



Pennsylvania
Department of Drug and
Alcohol Programs

Problem Gambling Case Management Services Guide

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Purpose and Use of This Guide

The guide is intended to be a more streamlined and in-depth explanation of best practices associated with the **Compulsive Problem Gambling Treatment and Intervention Services ITQ Contract 4400033801** through the Department of Drug and Alcohol Programs (DDAP).

This guide does not replace the statement of work associated with the Compulsive Problem Gambling Treatment and Intervention Services ITQ Contract. Contracted providers should refer to the **statement of work** in their contract to meet all standards of compliance.

All forms associated with this contract and this guide can be found on the DDAP website. Questions regarding this guide or problem gambling services in general may be directed to DDAP by calling 717-783-8200 or by sending an email to the DDAP problem gambling resource account at RA-DA_Gambling@pa.gov.



Provider Qualifications

An individual or agency interested in becoming an ITQ Contractor must meet one of the following:

1. **Qualified Trained Case Manager** - Licensure to practice in Pennsylvania as a physician, psychologist, social worker, marriage and family therapist, behavior specialist, or professional counselor.
2. **Qualified Service Entity** is one of the following:
 - A facility licensed by the Pennsylvania Department of Human Services (DHS) to provide mental health treatment services.
 - A facility licensed by DDAP to provide substance use disorder treatment services.
 - A Single County Authority (SCA) has a current grant agreement with DDAP.
 - An agency that provides counseling for compulsive and problem gambling.

And that also employs at least one of the following:

- a. A Qualified Trained Case Manager.
- b. An **Authorized Case Manager** - an individual who meets at least one type of credential:
 - Holds a master's degree in psychology, addiction, behavioral services, or similar field and is employed by a Qualified Service Entity and works under the direct guidance and supervision of an individual holding a license to practice in Pennsylvania as a physician, psychologist, social worker, marriage and family therapist, behavior specialist, or professional counselor.
 - An individual employed by an agency licensed by DHS to provide mental health services and who holds a bachelor's degree that includes or is supplemented by successful completion of 12 college credits in sociology, social welfare, psychology, criminal justice, or other related social sciences.
 - An individual employed by an agency licensed by DDAP or an SCA and who holds a bachelor's degree that includes or is supplemented by successful completion of 12 college credits in sociology, social welfare, psychology, criminal justice, or other related social sciences.



Required Trainings

Every approved case manager must have a minimum of 30 hours of gambling-specific training approved by the International Problem Gambling and Gaming Certification Organization (IPGGC). DDAP provides this training in virtual classrooms several times a year at no cost. This training must be completed before a case manager can be approved and added to the contract.

Additionally, sole practitioners must complete the following training courses before qualifying to provide case management services:

- Problem gambling motivational interviewing
- Problem gambling and finances
- Problem gambling case management

Case managers who are employed by a Qualified Service Entity have one year to complete the following training courses:

- Problem gambling motivational interviewing
- Problem gambling and finances
- Problem gambling case management

DDAP provides these three trainings in a virtual classroom several times a year at no cost.



Staff Supervision

A provider who is not a sole practitioner must develop and follow a written policy for staff supervision of any DDAP-approved case management staff:

- Supervision standards for all case management staff.
- Additional supervision standards for case management staff who have not yet completed all training requirements, including a combination of job shadowing, direct observation of assessments, and biweekly case consultations.
- Monthly case consultation meetings with case management staff.

DDAP will verify staff supervision by reviewing staff supervision standards and confirmation of case consultation meetings.



Delivery of Services

Every provider must have a physical location where problem gambling services can be delivered to clients.

All problem gambling case management services may be delivered to individuals who show problem gambling or gaming behaviors or their affected others. Case management may be delivered to individuals regardless of whether or not they are participating in outpatient treatment.

Providers are permitted to provide telehealth services if they have the following in place:

- Offer all clients the ability to receive in-person services.
- Use telehealth media that is capable of two-way video conferencing and encryption.
- Execute a business associate agreement with their software provider that complies with the Health Insurance Privacy and Accountability Act Privacy Rule, including 45 CFR Subchapter C, Parts 160-164, and Subchapter D, Parts 170-171.

Referrals

Each provider must respond to each client referral within one business day of receiving the referral. If a provider is unable to accept new clients, they must contact DDAP and request to be put on a temporary referral hold until they are available to accept new clients.

Coordination of Services

If an outpatient treatment provider is also approved to provide problem gambling case management services, the provider must deliver outpatient and case management services as separate and distinct services. Staff are not permitted to deliver case management services during an outpatient treatment session.



Pennsylvania Residency

The Provider must only provide gambling case management services, under this contract, to Pennsylvania residents. The provider must require each client to provide one of the following documents that shows Pennsylvania residency:

- A current driver's license or identification card issued by the Pennsylvania Department of Transportation.
- A current student identification card issued by an educational institution located within the Commonwealth.
- An income tax return or W-2 form issued within the previous 12 months that shows residence within the Commonwealth.
- A receipt for a utility bill, vehicle registration, or vehicle insurance with the Commonwealth within the previous six months.
- A receipt for a mortgage payment or rent payment for a residence within the Commonwealth within the previous six months.
- A current ACCESS card issued by DHS.
- A paystub that contains a client's address within the Commonwealth within the previous six months.

A copy of the verification of Pennsylvania residency must be kept in the client's record.



Translation Services

If necessary, the provider is permitted to use translation services for all clients during case management sessions.

The provider is required to research the most affordable professional translation services that will work for the client's needs.

The provider must obtain an estimated cost of the translation services and provide that information on the Case Management Authorization form.

The provider is required to submit a copy of the invoice and receipt of payment for the translation services used for each session using the invoice form "**Certification Translation Reimbursement**".

DDAP will not reimburse for any of the following:

- Translation costs that were not approved on the Case Management Authorization form.
- Invoices that do not include a copy of the translator's invoice and a receipt for payment.
- Payment to nonprofessional translation services such as to a client's friend or family member.
- Memberships or subscriptions for translation services – this is a fee for service reimbursement only.

Policies and Procedures

The provider is required to develop and follow several policies and procedures associated with this contract.

Discrimination Policy

The provider must develop and follow a written policy for staff to provide services in a non-discriminatory and culturally sensitive manner designed to meet the unique needs of clients including language, race, nationality, age, and gender identity, expression, and orientation.

Referral Policy

The provider must develop and follow a policy to refer clients to other providers that meet their behavioral health needs including crisis services.

Telehealth Policy

If the provider is offering telehealth services they must develop and follow a written policy that includes the process and format to deliver case management services, the name and a description of the software or system used, privacy and confidentiality, crisis procedures, and the process to obtain documentation and signatures by clients.

Confidentiality Policy

The provider must develop and follow a written confidentiality policy for all staff that includes the following: exchange of client-identifying information, storage and security of paper and electronic client records, staff access to records, discipline for staff violating the policy, and client consent to disclosure of identifying information.

Case Management Staff Supervision Policy (Sole practitioner's are exempt)

The provider must develop and follow a written policy for staff supervision of any case managers under this agreement that includes supervision standards, additional supervision standards for case managers who have not yet completed all training requirements, and monthly case consultation meetings with case managers.

Grievance Policy

The provider must develop and follow a written policy to address clients' grievances regarding planning and delivery of services under this agreement that includes: documentation of the grievance using a form provided by DDAP, a requirement for the contractor to render a written decision within seven calendar days of the receipt of the grievance, advising the client that they may appeal the contractor's decision to DDAP within 15 calendar days of the contractor's decision.

The contractor must submit all grievances and written decisions to DDAP within one business day using the [grievance and appeal reporting form](#) to RA-DA_GAMBLING@PA.GOV.



Admission and Authorization

In order to admit a client to problem gambling case management services, the provider must obtain an approved authorization from DDAP for each client.

The following items need to be emailed or faxed to DDAP to obtain authorization and admit a client for case management services:

Case Management Admission form must be completed at the first client outpatient appointment and submitted to DDAP. A copy must also be kept in the client file.

Case Management Authorization form must be completed at the first client case management appointment and submitted to DDAP. When DDAP has approved a client, they will send this form back to the provider, in email once it is approved. Each client will be approved for a six-month period. A copy of this approved form must be kept in the client file.

Reauthorization

If a client nears the end of their six-month approval and they require additional case management services; the provider can request a re-authorization. The provider must request this re-authorization before the client's six-month authorization expires.

The Case Management Authorization form must be emailed or faxed to DDAP to obtain reauthorization for a client for case management services.



Screening and Assessments

Behavioral Health Screening

DDAP approved case managers must complete a Behavioral Health screening for all clients using the DDAP-approved form “**Behavioral Health Screening**”. This screening should be conducted before or at the first case management appointment. All clients should be offered a referral to gambling outpatient treatment services or any other services that are identified as necessary. A copy must also be kept in the client file.

Client Assessment

DDAP-approved staff must complete a “**case management client assessment**” form by the second case management session. A copy must also be kept in the client file.



Service Plans

Case Management Service Plan

DDAP-approved case managers are to develop a written case management service plan for all case management clients on the “**Service Plan**” form provided by DDAP. The service plan should be developed in collaboration with the client and any involved family members, by the third case management services appointment.

If the client provides written consent, the contractor must provide a copy to the client’s gambling outpatient treatment provider.

Case Management Service Plan Update

DDAP-approved case managers are to review and update the case management service plan every 30 calendar days in collaboration with the client and any involved family members. The updates should be completed on the DDAP “**Service Plan**” form and signed by the client and case manager.

If the client provides written consent, the contractor must provide a copy to the client’s gambling outpatient treatment provider.



Case Notes

The DDAP-approved case manager must create a case note for every case management session that describes the nature and extent of the session and includes:

- The staff signature and date.
- The date of the session and exact start and end times of each session.
- Information provided by and about the client.
- Analysis of information and statement of the client's case management needs.
- Recommended and planned actions to address the client's needs.



Discharges

Case Management Discharge Form

A DDAP-approved case manager must submit a client discharge form to DDAP via fax or email, within 30 calendar days of the conclusion of services for each client who does any of the following:

- Accomplishes the goals identified in the service plan.
- Has made no contact with the provider for 60 calendar days.
- Refuses further services by the provider.
- Has been referred to other services that cannot be performed in conjunction with services by the contractor.
- Is disruptive or fails to comply with their service plan.
- Moves to a residence outside the Commonwealth.
- Develops health issues that prohibit services by the provider.

A copy of the discharge form must be kept in the client file.

Discharge Plan and Summary Form

A DDAP-approved case manager will complete a discharge plan and summary form in collaboration with each client, within 30 calendar days after discharge. A copy of the discharge plan and summary form must be kept in the client file.



Client File

An individual record for each client must contain:

- Verification that the client was given notice of their client rights, grievance procedures, and the provider's rules.
- Verification that the client was given notice of their HIPAA rights.
- Any consent forms for services, including consents for treatment.
- Verification of any insurance denial of coverage, including verbal denials.
- The behavioral health screening.
- A copy of the documentation showing Pennsylvania residency.
- The client admission form.
- The final DDAP-approved authorization form and any approved re-authorization forms.
- The client assessment.
- The service plan and all service plan updates.
- All case management notes.
- The discharge form.
- The discharge plan and summary form.



Monitoring

DDAP staff will conduct at least one annual monitoring inspection of any problem gambling case management provider who is contracted. The provider will:

- Participate in a monitoring inspection when requested by DDAP.
- Provide DDAP with access to any requested client records, staff records, and fiscal records.
- Submit to DDAP a corrective action plan within 10 business days after receiving a monitoring summary with areas of non-compliance identified.

DDAP may also conduct additional monitoring inspections at their own discretion, but with notice to the provider.

DDAP will choose to conduct virtual or onsite monitoring inspections based on the type of review that needs to be completed and DDAP operational needs.

When a provider has multiple location sites for one contract, DDAP may require the provider to bring all client records, staff records, and fiscal records to one central location for DDAP review.

DDAP generally gives providers 30-90 days notice of any monitoring inspection. While monitoring inspections only occur during business hours, DDAP staff will always try to accommodate the provider with a time and day that is convenient.

DDAP does not give providers advanced notice of which client files will be reviewed before a monitoring inspection. Providers must have all client files, for the past 12 months, available and ready for review by DDAP at the time of an inspection.

If a provider offers both gambling outpatient treatment and case management services a monitoring inspection that combines a review of both services will be given.



Invoices

The provider must submit invoices within 30 calendar days of the end of the calendar month when sessions or translation services took place or when certification expenses were incurred, except for a final invoice after this agreement terminates.

The provider must submit a final invoice within 45 calendar days after the termination of their contract with DDAP.

Invoices must not contain client-identifying information.

The provider can invoice for 15-minute increments for case management services. Not to exceed 120 minutes per day or 240 minutes per week, for each client.



Payment

Payment

DDAP must provide payment to the provider upon receipt, review, and approval of invoices for eligible costs and services provided to Pennsylvania residents for which DDAP has approved an authorization request. Most payments are given within 30 days of invoice approval.

Service Rates

DDAP must pay approved expenses at the following rates:

Service Category	Unit	Rate
Case Management Services	Per 15 minutes not to exceed 120 minutes per day and not to exceed 240 minutes per week	\$25
Translation Services	Actual Costs	Actual Costs
Certification Expenses	Actual Costs	Actual Costs

