



New York State Office of Medicaid Inspector General
Bureau of Compliance

DOCUMENT #4



SERVICE BUREAU/THIRD PARTY BILLING SURVEY

Name of Medicaid Provider: _____
 Medicaid Provider ID #: _____
 Federal ID# of Medicaid Provider _____
 Number of Employees of Medicaid Provider: _____
 Person Completing Survey: _____ Title: _____
 Telephone # of Person Completing the Survey: _____
 Address of the Person Completing the Survey _____

 E-mail Address of the Person Completing the Survey: _____
 Date Assessment Completed: _____

Directions:

For purposes of this Service Bureau/Third Party Billing Survey, when the phrase “Service Bureau” is used, it shall mean any non-employee or outside entity who prepares or submits claims, or who checks enrollment or authorizations for a Medicaid provider or other services as defined in 18 NYCRR §504.9.

(1) Does the Medicaid Provider use a Service Bureau?

	Description	Yes	No	Explain/provide evidence to support the response.
1.1	Does the Medicaid provider use a Service Bureau to prepare or submit your claims to Medicaid? <i>Identify the name, address, contact information, FEIN and TSN for the Service Bureau.</i>			
1.2	Does the Medicaid provider use a Service Bureau to check authorizations or enrollment? <i>Identify the name, address, contact information, FEIN and TSN for the Service Bureau.</i>			
1.3	<i>If the answers to both questions 1.1 and 1.2 are no, you do not need to complete the rest of the form.</i>			

(2) Who contracts with outside persons or entities?

	Description	Yes	No	Explain/provide evidence to support the response.
2.1	Is there someone at the Medicaid provider with responsibility to contract with Service Bureaus to prepare or submit claims, check enrollment or obtain authorizations?			

2.2	Does the Medicaid provider's compliance program review the Service Bureau's work under the contract to verify compliance with applicable law and regulations?			
2.3	Does the compliance program or management review the processes and procedures used by the non-employee individual or entity who prepares or submits the claims, checks enrollment or obtains authorizations?			

(3) Service Bureau enrollment

	Description	Yes	No	Explain/provide evidence to support the response.
3.1	Is the Service Bureau that prepares or submits the claims, checks enrollment or obtains authorizations an enrolled Service Bureau under 18 NYCRR 504.9?			
3.2	Does the compliance function or management of the Medicaid provider periodically check on the enrollment status of the Service Bureau, during the term of the Medicaid provider's contract with the Service Bureau?			

(4) Service Bureau's Compliance Program

	Description	Yes	No	Explain/provide evidence to support the response.
4.1	Does the Service Bureau used by the Medicaid provider have Medicaid as a "substantial portion of business operations" (as defined in 18 NYCRR §521.2(b)? <i>Note, the Medicaid provider will need to ask the Service Bureau this question.</i>			
4.2	If the answer to question 4.1 is yes, does the Service Bureau have an effective compliance program in place as required by Social Services Law §363-d and 18 NYCRR Part 521?			
4.3	If the answer to question 4.1 is yes, has the Service Bureau certified that it has an effective compliance program as required by 18 NYCRR §521.3(b)?			

(5) Medicaid provider as Service Bureau for other providers

	Description	Yes	No	Explain/provide evidence to support the response.
5.1	Does any person or operation of the Medicaid provider prepare or submit Medicaid claims or checks authorizations or enrollment on behalf of any other provider?			
5.2	If the answer to question 5.1 is yes, is the Medicaid provider or any person or operation of the Medicaid provider registered as a Service Bureau under 18 NYCRR 504.9?			
5.3	If the answer to question 5.1 is yes, does the Medicaid provider's Service Bureau operations meet the Service Bureau			

	requirements set out in 18 NYCRR §504.9, and Medicaid Updates?			
5.4	If the answer to question 5.1 is yes, do the Medicaid provider's Service Bureau operations meet the requirements set out in 18 NYCRR §521.1(c) and Part 521?			

(6) Records Retention Policy of Service Bureau

	Description	Yes	No	Explain/provide evidence to support the response.
6.1	Has the Medicaid provider received a written representation that the Service Bureau has a records preservation policy consistent with EMEDNY-414601 (i.e., six years from the date of claims submission)?			
6.2	If yes, does the Service Bureau's records retention policy apply to the Medicaid provider's materials and data submitted to the Service Bureau?			
6.3	If no, please explain.			

(7) Prohibition on assigning Service Bureau's contract

	Description	Yes	No	Explain/provide evidence to support the response.
7.1	Has the Medicaid provider received a written representation that the Service Bureau is in compliance with the prohibition against assigning or subletting their contract with the Medicaid provider as required by EMEDNY-414601?			
7.2	Does the Medicaid provider know who is performing the work that the Service Bureau is contractually obligated to provide to the Medicaid provider?			
7.3	Is the Service Bureau directly responsible to the Medicaid provider for work that the Service Bureau is performing for the Medicaid provider?			

(8) Verification of documentation

	Description	Yes	No	Explain/provide evidence to support the response.
8.1	Does the Service Bureau provide the Medicaid provider documentation of verification of services billed and/or submitted?			

(9) Compliance with OIG, CMS and OMIG rules

	Description	Yes	No	Explain/provide evidence to support the response.
9.1	Does the Service Bureau comply with OIG, CMS and OMIG rules governing prohibitions on use of excluded parties or entities?			
9.2	Does the Service Bureau comply with rules governing reporting, refunding and explaining identified overpayments?			
9.3	Does the Service Bureau comply with rules governing reporting, refunding and explaining identified overpayments?			
9.4	Does the Service Bureau assist in or use OMIG's Self Disclosure Guidance for overpayments?			

(10) Accuracy of information submitted by Service Bureau

	Description	Yes	No	Explain/provide evidence to support the response.
10.1	Is the Service Bureau contractually responsible for the accuracy of the information billed to the Medicaid program under the Medicaid provider's contract?			
10.2	If the answer to question 10.1 is no, is the Medicaid provider contractually responsible for the accuracy of the information billed to the Medicaid program under the Service Bureau contract?			
10.3	Does the Medicaid provider retain all supporting documentation that supports the billing services performed by the Service Bureau (i.e., six years from the date of claims submission)??			

SAMPLE