#### SHN How-To: Creating, Reviewing & Signing E-Authorizations

Last updated Nov. 2021 | Page 1 of 9

Service authorizations (referrals, recommendations, and prescriptions) are required for Medi-Cal billing purposes and are used to assist with documenting the medical necessity of a particular service (or set of services). Because service authorizations require the review/approval of specific provider types, SHN makes use of a workflow to manage the creation and approval process. Depending on your credential/provider type, you are either a "creator" or "authorizer," and in some cases, both.

This handout can be used by creators and authorizers alike and provides information about:

- Creating an authorization request and responding to questions regarding your authorization request
- Reviewing authorization requests and either approving/rejecting the requests
- Viewing and printing a student's authorization(s)
- General questions and answers

In addition, you can access an online video tutorial by <u>clicking here</u>.

#### Introduction

Only those services that will potentially be billed to Medi-Cal require an authorization. Medi-Cal guidelines stipulate who can approve (sign) referrals, recommendations, and prescriptions. When generating an authorization request in SHN, it must be approved by another SHN user. The following table details who can approve authorizations in SHN for each service that requires it:

IEP/IFSP Assessments		Authorizers
Nursing	$\rightarrow$	Registered, Credentialed School Nurse (RCSN)
Speech	$\rightarrow$	Registered, Credentialed School Nurse (RCSN)
Psych/Mental Health	$\rightarrow$	Licensed Psych, LCSW, LMFT, or RCSN
OT/PT	$\rightarrow$	Registered, Credentialed School Nurse
Audiology	$\rightarrow$	Registered, Credentialed School Nurse
Gen Ed Assessments		Authorizers
Developmental	$\rightarrow$	Registered, Credentialed School Nurse (RCSN)
Health Ed/Anticipatory Guidance	$\rightarrow$	Licensed Psych, LCSW, LMFT, or RCSN
Health/Nutrition	$\rightarrow$	Registered, Credentialed School Nurse (RCSN)
Hearing	$\rightarrow$	Registered, Credentialed School Nurse (RCSN)
Psychosocial	$\rightarrow$	Licensed Psych, LCSW, LMFT, or RCSN
Vision	$\rightarrow$	Registered, Credentialed School Nurse (RCSN)
IEP/IFSP Treatments		Authorizers
Speech	$\rightarrow$	Licensed SLP
Counseling	$\rightarrow$	Licensed Psych, LCSW, LMFT, RCSN, or Physician
OT/PT	$\rightarrow$	Contracted Physician
Audiology	$\rightarrow$	Licensed Audiologist

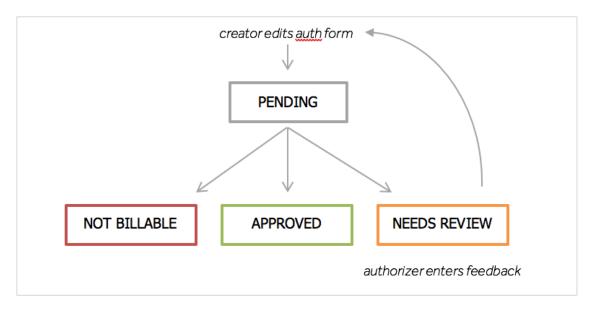
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# SHN's Workflow

SHN uses a workflow to manage authorizations from creation to approval. A status is assigned to each authorization request, according to the different stages of the workflow:

PENDING*	Assigned to the e-authorization record once the creator saves the record. The creator will select an authorizer from a list of eligible names, filtered according to type. The e-authorization record is ready to be reviewed by an authorizer. Service records covered by the authorization will not yet be processed for Medi-Cal billing.
NEEDS REVIEW	Assigned to the e-authorization record when a note or revision has been requested by an authorizer. The e-authorization record will be redirected back to the creator for revision. Service records covered by the authorization will not yet be processed for Medi-Cal billing.
APPROVED	Assigned to the e-authorization record if the service has been deemed medically necessary. An electronic signature for the authorizer is affixed to the record, and service records covered by the authorization will be processed for Medi-Cal billing.
NOT BILLABLE	Assigned to the e-authorization record if the service is deemed not medically necessary. (This does <u>not</u> mean, however, that the service is not necessary for the educational development of the student.) The e-authorization record remains on file as part of the student's historical record. <i>Service records covered by the authorization will not be processed for Medi-Cal billing</i> .
EXPIRED	Automatically assigned when the e-authorization is no longer active (the effective date range has passed), or the record has not been marked either approved or not billable (reviewed) by the time the effective date range has passed. <i>Service records covered by the authorization will not be processed for Medi-Cal billing</i> .

\*If the provider can authorize their own services, they can immediately assign the status of "approved" from the form entry screen. (There will be no need for the authorization to cycle through the approval workflow.)



### **Creating an E-Authorization**

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SHN consolidates and validates all e-authorizations to ensure that all eligible services you enter are covered. If they are not, you will be prompted to create a new e-authorization. In other words, SHN will prompt *you* to create/request an authorization when *you* enter an eligible service for a student that is not already covered by a pre-existing authorization.

Authorizations   <u>1 ready for</u>	or review   251 authorizations needed	
Activity Summary As of Jul 1, 2015	Groups Remove, change or add students in the Manage section	Manage Groups
117	ER Caseload	Add Services
ASSESSMENTS added	ER Group	Add Services   ~
612	ER Tues sub group	Add Services   👻
TREATMENTS added	cindys group	Add Services
10	Thursday Group	Add Services   ~

An alert will appear on the Dashboard showing the count of *Missing* authorizations and count of *Soon-to-Expire* authorizations

Click one of these links to be directed to the list of students with *Missing* or *Soon-to-Expire* authorizations for services you entered in SHN.

Manage	Authorizations Miss	ing Authorization -			
My Groups	Status	✓ Student Name	Service Type	Earliest Service Date	Actions
loprove Services IP Caseload	Needs Authorization	Trinity Taylor	Assessment (IEP)	Aug 21, 2015	Create Authorization
Open Office Visits	[Needs Authorization ]	Francisco Aboltes	Assessment (IEP)	Aug 9, 2015	Create Authorization
creenings Overview	Needs Authorization	Vinh Adame	Assessment (IEP)	Aug 10, 2015	Create Authorization
	Needs Authorization	Gladys Abarca	Assessment (IEP)	Aug 17, 2015	Create Authorization
	Needs Austronization	Braulio Thi	Assessment (IEP)	Aug 17, 2015	Create Authorization
	Needs Authorization	Sophia Penny	Assessment (IEP)	Aug 18, 2015	Creste Authorization
	Trends Authorization	Poul Aguayo	Assessment (IEP)	Aug 5, 2015	Create Authorization
	Needs Authorization	Melanie Adame	Assessment (IEP)	Aug 27, 2015	Create Authorization

Use the Status Menu to view authorizations that are Missing, Pending, Approved, Non-Billable, Needs Review, and even Soon-to-Expire.

Click Create Authorization to be directed to the entry form.

Once you have completed the form, the authorization will be placed in *Pending*.

If you are able to self-authorize, your authorization will show as *Approved* once you complete the form.

The good news is that authorizations are <u>valid for one year</u>, and when an authorization for your service type already exists (even if it was requested and approved by another user), you will not be asked to create a new one.

Remember, when filling in the authorization form, please be sure to complete each field accurately. It is up to you to provide enough information to validate the medical necessity of the services, including the scope of service(s) to be provided to the student.

	Assessments. The Effectiv
Assessment Authorization Details	Date is the first date the services will be covered by
Student: Calvin Abazan Mora	this authorization.
This form serves to capture the required authorization for assessment for Medicaid billing purposes.	<u>Treatments</u> . The effective date will be set for you and corresponds to the date th
Choose date  Gough Middla  Authorizations for assessments automatically expire after 12 months.	authorization is approved.
Calvin Abazan Mora has an existing service record that could be covered by this authorization. The date of service on this record is Nov 28, 2016.	SHN <u>will tell you</u> the earlies date of assessments logge
Referral for Assessment	SHN that is not covered by existing authorization. (Tip
This student is being referred for: Speech Assessments (IEP)	this date, when possible.)
Reason, Diagnosis, and Notes for Speech Assessments (IEP) — when applicable	Be specific in the reason for
All other assessments, such as initial assessment, annual assessment, triennial assessment, or amended assessment(s) will be provided to the student in accordance with the IEP/IFSP process, specific to the student's special education eligibility and progress. This authorization shall be updated annually for the student.	service and the nature and extent of service. Include th diagnosis of the student, wh possible.

A list of eligible authorizers will appear here—this is the person who will review the request for authorization.

#### Tips for completing this form:

Choose a review

PAST REVIEWERS

Nurse Training (N)

ALL AVAILABLE REVIEWERS Nurse Demo (N)

- Treatment authorizations are effective the date they are approved
- For assessments, SHN will display the earliest date of service on record for the student that is not covered by an assessment authorization. (Consider using this date as the effective date.)

Save Draft

Submit for Approval

Cancel

- If you complete an authorization request, and the student's name still appears in your Missing queue, this is because the effective date of the authorization does not cover all services for this student.
- For treatment authorizations, you are able to "self-declare the service as not medically necessary." This option should be used in cases when you, as the provider of service, do not think that ongoing treatment is necessary (but the service is still included in a student's IEP/IFSP as the result of parentdistrict negotiations, for example).
- Check with your LEA Billing Program Coordinator if you are not sure who select as the reviewer for your request.



## More Information Needed, or "Needs Review" (for Creators)

Sometimes an authorizer needs additional information to determine whether the service is medically necessary or not. Authorizers can enter comments to an authorization request and then stamp that record as "Needs Review." You will be able to enter comments back to the authorizer, and resubmit the record for review. SHN Dashboard will prompt you if you have an authorization that "Needs Review," and you can view these records at any time in the *Manage* area of SHN.

Manage	Authorizations	Needs Review +						Filters	Export •
My Groups	Search	Filter by da	te ranget	udent - A	uthorization Type	Created By	Reviewer	•	
Authorizations									
Supervision	Status	Created Date	Student Name	Effective Date	🗸 Туре	Expiration Date	Reviewer	Action	Details
	Needs Review	Sep 24, 2015	Luis Camacho	Sep 8, 2015	Speech Treatments	Sep 8, 2016	Speech Therapist	Review	-

To view comments from the authorizer and make adjustments to your request, click *Review*.

ng Authorization for Luis Camacho	Conversation History
reatment Authorization Details	Speech Therapist Sep 24, 2015 at 10:52 AM Please provide additional information so
tudent: Luis Camacho	l can effectively determine medical necessity.
This form serves to capture the required authorization for treatment for Medicaid billing purposes.       Effective date     Site       09/08/2015     Hyde Elem	
ecommendation for Treatment	
his student is being referred for: Speech Treatments	
Reason & Notes for Speech Treatments Remarks here	
Choose at least one:  Student is receiving services per the IEP  Student may receive additional services	
uthorization Status: Needs Review	
Created by:     Speech Provider (Cred, Sup)       Created on:     Sep 24, 2015 at 10:46 AM       Reviewer:     Speech Therapist       Last updated on:     Sep 24, 2015 at 10:52 AM	
Vho will review this information? Speech Therapist (5) *	
dd a Note Provide a note to be returned to your reviewer with your re-submitted authorization.	
Cancel Delete Submit for Approval	Give Feedback

The conversation history (notes) between you and the authorizer appear on the right. This history is saved with the record once it is finalized.

Notes are entered here and saved when you *Submit* the form.

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## **Reviewing Authorizations (for Authorizers)**

With the exception of users who can self-authorize, all new authorization requests will be placed in the Pending status for review. SHN creates a simple way to review all Pending authorizations, and in the Manage area, you can quickly approve/reject the authorization in bulk or individually.

Manage	Authorizatio	ons Pending	•					Mark all	Submit	Click the
My Groups Approve Services	Status 🛩	Student Name	Effective Date	Coverage	Туре	Action			Details	<ul> <li>expand a</li> </ul>
SP Caseload	Pending	Manuela Cadena	Sep 7, 2015	Assessment	Speech / Audiology (IEP)	Review	Authorize	Non-Billable	0	Quickly r
Open Office Visits	Periding	Gladys Abarca	Sep 8, 2015	Assessment	Health	Review	Authoritm	Non-Billable	0	"Authori
Authorizations Screenings Overview			28.5		Assessment (IEP) Speech /					click Sub
	Pending	Gladys Abarca	Sep 8, 2015	Assessment	Audiology (IEP)	Review	Authorize	Non-Billable	0	
	Pending	Chanda Abeyta	Aug 4, 2015	Assessment	Speech / Audiology (IEP)	Review	Authorize	Non-Billable	0	screen.
				Showing 1	to 4 of 4 matching recor	45 (I) (				
								-		, or mark a riew," click th
ite Site					Conversatio There are no m authorization.	r F	reques Review	-	eeds Rev 1.	riew," click th
ste Site Leavenwarth Bern					There are no no	n History	reques Review	tas "N	eeds Rev n. – Note:	riew," click the
	tments				There are no no	n History	reques Review	tas "N	eeds Rev n. – Note:	riew," click the
ste Site 15 Leavemouth Bern endation for Treatment is is being referred for: Speech Treat Notes for Speech Treatments	tments				There are no no	n History	reques Review	tas "N	eeds Rev n. – Note:	, or mark a riew," click the s history for t or show here
ste Site 15 Leavemouth Bern endation for Treatment is is being referred for: Speech Treat Notes for Speech Treatments	aments				There are no no	n History	reques Review	tas "N	eeds Rev n. – Note:	riew," click the
see Site Its Leavenwarth Elem endation for Treatment is being referred for: Speech Trea Notes for Speech Treatments restiment notes appear here. east one:					There are no no	n History	reques Review	tas "N	eeds Rev n. – Note:	riew," click the
te Site Site Leavenwardt Elem endation for Treatment its being referred for: Speech Treatments notes for Speech Treatments eatment notes appear here. east one: this receiving services per the IEP					There are no no	n History	reques Review	tas "N	eeds Rev n. – Note:	riew," click the
te Site Site Leavenwardth Elem endation for Treatment ests being referred for: Speech Treatments eatment notes appear here. eatment notes appear here. eats one: ts is receiving services per the IEP tt may receive additional services					There are no no	n History	reques Review	tas "N	eeds Rev n. – Note:	riew," click the
te Site Is Leavement filem endation for Treatment it is being referred for: Speech Treatments notes for Speech Treatments reatment notes appear here. east one: Int is receiving services per the IEP Int may receive additional services					There are no no	n History	reques Review	tas "N	eeds Rev n. – Note:	riew," click the
ste Site Is Leavemouth Dem endation for Treatment is is being referred for: Speech Treatments notes for Speech Treatments reatment notes appear here. east one: Int is receiving services per the IEP it may receive additional services tion Status: Pending	(red, Sup)				There are no no	n History	reques Review	tas "N	eeds Rev n. – Note:	riew," click the

ord "Details" to quickly ows below.

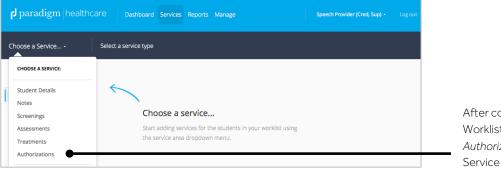
k each request as " or "Non-Billable" and at the top right of the

Effective date Site 09/07/2015 Leavenwardh Elem +	There are no notes yet ottoched to this authorization.	Notes history for the authorizer and
Recommendation for Treatment		creator show here.
This student is being referred for: Speech Treatments		
Reason & Notes for Speech Treatments		
speech treatment notes appear here.		
Choose at least one:     Student is receiving services per the IEP		
Student may receive additional services		
Authorization Status: Pending		
Created by: Speech Provider (Cred, Sup)		
Created on: Sep 8, 2015 at 12:00 AM Reviewer; Speech Therapist		
Last updated on:		
The student identified has been referred to me to determine the need for medically necessary assessment or treatment as recommended by the provider. I have reviewed the information contained herein, and have determined the services(s) to be:		
<ul> <li>AUTHORIZID and are medically necessary in accordance with CCR Tele 22. Section 51184(b) and 51340(b)(3). I also understand that signatures in records may not be denied legal effect solely because they are conducted, executed, or prepared in electronic form, and that by approving these records, in an affining an edipature with the intent to represent a manual signature.</li> </ul>		Authorizer marks the record as "Authorized," "Needs Review," or
<ul> <li>NEED MORE INFORMATION and I have input a note(s) to the provider below for further clarification.</li> </ul>		"Not Billable."
<ul> <li>NOT MEDICALLY NECESSARY and my e-signature will not be affixed to this referral. This does not mean, however, that the service is not necessary for the educational development of the student.</li> </ul>		
Add a Note		
Provide some details specifying what is missing and/or why you are sending this authorization back for review.		Notes are entered here.
Cancel Submit	Cove Feedback	



## Viewing & Printing a Student's Authorization

Authorizations for a student can be viewed and printed at any time when in the *Services* area of SHN. Access the records using the familiar workflow: 1) add the student to your Worklist, 2) complete Worklist, and 3) select *Authorizations* from the Services menu.



#### After completing the Worklist, select *Authorizations* from the Service menu.

uthorizations -	for Gladys Abarca							Filters	Export -	Add New -
Vorklist -	Search	Filter by	date range	Status 💽	Authorization	п Туре 💽	Review	r -	Created By	·
iladys Abarca 👻	Status Cri	eated Date 😽	Effective Date	Type		Expiration	Date	Reviewer	Action	Details
handa Abeyta 👻	Approved Set	a 8, 2015	Sep 8, 2015	Speech T	reatments	Sep 8, 2016		Speech Therapist	View	• •
	Pending		Sep 8, 2015	Speech / ()EP)	Audiology	Sep 8, 2016		Nurse Training	View	0

All of the student's active and past authorizations will be listed. Select *View*.

Authorizations -	Viewing Authorization for Gladys Abarca Principles View	Click <i>Printable View</i> here.
Worklist •		
Gladys Abarca 💌	Treatment Authorization Details	
Chanda Abeyta 💌	Student: Gladys Abarta	
	This form serves to capture the required authorization for treatment for Medicaid billing purposes.  Effective date Site  05/05/2015  Ducharum High +	
	Referral for Treatment	
	This student is being referred for: Speech Treatments	
	Reason & Notes for Speech Treatments smidindarial	
	Choose at least one:  Student is receiving services per the IEP Student may receive additional services	
		The status of the
	Authorization Status: Approved	authorization is listed here.
	Created by: Speech Therapist	
	Created on: Sep 8, 2015 at 12:00 AM Reviewer: Speech Therapits	
	Signed on: Sep 8, 2015 at 12:00 AM	Important dates,
	I hereby attest that this information true, accurate, and complete to the best of my knowledge, and have determined these services to be medically necessary in accordance with CCR Title 22, Section 51184(d) and	attestation, and any
Give Feedback	51340(e)(2). A list understand that signatures in records may not be denied legal effect solely because they are conducted, executed, or prepared in electronic form, and I am affixing an e-signature with the intent to represent a manual signature.	conversation history is
		displayed at the bottom of
		the screen.

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# Q&A—SHN & Authorizations for LEA Billing

#### General Q&A

#### 1. What does medically necessary mean, anyway?

DHCS defines medically necessary services in the Overview in its Provider Manual, "loc ed bil," as:

Diagnostic or treatment services are considered medically necessary when used to correct or ameliorate defects, physical and mental illness, and conditions discovered during a regular (periodic) or inter-periodic screen (California Code of Regulations [CCR], Title 22, Sections 51184[b] and 51340[e][3]).

(Note: we use these same citations in SHN on the e-authorization forms.)

The American Academy of Pediatrics defines medically necessary services as those that "promote optimal growth and development in a child and to prevent, detect, diagnose, treat, ameliorate, or palliate the effects of physical, genetic, congenital, developmental, behavioral, or mental conditions, injuries, or disabilities."

#### 2. Okay, so what about IEP assessments (initial, annual, amended, triennial)?

It is true that providers are *required* to perform initial and triennial assessments, per education code. It is therefore tempting for providers to answer the question of why they are assessing a student as, "Triennial assessment performed per the education code requirements." However, authorizations should include *observations by the provider noting what will be assessed and for what medical purpose*. For example, "to identify any changes that might be required in the student individual health care plan or ongoing procedures as a result of the student's XXXXX disability" (as would be appropriate for a school nurse).

# 3. Are there cases when a provider may not view the services they are providing to a student as medically necessary?

It is rare but does happen. Sometimes a related service provider may recommend the student be dismissed from services, yet the school district will continue to provide the service(s) anyway. When this occurs, a provider should 'self-declare the service as not medically necessary' and the service will subsequently not be billed to Medicaid. This is the only use-case for this feature in SHN.

#### SHN-Specific Q&A

# 1. Should I use the date of the parent's signature on the IEP as the effective date on the assessment authorization?

IEP dates need not directly correspond to the dates on assessment authorizations. It is more important for the provider to enter a date that corresponds to when the assessment was requested (or performed).

#### 2. Why do I have an alert on my dashboard that I have missing authorizations?

LEAs are able to select which services SHN monitors by provider type (only qualified providers) and service type (IEP and non-IEP assessments, and IEP and non-IEP treatments). Further, SHN monitors for

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1225 4th Street, #363 San Francisco, CA 94158 Page 8 of 9

Page 9 of 9

authorizations according to what the provider documents in SHN. It is only when a provider documents a service (that corresponds to the LEA's options) that SHN notifies the user they need an authorization.

Secondly, authorizations are valid for one year from the <u>effective date</u>. For assessments, providers can specify the effective date; and for treatments, the effective date is the date the authorization is approved. The effective date is key to the behavior of SHN's notifications. SHN cross-references the services documented by the provider according to the effective date of the authorization (and for 12 months thereafter). If there are services documented outside the one-year timeframe of the authorization, SHN will continue to prompt the user to create a new authorization.

#### 3. I submitted my authorization, but the student still appears in my 'missing' queue. Why?

There are services in SHN that fall before the effective date of the authorization; or the authorization has expired and there are services with a date after the expiration date of the authorization.

#### 4. Who do I submit my authorization to?

Your LEA Billing Program Coordinator can help answer this question. DHCS dictates the qualifications of providers who can review and sign authorizations, and your coordinator knows who meets these qualifications and/or has been designated to review authorization requests. (Note: the training manual includes a matrix of the qualifications required for the reviewers of each type of authorization.)

#### 5. Does it matter if I have more than one authorization on file for a student?

No. SHN will look at all services documented in SHN and match those to a valid authorization. If there is more than one valid authorization (or there are overlapping dates), that is AOK.