducted**	Amount of copayment deducted during this daily cycle.
17	**GA Deductible**	Amount a General Assistance recipient is required to pay toward his/her healthcare. GA Deductible ($150.00 per year, assessed on a fiscal year basis) may be applied to general hospitals (inpatient and outpatient, non-diagnostic services), hospital short procedure units (SPUs), ambulatory surgical centers (ASCs), rehabilitation hospitals (inpatient and outpatient), private psychiatric hospitals, and extended acute psychiatric inpatient care providers claims.
18	**Update to Credit Balance**	Dollar amount to be applied against the "Beginning Credit Balance". This may be a positive or negative amount.
19	**New Credit Balance**	Balance owed to the Commonwealth by the provider after this daily cycle.
20	**Beginning Year to Date Total**	Cumulative amount paid to the provider in the current calendar year, not including this daily cycle.
21	**New Year to Date Total**	Cumulative amount paid to the provider for the current calendar year, including the current RA Check Amount.

8.4 PA PROMISe™ "Explanation of Edits Set This Cycle" Page

This is always the last page(s) of the RA Statement. This page contains a list of the Explanation Codes or Comments that appear on the RA Detail page(s) for this daily cycle. To the right of each Explanation Code is the description of the code.

PA PROMISe™
Remittance Advice

Commonwealth of Pennsylvania
Department of Public Welfare

PROVIDER				
Provider ID	**Service Location**	**Type**	**Processing Date**	**Page**
100002457	**0001**	**01**	**04/14/2004**	**4**

EXPLANATION OF EDITS SET THIS CYCLE

204	RECIPIENT ID NUMBER IN VALID FORMAT
1021	**REND PROV SPECIALTY NOT ELIGIBLE TO RENDER PROC CD**
9001	**AMOUNT PAID CUT BACK BECAUSE OF COPAY**
9006	**GA DEDUCTIBLE CUTBACK**

Definitions of the items circled on the above sample "Explanation of Edits Set This Cycle" page:

1. **Explanation Code or Comments** — Messages to the provider. The reason code(s) are also found in the Explanation Codes or Comments column of the Remittance Advice Detail page(s).

2. **Messages to the provider Explanation Code Description** — Description of the Explanation Codes or Comments found on the Remittance Advice Detail page(s) for this daily cycle.

8.5 Claim Form Reconciliation Method

The daily RA statement reconciles submitted claim forms with MA claims processing activities. By itself, the RA statement will not serve as an accounts receivable report because:

- Suspended claims will be processed in a daily computer run. Therefore, the difference between claims processed over a certain time period and the paid/rejected claims during the same period may not equal outstanding submitted claim forms.
- The amount billed by the provider indicates the usual and customary charges and will ordinarily not equal the MA paid-in-full amount for services as determined by the MA Program Fee Schedule.

To determine the "accounts receivable", you should develop a "reconciliation" system. As an example, some providers use the following method:

Step 1 Your copies of claim forms that were submitted to DPW are placed in a "submitted" or "suspended" file. They are filed by date of submission to DPW. Within each submission date batch, the file copies are in alphabetical order by the recipient's last name.

If you have arranged with DPW to use different service locations or payees, then you should have a separate submitted claim form file for each service location or payee. Your RA statement will be organized first by service location, then by recipient name in alphabetical order.

It is very important that you enter your own reference number (i.e., patient account number) or patient's name in Form Locator 3 (Patient Control Number) of the 837 Institutional/UB-04 Claim Form to comply with your own filing system. The information entered into this box is listed in the first column of the RA statement. This information can be used to identify the patient on claims whenever the name of the recipient does not appear on the RA statement. If DPW cannot identify the patient due to an inaccurate recipient number, a blank space will appear on the RA Statement where the recipient's name usually appears. When this situation occurs, the information entered on the claim form in Form Locator 3 of the 837 Institutional/UB-04 Claim Form, will enable you to identify the patient and keep your own records up to date.

Step 2 Each additional batch of claim forms that is submitted is added to the back of the submitted/suspended file so that the oldest file copies are in the front and the most recent are in the back.

Step 3 Each time you receive an RA statement from DPW, the "submitted file" is compared to the RA statement.

A. If a claim form has been approved and "paid", that claim form is removed from the submitted file and placed with the provider's permanent financial records.

B. If there was an overpayment or underpayment, a new adjusted bill (Type of

Bill 117) is submitted on a new claim form. (See your applicable 837 Institutional/UB-04Billing Guide from the PA PROMIS*e*™ Provider Handbook for the 837 Institutional/UB-04 Claim Form.)

C. If a claim form has been identified as "denied", the file copy of that claim form is removed from the submitted file.

   1. If the denied claim form is one that DPW should not pay, (for example, the recipient is ineligible or the service is not covered), then the claim form is placed in your permanent record.

   2. If the denied claim form is one you believe DPW should pay, then prepare and submit a new claim form with the correct information. Correct information may be found in the provider's records or secured from the recipient. If the Explanation Code indicates that it is a recipient eligibility related problem, access EVS to verify recipient eligibility. For all other problems, contact DPW. The provider copy of the resubmitted claim form is added to the resubmitted file as a regular claim form under the new date of submission.

Step 4 All file copies of submitted claims that are identified on the RA statement as suspended are left in your submitted file for comparison with future RA statements.

Step 5 If a claim form does not appear on an RA Statement as paid, denied, or suspended within 45 - 50 days after submission, resubmit the claim immediately. If you have Internet access, go to the PA PROMIS*e*™ Internet site at promise.dpw.state.pa.us, to check the status of the claim or contact the Provider Inquiry Unit and request claim status. In most cases, claim forms will appear on an RA Statement 25-35 calendar days after submission.

This reconciliation system will not only make it easier to reconcile your submitted claims with DPW's processing actions, but it will give you a quick indicator of the number of outstanding claims. It will also give you an approximate age (by submission date) of the outstanding claims.

DPW's goal is to pay all proper, correctly completed 837 Institutional/UB-04 Claims within 30 days of the date received. Therefore, unresolved or outstanding bills more than 30-days old could be considered your "accounts receivable". If your submitted file is growing at a fast rate or bills are not being resolved in the 25-35 day time period, you should contact the appropriate Provider Inquiry Unit at DPW.

8.6 Example of RA Statement for Inpatient Acute Care Hospitals

PA PROMIS*e*™
Remittance Advice

Commonwealth of Pennsylvania
Department of Public Welfare

PROVIDER				
Provider ID	Service Location	Type	Processing Date	Page
100002457	0001	01	04/14/2004	2

RID 0854987411 **Recipient Name** Joseph Smith
Patient Account Number 857521

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890123	1	1	02272004	03012004	0110	$ 5,426.45	$ 3035.49	P	9001

COPAY: $ 0.00 **PATIENT STATUS:** 01 **DRG:** 090 **GA DEDUCTIBLE:** $ 0.00
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED:** $ 3,045.49

RID 5475214710 **Recipient Name** Mary Zucker
Patient Account Number 9587412452

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890124	1	1		03012004	0110	$ 7,421.63	$ 0.00	D	204, 1012

COPAY: $ 0.00 **PATIENT STATUS:** 01 **DRG:** 036 **GA DEDUCTIBLE:** $ 0.00
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED:** $ 7,421.63

Happy Valley Hospital
596 Sugar Run Road
Yourtown, PA 15000

RA Number 43/06191

8.7 Example of RA Statement for Outpatient Hospitals

PA PROMIS*e*™
Remittance Advice

Commonwealth of Pennsylvania
Department of Public Welfare

PROVIDER				
Provider ID	Service Location	Type	Processing Date	Page
100002457	0001	01	04/14/2004	2

RID 0854987411 **Recipient Name** Joseph Smith
Patient Account Number 857521

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890123	1	1	03012004	03012004	70010 TC	$ 125.00	$ 39.00	P	9001

COPAY: $0.00 **PATIENT STATUS:** 01 **DRG:** 000 **GA DEDUCTIBLE:** $ 0.00
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED:** $ 125.00

RID 5475214710 **Recipient Name** Mary Zucker
Patient Account Number 9587412452

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890124	1	1	03012004	03012004	80074	$ 175.00	$ 0.00	D	204, 1012

COPAY: $0.00 **PATIENT STATUS:** 01 **DRG:** 000 **GA DEDUCTIBLE:** $ 0.00
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED:** $ 175.00

Happy Valley Hospital
596 Sugar Run Road
Yourtown, PA 15000

RA Number 43/06191

8.8 Example of RA Statement for Nursing Facilities/Intermediate Care Facilities

PA PROMIS*e*™
Remittance Advice

Commonwealth of Pennsylvania
Department of Public Welfare

PROVIDER			Processing Date	Page
Provider ID	Service Locati n	Type		
100003333	0001	03	04/14/2004	2

RID 0854987411 **Recipient Name** Joseph Smith
Patient Account Number 857521

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890123	1	30	02012004	02292004	0100	$ 2, 800.00	$ 2, 800.00	P	9001

COPAY **PATIENT STATUS: 30**
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED: $ 2, 800.00**

RID 5475214710 **Recipient Name** Mary Zucker
Patient Account Number 9587412452

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890124	1	30	02012004	02292004	0100	$ 3, 200.00	$ 0.00	D	204, 1012

COPAY **PATIENT STATUS: 30**
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED: $ 3,200.00**

ABC Nursing Facility
1050 Maple Drive
Yourtown, PA 15000

RA Number 43/06191

8.9 Example of RA Statement for Inpatient Rehabilitation Hospitals/Units and Inpatient Psychiatric Hospitals/Units

PA PROMIS*e*™
Remittance Advice

Commonwealth of Pennsylvania
Department of Public Welfare

PROVIDER				
Provide ID	Service Location	Type	Processing Date	Page
100004444	0001	01	04/14/2004	2

RID 0854987411 **Recipient Name** Joseph Smith
Patient Account Number 857521

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890123	1	30	02012004	02292004	0110	$ 1, 800.00	$ 1, 800.00	P	9001

COPAY: $ 0.00 **PATIENT STATUS:** 30
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED:** $ 1,800.00

RID 5475214710 **Recipient Name** Mary Zucker
Patient Account Number 9587412452

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890124	1	30	02012004	02292004	0110	$ 3, 800.00	$ 0.00	D	204, 1012

COPAY: $0.00 **PATIENT STATUS:** 30
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED:** $ 3,800.00

ABC Nursing Facility
1050 Maple Drive
Yourtown, PA 15000

RA Number 43/06191

8.10 Example of RA Statement for JCAHO Residential Treatment Facilities

PA PROMIS*e*™
Remittance Advice

Commonwealth of Pennsylvania
Department of Public Welfare

PROVIDER					
Provider ID	Servi e Location	Type		Processing Date	Page
10000777	0001	03		04/14/2004	2

RID 0854987411 **Recipient Name** Joseph Smith
Patient Account Number 857521

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890123	1	30	02012004	02292004	0110	$ 5,400.00	$ 3, 750.00	P	9001

COPAY **PATIENT STATUS: 30**
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED: $ 5,400.00**

RID 5475214710 **Recipient Name** Mary Zucker
Patient Account Number 9587412452

ICN	LINE NUMBER	QTY	Begin Date Of Service	End Date Of Service	PROCEDURE CODE (MODIFIER, DRUG ID, DRUG CODE)	AMOUNT BILLED	AMOUNT PAID	STATUS	EXPLANATION CODES OR COMMENTS
1004070890124	1	30	02012004	02292004	0110	$ 4,675.00	$ 0.00	D	204, 1012

COPAY **PATIENT STATUS: 30**
DATE OF CLAIM FORM: 03/05/2004 **CLAIM TOTAL BILLED: $ 4,675.00**

ABC Nursing Facility
1050 Maple Drive
Yourtown, PA 15000

RA Number 43/06191

837 INSTITUTIONAL/UB-04 CLAIM FORM HANDBOOK
SECTION 9 –HIPAA REQUIREMENTS

This section includes how the Health Insurance Portability and Accountability Act (HIPAA) requirements were implemented and applied in the PA PROMIS*e*™ Program. This section also describes how providers can become certified to submit HIPAA transactions and code sets. Additionally, the handbook will provide information on how the HIPAA security rules will protect private information in the PA PROMIS*e*™ Program.

9.1 Health Insurance Portability and Accountability Act

The Health Insurance Portability and Accountability Act (HIPAA) became public law on August 21, 1996. It is a federal bi-partisan law based on the Kennedy-Kassebaum bill. The Department of Health and Human Services assigned the Centers for Medicare & Medicaid Services (CMS) the task of implementing HIPAA. The primary goal of the law was to make it easier for people to keep health insurance, and help the industry control administrative costs.

HIPAA is divided into five Titles or sections. Title I is Portability and has been fully implemented. Portability allows individuals to carry their health insurance from one job to another so that they do not have a lapse in coverage. It also restricts health plans from imposing pre-existing condition limitations on individuals who switch from one health plan to another.

Title II is called Administrative Simplification. Title II is designed to:

- Reduce health care fraud and abuse;
- Guarantee security and privacy of health information;
- Enforce standards for health information and transactions; and
- Reduce the cost of healthcare by standardizing the way the industry communicates information.

Titles III, IV, and V have not yet been defined.

The main benefit of HIPAA is standardization. HIPAA requires the adoption of industry-wide standards for administrative health care transactions; national code sets; and privacy protections. Standards have also been developed for unique identifiers for providers, health plans and employers; security measures; and electronic signatures.

9.1.1 Administrative Simplification

The goal of administrative simplification is to reduce health care administrative costs and promote quality and continuity of care by facilitating electronic data interchange (EDI). HIPAA establishes standards for 10 electronic health care transactions, national code sets, and unique identifiers for providers, health plans, employers, and individuals. It also establishes standards for ensuring the security of electronic health care transactions.

Although industry use of EDI is growing, health care transactions are transported and processed in various file structures and record layouts.

It is important to remember two things:

1. HIPAA does not require providers to submit claims or receive remittance advice statements electronically.
2. It also does not directly address paper claims.

9.1.2 Transactions Adopted

837 Professional	NCPDP 5.1 Claim	270 Eligibility Request
837 Institutional Inpatient	NCPDP 5.1 Reversal	271 Eligibility Response
837 Institution Nursing Home	NCPDP 5.1 Eligibility	
837 Dental	NCPDP 1.1 Batch	
835 Remittance Advice		

9.1.3 Code Sets Adopted

International Classification of Diseases, Ninth Revision, Clinical Modification (ICD-9-CM)	Diagnoses (all services) and Inpatient Hospital Procedures

National Drug Codes (NDC)	Drugs, Biologicals
Current Dental Terminology, fourth edition (CDT-4)	Dental Services
Current Procedural Terminology, fourth edition (CPT-4)	Physician and all other services
CPT-4 – HCFA Common Procedural Coding System (HCPCS) Level II	Medical equipment, injectable drugs, transportation services, and other services not found in CPT-4
HCFA Health Care Claim Adjustment Reason Codes and Remittance Advice Remark Codes	

9.1.4 Software Options Available

Providers have three options for selecting software used to submit HIPAA-ready transactions to Pennsylvania Medical Assistance.

1. Request Provider Electronic Solutions (PES) software (provided free-of-charge).
2. Purchase certified HIPAA software from your vendor of choice.
3. Program your own system software.
4. Use a clearinghouse that uses HIPAA certified software.

All providers planning to submit HIPAA-ready claims, regardless of the origin of their software, need to register and be certified by Electronic Data Systems (EDS), DPW's claims processing contractor, prior to submitting their first claim. To register, please go to https://promise.dpw.state.pa.us/ePROM/_ProviderSoftware/softwareCertificationForm.asp and complete the registration form. If you do not have Internet access, please call 717-975-6085, and leave your name and telephone number. A certification expert will contact you to complete the registration process.

9.1.5 HIPAA Claim Transaction Certification

For HIPAA-compliant transactions to be submitted, there is a certification process that involves registration and testing. When you register for certification, you must indicate the type of transactions you will be sending/receiving.

It is vital that you complete the certification process and become certified to exchange HIPAA transactions. Without certification, your files will not be accepted and your claims will not be processed.

Certification does not insure that claims will be paid.

9.1.5.1 Provider Electronic Solutions software

If you are looking for a way to send and receive HIPAA-ready electronic transactions and determine recipient eligibility, consider the Provider Electronic Solutions software. You can submit the following transaction types:

- EVS transactions (interactive and batch)
- Professional Claims (837P)
- Dental Claims (837D)

- Institutional Claims (837I)
- Long Term Care Claims (837I)
- Electronic Remittance Advice (835)
- Pharmacy Claims, Eligibility, and Extended Reversals (NCPDP 5.1)

Note: For more information on Provider Electronic Solutions software click on

http://promise.dpw.state.pa.us/ePROM/_ProviderSoftware/softwareDownloadMain.asp

Follow the directions to download the software.

Note: This software is available to you free-of-charge, and runs on Microsoft Windows operating systems on IBM compatible computers.

9.1.5.2 PA PROMISe™ Internet Providers

Providers who submit claim transactions directly through the PA PROMISe™ Internet Application do *not* require certification because this application is built to be HIPAA compliant. However, you are required to be an active provider in PA PROMISe™. You will also need a valid log on ID and a username and password to access PA PROMISe™.

9.1.5.3 Software Vendors/Developers

Clearinghouses, software vendors and developers distributing software to providers are required to certify through EDS. Upon successful certification, each vendor/developer will be assigned a Terminal ID. The software vendor/developer will provide this number to their users when distributing software. Providers who submit claims through a clearinghouse are covered under the clearinghouse's certification.

837/835 submitters:

- Clearinghouses and providers/submitters directly interacting electronically with the EDS clearinghouse must certify (this also includes providers using certified software purchased from a vendor).
- Providers submitting claims through a clearinghouse are covered under the clearinghouse's certification.

NCPDP 5.1 vendors:

- Software vendors and developers distributing software to providers must certify.
- Vendors of interactive software are also required to certify with WebMD.

NCPDP 5.1 interactive submitters:

- Submitters using certified software are covered under the software vendor's certification.
- Interactive submitters using certified vendor software will not be required to obtain an EDS HIPAA clearinghouse ID but will be required to register with WebMD.

NCPDP 1.1 batch submitters:

- Submitters using certified software are covered under the software vendor's certification.
- Each provider who submits batch transactions using certified vendor software is responsible for obtaining an EDS HIPAA clearinghouse ID that grants access to the EDS clearinghouse system.

270/271 vendors:

- Software vendors and developers distributing software to providers must certify.

270/271 interactive submitters:

- Submitters using certified software are covered under the software vendor's certification.

270/271 batch submitters:

- Submitters using certified software are covered under the software vendor's certification.
- Each submitter is responsible for obtaining an EDS HIPAA clearinghouse ID that grants access to the EDS clearinghouse system.

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- Submitters using certified software are covered under the software vendor's certification.
- Each submitter is responsible for obtaining an EDS HIPAA clearinghouse ID that grants access to the EDS clearinghouse system.

Register for HIPAA certification by visiting the DPW website: http://promise.dpw.state.pa.us/ePROM/_ProviderSoftware/softwareDownloadMain.asp

Click on the "HIPAA Certification Registration Form" link. After you complete and electronically submit the registration form, an EDS representative will contact you to explain the certification process. If you do not have Internet access or need help completing the HIPAA Certification Registration Form, call the EDS Provider Assistance Center's toll-free telephone line at 1-800-248-2152 (Harrisburg area residents may call 717-975-6173).

9.2 HIPAA Privacy

The HIPAA Privacy Rule became effective on April 14, 2001 and was amended on August 14, 2002. It creates national standards to protect medical records and other protected health information (PHI) and sets a minimum standard of safeguards of PHI.

The regulations impact covered entities that are health care plans, health care clearinghouses and health care providers. Most covered entities, except for small health plans, must comply with the requirements by April 14, 2003. DPW performs functions as a health care plan and health care provider. Any entity having access to PHI must do an analysis to determine whether it is a covered entity and, as such, subject to the HIPAA Privacy Regulations.

9.2.1 Requirements

Generally, the HIPAA Privacy Rule prohibits disclosure of PHI except in accordance with the regulations. All organizations, which have access to PHI must do an analysis to determine whether or not it is a covered entity. The regulations define and limit the circumstances under which covered entities may use or disclose PHI to others. Permissible uses under the rules include three categories:

1. Use and disclosure for treatment, payment and healthcare operations;
2. Use and disclosure with individual authorization; and
3. Use and disclosure without authorization for specified purposes.

The HIPAA Privacy Regulations require Covered Entities to:

- Appoint a privacy officer charged with creating a comprehensive Privacy Policy.
- Develop minimum necessary policies.
- Amend Business Associate contracts.
- Develop accounting of disclosures capability.

- Develop procedures to request alternative means of communication.
- Develop procedures to request restricted use of PHI.
- Develop complaint procedures.
- Develop amendment request procedures.
- Develop individual access procedures.
- Develop an anti-retaliation policy.
- Train the workforce.
- Develop and disseminate the Privacy Notice.

9.2.2 Business Associate Relationships

As a covered entity, DPW must have safeguards in place when it shares information with its Business Associates. A Business Associate is defined by the HIPAA Privacy Regulation as a person or entity, not employed by the covered entity, who performs a function for the covered entity that requires it to use, disclose, create or receive PHI. The covered entity may disclose PHI to a Business Associate if it receives satisfactory assurances that the Business Associate will appropriately safeguard the information in accordance with the HIPAA requirements. These assurances are memorialized in a Business Associate Agreement that may or may not be part of a current contract or other agreement. The Business Associate language must establish permitted and required uses and disclosures and must require Business Associates to:

1. Appropriately, safeguard PHI.
2. Report any misuse of PHI.
3. Secure satisfactory assurances from any subcontractor.
4. Grant individuals access to and the ability to amend their PHI.
5. Make available an accounting of disclosures.
6. Release applicable records to the covered entity and the Secretary of Health and Human Services.
7. Upon termination of the Business Associate relationship, return or destroy PHI.

DPW's Business Associates include, but are not limited to Counties, Managed Care Organizations, Children and Youth Agency Contractors, and certain Contractors/Grantees. DPW's agreements with its Business Associates must be amended (or

otherwise modified) to include the Business Associate language required for HIPAA compliance. DPW will discontinue sharing information and/or discontinue a relationship with a Business Associate who fails to comply with the Business Associate language.

9.2.3 Notice of Privacy Practice

A covered entity must provide its consumers with a plain language notice of individual rights with respect to PHI maintained by the covered entity. Beginning April 15, 2003, health care providers must provide the notice to all individuals on their first day of service, and must post the notice at the provider's delivery site, if applicable. Except in an emergency treatment situation, a provider must make a good faith effort to obtain a written acknowledgement of receipt of the notice. Health plans must provide the notice to each individual enrolled in the plan as of April 14, 2003, and to each new enrollee thereafter at the time of enrollment, and within sixty days of any material revision to the notice. A covered entity with a web site must post its notice on the web site. A covered entity must document compliance with the notice requirements and must keep a copy of notices issued.

The specific elements of the notice include:

- Header: "This notice describes how medical information about you may be used and how you can get access to this information. Please review it carefully."
- A description, including at least one example, of the types of uses and disclosures the covered entity may make for treatment, payment or health care operations.
- A description of each of the other purposes for which the covered entity is required or permitted to use or disclose individually identifiable health information without consent or authorization.
- If appropriate, a statement that the covered entity will contact the individual to provide information about health-related benefits or services.
- A statement of the individual's rights under the privacy regulations.
- A statement of the covered entity's duties under the privacy regulations.
- A statement informing individuals how they may complain about alleged violations of the privacy regulations.

9.2.4 Employee Training and Privacy Officer

Providers must train their employees in their privacy procedures and must designate an individual to be responsible for ensuring the procedures are followed.

9.2.5 Consent and Authorization

- **Consent**

The HIPAA Privacy Regulations permit (not require) a covered entity to obtain a consent from a patient to use and disclose PHI for treatment, payment and health care operations. DPW will be obtaining consent for treatment, payment, and health care operations from its clients, where practicable.

- **Authorization**

The HIPAA Privacy Regulations make a clear distinction between consents and authorizations. Consents are used only for disclosures related to treatment, payment and health care operations. The covered entity is required to have an authorization from an individual for any disclosure that is not for treatment, payment, or health care operations or exempted under the regulations. An authorization must clearly and specifically describe the information that may be disclosed, provide the name of the person or entity authorized to make the disclosure and to whom the information may be disclosed. An authorization must also contain an expiration date or event, a statement that the authorization may be revoked in writing, a statement that the information may be subject to redisclosure and be signed and dated.

9.2.6 Enforcement

DPW is not responsible for the enforcement of the HIPAA privacy requirements. This responsibility lies with the U.S. Department of Health and Human Services, Office for Civil Rights (OCR). The enforcement activities of OCR will involve:

- Conducting compliance review;
- Providing technical assistance to covered entities to assist them in achieving compliance with technical assistance;
- Responding to questions and providing guidance;
- Investigating complaints; and, when necessary,
- Seeking civil monetary penalties and making referrals for criminal prosecution.

9.3 HIPAA Security Rule

The HIPAA Security Rule sets guidelines for the protection of private information. Security is the policies, procedures, technical services, and mechanisms used to protect electronic information. It mandates computer systems, facility, and user security safeguards. These safeguards are intended to minimize unauthorized disclosures and lost data.

9.4 Penalties for Noncompliance

The penalties outlined for the two rules released to date are as follows:

Penalties for the Transactions and Code Sets are aimed at the health plans, billing services and providers who submit claims electronically. They are:

$100 per violation (defined as each claim element)

Maximum of $25,000 per year.

Privacy affects all covered entities, such as health plans, billing services, providers and business associates who receive and use protected health information. The penalties for wrongful disclosures are:

Up to $250,000 AND

10 years in prison.

For more information on penalties, please go to www.hhs.gov/ocr/hipaa/.

9.5 Additional HIPAA Information

Located below are some links to pages of the HIPAA section of the DPW Internet site that you can visit for the most up-to-date information on HIPAA.

For General HIPAA information on HIPAA:

http://www.dpw.state.pa.us/yourprivacyrightshipaa/index.htm

For Office of Medical Assistance HIPAA information:

http://www.dpw.state.pa.us/yourprivacyrightshipaa/index.htm

For HIPAA Compliant Provider Billing Guides:

http://www.dpw.state.pa.us/publications/forproviders/promisecompanionguides/index.htm

For information on HIPAA Certification:

http://www.dpw.state.pa.us/provider/doingbusinesswithdpw/softwareandservicevendors/hipaa5010d.0upgradeinformation/index.htm