

INDIANA HEALTH COVERAGE PROGRAMS (Medicaid)

Surveillance and Utilization Review
“SUR”

Indiana Health Coverage Programs (Medicaid)

www.indianamedicaid.com

Health Care Excel on the web: www.HCE.org



SUR Functions

- ▣ *CAR (Claims Analysis and Recovery)*
- ▣ SUR Audits and Related Activities
 - ▣ Coordination with other Entities
 - ▣ Eliminate/Decrease System Vulnerabilities
 - ▣ Overpayment Recovery
 - ▣ Prepayment Review

Provider Audit Selection

 Random

 Rank/Data Analysis

- Control Files
- Algorithms

 Referral



Audit Referrals - Sources



- ☞ Provider and Member Concerns Hotline
(317) 347-4527 or 800-457-4515
 - Providers
 - Members
 - Community at large
- ☞ OMPP, Other Government Agencies
- ☞ Medical Policy/Prior Authorization
- ☞ Law Enforcement Agencies

What Does SUR Audit?

Provider Level

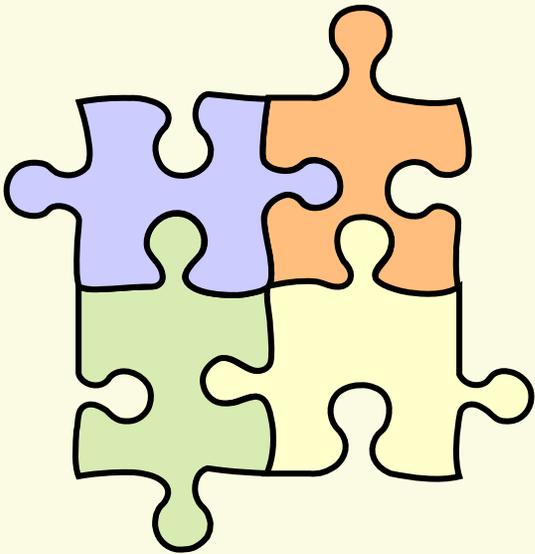
- **Accuracy of Enrollment**
- **Adequacy of Facility/Equipment**
- **Staff Credentials**
- **Eligibility Verification Procedures**

What Does SUR Audit?

Provider – Clinical Perspective

- **Supervision of Staff**
- **Physician or Licensed Therapist Oversight, if applicable**
- **Procedures Communicated to Staff**
- **Record Keeping Procedures**
 - **Service Logs**
 - **Medical Records Process**

What Does SUR Audit?



Claim Level

 *EVERY element of information submitted on the claim must be supported by the medical record documentation + medical necessity.*

What Does SUR Audit?

Claim Level



- **Medical Necessity**
 - **IEP/Treatment Plans**
 - **Frequency of Service**
- **Coding Accuracy**
 - **Diagnoses**
 - **Procedures/Services**

A Few Things SUR Looks For...



Presence of Documentation

Authentication

- all entries in the medical record should be authenticated

Physician or Other Practitioner Orders as needed:

- missing
- not dated / not signed
- PRN orders – discouraged

IEP/Treatment Plan

Correct Modifier Use

- may affect level of reimbursement

A Few More...



Legibility

- if we can't read it, it didn't happen

Missing Documentation

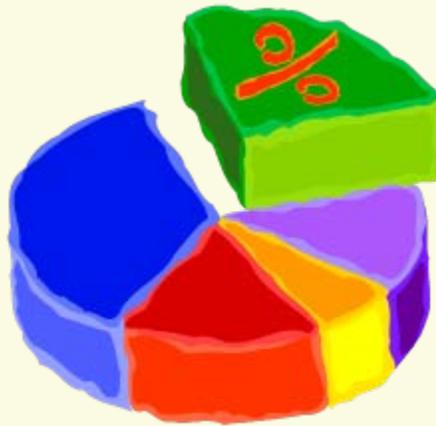
- services not documented/record not found

Units Not Supported

Time not documented

- some codes are partially dependent on approximate amount of time spent to determine appropriate level of code to bill

Claim Selection for Audit



 Claim-by-Claim

 Statistically Valid,
Simple Random
Sample

 Combination

Claim Selection for Audit

Claim-by-Claim

- Claims are manually selected for specific issues
- Overpayment and Interest Assessed for each claim

Statistically Valid, Simple Random Sample

- Extrapolation
- Example
 - Sample 140 claims
 - Universe 6,000 claims
 - Net overpayment \$600
 - $\$600/140 = \4.29
 - $\$4.29 * 6,000 = \$25,740$ plus interest

Questions ?? And Answers!!

