PART NINE

UTILIZATION CONTROL

GENERAL PROVISIONS

Section Page

Legal Background and Authority for the Utilization

Control Program 9100 9-3

Scope of the UC Quality Review System 9102 9-3

Requirements for Content of Quarterly Showings 9105 9-3

Certification by Director of the Single State

Agency 9105.1 9-4

List of Participating Facilities 9105.2 9-4

Facility Payment Data 9105.3 9-4

Completing Facility Lists 9110 9-5

General 9110.1 9-5

Specific 9110.2 9-6

Reporting a Multiple Building Facility 9110.3 9-9

Reporting Facilities Approved Under the Swing Bed

Provision 9110.4 9-9

Facilities for Which No Reviews Were Performed 9111 9-10

Submission of Quarterly Showings 9115 9-10

Acceptable Reasons for Not Meeting Annual Review

Requirements of the Quarterly Showing 9120 9-11

Good Faith and Due Diligence Exception 9120.1 9-11

Technical Failings Exception 9120.2 9-12

Procedures When a State Claims An Exception Clause 9125 9-13

Recipients in Out-Of-State Facilities 9130 9-13

Recipients in Facilities Without Valid Provider Agreements 9135 9-14

Validation Survey in the State Agency 9140 9-14

Description 9140.1 9-14

Procedures 9140.2 9-15

Conditions for Meeting a 100-Percent Recipient Review 9150 9-15

Review of Medicaid Recipients 9150.1 9-15

Personal Contact 9150.2 9-16

Resident's Medical Record 9150.3 9-16

A Reasonable State System for Identifying Recipients for

Review 9155 9-16

Multiple IOC Reviews 9160 9-17

Acceptable Reasons for Not Meeting Requirements for a

100-Percent Recipients Review 9165 9-17

Entrance and Exit Conferences 9170 9-18

Reductions in Federal Financial Participation 9180 9-18

Computation of Reductions in Federal Financial

Participation 9180.1 9-18

Request for Reconsideration 9180.2 9-20

Retention of UC Penalty Funds 9180.3 9-21

Exhibits 9-23

Rev. 4 9-1

UTILIZATION CONTROL

PHYSICIAN CERTIFICATION/RECERTIFICATION

Section Page

Legal Background 9214 9-35

Certification 9215 9-43

Plan of Care 9216 9-44

Recertification 9220 9-45

Recertification by Physician Assistants and Nurse

Practitioners Under the Supervision of a Physician 9220.1 9-47

SUPERIOR UR SYSTEMS

Submitting Superior UR System Waiver Requests to HCFA 9300 9-49

Utilization Review Features Which Will Not Be Waived 9310 9-49

Content of Initial Waiver Request 9320 9-49

Content of Renewal of Waiver Request 9330 9-51

Decisions and Notifications by HCFA 9340 9-51

Withdrawal of HCFA Approval 9350 9-51

9-2 Rev. 4