

ICE Utilization Management Shared Audit Program

ICE Annual Conference
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Presented by:

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Program Overview




- ▶ Team Purpose
- ▶ Team Scope
- ▶ Team Goals
 - Development and improvement of standardized tools
 - Facilitate communication and collaboration
 - Annual program document review

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The journey so far...



Objective: Consolidate repetitive Health Plan delegation oversight audit processes conducted at contracted Provider Organizations

2007	2008	2009	2010	2011
<ul style="list-style-type: none"> • Held kick-off meeting • Approved charter • Collected HP audit tools 	<ul style="list-style-type: none"> • Reviewed HP audit tools and requirements 	<ul style="list-style-type: none"> • Completed first draft of audit tool and training guide • Completed 2009 NCQA and DMHC crosswalks • Refined audit tool and training guide 	<ul style="list-style-type: none"> • Held bi-weekly meetings • Refined audit tool and training guide • Completed 2010 NCQA and DMHC crosswalks • Developed business rules • Developed bio sheet • Developed UM Committee worksheet 	<ul style="list-style-type: none"> • ICE Leadership approved audit tool and training guide • Completed test pilot audit • Completed 2011 NCQA and DMHC crosswalks • Developed and tested the ICE UM Audit website • Reformatted audit tool from Word to Excel and consolidated audit tool and training guide


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Business Rules

- ▶ Auditing Plan must be NCQA accredited and an active participant on the ICE UM Shared Audit Team and ICE UM Shared Audit Scheduling Teams.
- ▶ Auditing Plan will accept an NCQA Organization Utilization Management Certification in full and audit for standards not covered under the certification (CMS, DMHC, etc.)
- ▶ Auditing Plan will obtain Provider Organization permission to post the audit results.
- ▶ Only annual audits will be posted on the ICE web site.
- ▶ All sections of the shared UM audit tool will be completed. The Auditing Plan will review for standards not included in its contract with the audited Provider Organization.


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Business Rules (cont'd)

- ▶ Auditing Plan will document source of compliance. For policies, comments should include the policy name and policy number.
- ▶ Auditing Plan will document reasons for non or partial compliance and not applicable requirements.
- ▶ Auditing Plan will upload the completed UM shared audit tool within 30 calendar days of conducting the audit.
- ▶ Participating Plan uses UM shared audit tool data according to its own policies and performance thresholds and makes its own independent delegation decision.
- ▶ Participating Plan formulates its own corrective action plans and manages any follow-up audits and correspondence.


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Pre-Audit Preparation

- ▶ Health Plan Demographics
- ▶ Provider Organization Demographics
- ▶ Provider Organization UM and CM Program Information
- ▶ Required Documents for Review

Participation for Health Plans and Provider Organizations is voluntary.



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Standards N/A for Sharing



- ▶ UM 4: Appropriate Professionals, Elements C & D
- ▶ UM 6: Clinical Information, Elements C & D
- ▶ UM 7: Denial Notices, Elements B – G
- ▶ UM 8: Policies for Appeals, Elements B – E
- ▶ UM 9: Appropriate Handling of Appeals
- ▶ UM 10: Evaluation of New Technology
- ▶ UM 11: Emergency Services, Elements B – C
- ▶ UM 13: Procedures for Pharmaceutical Management
- ▶ UM 14: Triage and Referral for Behavioral Health

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Next Steps



- ▶ Establish Scheduling Team
- ▶ Hold Webinar Training Sessions
- ▶ Perform Inter-rater Studies
- ▶ Conduct Pilot Audit
- ▶ Customize Website
- ▶ Launch ICE UM Shared Audit Program



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2012 Webinar Training Part I



- ▶ UM 01: UM Structure
- ▶ UM 02: Clinical Criteria for UM Decisions
- ▶ UM 03: Communication Services
- ▶ UM 04: Appropriate Professionals
- ▶ UM 05: Timeliness of UM Decisions
- ▶ UM 06: Clinical Information
- ▶ UM 07: Denial Notices
- ▶ UM 08: Policies for Appeals
- ▶ UM 11: Satisfaction with the UM Process
- ▶ UM 12: Emergency Services
- ▶ UM 15: Delegation of UM

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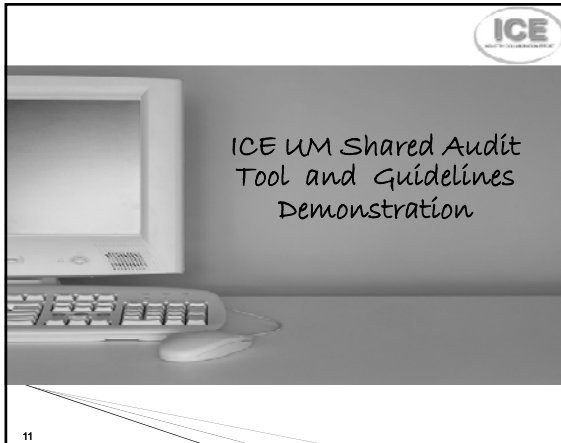
2012 Webinar Training Part II



▶ Additional NCQA QI Standards and Regulatory Requirements

- Complex Case Management
- Transition to Other Care
- Continuity of Care
- Standing Referrals
- Second Opinions
- Language Assistance Program
- HIPAA
- Post-Stabilization
- Non-Coverage of Concurrent Care/Termination of SNF, HHA and CORF Services

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Questions?



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ICE UM Shared Audit Tool:

- ▶ <http://www.iceforhealth.org/library/>
- Select the **Approved Documents**
- Next, select **ICE UM Shared Audit Team**
- Then select the **Tools** folder

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