

2025

DVR Fiscal Practices Manual with Training Activities



DVR Center for Consumer Payments
Department of Workforce Development
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This Fiscal Practices Manual with Training Activities is designed to help staff from the Division of Vocational Rehabilitation (DVR) identify the policy and procedure identified for several types of fiscal actions associated with consumer case services. It includes necessary policy, process steps and materials for training DVR staff who take part in fiscal processes.

Please see the table below for basic DVR fiscal processing steps for DVR consumer services:

DVR Purchasing Process Steps	DVR Consumer	DVR WDA Staff: VRC, Financial Specialist, CCC	DVR Service Provider/Vendor	Center for Consumer Payments (CCP)	Department of Administration
Prior to Service Authorization ↓	Signs Consumer Fiscal Responsibilities document and selects provider.	Reviews Fiscal Responsibilities document. Identifies service in IPE including pricing and provider(s).			
Authorization ↓		Enters Authorization case notes prior to service.			
Purchase Order ↓		Creates PO and sends to Provider prior to service.	Has PO and verifies accuracy of order and service request.		
Service Takes Place Per Instructions ↓	Contacts DVR with completion information.	Confirms receipt of service, completes receiving, and requests invoice.	Provides service (or good).		
Report Issued within 5 Days of Service ↓		Reviews report.	Provides report to DVR.		
Invoice Issued within 60 Days of Service ↓			Provides invoice to DVR.	Verifies receiving and invoice accuracy.	
Payment Processed Net 30 Days from Receipt ↓				Schedules payment.	
Payment Made 					Check is issued.

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PURCHASING

The purchase of goods and services is done in partnership with DVR staff, consumers, and vendors. All parties have distinct roles and responsibilities to make the process accountable and efficient. DVR uses the Integrated Rehabilitation Information System (IRIS) to process and record the purchase of services and goods for a DVR consumer.

Consumer Responsibilities

DVR staff must review and complete the Consumer Fiscal Responsibilities Agreement with the consumer/guardian located in the Consumer Fiscal Responsibility tab within the IPE draft in IRIS. If a service is being purchased prior to IPE development, as part of the comprehensive assessment, the form [DVR-16843-E, Consumer Fiscal Responsibilities Agreement](#) should be signed at that time. Attach the signed form to the case file and provide a copy to the consumer. The form must be reviewed with the consumer/guardian annually, when the IPE is amended and as needed for clarification of responsibilities and documented.

Consumer responsibilities in the purchasing process should be discussed with consumer/guardians throughout the case process but especially:

- When planning the purchase of services;
- When developing the IPE;
- When authorizing a service;
- When DVR seeks feedback about the service provided.

The consequences for not following purchasing processes should be reviewed with the consumer/guardian by DVR staff.

Individualized Plan for Employment (IPE)

Other than services required to complete the comprehensive assessment, most purchasing follows the creation of the IPE. Comprehensive assessment services are those services authorized to allow a consumer to take part in activities related to determining eligibility or to determine the employment outcome and the nature and scope of VR services.

It is through the process of creating an IPE that the counselor and consumer/guardian agree upon services necessary to realize the mutually agreed upon goal of employment for the consumer. The IPE must be signed by the consumer/guardian and by the counselor to be considered an active IPE. Both signatures are required.

- The IPE must be documented within the Integrated Rehabilitation Information System (IRIS) case management system and signatures must be present, either electronically or via an attached and signed signature page.
- Services must be identified within the active IPE before they can be authorized with a Purchase Order (PO) or Direct Payment (DP). **Note:** An exception to this would be comprehensive assessment services.

Delegated Authority

DVR staff have responsibilities and limits in place for purchases of consumer services. These limits are called delegated authority. Delegated case services authority limits in IRIS are as follows:

DVR Staff Role/Title	Amount of Authority
Vocational Rehabilitation (VR) Counselor Consumer Case Coordinator Financial Specialists VR Specialists	Up to \$7,500
Workforce Development Area (WDA) Directors VR Supervisors	Between \$7,500 and \$24,999
Central Office Management	Over \$25,000

WDA Directors are responsible for the appropriate discharge of delegated authority and duties within their respective WDA. WDA Directors may limit delegated authority levels for specific staff members with identified performance improvement needs. When delegated authority has been limited due to performance issues, a written plan of action must be developed and implemented to help staff achieve satisfactory performance and regain delegated authority appropriate to the job classification.

Please refer to the [VR Program Policy Manual \(DVR-11074-P\)](#) for additional information about purchasing policies.

Fee Schedules

Rates of payment for the fee schedule and for contracted services are established to ensure a reasonable cost to the program for each service, not so low as to deny an individual a necessary service, not absolute, and permitting exceptions so that individual needs can be addressed.

34 C.F.R. § 361.50 states that VR agencies may develop policies regarding the provision of services including the establishment of fee schedules. However, 34 C.F.R. § 361.54(b)(3)(ii) states that individuals who are eligible for SSI/SSDI due to their disability will not be required to participate in the cost of any services on the IPE. If the cost of a service on an IPE exceeds the rate of payment established in a DVR fee schedule, then DVR is responsible for paying the cost of IPE services for individuals eligible for SSI/SSDI due to disability. Comparable services and benefits and preference for in-State services referenced in 34 CFR 361.53(a) and 34 CFR 361.50(b) are still considered.

DVR fee schedule rates of payment are determined based upon a competitive pricing analysis and an analysis of DVR costs for these services over a period of time not less than one year, but no more than two years. As appropriate, DVR will set rates based upon approved state, county, or federal rates for the same purchased services. If this process is used, it will be specified in the fee schedule.

DVR Fee Schedules:

- [Policy Manual Addendum A - Training Grant](#)
- [Policy Manual Addendum B - Computers, Medical Services, Occupational Tools, Transportation, Child Care, Maintenance, Self-Employment Business Start-Up](#)
- [Statewide Service Fee Structure](#)
- [Self-Employment - Feasibility & Business Plan](#)

DVR has established specific agreements with service providers of several commonly used and provided statewide services. Each of these agreements has been described in the Technical Specifications to ensure a consistent level of service delivery. The rate of payment for these services is based upon the average time and cost of providing the service as described in the [Technical Specifications](#) and is established with input from providers.

Services provided under these agreements include:

- Customized Employment
- Individual Placement and Support (IPS)
- Internship/Temporary Work
- Job and Task Analysis and Systematic Instruction
- Job Preparation, Development, Hire, and Retention Services
- Student Work Based Learning Services
- Supported Employment
- Vocational Evaluation
- Work Incentive Benefits Services

Individualized Rates of Payment

WDAs may develop rates, procedures, and specifications and service descriptions for other services not on included the [Statewide Service Fee Structure](#). The individualized rates can be for goods and services that are provided locally or are individualized to meet the needs of consumers. These services may include driving evaluation, worksite evaluation, assistive technology assessment, psychological evaluation, work equipment, individualized training, etc. DVR staff should follow the guidelines identified in the [Rates of Payment Determination Chart](#) to comply with purchasing policy.

When negotiating with a vendor related to a consumer purchase of service or goods it is important to remember to follow these steps:

1. Discuss with consumer/guardian the need for the service, explain the purchasing process, include consumer choice and involvement as much as possible. Individuals who are eligible for SSI/SSDI due to their disability will not be required to participate in the cost of any services on the IPE.

- Identify a neutral source, if possible, in consultation with coworkers. Staff are expected to perform due diligence in selecting a neutral vendor to provide services. It is DVR's preference not to use vendors who are family or friends of a consumer. Mandatory self-disclosure by staff is expected if there is a conflict of interest in the selection of a vendor. When a neutral vendor is not possible (i.e., family member of a consumer or staff person), the mandatory disclosure process is required.

In a case note, document the following:

- The steps taken (due diligence) to search for a vendor to provide the service.
 - Confirmation of no financial conflict of interest in the vendor selection.
 - The process of informed choice for the consumer receiving the service.
 - Any possibility or potential for conflict of interest and how it has been addressed.
- Discuss the payment process up front; particularly, that DVR cannot provide an advance payment. If the vendor is not able to accept our order without advance payment, then DVR must find another vendor.
 - Negotiate the price (using the Rate of Payment Determination Chart if not set by WDA or other resources), dates of service and number of hours (if necessary), the process for submitting reports of progress. Identify if the vendor has worked with DVR in the past. If not follow the process identified in the [STAR PeopleSoft Vendor Database](#) section of the Fiscal manual. If the vendor is new, please share the publication: [Information for DVR Vendors and Statewide Service Providers](#).
 - Create Authorization and process purchase order to vendor.
 - Contact provider(s) with consumer referral information and detailed request in writing.
 - Once report/service is provided, the report contents are acceptable, the service or good was provided, and the consumer is satisfied, payment can be made.
 - If DVR or the consumer are not satisfied, payment **should not** be made. Please contact your supervisor for resolution steps.

Authorization Case Note

The authorization case note contains all information related to a purchase. A purchase of services authorization exists when a DVR staff person documents the intention to purchase the service in an authorization for services case note. The created date in IRIS must be the same day or before the actual purchase/service date. Verbal authorizations are not allowed.

The authorization case note consists of a group of comments related to a purchase of one or several services. Updated comments are added throughout the process of purchasing to maintain documentation in one area for ease of review.

The required information contains five elements called the "fiscal five". Information contained within the authorization must include:

Number	Requirement
1	Prior Authorization documentation.

2	What is the service, item, estimated quantity, and time period?
3	Why is it necessary and appropriate?
4	Cost Determination method
5	Are comparable benefits used if applicable, or why not?

Other information to include in the Authorization if appropriate:

- Rationale for using a Purchase Order vs. Direct Payment.
- Justification for spending outside of the Fee Schedule.
- Policy information on Consumer Choice and Due Process.
- Details regarding estimates.
- Exceptions to purchasing policies.
- Approval from supervision.
- Updates or changes to any of the planned services.

Authorization updates may be added by any DVR staff and team members, supervisors, auditors, **or anyone who has a need to review** all information related to the purchase of services for the consumer. Information that may be added as an Authorization Update can include but is not limited to:

- WDA Directors/VR Supervisors can document the rationale for approving an exception or the decision to approve or disapprove a purchase.
- Communication with vendors regarding the PO, invoicing, reports, or questions.
- If a service was denied, the authorization should contain a comment to document that due process was provided to the consumer.
- Information that shows how we know that we can document receiving or satisfaction of a service/product.
- Any problems experienced with the purchase including documentation of an [Invoice Resolution Form](#).
- Extending dates of service(s).
- Documentation of any changes to authorized goods or services such as an increase or decrease in quantity, hours, or costs.

A Prior Authorization Exception must be requested when:

1. The intent to purchase was documented by DVR staff prior to the service start date, but the authorization for services created date in IRIS is after the start date of the purchase. **AND**
2. The PO order date or direct payment is after the start/entry date of the individual purchase or services.

The prior authorization exception must be entered in the initial authorization and be approved by the WDA Director, Supervisor, BCS Director, or BCS Assistant Director or as delegated.

Depending on the circumstances, failure to follow fiscal procedures could result in employee discipline. The consumer/guardian or service provider could be liable for the unauthorized

costs. Services that are provided that DVR did not intend to authorize will not be paid by DVR and will remain the responsibility of the service provider. Purchases made by any consumer/guardian that DVR did not intend to authorize will not be paid by DVR and will remain the responsibility of the consumer/guardian who purchased the goods or service.

WDA staff should not add a service to an existing purchase order to avoid a prior authorization exception and will work with a vendor or consumer to process reimbursements for unauthorized purchases.

[Training Activities Purchasing-Authorization](#)

PURCHASE ORDERS

Before issuing a Purchase Order, the service/product (other than assessment services) must be identified in the active IPE, and an authorization must be completed prior to ordering the service. The authorization must provide the required documentation for purchasing and include the reason for using the PO method.

Service dollars should be encumbered only if necessary to provide a service for a period not to exceed two months. Services which are expected to take longer than two months to deliver are to be written in two-month increments. See further instructions and time frame below regarding Job Development, Supported Employment, Individual Placement and Support, Customized Employment plan and hire POs.

Vendors are to be notified that DVR is to receive their billing for completed services within 60 days of completion. Further, POs not billed against within 60 days will be cancelled.

Completion of a Purchase Order

Entering an Authorization

The first step in completing a PO is to provide documentation of all information related to that purchase. The service (other than assessment services) must have already been identified in a signed IPE. Then the details regarding the actual purchase must be documented. Use an authorization within IRIS to organize the details.

Details can be entered, and updates can be made to an authorization. Users can have one place to view all details "at a glance", rather than reading through several case notes.

In addition to the "fiscal five", the types of information that can be documented in an authorization include:

- Rationale for using a Purchase Order vs. Direct Payment.
- Justification for spending outside of the Fee Schedule.
- Policy information on Consumer Choice and Due Process.
- Details regarding estimates.
- Exceptions to purchasing policies.
- Approval from supervision.
- Updates or changes to any of the planned services.

Requesting a Consumer Purchase Order

Any DVR Staff can request a service for a consumer. At a minimum, the request must include the following information:

- Name/Number of a consumer.
- The vendor who will provide the service.
- A description of the service.
- The begin date of the service.
- The end date of the service.
- The quantity and rate of service.

Partial Units

There are several pre-populated options in IRIS to identify partial units on a purchase order. Many of the options are not useful for DVR purchasing. The field is identified as Unit of Issue: Required, Drop Down List.

The Unit of Issue displays how the items are issued (e.g., boxes, bundles, hours, days, etc.). When creating a new line, select the unit of issue for the quantity of items you are ordering.

The system defaults to "each". Please select the correct unit. Use hours for unit of measure on POs when appropriate, e.g., systematic instruction, job coaching, wages. This allows CCP Unit staff to enter partial units as needed for proper invoicing.

Note: When entering the item quantity, remember that you are entering the number of units being ordered, and not the number of individual items. For example, if you are ordering 100 pencils, and the vendor issues pencils in boxes of 20, enter 5 in the Item Quantity (5 boxes of 20 pencils).

Each team or WDA will determine the process for generating a request. There are several efficient methods, and it is up to the team or WDA to determine what is most efficient for their use. ***One rule to consider when making this decision is that the person who approves the PO cannot be the person who documents receiving on that PO, which authorizes the payment to the vendor.*** Someone should be designated to check for accurate coding. Some of the options available to staff are listed below:

- Counselor completes the Quick Entry Page in IRIS with minimal data and saves the request. Using the Incomplete Orders To-Do List, a Financial Specialist/CCC will then pick up that request, check it for accuracy and coding, and approve the PO. The Financial Specialist/CCC will not be able to do receiving on the orders they have approved.
- Counselor completes the Quick Entry Page in IRIS with minimal data and saves the request. Using the Incomplete Orders To-Do List, a Financial Specialist/CCC will then pick up only a request from a Counselor other than their assigned Counselor. This will allow that Financial Specialist/CCC to be able to document receiving for their counselor.
- Counselor completes the Quick Entry Page in IRIS, completes all data fields, approves and prints the order. This process allows their assigned Financial Specialist/CCC to be able to document receiving.

- Counselor requests a service via an Outlook Email sent to a Fiscal Mailbox. A Financial Specialist/CCC will pick up that request and re-enter all the data into an IRIS Quick Entry page in IRIS. That Financial Specialist/CCC will not be able to document receiving.

TIP! Clearly identify the authorized items and quantity in the body of the purchase order particularly when the PO is provided to the consumer, e.g., clothing, tools, etc. and include the following statement "Only the following items are authorized for purchase". This provides clarity to both the vendor and consumer.

Purchase Order Procedure for Job Development (JD), Supported Employment (SE) Placement, Individual Placement and Support (IPS) Placement, and Customized Employment (CE) Placement and Hire

- JD Plan and JD Hire should be authorized on one PO using two lines and for a period not to exceed six months. The PO may be extended for one additional six-month period if necessary and appropriate and progress continues. An Authorization Update is needed.
- Authorize a Job Retention PO as soon as you receive notice (within 10 days) that the consumer has been hired, accepted the job offer and everyone agrees to the position.
- SE, IPS, and CE Hire should be authorized on a PO for a period not to exceed six months and may be extended for one additional six-month period if necessary and appropriate and progress continues. An Authorization Update is needed.
- All JD, SE, IPS, and CE Placement and Hire POs must be cancelled and recreated after the initial 12 months of activity if necessary and appropriate and progress continues. The previous PO number should be listed in the description of the new PO.

Multiple Line Purchase Orders

Sometimes a single PO is issued to a DVR vendor which includes multiple services with differing timeframes on separate lines of a PO. While this approach may save time initially, it will keep the PO open much longer and will make services and billing difficult to track. In these cases, it is recommended instead to create multiple POs for services to the vendor.

To keep POs more simplified, only include services that occur in the same or similar timeframe (for example, a one-month training program July 1-July 30 with transportation July 1-July 30). Also avoid including POs with much different start and end dates. A final sorting mechanism would be to issue a separate PO for a stand-alone service or item that is independent of the rest (for example, a work uniform issued July 1).

It is a suggested best practice to help keep fiscal processes moving so that POs can be received and invoiced in a fashion that makes sense given timeframes and natural combinations of services. Creating independent POs will allow them to be processed and finalized, which will eliminate confusion and rework. Please consult with coworkers or supervision when making decisions about which services can be combined in a PO.

[Training Activities Purchase Orders](#)

Purchase Order Coding

Specific instructions for each of the Coding fields located on the PO can also be found in the [Fiscal Account Coding](#) (Internal Link) section of the [DVR Coding Manual](#) (Internal Link) and on the [IRIS Help Pages](#) (Internal Link). It is the responsibility of DVR field staff completing the order in IRIS to assign correct coding to consumer POs. Prior to final approval of the invoice, Center for Consumer Payments (CCP) staff will check the coding to see if it is following the Internal Revenue Service (IRS) rules for services being paid. If there is a discrepancy in coding, CCP staff will return the PO for coding correction. Coding has been automated as much as possible within the IRIS System.

Please find a description of each of the coding fields below:

- **Appropriation:** The authorization made by the State Legislature to make expenditures and to incur obligations from a specific statutory fund for a specific purpose. All DVR discretionary consumer purchases will be coded to appropriation code **54400**. This code is automatically assigned by IRIS.
- **State Fiscal Year:** The State Fiscal Year (SFY) is displayed with the 4-digit SFY in which the service will occur. There is a period of time from June 1 through the cutoff date determined by the Bureau of Finance, generally the third week of July when users will be able to select between two state fiscal years. The current SFY will default in IRIS. Critical dates will be announced by a directive from Central Office.
- **FFY Project Code:** The project code identifies the Federal Fiscal Year (FFY). This is a fifteen-digit code, the last two digits identifying the FFY funding year. For a period of time after October 1, users will be able to select between two federal fiscal years. The current project code will default in IRIS. Critical dates will be announced by a directive from Central Office.
- **Department:** The department code is used to report consumer spending by WDA. There is one department code assigned to each WDA. This code is automatically assigned by IRIS based on the consumer's WDA.
- **Activity:** The activity code allows for the breakdown of transactions. Summary expenditures and services by activity code are reported to RSA. **The code must be manually assigned by DVR field staff**, so it is important that the selected code is accurate. IRIS displays a short description of each code for a more complete description of the codes and a list of examples please use the [DVR Coding Manual](#) (Internal Link) and the [Fiscal Account Coding](#) (Internal Link) section for reference.
- **Account:** The purpose of the accounts codes is to identify if a service is reportable or non-reportable to the IRS. This code is assigned When assigning this code, field staff should take into consideration the service being provided.
 - IRIS will display a default code which looks at the activity code and tells the user what the account code has been in the majority of purchases for that service. However, the default code should be only a guide for users.
 - If in doubt about the appropriate account code to assign, assign a reportable code and let the vendor determine if they must report the payment to the IRS.

TIP! A general rule for IRS coding - Goods are generally not reportable, services are reportable.

Choosing the Correct Activity Code

Each DVR service or good has a corresponding activity code. The codes are reported to RSA and play a crucial role for DVR to track how services are used and to identify if changes need to be made. Each WDA can determine who is responsible for accurate coding. In IRIS, the activity codes will default to the most commonly used coding. It is important to make sure that the correct code is selected. Please make sure that the option selected is accurate and consult with coworkers.

TIP! Print the most updated Activity Code section and make notes. Review the section at DVR staff meetings to form a collective understanding of each code and feel free to contact a DVR Policy Analyst or member of CCP to help you identify a code if there is some uncertainty.

TOOL: [Common Rehabilitation Technology Coding](#)

[Training Activities Purchase Order and Activity Codes](#)

STAR PeopleSoft Vendor Database

DVR uses the STAR PeopleSoft vendor database to maintain vendors for consumer purchases. DVR will access and view the vendor database from IRIS. DWD Finance will facilitate additions/changes/inactivation of vendors with the Department of Administration (DOA). The State of Wisconsin has a two-step process that suppliers and service providers must follow to become a vendor. Refer to [Information for DVR Vendors and Statewide Service Providers](#) for more information.

Step One: New Vendors

It will take approximately five to seven business days if the vendor is new to DVR and has not yet been set up in the STAR PeopleSoft vendor database. DVR staff work with vendors to complete the required forms; the DOA New Supplier form (DOA-6460) and IRS W-9, which can be accessed here [DOA Vendor Forms](#). The forms are retained in the secure DVR SharePoint file and can only be accessed by DVR Fiscal Experts, DVR CCP, the DVR Contract Specialist, and DVR Managers. The forms and instructions can be sent to the vendor via email. DVR staff send the completed forms to DWD Finance at: VEND@dwd.wisconsin.gov. Submission of incomplete or inaccurate forms will result in delays. DWD Finance reviews the forms and sends them to DOA. DWD Finance notifies DVR staff when the vendor has been added to STAR/TES. DVR staff then import the vendor into IRIS and route to their WDA Director/Supervisor for a new vendor review and approval.

NOTE: If a vendor is found to have a financial obligation to the State of Wisconsin, they will be required to resolve any outstanding obligation before approval will be granted to provide a good or service for DVR.

Step Two: DVR Approval

New Vendor Review: A pre-audit review will take place to ensure the vendor is an appropriate service provider. DVR requires that all new vendors be reviewed by a WDA Director/Supervisor to ensure the vendor can provide the services being requested. The reviewing supervisor must complete the approval in IRIS with review comments.

Supervisors should conduct a new vendor review regardless of the dollar amount involved in

the purchase. Small dollar amounts can be the basis of fraud, collusion, and abuse and require equally careful review of the documentation. The main objectives in the review are to use professional judgment and assess the reasonableness, appropriateness, and business status of the vendor selected for the service.

Using discretion in the review process, tests may be performed by the reviewer depending on the knowledge of the vendor. The following information should be included in the WDA Director/Supervisor review comments:

- Why was the vendor chosen? What is the purpose?
- Are there alternative vendors or comparable services?
- How was the ability to provide the good or service by the vendor determined?
- Who has provided the good or service in the past?

There are other steps required in a new vendor review. The WDA Director/Supervisor may ask WDA staff to complete the following steps:

- Perform a web search to see if the business is listed, noting goods/services, name, address, and location to consumer. If a PO Box is listed as the primary address, is there a physical location to conduct business?
- Is the approval for a change to the business name or tax identification number (TIN)? Document the reason for the change.
- Search [Wisconsin Department of Revenue](#) delinquent taxpayers' website to see if vendor owes money.
- Perform [Wisconsin Circuit Court Access \(CCAP\)](#) search by an individual party's name.
- Search [Wisconsin Department of Financial Institutions](#) website to see if business is in good standing at.
- Search [Better Business Bureau](#) and review for complaints.
- Depending on the nature of the business, the reviewer may request from the vendor references or other contractor names to contact regarding quality, responsiveness, performance, character, etc.
- Ask the vendor to provide information about established cancellation fees and related policies. This information should be entered in the IRIS Vendor Acct comment section.

Consult with BCS management with questions or concerns.

Updating an Existing Vendor

Once a vendor has been activated in the STAR PeopleSoft vendor file and wants to update information, the following forms can be provided via email. The official forms are retained in the secure DVR SharePoint file and can only be accessed by DVR CCP, the DVR Contract Specialist, DVR Managers, and DVR Fiscal Experts.

- Change of Address-Single Form
 - DOA-6457: Address Update (**Section 7** is not required)

- Change of Vendor Name in STAR-All forms
 - IRS Form W-9: Request for Taxpayer Identification Number and Certification
 - DOA-6457 Form: Address Update
 - DOA-6458 Form: Change of Supplier Name
- Change of Tax ID Number in STAR-All Forms
 - IRS Form W-9: Request for Taxpayer Identification Number and Certification
 - DOA-6457 Form: Address Update
 - DOA-6459 Form: Supplier Tax Number Update
- Request for Direct Deposit-Single Form
 - DOA-6456 Authorization for Direct Deposit

Completed form(s) should be emailed to the local DVR office along with an effective date of change and indication that the agency or individual is a DVR Statewide service provider. DVR staff will forward completed forms to DWD Finance at VEND@dwd.wisconsin.gov.

DWD Finance will review and submit forms to DOA, and the request will be entered within 3 to 4 business days (orders cannot be approved for the service provider until the name and address are entered). If a DVR service provider, the DVR Contact Specialist will reassign the service provider record to the new Tax ID as close to the effective date as possible.

Statewide service providers should review information in the Statewide Service Agreement about requirements and procedures if the sale, merger, or change in the Service Provider FEIN is anticipated. It may be necessary to submit a new Statewide Service Agreement under the new information.

DVR Vendor Type

When importing a STAR Vendor, DVR staff will select the DVR Vendor Type. Each vendor that provides services to DVR consumers must be assigned a DVR Vendor Type as required by the Rehabilitation Services Administration (RSA). The types of Vendors include Consumer, Other Private Vendor, Other Public Vendor, Private Rehab Facility, or Public Rehab Facility.

Consumer is also a Vendor

When a consumer has a business from which any Wisconsin state agency purchases items or services, and the consumer also requests DVR direct payments to be ACH payments, then the consumer will have two STAR vendor records. One will be the consumer record under vendor type DVR DP Vendors and the other will be under vendor type DVR PO Vendors. All consumer vendor records for direct payments using a paper check are exclusively in IRIS and not in STAR PeopleSoft.

Adding a DVR Consumer for Direct Payment

To provide a direct payment to a consumers using a paper check, the consumer record is created in the direct payment page in IRIS. DWD Finance or and/or DOA do not review or approve these, nor do they inactivate addresses.

IRIS limits each consumer to three active addresses at one time, so if a consumer has multiple addresses an address may have to be inactivated before adding a new address.

An address or name change for an existing consumer in IRIS must be entered on both the case side and the fiscal side of IRIS.

Approval of a Purchase Order

Approve

Any DVR staff can approve a PO except for staff with the IRIS role of CCP. The person who approves the PO will not be allowed to document receiving against that PO. Each Team or WDA will determine a process regarding who will approve the POs that will be the most efficient.

Print

After a PO has been approved, it will be sent to the vendor. The PO can be printed for mailing, it can be sent via FAX, or it can be attached electronically to an email. These methods are acceptable. If a PO is provided via a paper or emailed copy to a DVR consumer it must be stamped and identified as a "copy" so it cannot be used to secure goods or services. If a PO is amended or changed an updated copy must be sent to the vendor.

NOTE: Vendors who hold a Service Agreement with DVR will access all POs via the portal. POs to these vendors should not be printed nor provided in any other fashion.

High-Cost Orders

When the total of a PO, including any change orders, exceeds limits set according to staff functions in IRIS, DVR management must review the PO before it can be approved in IRIS. Refer to the [Delegated Authority](#) section. If the total of the order exceeds \$25,000, the WDA Director/VR Supervisor must approve the order, AND it must also be reviewed by the DVR BCS Director or a designee. This includes the original PO amount as well as any changes that are made to the order that cause it to exceed those limits.

[Training Activities STAR PeopleSoft Vendor Database](#)

RECEIVING AND PAYMENTS

Receiving is the action done to accept evidence for payment. Receiving ensures DVR is paying the amount obligated to pay and minimizes the risk of inappropriate or inaccurate payments. The "OK to pay" must be confirmed by someone who knows the goods or services were indeed received. Please document receiving and include information confirming knowledge of the delivery of goods delivered via mail or directly from a vendor. Include when it was delivered, the source of delivery, and who received the good(s) upon delivery. It is critical for the consumer to confirm receiving **before** payment is made to the vendor.

If the consumer is unavailable, it is acceptable to confirm receipt of the good or service from someone else who may have that information. Confirmation can include a guardian report. DVR should not complete receiving based solely on an invoice or vendor/provider report. A provider report is submitted by the same provider of the invoice; therefore, risk of inaccuracies on both is possible.

Responsibility for Receiving

The Financial Specialist or CCC assigned to the case is ultimately responsible to ensure receiving is completed, although team strategies should include the options for others to also complete. In general, the Financial Specialist or CCC assigned to the case is also the Alert Recipient. As attempts and contacts are made to the consumer/guardian, enter PO comments, and add to case activity list. This practice facilitates a reminder to follow up with consumer/guardian upon review of case notes and allows any staff to see the results to date. When in contact with a consumer review the fiscal summary for any outstanding services where receiving can be completed, or consumer satisfaction can be gathered.

If the service includes a report, be sure to review the report and ensure consumer received as indicated on the report and [Technical Specification](#) requirements have been met.

If during contact with the consumer/guardian, it is determined the good or service was not received as ordered, proceed with completion of the [Invoice Resolution Form \(DVR-14726-E\)](#) (see [Invoice Resolution Form Procedures](#) under the Miscellaneous Section).

To complete receiving:

1. Enter the quantity (units) of goods or services received as ordered. Entry of this value confirms two things:
 - The number of units of goods or services received by consumer. This identifies the amount DVR is obligated to pay.
 - The goods or services were received as described on the PO. There can be a variance between what we ordered and consumer satisfaction. If what DVR ordered was received as ordered, then the vendor is owed payment. If the consumer received what DVR ordered, but isn't satisfied for some reason, payment is still owed to the vendor because the order was fulfilled as ordered. If the consumer is not satisfied and the item can be returned, identify the process, and return the item after consultation with the VRC.

2. Enter a brief comment to explain **how you know** the consumer received the goods or service as ordered. Completion of receiving cannot be based solely on receipt of an invoice or report from a provider. Although a provider's report is a requirement of the technical specifications of the service, basic required fiscal control is to confirm with the receiver of services (the consumer) that indeed the services have been received.

Complete receiving as soon as you know the services were provided – don't wait until the invoice is received. DVR staff must never complete receiving to create an advance for a good or service. Receiving must only be done once a service or good is delivered in full. Depending on the circumstances, failure to follow fiscal procedures could result in employee discipline. Best practice is to develop a process where the consumer/guardian informs you when a service is completed. Another method that can assist in timely receiving is to enter the review date on the PO as the date you need to contact the consumer/guardian.

Alerts from CCP

If you have not completed receiving before the invoice is received in the CCP unit, you will receive an IRIS alert initiated by CCP, asking that you act on the receiving as soon as possible so payment is not delayed. This is extremely important on all invoices but especially on large invoices with multiple orders. The entire payment to the vendor may be held up waiting for receiving on an order to be completed. Alerts are generated in IRIS but for large or complicated invoices CCP staff may choose to email multiple staff with the same information.

The first alert is sent by CCP as soon as the invoice is entered by the CCP unit. The alert will be sent to the "Alert Recipient" on the PO, and staff are expected to review ASAP and minimally within five business days, multiple contacts should be made to the consumer/guardian to complete receiving. CCP will follow up with a second alert to the alert recipient, alert recipient's supervisor, and WDA fiscal expert(s) after the five business days have passed.

Invoices not paid within 30 days may incur late payment charges that must be added to the payment due. If the timeframe for receiving is critical a third alert will be issued that will include the VR Supervisor and or the WDA Director.

TIP! Use the **Orders on Invoices To Do List** in IRIS to prioritize receiving by scheduled payment date to ensure payments are made in a timely manner.

Signed Receipts

If the CCP receives a signed receipt with an invoice, they will indicate this in the alert they send. If the consumer has signed a receipt, completion of receiving can occur immediately by referencing the alert message.

Reassigning Responsibilities During Absences

If staff are going to be gone for a period of time, they (or an IRIS System Administrator) should set up a delegate for their alerts or transfer their receiving responsibilities to other staff during their absence. This can be done in IRIS via the "Other" tab, select [Staff Search](#) (Internal Link), find yourself, and then select Alert Delegate on the [Staff Information](#) (Internal Link) page; you can also go to the "Fiscal" tab, select [Change Receiver](#) (Internal Link), and

select the staff you would like to get the “Receiving Needed” alerts. All staff members can change their own delegates and message receivers. Discuss a plan for keeping up with cases including fiscal responsibilities on vacant caseloads.

To Cancel or Delete Receiving

If a mistake is made when entering receiving, the entry cannot be cancelled or deleted. Instead, you must enter a new line and show a “negative” receiving. For example, if you entered three units and should have only entered one unit, you will enter a new line showing “-2” units, which reduces the total amount received. The reason you are not allowed to cancel or delete receiving is to maintain a historical record of any receiving that was documented.

[Training Activities Receiving on a Purchase Order](#)

Maintenance of Purchase Orders

It is the responsibility of DVR field staff to maintain all purchase orders and direct payments from the time they are requested until they are liquidated and resolved. Notify vendors that DVR must receive their billing for completed services within 60 days of completion.

WDA Planning for Fiscal Maintenance

Each WDA can identify how they want to keep up with fiscal maintenance. The following are some tips that have been developed over time. While each staff person may develop their own techniques, these ideas may be helpful for you or your team:

- Complete a regular (weekly/monthly) review of fiscal work.
- Update and sort by begin and end dates of POs.
- Notify a vendor and send updated version when a PO is cancelled or revised.
- Assign responsibility for accurate coding by individual or by role (example: CCC or Financial Specialist).
- Schedule a team meeting or pair up with staff specifically to review fiscal items.
- Identify a single main point of contact for a vendor with multiple POs or consumers.
- Schedule regular calls or meetings with larger vendors to review outstanding POs.
- When in an IRIS case review all fiscal activity and resolve outstanding issues.
- Use Outlook and other reminders to trigger reviews by specific due date.
- Complete receiving as soon as possible.
- Review POs on cases identified for closure or transfer.
- Change preferred location for services when a case transfers to another WDA.
- Remind VRCs to notify fiscal staff when services end early, or reports are received.
- Schedule a regular meeting with the VRC to review cases and older POs.

DVR Dashboard Reports

- **Activity Cost** displays the case management expenses.
- **Vendor Cost** displays the case management expenses relative to the Vendors who received payments from the program, not including Direct Payments.
- **Job Development** report rolls up all job development expenses into a single report.
- **Budget/Actual** report is being built from Nova (STAR).
- **Unverified Payment** report displays direct payments that have not been verified for processing by Center for Consumer Payments (CCP) staff.
- **Purchase Order** reports display open PO balances for Open and Closed cases. One report shows a WDA/Requestor/Alert Recipient view. The other report shows a vendor view of this same information.
- **Exception** reports show the approved and denied expenditures within a specific set of expense categories.

To Do Lists in IRIS (Internal Links)

- [To Do List - Change Order](#)
- [To Do List - Direct Payments](#)
- [To Do List - Incomplete Order](#)
- [To Do List - Incomplete Receiving](#)
- [To Do List - Invoices](#)
- [To Do List - Unliquidated Order](#)

The individual listed as alert recipient on a PO should monitor the list of open POs regularly to assure the POs remain accurate. The alert recipient should also complete receiving and obtain invoices if appropriate for that order.

[Training Activities WDA Planning and Fiscal Maintenance](#)

Change Orders

Change orders are subject to the same approval process as an original order consistent with staff delegated authority levels. The original order amount + the change order amount will determine if additional approval is needed. Pending and in process change orders can be viewed using the Change Order To Do List in IRIS.

Reminder: Authorization updates are needed when changes to service details are made to a PO.

Financial Changes

When changing a purchase order on any field that must go to the state accounting system, STAR PeopleSoft, DVR is required to go through the change order process. When making these financial changes, we will send these changes through the nightly batch process.

Non-Financial Changes

Certain non-financial changes are not sent to STAR PeopleSoft; these changes include requestor, alert recipient, end and review dates. Therefore, those changes can be done without being sent through a nightly batch upload cycle.

Authorized Dates of Service

An authorization update is needed when services extend beyond the original authorization order end date. The RSA 911 requires these dates to be accurate.

Cancellation

When you close a PO, it will cancel the amount remaining on that PO. This is regardless of if an invoice has been paid against any of the lines on the PO.

If you don't intend to cancel the entire PO, you can cancel one of the lines or the remaining balance on the line. A line should be cancelled if it will not be used. For lines with partial invoicing, do a change order to reduce the lines to what will be used.

Monitor your POs routinely to see if any can be cancelled. Don't cancel a PO just because the invoice hasn't been sent. This causes a problem because the vendor hasn't received their payment, and the vendor usually discovers this later which causes more work for both DVR field staff and CCP. If the vendor hasn't sent an invoice, contact the vendor to obtain one.

Purchase orders should not remain in effect for more than 18 months. The authorization should be reviewed periodically with the consumer/guardian and provider to ensure that the order is correct, and progress continues.

CCP has the capability to finalize POs and will finalize orders under the circumstances described under the Finalizing/Canceling Order Lines section.

[Training Activities Change Orders](#)

Invoices on a Purchase Order

Invoice Review

All invoices for materials or services purchased by state agencies must be reviewed before payment for:

- Math and coding accuracy
- Compliance with purchasing regulations
- Compliance with terms of the PO
- Evidence of receipt in good condition
- Potential duplicate payments
- Conformance with legislative and program intent
- Dates of service

The review of invoices should be performed prior to the processing of orders approved for payment and is primarily a CCP responsibility. Field staff determines legislative and program conformance as they "okay payment" through the receiving process. Communication

between field staff and CCP is necessary in many instances to resolve issues outlined above and to meet prompt payment guidelines. Field staff and CCP staff should monitor invoices for indications for vendor fraud. Consult the Miscellaneous Section on [Vendor Fraud](#).

Recordkeeping

Once invoices are processed and reviewed, they are stored per state record retention rules.

Elements Required on an Invoice

Vendors must submit an invoice after the service is provided **and** within 60 days from the end of the service. Invoices **must** accurately represent hours expended and/or deliverables that were completed and include:

- Dates of service(s)
- Invoice date
- Federal ID# or FEIN
- Invoice number
- Purchase Order number – (located at the top of the order)
- Remit to address
- Recipient of services (including DVR consumer first and last name and IRIS case number)
- Itemized list of goods/services provided with dollar breakdown for each DVR consumer
- Invoice total
- Service Provider name, address, and contact information
- Certification language (Statewide Service Providers ONLY) *
- Signature of authorized representative of the Service Provider

*"I certify that the amount invoiced accurately represents hours expended and/or deliverables that were completed within the last 60 days or within the timeframe stated in the purchase order. I further certify that payment for the amounts and services claimed has not yet been received as of the date of this invoice."

When a vendor purchases items on behalf of a consumer (i.e., bus pass, clothing), the invoice must be accompanied by a receipt showing the item as paid and include the purchase date and amount. If CCP receives an invoice without a receipt, a request will be made to the vendor before payment is approved.

The invoice must be submitted from the vendor. A copy of the PO does not serve as an invoice and will not be treated as an invoice by CCP.

Invoices Received in Field Offices

All invoices should be sent directly from vendors to the CCP electronic mailbox at dvrvendorinv@dwd.wisconsin.gov.

If an invoice is received in the DVR field office, it should be date stamped when it is received, scanned, and sent to the CCP electronic mailbox at dvrvendorinv@dwd.wisconsin.gov.

Invoices may also be sent directly to the CCP via USPS, inter-departmental mail or faxed to 608 266-1133. The invoice must be sent to the CCP as soon as possible, whether, or not, it is being disputed. If it is being disputed, field staff should attach a copy of the [Invoice](#)

[Resolution Form \(DVR-14726-E\)](#) to the invoice when it is mailed or faxed to the CCP unit.

Only CCP Will Enter Invoices into IRIS

CCP will enter the header information and remittance information for an invoice.

Assigning Invoice Numbers

Because only CCP can enter an invoice, CCP will assign the invoice number if none is provided by the vendor, in accordance with its established format.

Emailed Invoices

Vendors should be instructed to send all invoices directly to the CCP electronic mailbox at dvrvendorinv@dwd.wisconsin.gov as this is the preferred method of receiving invoices. Invoices that are mailed will have a delay in processing. Scheduled payment dates are based on when an invoice is received by CCP.

Payment from a Cash Register Receipt

Some vendors have specifically asked that we wait for an actual invoice before processing payment. They also ask that we not pay from a cash register receipt. Although the register receipt is an itemization, the actual invoice should be considered the billing.

Payment from a Statement

CCP will not process a “statement” as payment unless it is clear that the “statement” is actually the vendor’s invoice and has all required invoice information. An actual statement from a vendor that lists outstanding invoice numbers will not be processed.

In this case, CCP will contact the vendor requesting copies of the original invoices referenced on the statement. Each statement needs to be handled separately, and the CCP needs to make the final determination whether to pay from a statement or not.

Tolerance Level

The current tolerance for invoices is 25 percent per line, up to \$100. This tolerance level was set by DVR. The system automatically calculates if payments are within tolerance or not and will not allow CCP to process a payment that exceeds the tolerance level.

Scheduled Payment Date

The policy for the State of Wisconsin is net 30 days. This means we have 30 days to meet prompt payment requirements. The 30-day prompt payment period begins the day the invoice is received in DWD, or the day the goods are received, whichever is later.

Currently, IRIS automatically calculates the scheduled payment date by adding 23 days (determined by DOA) to the date the invoice was received by DWD. This does not always mean the date the invoice was received in CCP. The policy is for all invoices to be sent directly to CCP. However, some invoices are received at the DVR field offices, which is then the date received by DWD. Invoices received at DVR field offices must be date stamped for

this reason.

CCP Contacts for Invoicing

- Email address for vendor invoices: dvrvendorinv@dwd.wisconsin.gov
- CCP fax number: (608) 266-1133
- CCP Mailing Address:
DWD/Division of Vocational Rehabilitation
CCP Unit
PO Box 7852
Madison, WI 53707-7852
- Scanning Status Report (Internal Link)

In Process Invoice

If you find an invoice marked “In Process” that has been in that status for some time, research the invoice before calling CCP to see why the invoice hasn’t been paid:

Possible considerations:

- Has receiving been completed?
- Is a change order needed?
- Is there another problem which field staff can resolve or assist with?

Contact CCP if these issues have been addressed or if the payment remains in process.

Invoices Without an Order Number

When invoices are received in the CCP unit without an order number, CCP staff will first research and attempt to locate the appropriate order or attempt to determine the appropriate field office for that invoice. If the field office can be determined and there is no PO in IRIS, CCP will notify the appropriate staff person for processing.

If the order cannot be located or the field office determined, CCP will send out an [Invoice Resolution Form](#) to the vendor disputing the invoice. These invoices cannot be entered IRIS until a PO number is provided. Part of the PO agreement is that the vendor must reference the order number on the Invoice. If that is not done, DVR can dispute payment to avoid interest charges until the PO number is provided.

[Training Activities Invoices on a Purchase Order](#)

DIRECT PAYMENTS TO CONSUMERS

General Guidelines

Most services and goods will be purchased with POs followed by invoices and payments. A PO to the vendor is always the preferred method and should be used whenever possible. There are some limited circumstances when a service or good must be purchased via a direct payment to a DVR consumer.

Direct payments to the consumer should be used sparingly and limited to few circumstances. Sometimes a vendor will not accept a PO from DVR. In some cases, there are payment requirements or time constraints that preclude use of a PO. When a situation arises where an alternate payment method is necessary, please consult with your supervisor.

If the direct payment is for an ongoing service for more than three months, the provider should be set up as a vendor and a PO should be issued for services. Direct payments must be issued directly to the consumer and cannot be issued to another party. Staff should verify the correct consumer address is used for the payment.

DVR has created specific forms and processes to create payment directly to consumers. The [Expense Reimbursement Log \(ERL\) DVR-12989-E](#) (Internal Link) and the [Advance Expense Reimbursement Log \(ERL\) DVR-12987-E](#) (Internal Link) has been created with special instructions included to assist DVR staff and consumer/guardians when direct payments are needed.

A reimbursement is a payment issued to a consumer following an authorized service or good when the consumer pays for the service. An advance is when a payment is made to a consumer prior to an authorized service or good.

All direct payments, regardless of if it is an advance or a reimbursement, require verification of the expense. A completed and signed copy of ERL must be linked to **all** DP requests.

Electronic (ACH) Payments

When it has been determined that the use of a direct payment is necessary, the payment will be issued by paper check, unless the consumer prefers an Electronic/ACH payment and is willing to complete the necessary paperwork for DOA approval. ACH payments can be used for consumers who will receive ongoing direct payments from DVR, such as monthly mileage reimbursements. An ACH payment can also be used for a single payment based on the consumer's preference.

Setting up Consumer Electronic Payments in IRIS

To receive ACH payments, a consumer needs to be set up as a vendor in STAR PeopleSoft using the same process that is used for all new DVR vendors. Use this link [DVR Consumer ACH Payment Forms and Instructions](#) to find step-by-step instructions on the DVR Work Web.

To receive an electronic payment from DVR, the following must be completed:

- DOA-6460 Supplier Form
- W-9 Request for Taxpayer Identification Number and Certification
- Voided check or letter from bank/credit union

DVR can provide the required forms via email and electronic signatures are acceptable. It will take approximately seven business days to set up a consumer to receive ACH payments. The DOA-6460, W-9, and DVR Consumer Electronic Payment Forms Instructions can be found by clicking on this link [DVR Consumer ACH Payment Forms and Instructions](#).

Prior to Authorization

Before issuing a direct payment, the service/product must be identified in the active IPE and an authorization must be completed, regardless of the payment type (reimbursement or advance). The authorization must provide documentation for purchasing and include the reason for using the direct payment method.

The Expense Reimbursement Log (ERL) will inform the consumer of effective dates, what services or goods DVR is authorizing and, therefore, define which services can be reimbursed by DVR. All receipts and verification documents must match the ERL details including effective dates.

There are specific timeframe and verification considerations for each type of good or service authorized using a direct payment. There is a detailed table outlining the requirements later in this section of the fiscal manual.

For more information about [Authorization Procedures](#), see page 10.

Reimbursements

A reimbursement is money given to a consumer after the consumer has purchased an agreed-upon product or service and DVR is providing payment for the agreed upon expenses. Mileage reimbursements can be authorized for up to six months at a time.

Prior Authorization-Direct Payments

A Prior Authorization Exception must be requested when:
1. The intent to purchase was documented by DVR staff prior to the service start date, but the authorization for services created date in IRIS is after the start date of the purchase; AND
2. The Direct Payment request date is after the start/entry date of the individual purchase or services.

The prior authorization exception will be approved by the BCS Director, BCS Assistant Director or as delegated by the BCS Director by the WDA Director.

Depending on the circumstances, failure to follow these procedures could result in discipline to the employee. The consumer/guardian or service provider could be liable for unauthorized costs. Services provided by any service provider that DVR did not intend to authorize will not be paid by DVR and will remain the responsibility of the service provider. Purchases made by

any consumer that DVR did not intend to authorize will not be paid by DVR and will remain the responsibility of the consumer who purchased the good or service. WDA staff will work with a vendor or consumer on reimbursements for unauthorized purchases.

Authorizing a Reimbursement Direct Payment

The DP must be authorized using the authorization case note intended for the service. The DP is entered by field staff and routed through the WDA Director/VR Supervisor if required.

The Actual Payment Service start and end dates should fall within the Authorized Service dates. Enter the Actual Payment Service dates on the Payment/Verification Info tab with the first service date as the start date and the last service date as the end date. The payment description should be the actual service information listed on the ERL and must include the service authorized and the purpose of the service.

Note: DPs cannot be issued to a consumer more than 365 days after the case closure date.

DP authorization steps include:

1. The Reimbursement begins by field staff entering an Authorization and DP in IRIS under the Authorization Information tab.
2. The DP is saved, and the [Expense Reimbursement Log \(ERL\) DVR-12989-E](#) (Internal Link) is printed and provided to the consumer. The form will clearly indicate the product/service and the funding level that will be reimbursed. Instructions for completing the ERL are provided on the form as well as a sample to help the consumer complete the form.
3. When creating a reimbursement request, there may be instances when multiple dates of service need to be entered.
4. A direct payment can then be created and saved in IRIS, but not yet routed to the CCP for approval. By doing this, DVR can create a report showing all "In Process" direct payments, which will provide a way to determine the amount of funds that have been "promised" but not yet approved for payment.
5. When the consumer returns a completed ERL form, the field staff will review the form to assure the document is completed properly and has adequate supporting documentation. Verify the following:
 - Calculations are accurate.
 - The ERL is an original document – not a copy.
 - The document contains consumer/guardian and DVR staff signatures and date.
 - Must be physical signature or through DocuSign.
 - The case number is correct.
 - Receipts are present and equal to the amount of the Direct Payment.
 - The ERL is not a duplicate payment.
 - Services are actual expenditures and not future claims.
 - The dates on the receipts are within the dates authorized on the ERL.

6. If the Reimbursement ERL Form is missing documentation, field staff will contact the

consumer/guardian for resolution. Payment will not be made until the issue is resolved.

TIP! Multiple lines can be entered on one Direct Payment. For example, if there is a consumer who has mileage listed for job searches and they also list buying interview clothing, one DP should be entered with two lines: one line using the 065 code for the transportation/mileage with the dollar amount listed, and the other using the 027 code for maintenance with the amount listed.

Submitting a Reimbursement Direct Payment to CCP

When the [Expense Reimbursement Log \(ERL\) DVR-12989-E](#) (Internal Link) is accurately completed and ready for approval, field staff will document verification for the DP in IRIS on the Payment/Verification Info. tab listing Actual Service Start/End dates. They will attach and link the appropriate receipts/documents to the DP in IRIS. Field staff will then route the DP to CCP for approval.

The system allows CCP three options with a payment – to Approve, Deny or put the payment back In Process to a field staff person. If revisions are needed, CCP must route the payment back to the requestor to correct, after which the field staff can route the payment back to CCP for approval. Payment will not be made until the issue is resolved.

The CCP will approve a [Expense Reimbursement Log \(ERL\) DVR-12989-E](#) (Internal Link) only when verification is completed, and the supporting documentation is sufficient. If insufficient supporting documentation is attached, CCP will return the DP to the field staff for further follow up regarding verification.

Advances

An advance is money provided to a consumer up front, with verification documentation submitted after payment. Advances are used when other procurement methods (i.e., purchase orders, reimbursements) are not possible or cannot secure a service. An initial Advance for mileage should provide the consumer with money to get started, but then future payments for mileage should be in the form of a Reimbursement for documented and actual expenses. Prior to authorizing an advance verify the expenses being authorized by reviewing available estimates, published training program details, quotes, etc.

DVR needs to ensure that advance payments are verified in a timely manner, that funds were used as intended, and that consumers are satisfied with the services.

Note: When possible, Advances should be authorized for only one month at a time and should not exceed two months. For unique situations, consult with your supervisor. Advances should rarely be granted and should only be given in cases of hardship.

Authorizing an Advance Direct Payment

Advances must receive approval from the WDA Director/VR Supervisor for the CCP Unit to approve payment. Verification is completed after the payment has been made.

The consumer/guardian should return the completed [Advance Expense Reimbursement Log \(ERL\) DVR-12987-E](#) (Internal Link) within 15 days from the end date on the Advance form.

This allows DVR to complete the verification process within the 25 days. Staff should calculate this date and include it on the Advance form in the space provided.

If verification does not take place within the 25-day timeframe, supervisory approval is required to authorize any further services. The 25-day clock for unverified payments starts from the end date on the Advance form.

Steps for authorizing an advance DP include:

1. The Advance begins by field staff entering an authorization and DP in the IRIS System. DPs that are indicated as advances will typically be approved on the date of receipt. It is recommended that an advance be indicated as ADV at the beginning of the description of the DP.
2. The DP is Saved and Routed to a WDA Director/VR Supervisor.
 - If the WDA Director/VR Supervisor disapproves the DP, the requester will receive notice of the disapproval and the DP will not be routed further.
 - If the WDA Director/VR Supervisor approves the DP, he/she will then route it to the CCP Unit for approval.
3. Once the Advance has been approved by CCP, the [Advance Expense Reimbursement Log \(ERL\) DVR-12987-E](#) (Internal Link) is printed and it is sent to the consumer. Instructions for completion are on the form.
4. When the consumer returns a completed Advance ERL form, field staff will review the form to ensure it is completed properly and has adequate supporting documentation.

Verify the following:

- Calculations are accurate
- The ERL is an original document – not a copy
- The document contains both consumer/guardian and counselor signatures
- The case number is correct
- Receipts are present and equal to the amount of the Direct Payment
- The ERL is not a duplicate payment
- Services are actual expenditures and not for future claims
- The dates on the receipts are within the dates authorized on the ERL

Note: If an overpayment was made, the consumer/guardian must reimburse DVR with a check or money order for the overpayment. Offsetting the amount against a future DP is not allowed. Refer to instructions for [Refund Checks](#) under the Miscellaneous Section. A copy of the check or money order must be attached in IRIS and then linked to the direct payment. If a consumer owes a very small amount, please consult with CCP to see if the amount can be waived (for example, if less than \$3).

5. If the Advance ERL form has errors, field staff will contact the consumer/guardian to facilitate correction of the document.
6. The Advance ERL form and supporting receipts/documentation must be attached to IRIS and linked to the appropriate DP.

7. Field staff must document on the DP listed in IRIS (under the Fiscal Summary) consumer verification of services and satisfaction with services based on receipt of the signed Advance ERL form and receipts.

Submitting an Advance Direct Payment to CCP

CCP staff will review supporting documentation/attachments. If insufficient supporting documentation is linked, CCP will return the DP to the field staff for further follow up regarding verification.

Verifying a Direct Payment

A completed and signed copy of both sides of ERL must be linked to ALL DP requests. The ERL is the authorization for services being reimbursed, and the dates and receipts must match the ERL.

Receipts are required for all items that fall under “Other Authorized Expenses” on the Reimbursement ERL and the Advance ERL, including parking and taxicabs. Consumers cannot claim tax exemption when purchasing goods or services, therefore any tax charged to the consumer should be claimed against an advance or reimbursed.

If the receipt includes additional goods/services not authorized, circle the items applicable to the DP and cross off any additional items not to be paid on the DP. Do not highlight the document before scanning, as this makes the scanned document very difficult to read. Please be sure the receipt is legible when attaching to file and linking to DP.

No further DPs will be paid after 30 days (the clock starts from the date the DP is approved) if a prior DP has not been verified and reviewed by CCP. If an overpayment was made to the consumer, a reimbursement to DVR is needed by check or money order for the amount not covered by receipts or items purchased (refer to instructions for [Refund Checks](#) under the Miscellaneous Section). Offsetting the over payment against a future DP will not be allowed.

In situations where an unverified payment falls within the 30-day timeframe, POs can be used to purchase additional services with the approval of the WDA Director/VR Supervisor.

If consumers have any other unverified Training Grants and DPs, including those from previously closed cases, verification must be completed before any new DPs are provided.

TIP! Field staff can use the Unverified TG & DP report located under the Fiscal tab on the Dashboard to ensure that all advance payments receive follow-up to be sure the consumer returns the advance ERL form and to be sure that verification is completed in IRIS. It is field staff responsibility to make sure the verification documentation is attached to IRIS and linked to the DP for CCP review.

Be sure that the address information is correct under the Fiscal tab in IRIS when entering a direct payment. This field cannot be changed by CCP. The payment request will need to be routed back to the Requestor for correction.

Note: CCP does not receive the IRIS warning that the fiscal address does not match the case summary address.

Make multiple attempts and use multiple methods to obtain verification and case note results. If multiple attempts to collect payment verification from the consumer fail, the 'unable to verify' review process and the collection process should be completed per the Fiscal Manual.

If a receipt is missing or lost, an [Alternate Receipt for DVR Services Form \(DVR-13813-E\)](#) can be submitted in its place if the alternate verification method demonstrates the good or service has been received. The form must be approved by WDA Director/VR Supervisor and should rarely be used. Alternate Receipt for DVR Services Form should only be used in extraordinary circumstances and must be signed by the WDA Director or Supervisor.

For all new cases, any outstanding unverified advance payments from previous cases must be resolved prior to purchasing any services. If the consumer has an outstanding unverified DP, supervisory approval is required to purchase services with a PO.

Suspected Fraud or Misuse of Funds, consult with supervision when:

- Verification is not received from the consumer within 15 days. It may be considered misuse of funds or suspected fraud.
- Funds were not spent as intended or there is suspected fraudulent activity.

To guarantee separation of duties, the person who verifies a DP cannot be the person who approves the DP. DVR has determined that only field staff are permitted to document Verification on a Direct Payment. Only CCP staff are permitted to approve a Direct Payment.

All forms of DPs (except advances) will need to show as “Verified” before payment can be approved. Verification should be specific and concise as to actual services received. It should include what was used to verify payment and what service is being verified. If CCP receives a DP request that does not show as being “Verified” in the IRIS system, they will not be able to process the payment.

Field staff should enter specific comments in IRIS (under the tab for Payment/Verification Info) that describe how they know the service received is consistent with the DVR payment.

If the linked verification supporting documentation or verification comments are not sufficient and clear, CCP may have questions about the documentation. In such instances, CCP may return the DP to the person who verified the payment.

Appropriate Receipt

The information below covers receipts for all direct consumer payments submitted to CCP for approval. Receipts are required for all items that fall under “Other Authorized Expenses” on the Reimbursement ERL and the Advance ERL, including meals, parking, and taxicabs. Receipts are not required for mileage.

Appropriate Receipt includes the following elements:

- The Company/Vendor name and address
- Details of the service(s) or item(s) purchased

- The cost of the service(s) or item(s)
- The date of purchase

The receipt showing payment, by check number, credit card, cash etc., is an original receipt or a scanned copy or photo of an original receipt.

If a copy of a receipt is provided, the consumer must provide an explanation as to why a copy is being submitted. An example of a situation when a consumer may not want to submit an original receipt is when they have purchased something where they need to retain the receipt for warranty purposes.

If the receipt includes additional goods/services not authorized, circle the items applicable to the payment and cross off any additional items not to be paid. Do not highlight the document before scanning, as this makes the scanned document difficult to read. Please be sure the receipt is legible when attaching to the file and linking to the payment.

The Expense Reimbursement Log (ERL) for mileage must include purpose(s) of travel, business name(s) and city(ies) of travel from-to-return. The ERL must also include consumer/guardian and counselor signatures and calculate using the correct mileage rate.

Other acceptable forms of receipt include:

- A receipt from an online payment showing the payment was made.
- The [Attendant/Child Care Provider Log \(DVR-13178\)](#). This log can be used for attendant care, childcare, scribe services, etc.
- The [Rent or Security Deposit Receipt \(DVR-13814\)](#). This form can be used as a receipt for rent or security deposit payments.
- The [Tutor Log \(Receipt\) \(DVR-15763\)](#). This form can be used as a receipt of tutoring services delivered to a consumer.

Forms of receipt that are **not accepted** include:

- The duplicate check copy from a checkbook or a copy of the check. These show that the consumer likely wrote out a check but do not demonstrate the check was ever sent and/or received and cashed by the vendor.
- A charge slip that only provides an amount paid. This does not provide details of items purchased, therefore does not verify that DVR is reimbursing only authorized items.
- The payment return slip for a utility, telephone, or other type of service. This does not provide the detail of the services, nor does it demonstrate payment history with a zero balance forward. Does not verify that DVR is reimbursing only authorized service(s).
- Online shopping cart printout.
- A handwritten and/or typed receipt prepared and signed by the consumer/guardian.
- A receipt showing an amount due.

Direct Payments Verification Table

Direct Payment Category	Timeframe	Verification Requirements	Processing Notes
Apps for IT use	The authorized date in IRIS must be the same day as or prior to the actual purchase or service date and identified in the ERL.	Each app purchased Price of each Date of purchase Proof of payment/receipt	Each approved app must be identified in the ERL. If the app is purchased online, a printed copy of the payment page that provides detail of the items purchased and documents the method of payment can be used.
Attendant Child Care Tutoring	Actual payment service dates should fall within the authorization service dates. Enter the actual payment service dates on the Payment/ Verification Info tab with first service date as start date and last service date as the end date.	Log of days Hours Rate(s) Provider signature verifying payment Date Consumer/guardian Signature Counselor Signature	Attach to ERL: Approved Tutoring Log or Approved Attendant/Child Care Provider Log. Total should be entered on ERL form.
Car Rental/ Moving Van	The authorized date in IRIS must be the same day as or prior to the actual purchase or service date and identified in the ERL.	Date(s) Actual daily mileage Cities to/from Purpose of travel Business name Consumer/guardian Signature Counselor Signature Total cost Proof of payment/receipt Receipt of final transaction amount	Verify if mileage is included in the price of car rental prior to authorizing mileage as a separate service. Deposits made by DVR for the transaction will be returned to DVR.

Direct Payment Category	Timeframe	Verification Requirements	Processing Notes
Goods/Items	The authorized date in IRIS must be the same day as or prior to the actual purchase or service date and identified in the ERL.	Each item purchased Price of each Date of purchase Place of purchase Proof of payment/receipt	Each approved item must be identified in the ERL with approximate price and number of each. If purchased online a printed copy of the payment page that provides detail of items purchased that documents method of payment.
Meals	The authorized date in IRIS must be the same day as or prior to the actual purchase or service date and identified in the ERL. The authorization can be done for six-month intervals as need ed.	Reason for travel Cities to/from	Include receipts for all meals claimed. Must not exceed state limits for breakfast, lunch and dinner. Actual amounts will be reimbursed up to maximum with tax and tip included. Alcohol purchases are not allowable.

Mileage/ Transportation	<p>The authorized date in IRIS must be the same day as or prior to the actual purchase or service date.</p>	<p>Date(s) Actual daily mileage Cities to/from Purpose of travel Business name Consumer/guardian Signature Counselor Signature Total mileage cost</p>	<p>Receipts are not required.</p> <p>Purchase of gas, gas cards or gift cards are not allowed. Must be reviewed and reauthorized every six months.</p> <p>Should be accurately calculated using current rate.</p>
Non-FAO Training	<p>An authorization case note must be completed prior to the start of the program.</p>	<p>The student must provide: Proof of payment for the amount of training grant authorized A cost breakdown of all expenses Grades Schedule Consumer/guardian Signature</p>	<p>Documentation of the training amount and dates should be linked to the DP.</p> <p>Documentation must provide dollar for dollar verification of all funds.</p> <p>Training funds are limited to up to \$6,000 within 12 months unless there is an approved exception.</p>

Wisconsin (Non-system) Training Grants	An authorization must be completed prior to the census date. Payments cannot be made to a student for the term if the schedule or grades are not collected prior to the census date for that term. The ERL must identify what specific costs are supported with the funds (tuition, supplies, living expenses-if approved).	Proof of payment for the DVR training grant amount. Grades Schedule Consumer/guardian Signature Completed training grant form attached.	Direct Payments for post-secondary training can only be processed with advance supervisory review and an approved exception. The supervisor must confirm in an Authorization update that the school will NOT accept a purchase order. Staff must record the date, name, and contact information for school personnel in a case note when a school will not accept a purchase order.
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Direct Payment Category	Timeframe	Verification Requirements	Processing Notes
Subscription Services (internet, cell phone, etc.)	Payment service dates should be the time period covered by the service (month/day – month/day), not the date of payment.	Paid billing statement with up-to-date payments made for prior service periods. Proof of payment is needed to show amount to be reimbursed. Copy of the billing statement.	DVR cannot guarantee payment for ongoing services or provide signatures on a service contract.
Out-of-State Training Grants	An authorization must be completed prior to the census date. Payments cannot be made to a student for the term if the schedule or grades are not collected prior to the census date for that term. The ERL must identify what specific costs are supported with the funds (tuition, supplies, living expenses-if approved).	Proof of payment for the DVR training grant amount. Grades Schedule Consumer/guardian Signature Completed training grant form attached.	Administrative review and approval to attend an out-of-state school in the IPE. Direct Payments for post-secondary training can be processed with advance supervisory review and an approved exception. The supervisor must confirm in an Authorization update that the school will NOT accept a purchase order. Training grant funds are limited to up to \$6,000 per academic year unless there is an approved exception.

[Training Activities Direct Payments to Consumers](#)

MISCELLANEOUS

Administrative Purchasing

DVR staff need to complete administrative purchasing for supplies or equipment needed in the office. The Department of Workforce Development and the Department of Administration have contracts and procedures in place for administrative purchasing. In each WDA, specific individuals have been identified to make routine purchases. If you have any questions about how to get an item needed to perform work tasks, please talk to your supervisor.

[DWD and DOA Contracts:](#) (Internal Link)

[DWD Procurement:](#) (Internal Link)

[Miscellaneous and Non-Routine Purchases:](#) (Internal Link)

[Purchasing Standards:](#) (Internal Link)

Advance Payments to Vendors

DVR cannot make any advance payments to vendors. Making such advances to our vendors is not a good business practice, since advance payment severely reduces our ability to hold the vendor accountable, should the goods or service being purchased be in any way lacking.

We are aware that some potential vendors may not have enough credit capacity to be able to advance the funds to pay for the goods or services DVR might order. Therefore, it is critical that any staff involved in arranging for the purchase of goods or services with a particular vendor, make that vendor aware of our payment process up front; most particularly, that we do not provide any advance payments. If the vendor is not able to accept our order without advance payment, then DVR must find a different vendor.

Alleged Stolen Check

If a copy of a cancelled check is requested from CCP and delivered to the requestor, the signature may be challenged. If this happens, the consumer must provide a copy of the police report filed and/or a written statement of factual events. The following procedure is needed to have the issue investigated.

The field staff will need to have the following forms/items printed off and given to the consumer/guardian for completion for DOA to investigate the issue; only the following forms are to be used:

- [Notarized Affidavit Forged Endorsement \(DOA-2789\)](#)
- [Handwriting Specimens \(DOA-2790\)](#)
- Copy of the cancelled check

Once the forms are completed, please send the ORIGINAL forms and the police report/statement to:

Controller, Bureau of Finance – G400
 PO Box 7946
 Madison, WI 53707

Billing Irregularities

When a vendor submits invoices that cannot be substantiated or contains inconsistencies compared to submitted reports, documentation, or consumer feedback, it may be necessary to conduct a more thorough review by Bureau of Management Services staff.

The following actions on the part of a vendor should be brought to the attention of Supervision and or the Bureau of Management Services:

- Submission of an invoice(s) for services or goods that were not provided.
- Submission of a substitute good or service without prior approval from DVR.
- The vendor cannot substantiate that a disputed good or service was delivered. when asked.
- Delivery of a partial good or service without permission or invoicing for the full amount including for incremental or hourly services.
- There is evidence that the vendor has received payment from another source for the same good or service. without prior approval or agreement.
- If the vendor invoices multiple times for the same service or good.

There are other indications that can occur over time with a vendor that may indicate activity needing further inquiry. DVR staff should review invoices for the following patterns:

- The maximum number of hours is invoiced continuously over multiple invoices or multiple consumers.
- No variance in amounts or hours invoiced, (i.e., 4 hours billed for all days authorized)
- Invoicing for hours outside of typical work hours or holidays with no explanation or reason provided.
- Multiple occurrences or resubmission and correction of invoices.
- Invoicing for hours outside of approved service dates,

DVR staff should identify the reason they believe there are inconsistencies that need further examination and discuss the situation with their WDA Director or Supervisor. It is possible after a review that errors can be made on the part of vendors which may be explained. WDA Directors and Supervisors should consult with Bureau of Management Services staff in these cases before any action including communication with the vendor is taken. The reason for the suspicion should be documented. Any further action should be taken by Bureau of Management staff.

Any goods or funds found to be misused or granted falsely are subject to further action as necessary. All notifications and communications should be documented following consultation with the Bureau of Management services.

Cancellation Fees

Policy

Cancellation fees are those administrative fees charged by vendors when a consumer fails to cancel an appointment by the requisite time before the appointment (e.g., 24 to 48 hours, depending on the vendor). Vendors customarily incorporate these cancellation fees into their policies and inform consumers and DVR staff of the fee at the time the service is authorized, and the appointment is made.

Statewide service providers are not allowed to charge a cancellation fee per the Statewide Services Agreement. Other vendors that provide services such as transportation, interpreting, or specialty evaluations often have established cancellation fees. DVR must use administrative funds to pay these cancellation fees and establish policies and procedures to ensure that the fees are reasonable and applied uniformly to all customers of the vendor.

DVR will communicate when a service must be cancelled with DVR consumers and vendors in a timely manner. DVR consumers should cancel appointments with the vendor as soon as possible if they cannot attend as planned. DVR staff will enter information in IRIS annually reflecting communication with the vendor related to the customary and reasonable nature of the fees using a standardized format.

WDA staff will monitor the fiscal account code associated with cancellation fees and work with vendors, consumers, guardians, and others to reduce the amount of paid cancellation fees.

Procedure

DVR has established a procedure for the proper use of administrative funds when payment of a cancellation fee is necessary. DVR staff must collect and document information about the reasonable and customary nature of fees established for each vendor in IRIS.

WDA Responsibilities

1. Complete initial service PO.
2. Receive information from vendor or consumer related to cancellation of service.

3. Verify:

Yes	No	Question**
		Is the vendor a DVR Statewide service provider for a statewide approved service? Note: Cancellation fees are not allowed under the Statewide Service Agreement.
		Is the vendor a Medicaid provider, delivering a Medicaid service paid by DVR in this instance for a consumer? Note: This is not allowed by Federal fiscal rules.
		Was the service cancelled by the vendor? Note: If DVR or a DVR consumer is not the cause for the cancellation, DVR will not pay.

****DVR cannot pay if any of the questions above are answered Yes. Communication with the vendor is needed in those cases.**

4. Check the IRIS Vendor Acct information comment section for information entered by the Fiscal Expert/DVR staff in each WDA.

If not entered, use the [Cancellation Fee Checklist](#) for criteria to include in the comment. The information is to be updated annually (based on date of entry) for reference by others in the WDA, Supervision and CCP. Document the IRIS Vendor Acct information check in the PO comment section and Include: the fee is established, customary and reasonable and is approved and agreed by DVR.

5. Add a line identifying Cancellation Fee coded to Administrative Cost and complete receiving verification if authorizing payment.
6. Delete the original service line on the PO.
7. DVR staff should instruct Service Provider to provide an itemized invoice so CCP can differentiate these fees.
8. Re-issue the service if the consumer is authorized to reschedule the missed appointment.

CCP Responsibilities

1. Verify cost, coding, procedure, and IRIS Vendor Acct comment.
2. Process Payment
3. Follow-up with WDA's regarding cancellation fee patterns or outliers

Check Numbers Beginning with Z

A vendor that owes delinquent taxes or other monies to the Department of Revenue or other state agency may have payments intercepted. If a vendor asks about a DVR payment not received, first check to see if the payment has been made and if so, review the check number under the Invoice screen on the Voucher Information tab. If the check number begins with a

Z, the payment was intercepted, and the vendor should contact [Department of Revenue](#) at (608) 266-7879 for further information.

Check Returned for Non-Sufficient Funds (NSF)

When a check is returned NSF, the Bureau of Finance will notify the DVR Program Development Section Chief. The Program Development Section Chief will notify the field staff person who had routed the refund check to Finance. Field staff will contact the consumer/guardian and request a replacement check and enter a comment in IRIS.

If the direct payment was marked as verified when the check was initially received, the field staff must also contact an IRIS System Administrator to request the payment to be changed back to unverified.

Collection Procedures and Unable to Verify Process

If you have unverified direct payments after making multiple contacts using multiple methods of contact, DVR will work with DWD Bureau of Finance for collection. The procedures are outlined below.

Send an email to DVR Program Development Section Chief, with the following information:

- Consumer's full name
- Consumer's IRIS case number
- Voucher Number (P1VClxxxxxx)
- Consumer's current address
- Amount of unverified payment
- Brief summary of collection attempts (dates, methods, results)

The information is forwarded to CCP staff to verify details, then to the DWD Bureau of Finance. Please note the address must be current, as Finance will not research undeliverable addresses. Finance will create and send an invoice to the consumer. The consumer will receive an invoice/collection notice from Finance for three (3) consecutive months, followed by a collection notice. If there is no payment, Finance will submit to Department of Revenue (DOR) for further collection attempts for amounts greater than \$50. Any funds that are collected by DOR above a 15 percent collection fee will be transferred to DWD/DVR.

Formal monthly payment plans are no longer available. When the consumer is in contact with DVR, a discussion should occur to determine a reasonable amount to be paid at least monthly. Finance will send an invoice for the full unverified amount and if the consumer makes regular payments, the balance will not be sent to Department of Revenue. Payments will be applied to the consumer's outstanding balance. If no payments are made, the process will proceed as described above.

Field staff should case note in IRIS that a DP was sent for collection and enter a comment under the DP. When the full amount or appropriate verification documentation is received, the status of the DP should be updated from 'unverified' to 'verified'. When Finance receives a payment from the consumer, a comment will be found under the DP.

If field staff directly receives a payment from the consumer after it has been submitted for collection, staff should follow the instructions under the [Refund Checks](#) section and check the box to indicate payment is for collection amount. If the payment or appropriate verification documentation fully satisfies the unverified payment, contact CCP or the DVR Program Development Section Chief immediately to stop the collection process.

When all attempts have been made and request for collection has occurred, staff should follow the 'Unable to Verify' process to remove the 'Direct Payments needs verification' alert. From the Payment/Verification Info Tab, select 'Unable to Verify'. Next select a reason and enter text if 'other' is selected. Enter the dollar amount that remains unverified, select the supervisor to be routed to, and enter a brief summary of the multiple attempts and methods used and the results. The supervisor will receive a 'Direct Payment Unable to Verify Request' alert and must accept or return the unable to verify request. The consumer will continue to be unable to receive another direct payment until verification is satisfied.

Consumer Fiscal Irregularities

If a consumer receives funds for an approved DVR service and uses them for goods, services, or activities that fall outside of the agreement (ERL, IPS, etc.) some circumstances may require additional review. Indications that funds may have been misused include:

- The sale of items purchased for a consumer to someone else for cash or other goods or services.
- Requesting goods or services from DVR with the intention of selling or exchanging them with another person.
- Providing false documentation as receipt of goods or services.

DVR staff should identify the reason they believe a consumer situation should be more thoroughly reviewed and discuss the situation with their WDA Director or Supervisor. When instructed, DVR should document the situation in IRIS and contact the Bureau of Management Services for further action as necessary.

Any goods or funds found to be misused or granted falsely may be subject to repayment or other action. All collections notifications and communications should be documented in IRIS for tracking and records purposes.

Contacts About Payment Issues

It is the responsibility of field staff to respond to consumer payment questions. Consumers should not be referred to CCP. It is the responsibility of field staff to be the liaison between CCP and vendors on questions regarding payment, status of payment, explanation of payment, etc. DVR consumers should never be instructed to contact CCP or DWD finance.

Fiscal Experts

[DVR Fiscal Experts](#) (Internal Link) are a team of staff within DVR who help the agency improve fiscal processes related to purchasing consumer services and act as liaisons between CCP and WDA staff.

Fiscal experts are available in each Workforce Development Area (WDA). These fiscal experts perform four (4) important functions:

1. Provide training and update information for staff within their WDA related to maintaining purchase orders, processing receiving, procedures for DPs, and other fiscal-related information.
2. Evaluate current processes used within their WDA and recommend any changes that will improve the accuracy, speed, or efficiency in the way the WDA staff function.
3. Serve as the first point of contact for CCP when there are questions or problems related to invoices or DPs. The Fiscal Expert may not be the person responsible for the problem but will be the contact that will see that the matter is taken care of.
4. Accept critical receiving alerts for the WDA (along with the Supervisor) when the deadline for receiving is imminent. Fiscal Experts are expected to assist the alert recipient in completing the work in a timely manner to avoid interest payments that occur when an invoice is processed late.

Please direct all fiscal related questions and problems to the [Fiscal Expert in your WDA](#) (Internal Link) who will serve as the first point of contact to answer fiscal process questions. The Fiscal Expert can consult with any Financial Specialist in the CCP Unit or the Program Development Section Chief on any questions if they need assistance.

Gift Cards for Purchases

Use of gift cards for purchases must be the last available form of purchase available. To verify the gift card was used for authorized goods or services, additional verification is necessary:

- The authorized date in IRIS must be the same day as or prior to the actual purchase or service date and identified in the authorization.
- Proof of each item/service purchased
- Price of each item/service purchased
- Date of purchase
- Proof of payment/receipt
- Each approved item or service must be identified in the authorization
- If item is purchased online, a printed copy of the payment page that provides detail of items purchased that also documents method of payment is required.

Invoice Resolution Form Procedures

Responsibilities/Steps for Completing the Invoice Resolution Form

Any time there is a problem with an invoice, a delay in processing an invoice, or DVR does not agree with the invoice, the [Invoice Resolution Form \(DVR-14726-E\)](#) must be completed.

This form was originally a DWD Division of Operations document, amended to meet DVR's needs and created to meet the requirements of [Wisconsin Statute 16.53 Pre-Audit Procedures, Section 2 Improper Invoices](#). Completion of the Invoice Resolution form stops the 30-day prompt payment requirement and gives the vendor a chance to review and update their records if needed.

An invoice resolution can be completed two ways: directly within IRIS or with IRIS form (instructions directly below). To complete directly in IRIS, the invoice must be entered in IRIS.

Field staff can then click on the link under the invoice status under the Invoice History section on the PO screen. See below for further instructions on what to enter.

The invoice resolution is a written documentation to the vendor and CCP that explains why there is a problem with the payment or why it won't be received within 30 days. This also protects DVR from being subject to prompt payment interest charges.

- CCP Staff: Responsible for completing the Invoice Resolution Form when the invoice does not reference an order number, and the order could not be found or when the invoice has already been paid. CCP will also issue Invoice Resolution forms if the invoice received includes state or local taxes and attach the form in IRIS.
- Field Staff: When disputing a payment or partial payment of an invoice, field staff complete this form with the specific reasons for the dispute. Send the completed form to the vendor, email a copy to the CCP staff working on the invoice, attach the form in IRIS, and update the Authorization to document the dispute if applicable.

Invoice Resolution Steps

1. The address in the upper left corner of the Invoice Resolution Form is filled in with the address of the office where the staff person completing the form is located, so that replies from vendors can be sent to that address. The Contact Person on the form should be the person to answer vendor questions or comments.
2. The Dispute Reason should include checking the appropriate box(es) and adding any additional comments that make the reason(s) clear and precise to the vendor.
3. Field staff should send the form to the vendor, email a copy to the CCP staff working on the invoice, attach a copy of the form to IRIS, and update the Authorization to document the invoice lines in dispute. CCP staff attach a copy of the Invoice Resolution Form to the invoice and void the entry of goods/services in the line.
4. Field staff should add an update to the Authorization to document the results of the dispute. DVR filed staff should include a comment on the PO regarding the status of the invoice resolution. If appropriate, receiving should be completed.
5. Typically, an invoice resolution form results in one of the following actions:
 - a. The invoice is voided in full, e.g., when the vendor has invoiced in error.
 - b. The invoice is partially paid, e.g., the disputed amount listed on the invoice resolution form is deducted from the invoice total and the remaining balance is paid.

- c. The disputed invoice line item is deducted from the invoice and the vendor is instructed to re-bill as appropriate.
6. CCP will file a copy of the Invoice Resolution Form with the invoice regardless of the outcome of the dispute.

Liens on Consumer Financial Obligations

The Department of Workforce Development may not circumnavigate the right of another state Department to intercept funds sent directly to a DVR consumer. DVR will only provide necessary services identified in the Individual Plan for Employment funded through a Purchase Order. Most (if not all) DVR services can be provided using this funding method.

Any funds provided to the consumer would be redirected and would not be used for the allowable purposes of the DVR program. As a result of the financial obligation the consumer has incurred with another state Department, DVR will not provide funds directly to the consumer in these circumstances. The responsibility to resolve the lien falls to the consumer and the consumer should make arrangements to remove the imposed lien.

Medical Records

DVR purchases medical records for the determination of eligibility and other program purposes. Due to the complex nature of disabilities and the wide variety of medical providers it is difficult to identify a process that will work for all instances when purchasing medical records.

Each provider will have a slightly different approach and may require prepayment to obtain records. If the provider is not set up as a vendor, follow the instructions found in the [STAR PeopleSoft Vendor Database](#) section.

Medical Records Processing Steps

1. DVR staff will ask a DVR consumer/guardian to complete a confidential release of information form and send the form into the medical provider records department at the location of the medical service to obtain needed records. Please identify specific records requested (discharge summary, test result, diagnosis etc.), date(s), clinic/hospital location, consumer name in the release of information prior to signature.
2. DVR staff will send the release to the medical provider.
3. The provider will send an invoice to the DVR office, the Stout Vocational Rehabilitation Institute (SVRI) or CCP.
4. If the invoice is received by CCP or SVRI-They will forward to the DVR office to create and send a PO to the provider.

NOTE: Some medical provider record services require pre-payment for records.

5. The records will be sent to the address identified in the PO or the Release.
6. Complete receiving upon receipt of records.

Purchase Order Construction Guidelines

Overall Guidelines

When constructing a Purchase Order (PO), it is important to adhere to the guidelines in this section using internal controls and generally accepted accounting principles to assist with ease of fiscal monitoring.

Encumbrances

DVR has an established budget to provide items and services for DVR consumers. When items or services are authorized, purchase orders are written and counted against that budget even if the service or item has not been received.

By creating a purchase order, DVR has made an agreement to pay for the item or service. DWD and the DOA monitor our encumbrances and occasionally DVR has over encumbered our budget. When this occurs, purchase orders that will not be used must be cancelled in a short timeframe to allow for purchasing to continue.

Timelines

It is important to keep financial activity clear and concise. This means developing purchase orders using reasonable timeframes and encumbering funds for the shortest time necessary. This practice will also assist the vendor and other DVR staff in efficient processing of receiving activity and payments.

Service dollars should be encumbered only if necessary to provide a service for a period not to exceed **two months or 60 days**. Services which are expected to take longer than two months to deliver are to be written in increments and may exceed two months when instructions identify bundling of services. Some statewide services can be authorized together and delivered in sequence such as Work Incentive Benefits Services. Follow instructions in the technical specifications for timeframes to include.

POs must be reviewed and updated to reflect new fiscal year budget coding. It is also important to reduce encumbrances for Job Development, Supported Employment, Individual Placement and Support, and Customized Employment plan hire POs by taking the specific steps included in this section.

Each vendor should be notified that DVR must receive their billing for completed services within 60 days of completion, and that POs not billed against within 60 days will be cancelled.

Payments

The State of Wisconsin payment policy is net 30 days. This means CCP has 30 days to meet prompt payment requirements. The 30-day prompt payment period begins the day the invoice is received by DWD.

Basic Purchase Order: A single item or service to any vendor.

Examples	A driving evaluation, a psychological evaluation, a pair of work boots.
Guidelines	Verbal authorizations are not allowed. Use a reasonable period for the item or service to be ordered, delivered and received. This is typically 30, 60 or 90 days.
Process Steps	From authorization case note a Purchase Order is created for service to vendor authorizing payments. A Purchase Order should be sent out for the dollar amount of authorized services with start/end dates for the timeframe identified in the case note for the service. PO should be reviewed at the end of the initial timeframe. If after that timeframe the service has not taken place, an authorization update is needed, or PO should be cancelled. Once notification is received that service has taken place, receive on the PO.
Best Practice Suggestions	For clothing or tool purchases, it is helpful to identify the items DVR is authorizing in the PO description such as "3 work shirts, 3 pairs of work pants, 1 pair of dress shoes" rather than "Clothing" and include "Only the following items are authorized for purchase" to avoid unauthorized purchases. Verify and ensure the consumer know exactly what was ordered. A copy of the PO can be provided but it must be stamped as a copy.

Statewide Services Purchase Order: An established service with associated fees and specified statewide service providers.

Examples	Vocational Evaluation Assessment, Internship/Temporary Work
Guidelines	Verbal authorizations are not allowed. Use the timeframe identified in the DVR Statewide Service Fee Structure for the service ordered. This is 30, 45, 60, or 90 days.
Process Steps	Complete the Authorization Case Note and include the Fiscal Five: <ol style="list-style-type: none"> 1) Prior authorization documentation 2) Identify the service, item, estimated quantity and time-period 3) Why is it necessary and appropriate? 4) Cost determination method 5) Are comparable benefits used if applicable, or why not? At a minimum, the request must include the following information: <ul style="list-style-type: none"> • Name/Number of a consumer. • The vendor who will provide the service. • A description of the service. • The begin date of the service. • The end date of the service. • The quantity and rate of service.

	<p>A Purchase Order should be sent out for the dollar amount of Authorized services with start/end dates for the timeframe identified in the fee schedule for the specific service.</p> <p>PO should be reviewed at the end of the initial timeframe. If after that timeframe the service has not taken place, an authorization update is needed, or PO should be cancelled.</p> <p>Once notification is received that service has taken place, receive on the PO.</p> <p><i>Reminder:</i> Reimbursement for Service Provider Mileage should be entered as a separate line and coded to the same activity code as the service provided.</p>
Best Practice Suggestions	<p>Check timeframes for each service identified in the fee schedule.</p> <p>Remind the provider to invoice for any monthly services following the month of service rather than waiting for all services to be completed.</p> <p>Identify and use a regular review schedule to determine if PO will not be used by DVR consumer or circumstances have changed since authorization.</p>

Statewide Services Purchase Order with Reduced Encumbrance: Job Development, Supported Employment, Individual Placement and Support, Customized Employment development POs for ongoing initial job development activity. These are established services with associated fees and specified statewide service providers.

Examples	Job Development, Supported Employment, Individual Placement and Support, Customized Employment job development POs.
Guidelines	<p>Verbal authorizations are not allowed.</p> <p>These services are completed over several months' duration, DVR staff are responsible for reviewing progress of these services every 90 days to ensure progress is being made and that the service is still valid as ordered.</p>
Process Steps	<p>Complete the Authorization Case Note and include the Fiscal Five:</p> <ol style="list-style-type: none"> 1) Prior authorization documentation 2) Identify the service, item, estimated quantity and time-period 3) Why is it necessary and appropriate? 4) Cost determination method 5) Are comparable benefits used if applicable, or why not? <p>At a minimum, the request must include the following information:</p> <ul style="list-style-type: none"> • Name/Number of a consumer. • The vendor who will provide the service. • A description of the service. • The begin date of the service. • The end date of the service. • The quantity and rate of service. <p>From authorization case note a Purchase Order is created for Plans and Hires to Vendor authorizing payments. A Purchase Order should be issued at \$1.00 for the Hire with start/end dates for six (6) months.</p>

	<p>After six (6) months if hire has not taken place, an authorization update is needed, and PO end date extended for another six (6) months.</p> <p>If a hire has not taken place after one (1) year, the initial PO should be cancelled. A new Purchase Order should be issued off the original authorization case note, with a new start date for six (6) months more.</p> <p>Once notification is received that hire has taken place, issue a separate Retention Purchase Order within 10 days of notification.</p> <p><i>Reminder:</i> Reimbursement for Service Provider Mileage: Vendor can charge 75 cents/mile for actual miles driven over 100 miles round trip travel to and from the closest site where the services can be provided. Mileage up to 100 miles is included in base fee rate. The 75 cents/mile charge begins with mile 101.</p> <p>Service vendor must submit a travel log detailing mileage. Payment will be made at the time the consumer has received the services. Previous approval from DVR WDA Director for reimbursement request required prior to travel. (Code based on service provided.) Vendor mileage should be entered as a separate line and coded to the same activity code as the service provided.</p>
<p>Best Practice Suggestions</p>	<p>Monthly review of Active Purchase Orders to see if hires have taken place and increase Purchase Order prior to billing for hire.</p> <p>Check timeframes for each service identified in the fee schedule.</p> <p>Identify and use a regular review schedule to determine if PO will not be used by DVR consumer or circumstances have changed since authorization.</p>

Bundling Services: Services and or goods to a single provider to start and end within the same timeframe.

<p>Examples</p>	<p>Braille instruction, orientation and mobility training, assistive technology devices, and transportation services to a single provider to occur within the same three-month timeframe.</p>
<p>Guidelines</p>	<p>Verbal authorizations are not allowed.</p> <p>Use a reasonable period for the item or service to be ordered, delivered and received.</p> <p>Each discreet service should be on a separate line of the PO, use the correct unit of measure, reflect accurate coding.</p> <p>Services can be bundled when the following are all true:</p> <ul style="list-style-type: none"> • The services are all to be delivered in the same time frame (within 30 days of the start or end dates) • The services are to the same vendor and at the same vendor address.
<p>Process Steps</p>	<p>Complete the Authorization Case Note and include the Fiscal Five:</p> <ol style="list-style-type: none"> 1) Prior authorization documentation 2) Identify the service, item, estimated quantity and time-period 3) Why is it necessary and appropriate? 4) Cost determination method 5) Are comparable benefits used if applicable, or why not?

	<p>Additional information to include in the Authorization Case Note, if appropriate:</p> <ul style="list-style-type: none"> A. Justification for spending outside the Fee Schedule B. Policy information on Consumer Choice and Due Process C. Details regarding estimates D. Exceptions to purchasing policies E. Approval from supervision F. Updates or changes to any of the planned services. <p>At a minimum, the request must include the following information:</p> <ul style="list-style-type: none"> • Name/Number of a consumer. • The vendor who will provide the service. • A description of the service. • The begin date of the service. • The end date of the service. • The quantity and rate of service.
Best Practice Suggestions	<p>Avoid including consumer contact information in the PO description because this information is shared with individuals in different systems.</p>

Adding Services: Ongoing services added to an existing PO.

Examples	<p>Hourly Systematic Instruction, tutoring.</p>
Guidelines	<p>Verbal authorizations are not allowed.</p> <p><i>Continuing</i> services can be added using a new line on an existing PO – such as an increase of 10 additional hours of systematic instruction.</p> <p>Identify the time frame for the additional hours in the PO description so the vendor knows the start date for the additional services.</p> <p>New services are not added to existing PO's – instead create a separate PO.</p> <p>Use a reasonable period for the item or service to be ordered, delivered and received. The services are all to be delivered in the same time frame (within 30 days of the start or end dates).</p> <p>The services are to the same vendor and at the same vendor address</p>
Process Steps	<p>Update the authorization case note to identify the necessary and appropriate additional services. Identify the time frame, additional units, etc. following the Fiscal Five and additional information included below.</p> <p>Send the revised PO to the vendor.</p> <p>Complete the Authorization Case Note and include the Fiscal Five:</p> <ol style="list-style-type: none"> 1) Prior authorization documentation 2) Identify the service, item, estimated quantity and time-period 3) Why is it necessary and appropriate? 4) Cost determination method 5) Are comparable benefits used if applicable, or why not? <p>Additional information to include in the Authorization Case Note, if appropriate:</p>

	<p>A. Justification for spending outside the Fee Schedule</p> <p>B. Policy information on Consumer Choice and Due Process</p> <p>C. Details regarding estimates</p> <p>D. Exceptions to purchasing policies</p> <p>E. Approval from supervision</p> <p>F. Updates or changes to any of the planned services.</p>
Best Practice Suggestions	<p>Avoid including consumer contact information in the PO description because this information is shared with individuals in different systems.</p> <p>Numerous versions of the same PO caused by adding lines on an ongoing basis create confusion for the vendor.</p>

Transportation

Examples	Transportation, Taxi or Specialized van services
Guidelines	Verbal authorizations are not allowed.
Process Steps	<p>From authorization case note a Purchase Order is created for service to vendor authorizing payments.</p> <p>A Purchase Order should be sent out for the dollar amount of authorized services with start/end dates for the timeframe identified in the case note for the service.</p> <p>The PO should include the total number of rides and dates, or days of travel identified.</p> <p>The purpose or reason for the travel must be identified.</p> <p>PO should be reviewed at the end of the initial timeframe. If after that timeframe the service has not taken place, an authorization update is needed, or PO should be cancelled.</p> <p>Once notification is received that service has taken place, receive on the PO.</p>
Best Practice Suggestions	<p>Transportation services should be authorized for a limited time frame to reflect the dates of service in which the travel is associated.</p> <p>Identify what is a customary or reasonable price or if this is a sole source provider available for the transportation of the consumer.</p> <p>If more than one (1) month of travel is authorized limit the number of passes/cards/vouchers provided to the client in case, there is a need to end the service.</p> <p>Communicate with both the consumer and the DVR vendor the need to timely communication related to cancellation for the service.</p>

Purchase Orders for Closed Cases

POs can be created or changed within 365 days after the case has been closed in IRIS.

Purchase Orders for Training

DVR may issue purchase orders for training. Specific policies and procedures are associated with different types of training. Proof of enrollment is required for students planning to attend their first term.

For in-state public and private schools that are eligible for financial aid, an automated section in IRIS allows for a form to be completed by financial aid offices via a specially designed training grant portal. The training grant portal also allows for calculations to be done using other information from out of state schools. All FAO eligible programs require use of the training grant portal. Manual completion of a DVR training grant can only be done with permission from the DVR portal specialist, the assigned Policy Analyst, or the Program Development Section Chief.

The Training Grant process begins with the DVR Training Grant Information Form. The instructions for completing this process can be found in the [Training Grant](#) section of the DVR Information Center. Purchase orders will be processed after the census date and after FAO confirms the Training Grant amount. Training Grants should be processed as soon as possible following the school census date included in the portal.

For a program that does not offer financial aid, specific policies and processes are in place. Instructions for completing this process are detailed in [School or Training Program Offering No Financial Aid](#) (Internal Link), which can be found in the DVR Information Center.

Recovery/Repossession of Equipment

DVR does not recover or repossess equipment purchased for consumers with Title 1B grant dollars. Regulatory language and an opinion rendered by the Rehabilitation Services Administration (RSA) do not support such recovery or repossessions. Furthermore, DVR incurs liability for the proper tracking, storage, and disposition of any equipment recovered. If a consumer tries to voluntarily return an item, it can be suggested that they donate the item to a charitable organization of their choice.

Refund Checks

Refunds are to be credited to the account(s) that the original expenditure was charged. Coding information can be found in IRIS under the Fiscal Summary tab for the DP or PO. No cash should be accepted from consumers in the field or central office. A tangible financial instrument (personal or business check, money order) that identifies the refund must be present and endorsed by DVR staff with the following statement: *For deposit only, payable to the Department of Workforce Development.*

Upon receipt from the consumer, the check or money order should be scanned and attached to IRIS. The attachment must then be linked to the direct payment that the consumer is submitting repayment.

All checks received or returned from DVR consumers (or DVR vendor payments) must be sent directly to the address below using the [Refund Check Routing Slip \(DVR-17010-E\)](#) (Internal Link). Please notify the appropriate staff in CCP via email when a vendor payment is expected.

By US mail to: DWD ASD – Bureau of Finance
Attn: Cashier
PO Box 7946
Madison, WI 53707-7946

By Inter-Department Mail to: DWD Finance, GEF1, A400, Attn: Cashier

Good financial control requires that all financial payments received by staff are **immediately** forwarded to the DWD Cashier. Field staff should use the process steps outlined below and use the DVR [Refund Check Routing Slip \(DVR-17010-E\)](#) (Internal Link) created especially for this purpose to transmit a refund check to the DWD Bureau of Finance.

Include any additional information under the notes section of the form relevant to the refund being submitted. If the check is received by a consumer for payment against an unverified DP that has been sent for collection, check 'yes' on the form to ensure the collection balance is updated accordingly. The information on the routing slip is required to ensure funds are credited to the original funding source, which is the responsibility of DWD Bureau of Finance.

Processing a DVR Refund Check

1. DVR field office receives a refund check, immediately endorses the instrument and enters a comment on the payment with the date of receipt, check number and amount on the DP Information. Go under the Fiscal Summary tab in IRIS, and then click on the description of the payment to find the DP information screen which includes the Comment section. If the payment is from a consumer for an outstanding amount owed, the check must be scanned/attached in IRIS and then linked to the direct payment.
2. Using the DVR [Refund Check Routing Slip \(DVR-17010-E\)](#) (Internal Link), field staff complete the form to include the P1 or VV voucher number from the original transaction, the dollar amount and field staff contact information. The P1 or VV number is found on the DP information screen under the Voucher Information tab. The completed form and check are then sent to DWD Bureau of Finance via inter-departmental mail if possible, or through regular mail to the address on the form.
3. DWD Bureau of Finance receives the check and completed form. The cash receipt document is entered STAR PeopleSoft, crediting the original account coding from the payment voucher. Finance sends an email to the CCP staff person who approved the payment so a comment in IRIS to document the refund can be made. If the payment is for an amount sent for collection, Finance will update the collection balance.

If DWD Bureau of Finance receives a payment without adequate identification, the payment or an inquiry will be sent to CCP for follow up with field staff, as appropriate. If a refund check is sent to CCP by a vendor or other source, CCP staff will attach the refund payment to a copy of the original payment voucher on file and send these documents to DWD Bureau of Finance.

Refunds to DVR from a Purchase Order

These types of refunds typically go directly from the service provider who received the payment to the CCP Unit. Voucher information can be accessed by searching for the invoice directly or going to the PO (General Information tab) and clicking on the invoice number

under Invoice History. CCP will take the action outlined above if a refund check is received.

Staff Updates

If a staff name, location, role, supervisor, telephone, etc. changes, the IRIS System Administrator should be notified. These changes will typically come through the Human Resources Department but may also be reported directly to an IRIS System Administrator.

Stop Payment/Reissue Check Request

Before requesting a stop payment/check reissue, field staff should make sure that this is what should be done. Remember, once the stop payment request is made, the original check is no longer valid. If the stop payment is requested too soon, this can be inconvenient for the consumer as well as for all state agencies involved.

Before requesting a stop payment/check reissue request, field staff should follow these procedures:

- Verify that the check was cut and mailed to the correct address. Give the vendor the check information so that they can review their records to see if they did receive the check. This information is found in IRIS.
- Wait a minimum of two weeks from the check date before requesting a stop payment. ***If the check was issued in error, do not wait to take action on the stop payment.***
- If it is determined that the Stop Payment must be issued, email the request to the CCP person who approved the payment and indicate the following elements:
 - Voucher Number (VVxxxxxxxx)
 - Voucher Date
 - Check Number
 - Check Date
 - Check Amount
 - Payee

CCP will take the necessary steps to contact DWD Bureau of Finance to process the stop payment action.

Subscription Services

DVR's definition of subscription service is *a purchase made by signed agreement to contract and/or pay for an item or service for a specified period of time*. When it has been determined necessary and appropriate to purchase subscription services, the following should be followed:

Subscription services should not be paid for through a PO. Supervisors should consult with the Bureau of Management Services if a PO has been determined to be the only option to deliver the service. These payments should be made directly to the consumer, preferably through a reimbursement or advance. This process will help reinforce the consumer's responsibility for the subscription payment. Additionally, from a vendor perspective, this reinforces that the consumer is the ongoing payee and responsible for the upkeep of the service. This process should be discussed with the consumer early in the case.

Examples of subscription services include telephone, direct service lines (DSL), cable, satellite, internet, periodicals, memberships, licenses, rent, and insurance. This list is not all inclusive. For example, a self-employed consumer's business advertisement could be considered a subscription service.

If you are unsure if a service would be classified as a subscription service, please consult with your supervisor.

Tips and Gratuities

Tips or gratuities are allowable when 'reasonable and customary'. DVR follows state rate guidance to determine appropriate cost guidelines for consumers. DVR consumers often use forms of transportation where tips are an expected part of the fare. Reasonable charges include tips at a maximum rate of 15 percent of the charge.

Gratuities should be identified separately in the authorization case note and, on the PO, if possible. If a tip or gratuity exceeds this rate, an explanation is required. DVR staff and consumers should be aware if the vendor adds the tip to the fare charge and take care not to add an additional amount.

[Training Activities Miscellaneous](#)

DVR FISCAL RESOURCES

DWD Sales Tax and Federal ID Numbers

The Wisconsin Department of Revenue has issued tax-exempt numbers for state agencies. The sales tax-exempt number for the Department of Workforce Development is ES-40709. Refer to [Form FIS-12346](#) (Internal Link) if you need a printed copy. The Federal Employer Identification Number (FEIN) is 39-6006449.

Documents

- [Fiscal Account Coding](#) (Internal Link)
- [DVR Coding Manual](#) (Internal Link)
- [DVR's Internal Fiscal Controls](#) (Internal Link)
- **Fee Schedules**
 - [Child Care Subsidy Rates by County/Tribe](#)
 - [DVR Fee Schedule / DVR Program Policy Manual - Addendum B](#)
 - [DVR Training Grant Fee Schedule / DVR Program Policy Manual - Addendum A](#)
 - [Medicaid \(MA\) Maximum Allowable Fee Schedules](#)
 - [Project SEARCH](#)
 - [Self-Employment Services Fee Structure \(Feasibility Study & Business Plan\)](#)
 - [Self-Employment Start-Up Fee Schedule](#)
 - [Statewide Service Fee Schedule](#)
- [Tuition & Fees - UW System](#)
- [Tuition & Fees - Wisconsin Technical College System \(WTCS\)](#)
- [Federal Fiscal Year \(FFY\) Instructions - Consumer Purchases](#) (Internal Link)
- [Fiscal Experts](#) (Internal Link)
- [Instructions for Entering New and Existing Vendors in IRIS](#)
- [Rate of Payment Determination & Required Documentation Chart](#)
- [State Fiscal Year \(SFY\) Instructions](#) (Internal Link)

Forms/Publications

- [Alternate Receipt for DVR Services \(DVR-13813-E\)](#)
- [Attendant/Child Care Provider Log \(DVR-13178\)](#)
- [Collection Letter \(DVR-13179-E\)](#)
- [Consumer Fiscal Responsibilities Agreement \(DVR-16843-E\)](#)
- [Exception Request/Process \(DVR-14918-E\)](#)

- **Information for DVR Vendors and Statewide Service Providers**

- [Invoice Resolution Form \(DVR-14726-E\)](#)
- [Refund Check Routing Slip \(DVR-17010-E\)](#)
- [Rent or Security Deposit Receipt \(DVR-13814\)](#)
- IRS Form W-9
- Supplier Tax Number Update (DOA-6459) *
- Change of Supplier Name (DOA-6458) *
- New Supplier (DOA-6460) *
- Address Update (DOA-6457 / FIS-17866-E) *
- Authorization For Direct Deposit (DOA-6456)
- [Stipend \(DVR-16775-E\)](#)
- [Tutor Log/Receipt \(DVR-15763\)](#)

**Official DOA forms are retained in the secure DVR SharePoint file and can only be accessed by DVR CCP, the DVR Contract Specialist, DVR Managers and DVR Fiscal Experts.*

Other Resources

- [Individualized Plan for Employment \(IPE\)\(DVR-12726-E\)](#)
- [VR Program Policy Manual \(DVR-11074-P\)](#)
- [Technical Specifications](#)

- **IRIS Help Pages**

The [IRIS Help Pages](#) (Internal Link) can be accessed using the following instructions:

1. Open IRIS or navigate to the [IRIS](#) home page: (Internal Link).
2. Click “Help” in the top right-hand corner of the screen. This will open a new window and bring you to the Help Page: [Basic Information for Using IRIS](#) (Internal Link).
3. Click “Help Page List” at the top and select the topic you are looking for.

- [Notarized Affidavit Forged Endorsement \(DOA-2789\)](#)
- [Handwriting Specimens \(DOA-2790\)](#)
- [Training Grant Webpage](#)
- [Non-FAO Training Program](#) (Internal Link)

PRINTABLES

Delegated Authority

DVR staff have limits in place for purchases of consumer services. These limits are called delegated authority. IRIS delegated case services authority limits are as follows:

DVR Staff Role/Title	Amount of Authority
Vocational Rehabilitation (VR) Counselor Consumer Case Coordinator Financial Specialists VR Specialists	Up to \$7,499
Workforce Development Area (WDA) Directors VR Supervisors	Between \$7,500 and \$24,999
Central Office Management	Over \$25,000

Rate of Payment Determination and Required Documentation

Note: When available, price comparison among three vendors is always required.

Cost of Service	How to Determine Rate	Supporting Documentation
Items Costing Under \$500	Quick price check using internet search, ad search, calls to providers	Recommend case note supporting how the rate was determined, but not required
Items Costing Between \$500 - \$1,499	Quick price check using internet search, ad search, calls to providers	Case note supporting how the rate was determined
Items Costing Over \$1,500	Written quotes	Written quotes attached to file

Authorization Case Note: FISCAL FIVE

The authorization case note consists of a group of comments related to a purchase of one or more services. Updated comments are added throughout the process of purchasing to maintain documentation in one area for ease of review. The required information contains five elements called the 'fiscal five'. Information contained within the authorization must include:

Number	Requirement
1	Prior Authorization documentation.
2	What is the service, item, estimated quantity and time period?
3	Why is it necessary and appropriate?
4	Cost Determination method

5	Are comparable benefits used if applicable, or why not?
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Other information to include in the Authorization if appropriate:

- Rationale for using a Purchase Order vs. Direct Payment.
- Justification for spending outside of the Fee Schedule.

Prior Authorization

A Prior Authorization Exception must be requested when:
1. The intent to purchase was documented by DVR staff prior to the service start date, but the authorization for services created date in IRIS is after the start date of the purchase; AND
2. The PO order date or direct payment is after the start/entry date of the individual purchase or services.

Direct Payment Verification Table

Direct Payment Category	Timeframe	Verification Requirements	Processing Notes
Apps for IT use	The authorized date in IRIS must be the same day as or prior to the actual purchase or service date and identified in the ERL.	<ul style="list-style-type: none"> • Each app purchased • Price of each • Date of purchase • Proof of payment/ receipt 	Each approved app must be identified in the ERL. If the app is purchased online, a printed copy of the payment page that provides detail of the items purchased and documents the method of payment can be used.
Attendant Child Care Tutoring	Actual payment service dates should fall within the authorization service dates. Enter the actual payment service dates on the Payment/Verification Info tab with first service date as start date and last service date as the end date.	<ul style="list-style-type: none"> • Log of days • Hours • Rate(s) • Provider signature verifying payment • Date • Consumer/guardian Signature • Counselor Signature 	Attach to ERL: Approved Tutoring Log or Approved Attendant/Child Care Provider Log. Total should be entered on ERL form.

Car Rental/ Moving Van	The authorized date in IRIS must be the same day as or prior to the actual purchase or service date and identified in the ERL.	<ul style="list-style-type: none"> • Date(s) • Actual daily mileage • Cities to/from • Purpose of travel • Business name • Consumer/guardian Signature • Counselor Signature • Total cost • Proof of payment/receipt • Receipt of final transaction amount 	Verify if mileage is included in the price of car rental prior to authorizing mileage as a separate service. Deposits made by DVR for the transaction will be returned to DVR.
Goods/Items	The authorized date in IRIS must be the same day as or prior to the actual purchase or service date and identified in the ERL.	<ul style="list-style-type: none"> • Each item purchased • Price of each • Date of purchase • Place of purchase • Proof of payment/receipt 	Each approved item must be identified in the ERL with approximate price and number of each. If purchased online a printed copy of the payment page that provides detail of items purchased that documents method of payment.
Meals	The authorized date in IRIS must be the same day as or prior to the actual purchase or service date and identified in the ERL. The authorization can be done for six-month intervals as need ed.	<ul style="list-style-type: none"> • Reason for travel • Cities to/from 	Include receipts for all meals claimed. Must not exceed state limits for breakfast, lunch, and dinner. Actual amounts will be reimbursed up to maximum with tax and tip included. Alcohol purchases are not allowable.
Mileage/ Transportation	The authorized date in IRIS must be the same day as or prior to the actual purchase or service date.	<ul style="list-style-type: none"> • Date(s) • Actual daily mileage • Cities to/from • Purpose of travel • Business name • Consumer/guardian Signature • Counselor Signature • Total mileage cost 	<p>Receipts are not required.</p> <p>Purchase of gas, gas cards or gift cards are not allowed. Must be reviewed and reauthorized every six months.</p> <p>Should be accurately calculated using current rate.</p>
Non-FAO Training	An authorization case note must be completed prior to the start of the program.	<p>The student must provide:</p> <ul style="list-style-type: none"> • Proof of payment for the amount of training grant authorized • A cost breakdown of all expenses • Grades • Schedule • Consumer/guardian Signature 	<p>Documentation of the training amount and dates should be linked to the DP.</p> <p>Documentation must provide dollar for dollar verification of all funds.</p> <p>Training funds are limited to up to \$6,000 within 12 months unless there is an approved exception.</p>

Subscription Services (internet, cell phone, etc.)	Payment service dates should be the time period covered by the service (month/day – month/day), not the date of payment.	<ul style="list-style-type: none"> • Paid billing statement with zero balance shown for prior service periods • Proof of payment is needed to show amount to be reimbursed • Copy of the billing statement 	DVR cannot guarantee payment for ongoing services or provide signatures on a service contract.
Wisconsin (Non-system) Training Grants	An authorization must be completed prior to the census date. Payments cannot be made to a student for the term if the schedule or grades are not collected prior to the census date for that term. The ERL must identify what specific costs are supported with the funds (tuition, supplies, living expenses-if approved).	<ul style="list-style-type: none"> • Proof of payment for the DVR training grant amount • Grades • Schedule • Consumer/guardian Signature • Completed training grant form attached 	Direct Payments for post-secondary training can only be processed with advance supervisory review and an approved exception. The supervisor must confirm in an Authorization update that the school will NOT accept a purchase order. Staff must record the date, name, and contact information for school personnel in a case note when a school will not accept a purchase order.
Out-of-State Training Grants	An authorization must be completed prior to the census date. Payments cannot be made to a student for the term if the schedule or grades are not collected prior to the census date for that term. The ERL must identify what specific costs are supported with the funds (tuition, supplies, living expenses-if approved).	<ul style="list-style-type: none"> • Proof of payment for the DVR training grant amount. • Grades • Schedule • Consumer/guardian Signature • Completed training grant form attached. 	Administrative review and approval to attend an out-of-state school in the IPE. Direct Payments for post-secondary training can be processed with advance supervisory review and an approved exception. The supervisor must confirm in an Authorization update that the school will NOT accept a purchase order. Training grant funds are limited to up to \$6,000 per academic year unless there is an approved exception.

Cancellation Fee Checklist

Reasonable and customary fee determination for IRIS entry: Vendor Acct Comment

Customary

Yes	No	Question*
		Does the Vendor have established, published, cancellation fees and policies? Are they provided before setting up appointment or service and not added after the cancellation occurs?
		Is the fee charged to all persons who fail to cancel the appointment within the service providers specified time? (Example: 24 hours before appointment)

*Both must be Yes to considered Customary fees and documented in IRIS. If any reply is No-Consult with CCP or your Supervisor.

Reasonable

Yes	No	Question*
		<p>Does the proposed fee align with existing cost of the service?</p> <p>Example: If one hour of ASL services with one hour for travel at \$75/hour. \$150 is typically requested by most providers but the proposed fee is \$300. The example does not align with the established cost of the service.</p>
		<p>Is the established fee for a portion of the cost of a service that would be authorized but not provided? If not, under what circumstances would the full amount be requested?</p> <p>Example: Some medical providers will charge the full amount as a cancellation fee for medical procedures or assessments. That is considered a part of typical medical practice. Document the circumstances in IRIS.</p>
		<p>Is the amount of proposed cancellation fee reasonable for the industry, business, and geographic area?</p> <p>Example: Do others in the same city or similar business charge a fee?</p>
		<p>Do all customers pay the same fee?</p> <p>Example: Cancellation fees are the same for public or private customers. Medicaid=DVR=Private Citizen</p>

*All four questions must be answered Yes and documented in IRIS to be considered reasonable fees. If any reply is No, consult with CCP or your Supervisor.

Instructions for Comment Entry

Once the Customary and Reasonable standard is met, enter information in the Vendor page in IRIS. Found:

Fiscal Tab → Search Vendor → Click '*Vendor Comments' → Enter Customary Fee Information → Click 'Add Comments'

Include:

- ✓ Entry date
- ✓ List of established fees approved as customary and reasonable and approved by DVR
- ✓ Any other information necessary for payment of the fee

Example: Entered 6/10/20, Vendor requests cancellations be completed 24 hours ahead of a scheduled appointment. If cancellation occurs after that timeframe, \$25.00 is due to the provider. The vendor will submit the fee with the monthly invoice. Contact Tania for questions.

Common Rehabilitation Technology Purchasing Codes

Item	Purpose	Activity Code	Tax Coding
Assistive Tech Assessment	Any	033	Service: 8900000 (5711).
Computer Assessment		033	Service: 8900000 (5711).
Computer Training	Rehab Tech	034	Service: 8900000 (5711).
Computer	School	030	Supply: 8800000 (5700-72).
Computer	Rehab Tech	033	Supply: 8800000 (5700-72).
Computer	Other/Job Dev	030	Supply: 8800000 (5700-72).
Vision Assessment	Eye Exam	041	Service: 8910000 (5712).
Vision Assessment	Low Vision	021	Service: 8910000 (5712).
Eyeglasses/Contact Lenses		041	Supply: 8800000 (5700-72).
Low Vision Training		037	Service: 8900000 (5711).
Low Vision Devices		026	Supply: 8800000 (5700-72).
Low Vision Computer		033	Supply: 8800000 (5700-72).

Hearing Evaluation		021	Service: 8910000 (5712).
Hearing Aids		036	Supply: 8800000 (5700-72).
Hearing Aid Dispensing Fee		036	Service: 8910000 (5712).
Hearing Devices		033	Supply: 8800000 (5700-72).
Existing Business Assessment	Rehab Tech	033	Service: 8900000 (5711).
Farm Equipment	Rehab Tech	035	Supply: 8800000 (5700-72).

How to determine if a payment should be coded as reportable or non-reportable:

- If a service is being purchased, it is reportable.
- If an object or good is being purchased, it should be coded as non-reportable (code 8800000).
- If both a good and a service are included, they must be coded on separate lines of the purchase order with the appropriate account code.

FISCAL MANUAL TRAINING ACTIVITIES

This training guide is designed to provide questions to test learning associated with each section of the fiscal manual. Each training section will include relevant forms and other resources and include live demonstration steps for DVR staff to complete.

It is up to each DVR office to determine which sections of the training guide are to be completed. It is strongly suggested that DVR staff who are responsible for fiscal processes in a WDA, including DVR managers and supervisors, complete each section of the training guide. Other DVR staff who are chiefly responsible for fiscal processing, such as Financial Specialists, Consumer Case Coordinators, and those staff designated as fiscal experts, should also complete each section of the training guide.

Other DVR staff can complete sections of the training guide as directed by their supervisors.

Training Activities Sections:

- [Purchasing/Authorization](#)
- [Purchase Orders](#)
- [Purchase Order and Activity Codes](#)
- [STAR PeopleSoft Vendor Database](#)
- [Receiving on a Purchase Order](#)
- [WDA Planning and Fiscal Maintenance](#)
- [Change Orders](#)
- [Invoices on a Purchase Order](#)
- [Direct Payments to Consumers](#)
- [Miscellaneous](#)

[Training Activities Answer Key](#)

Training Activity: Purchasing/Authorization

Identify Trainer for Section: _____

Date Assigned: _____

Date Completed: _____

QUIZ: Complete the quiz below upon completion of this section.

Question: What is the purpose of the DVR Fiscal Practices and Training Manual?

Question: Place these steps in the correct order.

- ___ Authorization
- ___ Service Takes Place Per instructions
- ___ Payment Processed Net 30 days from Receipt
- ___ Purchase Order
- ___ Payment Made
- ___ Invoice Issued within 60 days of Service
- ___ Prior to Service Authorization

Question: When should DVR staff review and complete the [Consumer Fiscal Responsibilities Agreement Form \(DVR-16843-E\)](#) with the consumer?

Question: When would an IPE be considered active?

True/False: All services must be identified in the IPE before a service can be authorized.

Question: What are the delegated authority limits for VR Counselors and other local staff?

Question: What are the Fiscal Five?

Question: What other information is helpful to include in an authorization?
(Communication with vendors regarding the PO, invoicing, reports, or to respond to questions.)

Question: When is it necessary to complete a prior authorization exception?

DVR RESOURCES REVIEW: *Please read/review the resource(s) below for this section.*

Fee Schedules

- [Child Care Subsidy Rates by County/Tribe](#)
- [DVR Fee Schedule / DVR Program Policy Manual - Addendum B](#)
- [DVR Training Grant Fee Schedule / DVR Program Policy Manual - Addendum A](#)
- [Medicaid \(MA\) Maximum Allowable Fee Schedules](#)
- [Project SEARCH](#)
- [Self-Employment Services Fee Structure \(Feasibility Study & Business Plan\)](#)
- [Self-Employment Start-Up Fee Schedule](#)
- [Statewide Service Fee Schedule](#)
- [Rate of Payment Determination & Required Documentation Chart](#)
- [Consumer Fiscal Responsibilities Agreement \(DVR-16843-E\)](#)
- [Individualized Plan for Employment \(IPE\)\(DVR-12726-E\)](#)
- [VR Program Policy Manual \(DVR-11074-P\)](#)
- [Instructions for Entering New and Existing Vendors in IRIS](#)

DVR STAFF DEMONSTRATION: *Existing DVR Staff will demonstrate the following action, and trainees will complete the following action under the observation of the trainer. Trainer will initial completion upon successful demonstration.*

_____ Attach any signed paper form to the case file (when the signature was not captured via the form within IRIS) and provide a copy to the consumer.

_____ Save any electronic signature form to the case file and provide a copy to the consumer.

_____ In IRIS pull up an exception and review the option for a Prior Authorization exception. If there is no current case that needs this type of exception, review the options with your trainer.

Notes/Comments: _____

Training Activity: Purchase Orders

Identify Trainer for Section: _____

Date Assigned: _____

Date Completed: _____

Quiz: *To complete this section, review the [Fiscal Five](#).*

An authorization contains all information related to a purchase. The authorization must be written on the same day or before the service takes place. In the next two examples, find the associated information with the Fiscal Five and label.

- 06/01/2016:** This case note is written to document prior authorization to NVI for Job Retention and Monthly Reports (\$1,500.00). Dates authorized for this service are 7/20/2016 to 10/18/2016. Rationale for service being necessary and reasonable is due to the need for follow-up job retention services to maintain satisfactory performance on the job. Price of service is \$1,500.00, which constitutes a lowest cost option. Comparable benefits were not explored due to this being a statewide service.
- 8/1/2017:** Authorizing a bus pass for the month of August (8/1/17-8/31/17) with Wausau Transit so that Melanie can continue to attend her ITW for the summer at Hardee's. The cost is \$39.00. The vendor is Wausau Transit. This is the least cost option and a planned service. There are no comparable benefits.
- 08/31/2016:** This case note is written to document prior authorization to Prevea Audiology for the following services: Signia Pure Carat 7PX Receiver in-the-canal hearing aids – V5261 (Invoice plus 15% = 3,277.50), Medicaid Dispensing Fee – V5160 (\$542.91), Signia EasyTek Bluetooth Streamer (Invoice plus 15% = 230.00). Dates authorized for this service are 09/01/2016 to 10/31/2016. Rationale for service being necessary and reasonable is that Fiona uses outdated hearing aids, and her new job will require that she hear clearly in loud environments and with background noise. Price of service is \$4,050.41, which is the lowest cost option based on a price quote provided by Prevea Audiology and indicates the allowable 15 percent markup on invoice cost. Comparable benefits were explored, but Fiona's insurance plan will not cover hearing aids.
- Please note the Fiscal Five in this example, and what, if anything, is missing.*
7/2/18: Authorizing ITW site set up and report for Ellie. The vendor chosen is Valerie Vargas. The cost is \$625 for site set up and report. Transition Coordinator has established a site for Ellie at the public library. Ellie has noted that she would like to try something new to determine a new vocational goal. This VRC agrees that this would be a positive experience for Ellie. Ellie was working at local veterinary clinic (current vocational goal) and was recently let go due to not being able to follow through on giving animals the medicine that was prescribed and not being adequately trained after the expected period of time. The VRC agrees that a paid experience would assist Ellie in obtaining a paid position to add to her resume and with career exploration. This is an item listed on the fee schedule and there are no comparable benefits

5. In question 4, what are the potential problems with not listing an end date in the authorization?
6. You would like to write a purchase order for job prep. What two things must you do before you can proceed with the purchase order?
7. You have written the following purchase order:

Order Date:	2/5/2018
Status:	In Process
Keyed By:	Caralee Morrison
Last Approved By:	
Order Begin Date:	<input type="text" value="02/01/2018"/>
Order End Date:	<input type="text" value="05/01/2018"/>
Order Review Date:	<input type="text" value="05/01/2018"/>
Requested By:	Morrison, Caralee
Requestor Phone:	(715) 315-0593
Alert Recipient:	Jensen, Lukas
State Fiscal Year:	2018
Training Grant:	<input type="checkbox"/>
Total Order Amount:	950.00
Remaining Balance:	950.00
Remaining Units:	1
Notes for Service Provider Staff:	<input type="text"/>

Text Limit: 4000 | Text Entered: 0

Purchase Order Lines

Final Invoice Complete:
Yes: Final Invoice has been approved for the line, no additional invoicing for the line will be allowed. The displayed number(QTY/\$amount) is the total number of units on approved invoices and the total dollar amount paid on invoices for the PO line.
(Note: If line says Yes or In Process a change order for this line will not be allowed, unless CCP changes INV Complete on the Invoice.)

PO Line	Final Invoice Complete	Quantity	Unit	Price	Total	Remaining Balance	Remaining Units	Description	Status	Action	Receiving Completed	Service Provider Staff
1	No	1	Each	950.00	950.00	950.00	1	Discovery Profile	Not Validated	Receive	No	

[New Line](#) | [Receive PO as Ordered](#) | [Send Consumer Survey](#) | [Print Consumer Survey](#)

Look closely at *Order Date* (the date the PO was written in IRIS), and *Order Begin Date* (the date you want the service to begin): What do you need before you can approve this?

8. You are meeting with a new consumer and discuss mileage reimbursements with him; you put the service in the IPE and discuss the fiscal responsibility agreement. You are now writing the authorization. You could write one of two authorizations. Given what you know about the fiscal responsibility agreement and the Fiscal Five, which authorization do you choose to write and why?
 - a. **Option 1:** Authorizing mileage to and from the Job Center for job search and to drop off employer applications and interviews for Jeff. Authorization not to exceed \$125 for the month of January.
 - b. **Option 2:** Authorizing mileage from January 1, 2018- January 31, 2018. This is for Jeff to travel to the WRJC once per week and for one additional trip into Wisconsin Rapids and surrounding area per week to drop off applications or attend interviews. This comes to nine trips total for the month of January. Looked up least cost mileage with Jeff in my office (19.7 miles one way). 9 Trips x (19.7 miles x 2) = 354.6 total miles x .352 mileage reimbursement rate = \$124.82. Job Center is on far side of town so it is unlikely Jeff will be traveling past WRJC in his job search. The ERL will not exceed \$125 for 9 total trips. Discussed today that Jeff will need to request additional mileage reimbursements before the next month if he would like DVR assistance in paying. No comparable benefits.

DVR STAFF DEMONSTRATION: Existing DVR Staff will demonstrate the following action, and trainees will complete the following action under the observation of the trainer. Trainer will initial completion upon successful demonstration.

Refer to the [Exception Request/Process Form](#) when completing this section.

1. Practice writing an authorization for a service using the Fiscal Five. Review with the trainer.
2. Practice writing a DP authorization for a mileage reimbursement (make sure you are writing appropriate parameters). Review with the trainer. Discuss with your trainer what might happen if there are not clear details provided for the consumer.
3. Practice writing a PO to a service provider. Review with the trainer.
4. Practice writing a prior authorization exception. Review with the trainer.

Bonus Questions: Your direct payment authorization says, "Mileage approved for trips to job interviews up to \$125" and the consumer spends \$250. *Answer the following questions.*

1. How would you have this discussion with them?
2. What additional things can you do to prevent this?

DVR RESOURCES REVIEW: Please read/review the resource(s) below for this section.

- [Exception Request/Process \(DVR-14918-E\)](#)

Notes/Comments: _____

Training Activity: Purchase Order and Activity Codes

Identify Trainer for Section: _____

Date Assigned: _____

Date Completed: _____

Quiz: Complete the following quiz upon completion of this section.

True/False: All coding decisions are automated in IRIS.

True/False: It is best to guess and save time when selecting an Activity Code, CCP will fix it.

True/False: If a code is unknown you can select "Other".

Match each term with the correct definition:

- | | |
|-----------------------------|---|
| A. Activity | _____ The State Legislature identifies this code to make expenditures and to incur obligations from a specific statutory fund for a specific purpose. |
| B. FFY Project Code | _____ This is a fifteen-digit code, the last two digits identifying the FFY funding year. |
| C. State Fiscal Year | _____ Code used to report consumer spending by WDA. |
| D. Department | _____ The four-digit code that identifies when in the year the service will occur. |
| E. Account | _____ Code selected by DVR staff that describes expenditures and services and reported to RSA. |
| F. Appropriation | _____ Code selected by DVR staff to identify if a service is reportable or non-reportable to the IRS. |

DVR RESOURCES REVIEW: Please read/review the resource(s) below for this section.

- [Fiscal Account Coding](#) (Internal Link)
- [DVR Coding Manual](#) (Internal Link)
- [Common Rehabilitation Technology Codes](#)

DVR STAFF DEMONSTRATION: Existing DVR Staff will demonstrate the following action, and trainees will complete the following action under the observation of the trainer. Trainer will initial completion upon successful demonstration.

Choose the correct Activity Code and Account Code for each of the following examples:

Good/Service	Activity Code	Account Code
Job Placement and Development		
Vocational Evaluation		
Vision Assessment (Eye Exam)		
Eyeglasses/Contact Lenses		
Hearing Evaluation		
Hearing Aids		
Hearing Aid Dispensing Fee		
Job Shadow (Pre-ETS)		
Job Shadow (Assessment)		

Notes/Comments: _____

Training Activity: STAR PeopleSoft Vendor Database

Identify Trainer for Section: _____

Date Assigned: _____

Date Completed: _____

Quiz: *Complete the following quiz upon completion of this section.*

Question: Why does DVR use the STAR PeopleSoft Vendor Database?

Question: Can DVR WDA staff facilitate addition/change/inactivation?

Question: What forms need to be submitted for a new vendor?

DVR RESOURCES REVIEW: *Please read/review the resource(s) below for this section.*

- [Wisconsin Department of Revenue](#) Delinquent Taxpayers' Website:
- [Wisconsin Circuit Court Access](#) (CCAP):
- [Wisconsin Department of Financial Institutions](#) Website:
- [Better Business Bureau](#) and Review for Complaints:

DVR STAFF DEMONSTRATION: *No specific demonstration activities have been identified for this section. The trainer or supervisor may identify activities for demonstration and include them in comments below. Trainer will initial completion.*

Notes/Comments: _____

Training Activities: Receiving on a Purchase Order

Identify Trainer for Section: _____

Date Assigned: _____

Date Completed: _____

Quiz: Complete the following quiz upon completion of this section.

Question: When receiving on a service/item, the FINANCIAL SPECIALIST/CCC must verify with:

- A. The VR Counselor
- B. The Service Provider
- C. The Consumer
- D. An IRIS Case Note
- E. All of the above, except B

True/False: It is the FINANCIAL SPECIALIST/CCC's responsibility to ensure the correct report is attached and completed for the service being received on.

True: FINANCIAL SPECIALISTS/CCCs should understand the services and what the requirements are before receiving on them. The [DVR Statewide Fee Structure](#) is a great tool to have on one's desktop to reference when receiving on services. Another helpful reference is the [DVR Forms List](#) (Internal Link), which is linked to on the DWD WorkWeb page under Resources.

Fill in the Blank: Use the word bank below to fill in the blanks.

IRIS Organize Delay Alert Received ASAP

The Center for Consumer Payments (CCP) will send an _____ if you have not completed receiving before the invoice is _____ via a _____ message. Once FINANCIAL SPECIALIST/CCC receives this alert, they need to complete it _____, as this could _____ payment on an entire invoice. FINANCIAL SPECIALISTS/CCCs can _____ their work by using the Orders on Invoice to do list in IRIS.

Question: A service provider is invoicing for 36 hours of Systematic Instruction. The report indicates they provided 30 hours of instruction. What do you do?

- A. Pay the vendor for only 30 hours of Systematic Instruction.
- B. Type up an Invoice Resolution Form (IRF) and send it to CCP and the vendor.
- C. Do nothing except drink your coffee and delete CCP notices.
- D. Reach out to the vendor and ask for a corrected report or to verify.

True/False: To delete or cancel receiving done in error, the FINANCIAL SPECIALIST/CCC can simply delete the line.

DVR STAFF DEMONSTRATION: Existing DVR Staff will demonstrate the following action, and trainees will complete the following action under the observation of the trainer. Trainer will initial completion upon successful demonstration.

Receiving from beginning to end:

1. FINANCIAL SPECIALIST/CCC sees case note that meeting occurred, etc., are alerted a report was attached in IRIS
2. FINANCIAL SPECIALIST/CCC verifies with case note date, consumer (potentially) and the report is correct and complete
3. FINANCIAL SPECIALIST/CCC goes into consumer's file, fiscal summary, finds correct
4. After verification, goes to receiving line, receives the service

Receiving from a CCP notice:

1. FINANCIAL SPECIALIST/CCC receives an alert from CCP to receive on a service/item; where to find the alerts, what they mean; how to read them.
2. Then completes steps 2-4

Writing an IRF:

1. After FINANCIAL SPECIALIST/CCC is unable to verify service was received or there was an error, showing them where the IRF form is located, how to fill it out, and where to send it to.

Notes/Comments: _____

DVR RESOURCES REVIEW: *Please read/review the resource(s) below for this section.*

- [Technical Specifications](#)
- [Invoice Resolution Form \(DVR-14726-E\)](#)

Training Activities: WDA Planning and Fiscal Maintenance

Identify Trainer for Section: _____

Date Assigned: _____

Date Completed: _____

Quiz: *Complete the following quiz upon completion of this section.*

Check all strategies listed below that are used in your WDA to complete Fiscal Maintenance:

- ___ Complete a regular (weekly/monthly) review of fiscal work.
- ___ Schedule a team meeting or pair up with staff specifically to review fiscal items.
- ___ Identify a single main point of contact for a vendor with multiple POs or consumers.
- ___ Schedule regular calls or meetings with larger vendors to review outstanding POs.
- ___ When in an IRIS case review all fiscal activity and resolve outstanding issues.
- ___ Use Outlook and other reminders to trigger reviews by specific due date.
- ___ Remind VRCs to notify fiscal staff when services end early, or reports are received.
- ___ Schedule a regular meeting with the VRC to review cases and older POs.

DVR Dashboard Reports: *Use Fiscal Reports? Check all that apply.*

- ___ **Activity Cost** displays the case management expenses.
- ___ **Vendor Cost** displays the case management expenses relative to the Vendors who received payments from the program, not including Direct Payments.
- ___ Job Development report rolls all job development expenses into a single report.
- ___ **Budget/Actual** report is being built from Nova (STAR).
- ___ **Unverified Payment** report displays direct payments that have not been verified for processing by Center for Consumer Payments (CCP) staff.
- ___ **Purchase Order** reports display open PO balances for open and closed cases. One report shows a WDA/Requestor/Alert Recipient view, and another shows Vendor view.
- ___ **Exception** reports show the approved and denied expenditures within a specific set of expense categories.

a delivery fee of \$100. Is the approval process needed again?

DVR STAFF DEMONSTRATION: *Existing DVR Staff will demonstrate the following action, and trainees will complete the following action under the observation of the trainer. Trainer will initial completion upon successful demonstration.*

- Change a reduced purchase order from \$1 to the correct amount for invoicing purposes.
- Open and review the Change Order To Do List in IRIS under the **To Do List** tab.
- Change the Alert Recipient and extend the end date.
- Change a PO from 5700 to 5711.
- Go to Change Order and delete a line to include the reason for change.

Notes/Comments: _____

Training Activities: Invoices on a Purchase Order

Identify Trainer for Section: _____

Date Assigned: _____

Date Completed: _____

Quiz: *Complete the following quiz upon completion of this section.*

Question: Which of the following are required on an invoice. Check all that apply.

- ___ Vendor name and address
- ___ Vendor contact and telephone/fax numbers
- ___ Invoice date
- ___ Invoice number
- ___ PO number
- ___ Recipient of services – Consumer name
- ___ Dates of services
- ___ Description of goods and/or services received
- ___ Remit to address

____ Federal ID# or FEIN

____ Unit and dollar breakdown by consumer and invoice total

True/False: Consumer Case Coordinators are allowed to enter invoices.

Question: Field staff have access to information regarding invoices. Where can staff find this information?

DVR RESOURCES REVIEW: *Please read/review the resource(s) below for this section.*

- [Invoice Resolution Form \(DVR-14726-E\)](#)

DVR STAFF DEMONSTRATION: *Existing DVR Staff will demonstrate the following action, and trainees will complete the following action under the observation of the trainer. Trainer will initial completion upon successful demonstration.*

____ Find an invoice using the Purchase Order and review the document identifying the following elements on the Invoice: Consumer Name, Quantity Invoiced, and Receiving Completed.

____ Find an invoice using the "Invoice Search Feature". Search by using the Invoice Number.

Notes/Comments: _____

Training Activities: Direct Payments to Consumers

Identify Trainer for Section: _____

Date Assigned: _____

Date Completed: _____

Quiz: *Complete the following quiz upon completion of this section.*

Question: What are the three types of payments to consumers? Please define the difference between the three types.

True/False: Training grants issued to consumers are an Advance Payment.

True/False: Payments can be made to a consumer if there is an unverified Advance Payment that is over 30 days from the date of issue.

DVR RESOURCES REVIEW: *Please read/review the resource(s) below for this section.*

- [Alternate Receipt for DVR Services \(DVR-13813-E\)](#)
- [Attendant/Child Care Provider Log \(DVR-13178\)](#)
- [Rent or Security Deposit Receipt \(DVR-13814\)](#)
- [Notarized Affidavit Forged Endorsement \(DOA-2789\)](#)
- [Handwriting Specimens \(DOA-2790\)](#)
- [Training Grant Webpage](#)
- [Non-FAO Training Program](#) (Internal Link)

DVR STAFF DEMONSTRATION: *No specific demonstration activities have been identified for this section. The trainer or supervisor may identify activities for demonstration and include them in comments below. Trainer will initial completion.*

Notes/Comments: _____

Training Activities: Miscellaneous

Identify Trainer for Section: _____

Date Assigned: _____

Date Completed: _____

Quiz: *Complete the following quiz upon completion of this section.*

True/False: DVR grants advance payments to vendors.

Scenario: A vendor calls because they have not received payment for services. After a review of the system, you find that payment has been made with a check number Z125476972.

Question: What does it mean if a check number begins with the letter Z?

- A. The check was paid out of the wrong account.
- B. The check has been intercepted by the Department of Revenue.
- C. The vendor's last name begins with the letter Z.

Question: Can you name at least one of the Fiscal Experts in your WDA?

Question: What are some of the functions that a Fiscal Expert performs?

Question: Under what circumstances would DVR receive a refund?

True/False: Cash is an acceptable payment method.

Question: Name one of the three steps for processing a DVR Refund Check or Money Order.

Scenario: You receive a phone call from a Consumer who is concerned because they have not received their reimbursement check. After reviewing IRIS, you learn the check was dated three weeks ago.

Question: What should you do?

- a. Verify that the check was mailed to the correct address
- b. Email a Stop Payment request to CCP
- c. Notify the consumer
- d. All of the above
- e. Call the Program Development Section Chief

Question: Under what circumstances should an Invoice Resolution Form be completed?

- a. There are problems with the invoice
- b. DVR disagrees with the invoice
- c. There may be a delay in processing the invoice
- d. All of the above

Question: After completing the Invoice Resolution form, field staff need to complete the following steps:

- a. Send the form to the vendor, and a copy to CCP
- b. Attach a copy of the form in IRIS
- c. Update the authorization to document the dispute
- d. All of the above
- e. None of the above

Question: If it has been determined necessary and appropriate to purchase subscription services, what type of payment should be used?

Question: Does DVR recover or repossess equipment purchased for consumers?

Question: What should field staff do if they are unable to verify a direct payment to a consumer?

Question: A consumer has enrolled in a certificate program that is non-financial aid eligible at a local technical college. What type of payment should be used for non-financial aid eligible programs?

True/False: Purchase orders can be issued or changed on closed cases.

DVR RESOURCES REVIEW: *Please read/review the resource(s) below for this section. (Internal Links)*

- [Fiscal Experts](#)
- [Refund Check Routing Slip \(DVR-17010-E\)](#)
- **IRIS Help Pages**

The [IRIS Help Pages](#) can be accessed using the following instructions:

1. Open IRIS or navigate to the [IRIS home](#) page.
2. Click “Help” in the top right-hand corner of the screen. This will open a new window and bring you to the Help Page: [Basic Information for Using IRIS](#).
3. Click “Help Page List” at the top and select the topic you are looking for.

DVR STAFF DEMONSTRATION: *Existing DVR Staff will demonstrate the following action, and trainees will complete the following action under the observation of the trainer. Trainer will initial completion upon successful demonstration. (Internal Links)*

1. Demonstrate where to find and how to use the [Fiscal Expert in your WDA](#) link.
2. Demonstrate the links for:

- [Account Coding](#)
- **IRIS Help Pages**

The [IRIS Help Pages](#) can be accessed using the following instructions:

- a. Open IRIS or navigate to the [IRIS home](#) page.
- b. Click “Help” in the top right-hand corner of the screen. This will open a new window and bring you to the Help Page: [Basic Information for Using IRIS](#).
- c. Click “Help Page List” at the top and select the topic you are looking for.

Notes/Comments: _____

Question: When would an IPE be considered active?

Answer: An IPE must be signed by the consumer **and** counselor to be considered active.

True/False: All services must be identified in the IPE before a service can be authorized.

TRUE: Services must be identified within the active IPE before they can be authorized with a Purchase Order (PO) or Direct Payment (DP). The **only** exception is when services are authorized as part of comprehensive assessment services before an IPE is developed.

Question: What are the delegated authority limits for VR Counselors and other local staff?

Answer: Vocational Rehabilitation (VR) Counselors, CCCs, Financial Specialists, and VR Specialists: Up to \$7,500. Workforce Development Area (WDA) Directors/VR Supervisors: Between \$7,500 and \$24,999.

Question: What are the Fiscal Five?

Answer:

1. Prior Authorization
2. What is the service or item and time period?
3. Why is it necessary and appropriate?
4. Cost Determination
5. Are comparable benefits used and if applicable, why not?

Question: What other information is helpful to include in an authorization?

Answer: (Name 3-4)

- Rationale for using a Direct Payment vs. Purchase Order.
- Justification for spending outside of the Fee Schedule.
- Information that shows how we know that we can document receiving or satisfaction of a service/product.
- WDA Directors/VR Supervisors can document the rationale for approving an Exception, Approval or Disapproval of any purchase.
- If a service was denied, the authorization should contain a comment to document that due process was provided to the consumer.
- Any problems experienced with the purchase including documentation of an [Invoice Resolution Form \(DVR-14726-E\)](#).
- Communication with vendors regarding the PO, invoicing, reports, or to respond to questions.

Question: When is it necessary to complete a prior authorization exception?

Answer: When the intent to purchase was documented by DVR staff prior to the service start date, but the authorization for services created date in IRIS is after the start date of the purchase, **and** when the PO order date or DP requested on date is after the start date of the purchase.

The prior authorization exception will be approved by the BCS Director, BCS Assistant Director or as delegated by the BCS Director by the WDA Director.

Training Activity: Purchase Orders

An authorization contains all information related to a purchase. The authorization must be written on the same day or before the service takes place. In the next two examples, find the associated information with the Fiscal Five and label.

1. **06/01/2016:** This case note is written to document prior authorization to NVI for Job Retention and Monthly Reports (\$1,500.00). Dates authorized for this service are 7/20/2016 to 10/18/2016. Rationale for service being necessary and reasonable is due to the need for follow-up job retention services to maintain satisfactory performance on the job. Price of service is \$1,500.00, which constitutes a lowest cost option. Comparable benefits were not explored due to this being a statewide service.

Answers:

- a. **Prior Authorization:** Case note written on 06/01/2016 for service beginning 07/20/2016
 - b. **Service or Item:** Job Retention and Monthly Reports Time period: 7/20/2016-10/18/2016
 - c. **Necessary and Appropriate:** To maintain satisfactory performance on the job
 - d. **Cost Determination:** \$1500 and fee schedule item
 - e. **Comparable Benefits:** Not necessary due to fee schedule
2. **8/1/2017:** Authorizing a bus pass for the month of August (8/1/17-8/31/17) with Wausau Transit so that Melanie can continue to attend her ITW for the summer at Hardee's. The cost is \$39.00. The vendor is Wausau Transit. This is the least cost option and a planned service. There are no comparable benefits.

Answers:

- a. **Prior Authorization:** Case note written on 08/01/2017 for service beginning same day
 - b. **Service or Item:** Bus pass - time period 8/1/17-8/31/17
 - c. **Necessary and Appropriate:** To travel to and from ITW
 - d. **Cost Determination:** \$39 - cost of bus pass
 - e. **Comparable Benefits:** No comparable benefits
3. **08/31/2016:** This case note is written to document prior authorization to Prevea Audiology for the following services: Signia Pure Carat 7PX Receiver in-the-canal hearing aids – V5261 (Invoice plus 15% = 3,277.50), Medicaid Dispensing Fee –

V5160 (\$542.91), Signia EasyTek Bluetooth Streamer (Invoice plus 15% = 230.00). Dates authorized for this service are 09/01/2016 to 10/31/2016. Rationale for service being necessary and reasonable is that Fiona uses outdated hearing aids, and her new job will require that she hear clearly in loud environments and with background noise. Price of service is \$4,050.41, which is the lowest cost option based on a price quote provided by Prevea Audiology and indicates the allowable 15 percent markup on invoice cost. Comparable benefits were explored, but Fiona's insurance plan will not cover hearing aids.

Answers:

- a. **Prior Authorization:** Case note written on 08/31/2016 for service beginning same day
 - b. **Service or Item:** Hearing aid, Bluetooth streamer, + 15% dispensing fee – time period 09/01/2016-10/31/2016
 - c. **Necessary and Appropriate:** Needed as current hearing aids are outdated, and she is starting a new job with background noise
 - d. **Cost Determination:** \$4,050.41 – Medicaid fee schedule given by Prevea
 - e. **Comparable Benefits:** Insurance was explored, but will not cover
- **Note:** This should be attached in file.

4. *Please note the Fiscal Five in this example, and what, if anything, is missing.*

7/2/18: Authorizing ITW site set up and report for Ellie. The vendor chosen is Valerie Vargas. The cost is \$625 for site set up and report. Transition Coordinator has established a site for Ellie at the public library. Ellie has noted that she would like to try something new to determine a new vocational goal. This VRC agrees that this would be a positive experience for Ellie. Ellie was working at local veterinary clinic (current vocational goal) and was recently let go due to not being able to follow through on giving animals the medicine that was prescribed and not being adequately trained after the expected period of time. The VRC agrees that a paid experience would assist Ellie in obtaining a paid position to add to her resume and with career exploration. This is an item listed on the fee schedule and there are no comparable benefits.

Answer: Missing - **Service Items** (dates of service). The Fiscal Five are as follows:

	Requirement	Answer
1	Prior Authorization documentation:	7/2/18
2	What is the service or item and time period?	Authorizing ITW site set up. <i>MISSING-Time frame of service and start/end dates</i>
3	Why is it necessary and appropriate?	This VRC agrees that a paid experience would benefit Ellie in the long run to assist her in obtaining a paid position for her resume and assist her with career exploration.
4	Cost Determination method	The cost is \$625 for site set up and report. This is an item listed on the fee schedule.

5	Are comparable benefits used if applicable, or why not?	This is an item listed on the fee schedule and there are no comp benefits.
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5. In question 4, what are the potential problems with not listing an end date in the authorization?

Answer: There is the potential that the PO could continue to be updated, and the service would go on. In one year, the job developer may find an ITW site as they still have an active PO, but it is no longer appropriate. *Additional Problems:* The service provider does not think there is a timeframe by which the service must be completed.

6. You would like to write a purchase order for job prep. What two things must you do before you can proceed with the purchase order?

Answer: Put Job Prep in the IPE and write the authorization with the correct fiscal documentation.

7. You have written the following purchase order:

Order Date: 2/5/2018
 Status: In Process
 Keyed By: Caralee Morrison
 Last Approved By:
 Order Begin Date:
 Order End Date:
 Order Review Date:
 Requested By: Morrison, Caralee
 Requestor Phone: (715) 315-0593
 Alert Recipient: Jensen, Lukas
 State Fiscal Year: 2018
 Training Grant:
 Total Order Amount: 950.00
 Remaining Balance: 950.00
 Remaining Units: 1
 Notes for Service Provider Staff:
 Text Limit: 4000 | Text Entered: 0

Purchase Order Lines

Final Invoice Complete:
 Yes: Final Invoice has been approved for the line, no additional invoicing for the line will be allowed. The displayed number(QTY/\$amount) is the total number of units on approved invoices and the total dollar amount paid on invoices for the PO line (Note: If line says Yes or In Process a change order for this line will not be allowed, unless CCP changes INV Complete on the Invoice.)

PO Line	Final Invoice Complete	Quantity	Unit	Price	Total	Remaining Balance	Remaining Units	Description	Status	Action	Receiving Completed	Service Provider Staff
1	No	1	Each	950.00	950.00	950.00	1	Discovery Profile	Not Validated	Receive	No	

[New Line](#) [Receive PO as Ordered](#) [Send Consumer Survey](#) [Print Consumer Survey](#)

Look closely at *Order Date* (the date the PO was written in IRIS), and *Order Begin Date* (The date you want the service to begin): What do you need before you can approve this?

Answer: Prior Authorization Exception - Order Date is 02/05/2018 and Order Begin Date is 02/01/2018. You must write a prior authorization exception and send to your WDA Director or supervisor for approval before approving the purchase order.

8. You are meeting with a new consumer and discuss mileage reimbursements with him; you put the service in the IPE and discuss the fiscal responsibility agreement. You are now writing the authorization. You could write one of two authorizations. Given what you know about the fiscal responsibility agreement and the Fiscal Five, which authorization do you choose to write and why?

- a. **Option 1:** Authorizing mileage to and from the Job Center for job search and to drop off employer applications and interviews for Jeff. Authorization not to exceed \$125 for the month of January.
- b. **Option 2:** Authorizing mileage from January 1, 2018 - January 31, 2018. This is for Jeff to travel to the WRJC once per week and for one additional trip into Wisconsin Rapids and surrounding area per week to drop off applications or attend interviews. This comes to nine trips total for the month of January. Looked up least cost mileage with Jeff in my office (19.7 miles one way). $9 \text{ Trips} \times (19.7 \text{ miles} \times 2) = 354.6 \text{ total miles} \times .352 \text{ mileage reimbursement rate} = \124.82 . Job Center is on far side of town so it is unlikely Jeff will be traveling past WRJC in his job search. The ERL will not exceed \$125 for 9 total trips. Discussed today that Jeff will need to request additional mileage reimbursements before the next month if he would like DVR assistance in paying. No comparable benefits.

Answer: Option 2 - We will pay for the least cost mileage to and from the job center in this case. In the instance that you feel that it needs to be increased if you aren't sure of the employers in the area, you can do that, but it does make clear that you will not be paying for daily trips into town to fill out applications and drop off applications, unless that was previously agreed upon. In Option 1, Jeff could be confused as to the parameters of the mileage form and submit one mileage claim in the month saying that he traveled across the state, where you know his family lives, and dropped off an application at Hardees. ****Note on Option 1:** This is an actual example that happened.

Bonus Questions: Your direct payment authorization says, "Mileage approved for trips to job interviews up to \$125" and the consumer spends \$250. *Answer the following questions.*

1. How would you have this discussion with them?

Answer: Call them to discuss - then you would need to write a denial letter, denying the additional payment with due process rights OR if you felt it was appropriate that they spend above the authorization, write an After the Fact Authorization.

2. What additional things can you do to prevent this?

Answer: Have a conversation and make sure Consumer understands the parameters of the DP, writing clear parameters for what the service is for in the authorization, sign fiscal responsibility agreement, document conversation, and attach in file.

Training Activity: Purchase Order and Activity Codes

True/False: All coding decisions are automated in IRIS.

Answer: False.

True/False: It is best to guess and save time when selecting an Activity Code, CCP will fix it.

Answer: False.

True/False: If a code is unknown you can select "Other".

Answer: False.

Match each term with the correct definition:

A. Activity

F The State Legislature identifies this code to make expenditures and to incur obligations from a specific statutory fund for a specific purpose.

B. FFY Project Code

B This is a fifteen-digit code, the last two digits identifying the FFY funding year.

C. State Fiscal Year

D Code used to report consumer spending by WDA.

D. Department

C The four-digit code that identifies when in the year the service will occur.

E. Account

A Code selected by DVR staff that describes expenditures and services and reported to RSA.

F. Appropriation

E Code selected by DVR staff to identify if a service is reportable or non-reportable to the IRS.

Choose the correct Activity Code and Account Code for each of the following examples:

Good/Service	Activity Code	Account Code
Job Placement and Development	024	Service: 8910000 (5711).
Vocational Evaluation	021	Service: 8910000 (5711).
Vision Assessment (Eye Exam)	041	Service: 8910000 (5712).
Eyeglasses/Contact Lenses	041	Supply: 8800000 (5700-72).
Hearing Evaluation	021	Service: 8910000 (5712).
Hearing Aids	036	Supply: 8800000 (5712).
Hearing Aid Dispensing Fee	036	Service: 8910000 (5711).
Job Shadow (Pre-ETS)	225	Service: 8910000 (5711).
Job Shadow (Assessment)	021	Service: 8910000 (5711).

Training Activity: STAR PeopleSoft Vendor Database

Question: Why does DVR use the STAR PeopleSoft Vendor Database?

Answer: The database is created for consumer purchases.

Question: Can DVR WDA staff facilitate addition/change/inactivation?

Answer: No, only DO staff with DOA can facilitate addition/change/inactivation.

Question: What forms need to be submitted for a new vendor?

Answer: The forms that need to be submitted are:

- DOA-6457: Address Update
- IRS Form W-9

Training Activities: Receiving on a Purchase Order

Question: When receiving on a service/item, the FINANCIAL SPECIALIST/CCC must verify with:

- A. The VR Counselor
- B. The Service Provider
- C. The Consumer
- D. An IRIS Case Note
- E. All of the above, except B

Answer: E: A FINANCIAL SPECIALIST/CCC can verify with a combination of A, C, and D. It is customary practice to use more than one method of verifying.

True/False: It is the FINANCIAL SPECIALIST/CCC's responsibility to ensure the correct report is attached and completed for the service being received on.

TRUE: FINANCIAL SPECIALISTS/CCCs should understand the services and what the requirements are before receiving on them. The [DVR Statewide Fee Structure](#) is a great tool to have on one's desktop to reference when receiving on services. Another helpful reference is the [DVR Forms List](#) (Internal Link), linked to under Resources on the DWD WorkWeb.

Fill in the Blank: *Use the word bank below to fill in the blanks.*

The Center for Consumer Payments (CCP) will send an **Alert** if you have not completed receiving before the invoice is **Received** via an **IRIS** message. Once a FINANCIAL SPECIALIST/CCC receives this alert, they need to complete it **ASAP**, as this could **Delay** payment on an entire invoice. FINANCIAL SPECIALISTS/CCCs can **Organize** their work by using the Orders on Invoice to do list in IRIS.

Question: A service provider is invoicing for 36 hours of Systematic Instruction. The report indicates they provided 30 hours of instruction. What do you do?

- A. Pay the vendor for only 30 hours of Systematic Instruction.
- B. Type up an Invoice Resolution Form (IRF) and send it to CCP and the vendor.
- C. Do nothing except drink your coffee and delete CCP notices.
- D. Reach out to the vendor and ask for a corrected report or to verify.

Answer: B: An IRF should be sent which will indicate to CCP and the vendor that there is a discrepancy. The IRF will give options as to what the problem is and how to resolve.

True/False: To delete or cancel receiving done in error, the FINANCIAL SPECIALIST/CCC can simply delete the line.

FALSE: To delete or cancel receiving, the FINANCIAL SPECIALIST/CCC should go into that same receiving line and use a negative to subtract. For example, if a FINANCIAL SPECIALIST/CCC received on 30 hours, but only 10 were invoiced on, the FINANCIAL SPECIALIST/CCC would go into that line and input -20. This keeps a historical record of what was received on.

Training Activities: WDA Planning and Fiscal Maintenance

Check all strategies listed below that are used in your WDA to complete Fiscal Maintenance:

- Complete a regular (weekly/monthly) review of fiscal work.
- Schedule a team meeting or pair up with staff specifically to review fiscal items.
- Identify a single main point of contact for a vendor with multiple POs or consumers.
- Schedule regular calls or meetings with larger vendors to review outstanding POs.
- When in an IRIS case review all fiscal activity and resolve outstanding issues.
- Use Outlook and other reminders to trigger reviews by specific due date.
- Remind VRCs to notify fiscal staff when services end early, or reports are received.
- Schedule a regular meeting with the VRC to review cases and older POs.

DVR Dashboard Reports: *Use Fiscal Reports? Check all that apply.*

- Activity Cost** displays the case management expenses.
- Vendor Cost** displays the case management expenses relative to the Vendors who received payments from the program, not including Direct Payments.
- Job Development report rolls all job development expenses into a single report.
- Budget/Actual** report is being built from Nova (STAR).
- Unverified Payment** report displays direct payments that have not been verified for processing by Center for Consumer Payments (CCP) staff.
- Purchase Order** reports display open PO balances for open and closed cases. One report shows a WDA/Requestor/Alert Recipient view, and another shows Vendor view.
- Exception** reports show the approved and denied expenditures within a specific set of expense categories.

To Do Lists in IRIS: *Check all that apply. (Internal Links)*

- [To Do List - Change Order](#)
- [To Do List - Direct Payments](#)
- [To Do List - Incomplete Order](#)
- [To Do List - Incomplete Receiving](#)
- [To Do List - Invoices](#)
- [To Do List - Unliquidated Order](#)

Training Activities: Change Orders

Question: Which of the following are non-financial changes?

- a. Order line quantity
- b. Requestor
- c. Alert recipient
- d. End and review dates
- e. All of the above

Answer: B, C, and D: Certain non-financial changes are not sent to STAR PeopleSoft. These changes include requestor, alert recipient, and end and review dates.

True/False: If the vendor has not sent an invoice, should you cancel the purchase order.

FALSE: If the vendor hasn't sent an invoice, contact the vendor to obtain one.

Yes/No: You need to do a change order to a \$10,500 farm equipment purchase order to add a delivery fee of \$100. Is the approval process needed again?

YES: Change orders are subject to the same approval process as an original order consistent with staff delegated authority levels.

Training Activities: Invoices on a Purchase Order

Question: Which of the following are required on an invoice. Check all that apply.

- Vendor name and address
- Vendor contact and telephone/fax numbers
- Invoice date
- Invoice number
- PO number
- Recipient of services – Consumer name
- Dates of services
- Description of goods and/or services received
- Remit to address
- Federal ID# or FEIN
- Unit and dollar breakdown by consumer and invoice total

True/False: Consumer Case Coordinators are allowed to enter invoices.

FALSE: Separation of duties. Field Staff enter Authorizations and POs but only CCP Staff

are allowed to enter invoices.

Question: Field staff have access to information regarding invoices. Where can staff find this information?

Answer:

- Invoice Search under the Fiscal Tab in IRIS.
- Invoice To Do List under the To Do List in IRIS
- Orders on Invoice To Do List in IRIS
- On the PO that has an invoice applied by selecting "More" Under the Invoice - Information on the PO and then selecting the Invoice Number.

Training Activities: Direct Payments to Consumers

Question: What are the three types of payments to consumers? Please define the difference between the three types.

Answer:

1. **Advance:** An Advance is money provided to a consumer up front, with verification documentation submitted after payment. Requires supervisory approval.
2. **Training Grant:** Payment to a consumer for Post-Secondary training considered only after supervisory review and an approved exception.
3. **Reimbursement:** Reimbursement is payment to the consumer after the service/purchase has occurred.

True/False: Training grants issued to consumers are an Advance Payment.

TRUE: Training grants are a form of Advance. The money is provided to the consumer to pay for costs associated with post-secondary training and verification of payment is required for verification purposes.

True/False: Payments can be made to a consumer if there is an unverified Advance Payment that is over 30 days from the date of issue.

FALSE: If a consumer has received an advance payment, the verification must be completed showing the consumer used the money for the intended service within 30 days of issue. Direct payments to consumers are not allowed if verification is over 30 days.

Training Activities: Miscellaneous

True/False: DVR grants advance payments to vendors.

FALSE: DVR does not grant advance payments to vendors. Making such advances to our vendors is not a good business practice, since an advance payment greatly reduces our ability to hold vendors accountable if the goods or services provided are lacking in any way.

Scenario: A vendor calls because they have not received payment for services. After a review of the system, you find that payment has been made with a check number Z125476972.

Question: What does it mean if a check number begins with the letter Z?

- A. The check was paid out of the wrong account.
- B. The check has been intercepted by the Department of Revenue.
- C. The vendor's last name begins with the letter Z.

Answer: B: A check number that begins with the letter Z indicates that the vendor owes delinquent taxes or other monies to the Department of Revenue or other state agencies and has been intercepted by the Department of Revenue. The vendor should contact the Department of Revenue at (608) 266-7879 for further information.

Question: Can you name at least one of the Fiscal Experts in your WDA?

Answer: The DVR Fiscal Experts are a team of staff within DVR. Each WDA has at least one Fiscal Expert that helps the agency improve fiscal processes related to purchasing consumer services and acts as a liaison between CCP and WDA staff. They are ready and willing to answer any questions and provide fiscal guidance!

Please direct all fiscal related questions and problems to the [Fiscal Expert in your WDA](#) who will serve as the first point of contact to answer fiscal process questions. The Fiscal Expert can consult with any Financial Specialist in the CCP Unit or the Program Development Section Chief on any questions if they need assistance.

Question: What are some of the functions that a Fiscal Expert performs?

Answer: (Name a few of the below)

- Provide training within their WDA related to fiscal matters
- Provide and update information related to maintaining purchase orders, receiving, and information on direct payments
- Evaluate current fiscal processes used in their WDA and recommend changes for continuous improvement
- Serve as first point of contact for CCP
- Answer questions and resolve issues related to fiscal matters, including purchase orders and invoices

Question: Under what circumstances would DVR receive a refund?

Answer: A refund may be received for the overpayment of an advance or purchase order.

True/False: Cash is an acceptable payment method.

FALSE: No cash is to be collected from consumers. A tangible financial instrument (personal or business check, money order) that identifies the refund must be present and endorsed by DVR staff with the following statement: *For deposit only, payable to the Department of Workforce Development.*

Question: Name one of the three steps for processing a DVR Refund Check or Money Order.

Answer: (Name one of the below)

1. DVR field office receives a refund check, immediately endorses the instrument and enters a comment on the payment Non-FAO (DVR-18319-P) with the date of receipt, check number and amount on the DP Information. Go under the Fiscal Summary tab in IRIS, and then click on the description of the payment to find the DP information screen which includes the Comment section. If the payment is from a consumer for an outstanding amount owed, the check must be scanned/attached in IRIS and then linked to the direct payment.
2. Using the DVR Refund Check Routing Slip ([DVR-17010-E](#)), field staff complete the form to include the P1 or VV voucher number from the original transaction, the dollar amount and field staff contact information. The P1 or VV number is found on the DP information screen under the Voucher Information tab. The completed form and check are then sent to DWD Bureau of Finance via inter-departmental mail if possible, or through regular mail to the address on the form.
3. DWD Bureau of Finance receives the check and completed form. The cash receipt document is entered STAR PeopleSoft, crediting the original account coding from the payment voucher. Finance also sends an email to the CCP staff person who approved the payment so a comment in IRIS to document the refund can be made. If the payment is for an amount sent for collection, Finance will update the collection balance accordingly.

If DWD Bureau of Finance receives a payment without adequate identification, the payment or an inquiry will be sent to CCP for follow up with field staff, as appropriate. If a refund check is sent to CCP by a vendor or other source, CCP staff will attach the refund payment to a copy of the original payment voucher on file and send these documents to DWD Bureau of Finance.

Scenario: You receive a phone call from a Consumer who is concerned because they have not received their reimbursement check. After reviewing IRIS, you learn the check was dated three weeks ago.

Question: What should you do?

- a. Verify that the check was mailed to the correct address
- b. Email a Stop Payment request to CCP
- c. Notify the consumer
- d. All of the above
- e. Call the Program Development Section Chief

Answer: D. After verifying that the check was mailed to the correct address, email a Stop Payment request to CCP and indicate the following elements:

- Voucher Number (VVxxxxxxxx)
- Voucher Date
- Check Number
- Check Date
- Check Amount
- Payee

After receiving verification that a new check has been issued, please notify the consumer.

Question: Under what circumstances should an Invoice Resolution Form be completed?

- a. There are problems with the invoice
- b. DVR disagrees with the invoice
- c. There may be a delay in processing the invoice
- d. All of the above

Answer: D. Any time there is a problem with an invoice, a delay in processing an invoice or DVR isn't agreeing with the invoice, the Invoice Resolution Form (DVR-14726-E) must be completed. This is written documentation to the vendor and CCP that explains why there is a problem with the payment or why it won't be received within 30 days. This also protects DVR from being subject to prompt payment interest charges.

Question: After completing the Invoice Resolution form, field staff need to complete the following steps:

- a. Send the form to the vendor, and a copy to CCP
- b. Attach a copy of the form in IRIS
- c. Update the authorization to document the dispute
- d. All of the above
- e. None of the above

Answer: D. Field staff should send the form to the vendor, email a copy to the CCP staff working on the invoice, attach a copy of the form to IRIS, and update the Authorization to document the dispute. CCP staff will keep a copy of the [Invoice Resolution Form \(DVR-14726-E\)](#) with the invoice in a folder, will identify the invoice as an invoice resolution, and will void the entry of goods/services.

- Field staff should add an update to the Authorization to document the results of the dispute. If appropriate, receiving should be completed.
- Field staff should email the CCP staff working on the invoice to let them know that the issue was resolved and documented in IRIS, that receiving has been completed, and that the invoice can be approved.
- If the invoice can be cancelled, field staff should send an email to CCP to let them know that the issue was resolved and documented in IRIS, and that the invoice can be cancelled.
- CCP will file a copy of the [Invoice Resolution Form \(DVR-14726-E\)](#) with the invoice regardless of the outcome of the dispute.

Question: If it has been determined necessary and appropriate to purchase subscription services, what type of payment should be used?

Answer: Subscription services should not be paid for through a PO. These payments should be made directly to the consumer, preferably through an ERL. This process will help reinforce the consumer's responsibility for the subscription payment. Additionally, from a vendor perspective, this reinforces that the consumer is the ongoing payee and responsible for the upkeep of the service. This process should be discussed with the consumer early in the case.

Question: Does DVR recover or repossess equipment purchased for consumers?

Answer: No, DVR does not recover or repossess equipment purchased for consumers with Title 1B grant dollars. Regulatory language and an opinion rendered by the Rehabilitation Services Administration (RSA) do not support such recovery or repossessions. Furthermore, DVR incurs liability for the proper tracking, storage, and disposition of any equipment recovered. If a consumer tries to voluntarily return an item, it can be suggested that they donate the item to a charitable organization of their choice.

Question: What should field staff do if they are unable to verify a direct payment to a consumer?

Answer: If you have unverified direct payments after making multiple contacts using multiple methods of contact, DVR will work with DWD Bureau of Finance for collection. The procedures are outlined below:

Send an email to DVR Program Development Section Chief with the following information:

- Consumer's full name
- Consumer's IRIS case number
- Voucher Number (P1VCIxxxxxx)
- Consumer's current address
- Amount of unverified payment
- Summary of collection attempts (dates, methods, results)

The information will be forwarded to the DWD Bureau of Finance. Please note the address must be a current address, as Finance will not research undeliverable addresses. Finance will create and send an invoice to the consumer. The consumer will receive an invoice/collection notice from Finance for three (3) consecutive months, followed by a collection notice. If there is no payment, Finance will submit to Department of Revenue (DOR) for further collection attempts for amounts greater than \$50. Any funds that are collected by DOR (above a 15 percent collection fee) will be transferred to DWD/DVR.

Question: A consumer has enrolled in a certificate program that is non-financial aid eligible at a local technical college. What type of payment should be used for non-financial aid eligible programs?

Answer: For Non-FAO, Private, or Out of State Schools, purchase orders can be issued as soon as the total costs are calculated using related guidance for these programs and indicated on the training grant form. The school will then invoice DVR for payment and payment will **not** be expedited.

True/False: Purchase orders can be issued or changed on closed cases.

TRUE: POs can be created or changed within 365 days after the case has been closed in IRIS. It is not necessary to re-open an IRIS case in order to process an invoice, if that case has been closed less than 365 days.