



Pennsylvania
Department of Drug and
Alcohol Programs

Problem Gambling Outpatient Treatment Guide

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Purpose and Use of This Guide

The guide is intended to be an 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

A person or agency interested in becoming an ITQ Contractor must be one of the following:

1. **Qualified Trained Counselor** - 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 entered a 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 Counselor.
- b. An **Authorized Counselor** - means 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.
 - A mental health treatment counselor, case worker, agency director, supervisor, clinical supervisor, case management trainee, case management specialist, case management supervisor, or case management administrator who is employed and practicing in an agency licensed by DHS to provide mental health.
 - A drug and alcohol counselor, project director, agency director, clinical supervisor, drug and alcohol case management specialist, drug and alcohol case management specialist trainee, case management supervisor, case management administrator, drug and alcohol treatment specialist, or drug and alcohol treatment specialist trainee who is employed by and practicing in an agency licensed by DDAP or an SCA.



Required Trainings and Certifications

TRAININGS

Every DDAP-approved counselor 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 classroom setting several times a year at no cost. This training must be completed before a staff person can be approved and added to the contract.

All approved counselors must complete the DDAP Liability training within 90 calendar days of being approved for this contract. A copy of the completed training certificate must be sent to DDAP.

CERTIFICATIONS

Every counselor must hold one of the following problem gambling certifications before they can be approved and added to the contract:

- A Problem Gambling Endorsement from the Pennsylvania Certification Board.
 - Must also participate in 4 clinical supervisory calls within 24 months of being contracted.
- Certification as an Addiction Specialist with a specialization in Gambling Addiction issued by the American Academy of Health Care Providers in the Addictive Disorders.
- A certificate as an International Certified Gambling Counselor Level I, II, or BACC from the IPGGC.
- Progress toward receiving a certificate as an International Certified Gambling Counselor Level I from the IPGGC with at least 30 hours of gambling-specific training approved by the IPGGC.
 - Staff have 36 months from the time of approval to obtain their ICGC-I Certification.
 - Reimbursement for the cost associated with the application, testing, and renewals of the ICGC-I, ICGC-II, or BACC credentials can be requested by the provider by submitting an invoice on the DDAP form “**Certification Translation Reimbursement**” and a copy of any associated receipts.



Delivery of Services

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

All problem gambling outpatient services can be delivered to individuals that show problem gambling or gaming behaviors or their affected others.

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 providers 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.

If the client receives problem gambling case management services from a different provider, with proper client consent, the outpatient treatment provider can communicate with the case manager. It is not required that the outpatient treatment provider communicates with the case manager, but it is highly recommended to do so, to enhance coordination of services and client outcomes.

Pennsylvania Residency

The provider must only provide problem gambling outpatient treatment 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 outpatient treatment 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 service for each outpatient treatment session and provide that information on the Outpatient 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 not approved on the Outpatient 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 counseling 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.

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 for problem gambling outpatient treatment 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 outpatient services:

- **Outpatient 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.
- **Outpatient Client Authorization form** must be completed at the first client outpatient appointment and submitted to DDAP. When DDAP has approved a client, they will send this form back to the provider via email. Each client will be approved for 50 sessions for a 12-month period. A copy of this approved form must be kept in the client file.
- **Client Liability Form for Gambling Treatment Services** must be completed at the first client outpatient appointment and submitted to DDAP. A copy of this approved form must be kept in the client file.
- **Request for Liability Reduction or Elimination form** is only applicable if the client is assessed as liable to pay for a percentage of their outpatient services and they are unable to afford the amount they are liable for. This form can be completed at the first appointment or any time the client's financial situation changes. This form must be submitted to DDAP. A copy of this approved form must be kept in the client file.

Reauthorization

If a client uses all 50 of their sessions before the 12-month expiration of their authorization, or they have a clinical need to remain in treatment longer than 12 months, the provider can request a re-authorization. The provider must request this re-authorization before the client runs out of sessions or before the 12-month expiration.

The following items need to be emailed or faxed to DDAP to obtain reauthorization for a client for outpatient services:

- Outpatient Client Authorization form
- Client Liability form for Gambling Treatment Services
- Request for Liability Reduction or Elimination form (if applicable)



Screening and Assessments

Behavioral Health Screening

DDAP-approved staff persons 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 outpatient appointment. All clients should be offered a referral to case management services or any other services that are identified as necessary. A copy must also be kept in the client file.

Gambling Screening

DDAP approved staff must complete a gambling screening for all clients during the first outpatient treatment session.

For problem gamblers, staff must use the “**South Oaks Gambling Screening**”. A copy must also be kept in the client file.

For family members or affected others of gamblers, staff must use the “**GAM ANON Twenty Questions**”. A copy must also be kept in the client file.

Client Assessment

DDAP-approved staff persons must complete an “**outpatient client assessment**” form by the second outpatient treatment session. A copy must also be kept in the client file.

Treatment Plans

Individualized Treatment Plan

DDAP-approved counselors must develop a written individualized treatment plan for all outpatient treatment clients, in collaboration with the client and any involved family members, by the end of the third treatment session that includes:

- A list of the client's needs that were identified in the client assessment.
- A list of the client's treatment goals and the targeted completion date for each goal.
- The dated signatures of the client, the counselor, and any supervisor.

Treatment Plan Updates

The DDAP-approved counselor reviews and updates the individualized treatment plan developed every 60 calendar days in collaboration with the client and any involved family members. The update must be signed by the counselor and the client.

A copy of all treatment plans and treatment plan updates must be kept in the client file.

Case Notes

Individual Sessions

The DDAP-approved counselor must create a case note for every outpatient individual treatment session that describes the nature and extent of the session and includes:

- The counselor's 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 treatment needs.
- Recommended and planned actions to address the client's needs.

Group Sessions

The DDAP approved counselor must create a case note for every outpatient group treatment session that describes the nature and extent of the session and includes:

- The counselor's signature and date.
- The date of the session and exact start and end times of each session.
- Number of participants.
- The overall theme or topic of the session.
- The client's current mental status and risk of deterioration.
- A description of the client's participation in the group session.
- The next scheduled group session.

A copy of all individual and group case notes must be kept in the client file.



Discharges

Outpatient Discharge Form

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

- Accomplishes the goals identified in the treatment 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 treatment plan.
- Moves to a residence outside the Commonwealth.
- Develops health issues that prohibit services by the provider.

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

Discharge Plan and Summary Form

A DDAP-approved counselor 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 contractor'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.
- The client liability assessment and abatement forms.
- A copy of the documentation showing Pennsylvania residency.
- The client admission form.
- The client gambling screening.
- The final DDAP-approved authorization form and any approved re-authorization forms.
- The client assessment.
- The treatment plan and all treatment plan updates.
- All individual and group case notes.
- The discharge form.
- The discharge plan and summary form.

Correctional Settings

If a DDAP-approved counselor delivers in-person individual or group problem gambling outpatient treatment within a correctional setting, DDAP will reimburse at a higher rate than outpatient services delivered at a non-correctional setting.

DDAP requires that the provider works directly with DDAP to set up a problem gambling treatment program at the correctional setting that meets reporting requirements by DDAP.

All other standards for outpatient treatment set forth in the contract, are required, even when services are delivered at a correctional setting.



Monitoring

DDAP staff will conduct at least one annual monitoring inspection of any problem gambling outpatient 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 this agreement.

Invoices must not contain client-identifying information.

The provider must not invoice for more than one individual outpatient treatment session per calendar day, except that the provider may conduct the first and second outpatient treatment sessions consecutively on the same calendar day.

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
Individual Outpatient Treatment Session	Per 50+ minute session	\$100
Individual Outpatient Treatment Session delivered in-person at a prison or jail	Per 50+ minute session	\$130
Group Outpatient Treatment Session	Per 60-minute session	\$50
Group Outpatient Treatment Session	Per 90-minute session	\$75
Group Outpatient Treatment Session delivered in-person at a prison or jail	Per 60-minute session	\$75
Group Outpatient Treatment Session delivered in-person at a prison or jail	Per 90-minute Session	\$100
Translation Services	Actual costs	Actual costs
Certification Expenses	Actual costs	Actual costs