



# Surveillance and Utilization Review Section (SURS)

## Xerox Provider Training



*Fall 2015*

Jennifer Tucker, CPC

SURS Supervisor



# What is SURS?

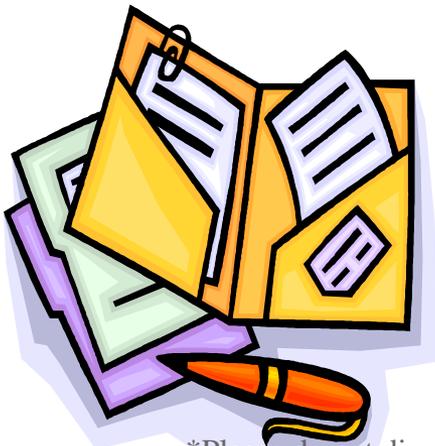
**Surveillance/Utilization Review Section is a federally mandated program [42 CFR, Part 456.3]**

The program maintains a strong commitment to assure that the right provider is receiving the right payment for the right services at the right time. We identify potential fraud, waste and abuse to ensure that State and Federal monies are spent appropriately.



## We accomplish this by:

- performing retrospective reviews
- educating medical providers
- recovering overpayments if indicated



# The Medicaid Processing System

- Claims processing system includes numerous edits
- To identify most billing errors
- It doesn't detect all errors

**REJECTED  
INSURANCE  
CLAIM**

# The Medicaid Processing System

- Some claims are paid in error
  - due to incorrect billing
  - system complications
- ALL paid claims are subject to retrospective review
  - this includes prior authorized claims



# Overpayment Recovery



SURS can recover whether the error is caused by the provider or the Medicaid claims processing system. [ARM 37.85.406 (9) & (10)]



# Referrals

Referrals may come from:

- Program Officers
- Other agencies
- Fraud detection system
- Anywhere!



# Montana Medicaid Website

<http://medicaidprovider.mt.gov/>





Richard Opper, Director

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- Children
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Montana Healthcare Programs Provider Information » Home

### Montana Healthcare Programs

**ICD-10**  
**Coming October 1, 2015!**  
*Are you ready?*

[Provider Enrollment](#)  
New or Existing  
Providers

[MATH Web Portal](#)  
Log in to  
Montana Access to  
Health

# Montana Healthcare Programs Provider Information

Welcome to the Montana Healthcare Programs Provider Information website. While there is a new look to the website, accessing the information remains the same. See the table below for a list of links you may find useful.

**If you are unable to locate a resource you need, please contact Provider Relations at 1.800.624.3958 or 406.442.1837.**

#### Quick Links

Information Source	Description
Announcements	See the Announcements for All Providers and the Drug and Pharmacy News panes below for announcements.  New announcements will be added at the top of these panes.
What's New on the Website	A list of the <a href="#">documents posted to the website for the current month</a> . The list is posted each Friday afternoon.

[FAQs](#)

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[Local Offices of Public Assistance](#)

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**Web Portal Tutorials**

[Web Portal Registration](#)

Medicaid Statistics	Statistics on Medicaid providers, members, and claims from <a href="#">FY2001 to FY2014</a> in PDF format.
Newsletters	The monthly Montana Healthcare Programs newsletter, the <i>Claim Jumper</i> , is published online only.  The newsletter can be accessed at <a href="#">Claim Jumper Newsletters</a> (also in the left menu).
Provider Type	Most of the information on this website is organized by provider type. Each provider type has a page containing resources (fee schedules, provider manuals, provider notices, and other resources) applicable to that provider type. See the <a href="#">Resources by Provider Type</a> link in the menu on the left.
Rebateable Manufacturers	Montana Medicaid reimburses only for drugs that are manufactured by <a href="#">companies that have a signed rebate agreement with CMS</a> . To determine if a manufacturer has signed a rebate agreement, check the first 5 digits of the National Drug Code (NDC) against the list. If there is no match, the drug is not reimbursable.
Vaccines for Children	In addition to the link on the DPHHS website ( <a href="#">Vaccines for Children</a> ), refer to provider notices on your provider type page and articles in <i>Claim Jumper</i> newsletters for information.

## Announcements

### ▼ [Announcements for All Providers](#)

#### Mass Adjustment

A mass adjustment for Method II crossover claims for Critical Access Hospitals has been processed. Please call Xerox Provider Relations at 1.800.624.3958 if you have questions.

#### Upcoming Spring 2015 Training

Planning for the Spring 2015 Provider Training is now underway! DPHHS programs and Xerox will present on-site sessions in Helena, Great Falls, and Kalispell during May. Watch the [Training page](#) for updates.

#### Electronic Funds Transfer (EFT) and Electronic Remittance Advice (ERA) Changes Final Update

Montana Healthcare Programs Provider Information > Select Your Provider Type

Montana Healthcare Programs

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# Select Your Provider Type

Providers are listed in alphabetical order.

[A - C](#)

[D - F](#)

[G - K](#)

[L - O](#)

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## Providers A - C

- 02.11.2015 [Ambulance](#)
- 02.11.2015 [Ambulatory Surgical Center](#)
- 02.11.2015 [Audiologist](#)
- 02.11.2015 [Chemical Dependency](#)
- 02.11.2015 [Chiropractor](#)
- 02.11.2015 [Clinic \(Freestanding Dialysis\)](#)
- 02.11.2015 [Clinic \(Public Health\)](#)

## Providers D - F

Here you can select the provider type you are looking for.

TOP ↴

Montana Healthcare Programs Provider Information > Physician

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[EPSDT](#)

# Physician

▾ [Provider Manuals](#)

[General Information for Providers](#) 11.2014

Medicaid manual with general information for all provider types.

[Physician-Related Services](#) 07.2014

This manual has information specific to your provider type.

[Mental Health Services – Adult](#) 01.2014

This manual has information specific to your provider type.

[Mental Health Services – Children](#) 09.2014

See the CMHB section of the Plans and Publications page on the DPHHS website.

[Passport to Health Provider Guide](#) 09.2013

Everything a provider needs to know to become a successful Passport provider.

[Prescription Drug Program](#) 09.2013

This manual has information specific to your provider type.

▸ [Provider Manuals – Replacement Pages](#)

▸ [Medicaid Rules and Regulations](#)

▸ [Fee Schedules – Physician](#)

▸ [Fee Schedules – 72-Hour Presumptive](#)

▸ [Fee Schedules – ATP Tests and Fees](#)

▸ [Fee Schedules – Medicaid Mental Health](#)

Multiple resources are available on this page



[Claim Instructions](#)

This manual has information specific to your provider type.

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For prescription medication notices, see the [Pharmacy page](#).

**2015**

03.27.2015 [Initial Prescription Fill Requirements for Attention Deficit Hyperactive Disorder Stimulant Drugs](#)

03.25.2015 [EFT for Passport Providers](#)

03.11.2015 [Criteria for Breast Reconstruction](#)

03.11.2015 [Criteria for Prophylactic Mastectomy](#)

02.23.2015 [New Restrictions Added to Hydrocodone-Chlorpheniramine Suspension \(Tussionex®\)](#)

02.11.2015 [New HCPCS Modifiers – XE, XP, XS, and XU](#)

**2014**

12.18.2014 [Electronic Funds Transfer \(EFT\) and Electronic Remittance Advice \(ERA\) Changes Final Notice](#)

12.10.2014 [Primary Care Enhanced Payment Extended](#)

12.01.2014 [Billing and Code Clarification for Individual and Family Therapy on the Same Day](#)

11.24.2014 [DME Order and Prescription Requirements](#)

10.08.2014 [Vaccine Administration Code Update](#)

09.16.2014 [Adoption of the New Children's Mental Health Bureau's Medicaid Provider Manual into Administrative Rules of Montana](#)

08.22.2014 [Tobacco Cessation Products](#)

08.05.2014 [Montana Prescription Drug Registry](#)

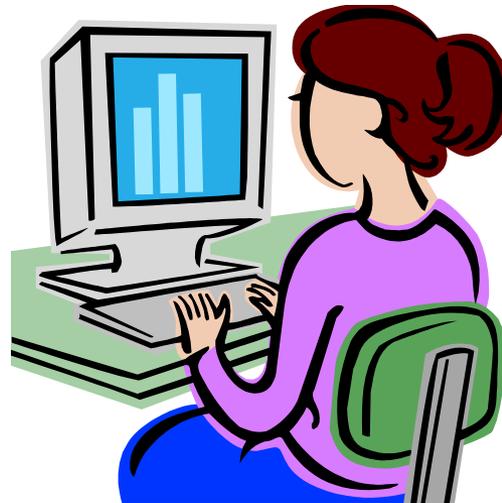
06.25.2014 [Elective Deliveries – Mid-Level Practitioners and Physicians](#)

06.12.2014 [ICD-10 Delay](#)

06.06.2014 [Changes to Prior Approval Requirement for Makena \(Code J1725\)](#)

# Rule/Regulation Materials

- Code of Federal Regulations (CFR)
- Montana Code Annotated (MCA)
- Administrative Rules of Montana (ARM)





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# Montana Code Annotated 2013

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#### Part 1. Medical Assistance -- Medicaid

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- [53-6-110. Report and recommendations on medicaid funding.](#)
- [53-6-111. Department charged with administration and supervision of medical assistance program -- overpayment recovery -- sanctions for fraudulent and abusive activities -- adoption of rules.](#)
- [53-6-112. Department to print and distribute copies of part and certain forms.](#)
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Department: PUBLIC HEALTH AND HUMAN SERVICES



37 : PUBLIC HEALTH AND HUMAN SERVICES



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SECRETARY OF STATE *Brad Johnson*  
**Montana Secretary of State**

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**Using ARM and MAR**

To locate rules that are effective but not yet available online, please review issues of the Montana

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**Administrative Rules of Montana** (updated through June 2008)

**Full Text Search ?**    
 Match words within current rules in Administrative Rules of Montana

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Department: PUBLIC HEALTH AND HUMAN SERVICES



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Secretary of State Linda McCulloch  
*Montana* SECRETARY OF STATE

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## Rule Chapter: 37.85

Chapter Title: GENERAL MEDICAID SERVICES



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Rule No.	Rule Title	Latest Version	Effective Date
<a href="#">Subchapter 1 reserved</a>			
<a href="#">Subchapter 2 Miscellaneous</a>			
<a href="#">37.85.201</a>	SELECTION OF PROVIDER		7/1/1999
Rules 37.85.202 and 37.85.203 reserved			
<a href="#">37.85.204</a>	RECIPIENT REQUIREMENTS, COST SHARING		11/15/2002
<a href="#">37.85.205</a>	RECIPIENT RESTRICTION OF ACCESS TO MEDICAL SERVICES	REP	7/23/2004
<a href="#">37.85.206</a>	SERVICES PROVIDED		1/1/2010
<a href="#">37.85.207</a>	SERVICES NOT PROVIDED BY THE MEDICAID PROGRAM		10/26/2007
Rules 37.85.208 through 37.85.211 reserved			
<a href="#">37.85.212</a>	RESOURCE BASED RELATIVE VALUE SCALE (RBRVS) REIMBURSEMENT FOR SPECIFIED PROVIDER TYPES		7/1/2009
Rules 37.85.213 through 37.85.219 reserved			
<a href="#">37.85.220</a>	INDEPENDENT DIAGNOSTIC TESTING FACILITIES		3/15/2002





**Rule: 37.85.212**

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Rule Title: RESOURCE BASED RELATIVE VALUE SCALE (RBRVS) REIMBURSEMENT FOR SPECIFIED PROVIDER TYPES

Department: [PUBLIC HEALTH AND HUMAN SERVICES](#)  
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Latest version of the adopted rule presented in Administrative Rules of Montana (ARM):

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**37.85.212 RESOURCE BASED RELATIVE VALUE SCALE (RBRVS) REIMBURSEMENT FOR SPECIFIED PROVIDER TYPES**

(1) For purposes of this rule, the following definitions apply:

(a) "Anesthesia units" means time and base units used to compute reimbursement under RBRVS for anesthesia services. Base units are those units as defined by the Medicare program. Time units are 15 minute intervals during which anesthesia is provided.

(b) "Conversion factor" means a dollar amount by which the relative value units, or the base and time units for anesthesia services, are multiplied in order to establish the RBRVS fee for a service. Effective July 1, 2008 there are four conversion factor categories. They are:

(i) physician services, which applies to the following health care professionals listed in (2): physicians, mid-levels, podiatrists, public health clinics, independent diagnostic testing facilities, nutrition providers, QMB and EPSDT chiropractors, and dentists rendering medical procedures. The conversion factor for physician services for state fiscal year 2010 is \$40.09;

(ii) allied services, which applies to the following health care professionals listed in (2): physical therapists, occupational therapists, speech therapists, optometrists, opticians, audiologists, and school-based services. The conversion factor for allied services for state fiscal year 2010 is \$30.39;

(iii) mental health services, which applies to the following health care professionals listed in (2): psychologists, licensed clinical social workers, and licensed professional counselors. The conversion factor for mental health services for state fiscal year 2010 is \$24.26; and

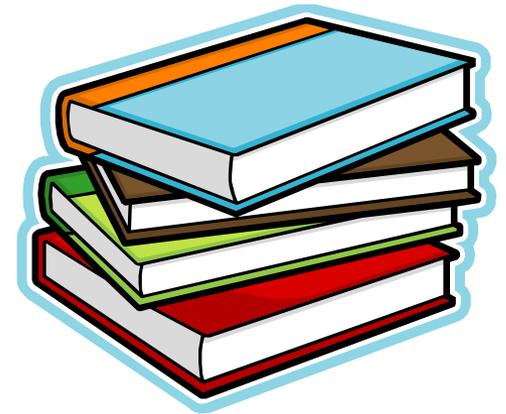
(iv) anesthesia services, which applies to anesthesia services. The conversion factor for



# Coding Reference Materials

## Some coding reference materials

- CPT and CPT Assistant
- HCPCS
- ICD-9-CM
- ICD-10-CM
- ICD-10-PCS
- CDT
- DSM
- Publications or training specific to your specialty. >



**“If it isn’t documented, it didn’t happen.”**



Maintain records which demonstrate the extent, nature and medical necessity of services provided. [[ARM 37.85.414](#)]

DOCUMENT!

DOCUMENT!

DOCUMENT!



# Record Keeping Tips

- Retain medical records for six years and three months from the date of service.
- Documentation must specify treatment start and end times when the service is time based.  
[37.85.414(1)(b)]



# Record Keeping Tips

- Records cannot be altered and must reflect the services provided. If a record needs to be corrected, a provider should...
  - Cross out with a single line
  - Write correct information
  - Date and initial the correction



# Record Keeping Tips

- Providers must have a contingency plan to ensure the availability of documentation in the event of a loss of medical records.

[ARM 37.85.414]

- Providers must obtain **written** authorization from the Department for any variation from the usual billing practice.

[ARM 37.85.412 and 37.85.413]



# Provider Responsibility

It is the *responsibility of the provider* to be knowledgeable about sections of the Administrative Rules that relate to their provider type, provider policies, and covered services.

In addition, providers are encouraged to ensure their employees are not listed on the federal exclusion databases.

Special Advisory <http://oig.hhs.gov/exclusions/advisories.asp>

- **DOLI** (<http://app.mt.gov/lookup/index.html>)
- **LEIE** (<http://exclusions.oig.hhs.gov/>)
- **SAM** (<https://www.sam.gov>)





# Professional Licensing

Montana Department of Labor & Industry eServices

Record Keeping Tips



[Register for an Account](#) | [Reports \(2\)](#) | [Login](#)

NOTE: This website is periodically updated and this page may look slightly different than the information you were provided.

For instructions to register for a new account, renew your license, or print your license [click here](#).

- Home
- Professional & Occupational Licensing
- Health Care Licensing

Renewal - please login to renew your license  
Application for Licensure - please register for an account  
Licensee Lookup - registration is not required, see link below

Your E-Pass information (License and Pin Number) will not work when trying to login to this service.

The recommended internet browser for this site is **Internet Explorer 9**. Using other browsers or versions may cause functionality issues with this site depending on the browser and browser version.

### Login Here

User Name:

Password:

Login »

Remember me on this computer





[Register for an Account](#) | [Reports \(2\)](#) | [Login](#)

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**Login Here**

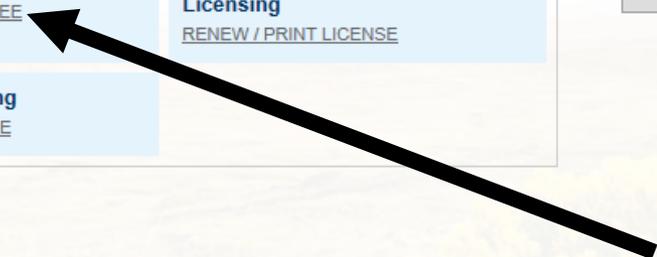
User Name:

Password:

Remember me on this computer

[I've forgotten my password.](#)  
 New Users: [Register for an Account](#)

<p><b>Licensee Lookup</b>  <a href="#">SEARCH FOR A LICENSEE</a></p>	<p><b>Professional &amp; Occupational Licensing</b>  <a href="#">RENEW / PRINT LICENSE</a></p>
<p><b>Health Care Licensing</b>  <a href="#">RENEW / PRINT LICENSE</a></p>	



For instructions to register for a new account, renew your license, or print your license [click here](#).

**Search for Licensee**

Enter information below to search for Licensees in the State's database. Licensee information can be searched by entering any of the following information:

- Name
- Business Name
- License Number
- City/State

[Instructions](#)

[Search Tips](#)

**ATTENTION:**

As of August 1, 2013, the Plumber and Electrical Apprentice license look-up information is being managed by the Montana Registered Apprenticeship and Training Program.

To access apprentice license look-up information please go to:

<https://jobs.mt.gov/jobs/apprenticeshipSearch.seek>

**Search for Licensee** Search for Licensee ▾

Licensing Board:  License Type:

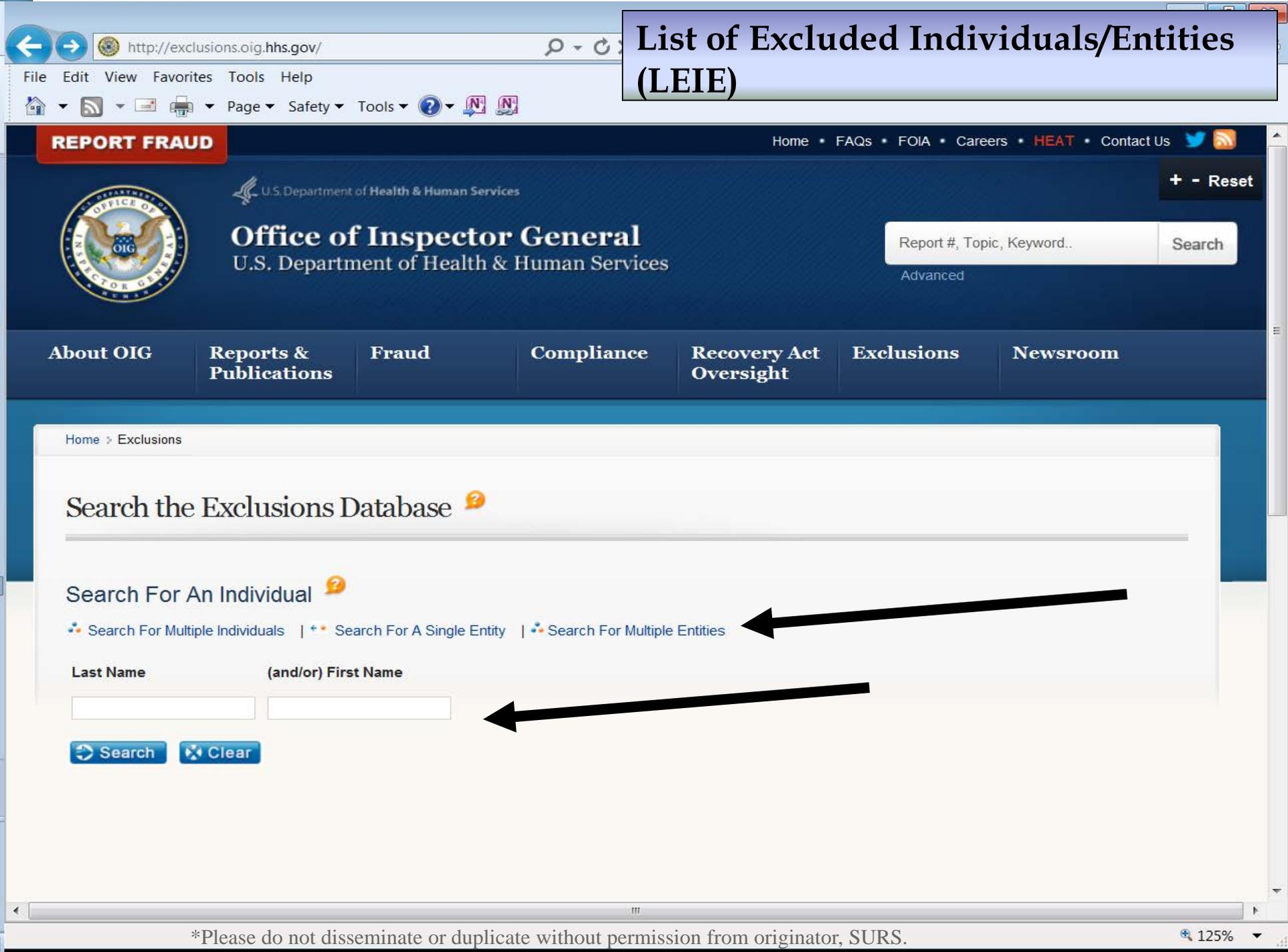
State License Number:  ?

First Name:  Middle Initial:  Last Name:

Business Name:

City:  State:  Zip:

# List of Excluded Individuals/Entities (LEIE)



REPORT FRAUD

Home • FAQs • FOIA • Careers • HEAT • Contact Us



U.S. Department of Health & Human Services

Office of Inspector General  
U.S. Department of Health & Human Services

Report #, Topic, Keyword..

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Exclusions

Newsroom

Home > Exclusions

## Search the Exclusions Database

### Search For An Individual

Search For Multiple Individuals |  Search For A Single Entity |  Search For Multiple Entities

Last Name

(and/or) First Name

Search

Clear

# System for Award Management (SAM)

[Create an Account](#)

HOME

SEARCH RECORDS

DATA ACCESS

GENERAL INFO

HELP

## CREATE USER ACCOUNT

Your CCR username will not work in SAM. You will need a new SAM User Account to register or update your entity records. You will also need to create a SAM User Account if you are a government official and need to create Exclusions or search for FOUO information.

[Create User Account](#)

## REGISTER/UPDATE ENTITY

You can register your Entity (business, individual, or government agency) to do business with the Federal Government. If you are interested in registering or updating your Entity, you must first create a user account.

[Register/Update Entity](#)

## SEARCH RECORDS

All entity records from CCR/FedReg and ORCA and exclusion records from EPLS, active or expired, were moved to SAM. You can search these records and new ones created in SAM. If you are a government user logged in with your SAM user account, you will automatically have access to FOUO information.

[Search Records](#)

## WHAT IS SAM?

[Need Help?](#)

The **System for Award Management (SAM)** is a **Federal Government owned and operated** free web site that consolidates the capabilities in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes.

## NEWS AND ANNOUNCEMENTS

### SAM Management Moves to GSA FAS and CIO

Click on General Info and go to the News and Announcements section for the full story.

Can I use my CCR username in SAM?  
Click [HERE](#) to find answers to this and other top questions.

## USER GUIDES/HELPFUL HINTS

Additional information, such as a full User Guide, Quick Start Guides, Helpful Hints, and Webinars are available on the HELP tab.

### Service Desk

URL: <http://www.FSD.gov>

## FORMER CCR REGISTRANTS

If you had an active record in CCR, you have an active record in SAM. You do not need to do anything in SAM at this time, unless a change in your business circumstances requires updates to your Entity record(s) in order for you to be paid or to receive an award or you need to renew your Entity(s) prior to its expiration. SAM will send notifications to the registered user via email 60, 30, and 15 days prior to expiration of the Entity. To update or renew your Entity records(s) in SAM you will need to create a SAM User Account and link it to your migrated Entity records. You do not need a user account to search for registered entities in SAM by typing

## Search Records

You can enter a DUNS number, CAGE code or Business Name to search for the entities that you are interested in reviewing. The top search bar allows you to enter any search term. You can also enter exclusion search terms to search for exclusion records. If you want to search for only a CAGE code or a DUNS number you can use the bottom two search bars. Once a search has returned results, use the filters provided to narrow results.

Government employees must create a SAM user account with their government email address. Log in before searching in order to see FOUO information and those registrants who selected to opt out of the public search.

You can only use one search bar at a time

(Example of search term includes the entity's name, etc.)

DUNS Number Search:

CAGE Code Search:

SEARCH

Need Help?

# Health Care Fraud Prevention and Enforcement Action Team (HEAT) Provider Compliance Training

[http://oig.hhs.gov/newsroom/video/2011/heat\\_modules.asp](http://oig.hhs.gov/newsroom/video/2011/heat_modules.asp)

- Understanding Program Exclusions
- Importance of Documentation



**REPORT FRAUD**



# Office of Inspector General

U.S. Department of Health & Human Services

Advanced

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- Reports & Publications
- Fraud
- Compliance
- Recovery Act Oversight
- Exclusions
- Newsroom

Home > Compliance > HEAT Provider Compliance Training

## HEAT Provider Compliance Training Videos

### Videos and Audio Podcasts

This page contains videos and audio podcasts that are part of the award-winning Health Care Fraud Prevention and Enforcement Action Team (HEAT) Provider Compliance Training initiative. We hope you'll take a look at these educational presentations designed to help prevent fraud, waste, and abuse.

These videos are available in [audio-only format](#).



#### A Toolkit for Health Care Boards

Lewis Morris, Chief Counsel to the Inspector General, provides tips for health care boards to promote quality of care and embrace compliance with the law.

[Handout: A Toolkit for Health Care Boards](#)

**I'm looking for**

Let's start by choosing a topic

- [What's New](#)
- [News Releases](#)
- [New Media](#)
- [Spotlight Articles](#)
- [Testimony & Speeches](#)
- [Video](#)





Handout: A Toolkit for Health Care Boards



Inspector General Introduces Compliance Training Videos and Audio Podcasts



How to Use the Exclusions Database



How to Report Fraud to the OIG

**EXCLUSIONS DATABASE**

+ - Reset

**REPORT FRAUD**



OIG's Self Disclosure Protocol



Importance of Documentation



Tips for Implementing an Effective Compliance Program

Stay Connected

- Twitter
- Podcasts
- YouTube
- Email Updates
- Widgets
- RSS Feeds

Get Email Updates



Stay up to date on the latest OIG news and opinions

Enter Email Address

Subscribe



Compliance Program Basics



OIG Guidance



Physician Self-Referral Law



+ - Reset

The videos are hosted on YouTube.com and embedded on OIG's web pages. If YouTube.com is blocked on your computer, any content embedded on our site will not be accessible. Please contact your IT department to remove the YouTube restriction and view these videos.

## Webcast Modules

On this page you will find 16 modules from the HEAT Provider Compliance Training Webcast.



For more information and downloadable presentation material, visit the [Webcast page](#).

- ❖ Welcome Remarks 4:37
- ❖ Overview of OIG 9:56
- ❖ Navigating the Fraud and Abuse Laws 26:26
- ❖ Compliance Program Basics 17:01
- ❖ Operating an Effective Compliance Program 15:59
- ❖ Understanding Program Exclusions 10:26
- ❖ Navigating the Government 5:10
- ❖ Overview of Centers for Medicare and Medicaid Services 34:24
- ❖ Importance of Documentation 17:06
- ❖ OIG Subpoenas Audits Surveys and Self Disclosure Protocol 17:42
- ❖ Health Care Fraud Enforcement Panel 6:08
- ❖ Health Care Fraud Enforcement Panel with CMS Deputy Admin 13:43
- ❖ Health Care Fraud Enforcement Panel with Special Agent 15:10
- ❖ Health Care Fraud Enforcement Panel with Asst. US Attorney 17:08
- ❖ Health Care Fraud Enforcement Panel - Fraud Control Unit 11:15
- ❖ Adjournment 0:59



# HIPAA

- American Recovery & Reinvestment Act has many changes for HIPAA [45 CFR, Part 160-164]
  - [http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=111\\_cong\\_bills&docid=f:h1enr.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=111_cong_bills&docid=f:h1enr.pdf)
- CMS Website for HIPAA info
  - <http://www.cms.gov/HIPAAGenInfo/>
- Office for Civil Rights Website
  - <http://www.hhs.gov/ocr/privacy/index.html>

James Oster  
HIPAA Program Officer  
DPHHS Quality Assurance Division

1-800-645-8408 **Hotline**

PO Box 202960  
Helena, MT 59620-2960



# RAC

## Recovery Audit Contract (RAC):

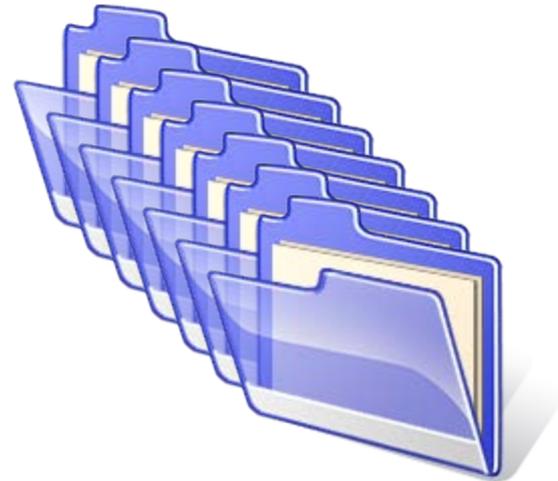
- Instituted by the Affordable Care Act (ACA) to help identify and recover overpayments and to identify underpayment. Montana contracted with Health Management Systems (HMS) as of December 15, 2012.
  - Audit request information will be sent from HMS on behalf of the State of Montana Medicaid.
  - Mike Murry, [MMurry2@mt.gov](mailto:MMurry2@mt.gov) or (406) 444-4168



# What are we doing?

Our unit is consistently working on several projects:

- Team Audits
- Self Audits
- Individual Audits
- New Provider Audits
- Data Audits



# The progression of an audit...

1. Audit idea
2. Collection of data
3. Initial contact with provider
4. Records request letter
5. Records review
6. Overpayment letter
7. Administrative Review
8. Additional records or information review
9. Administrative Review determination
10. Fair Hearing
11. Fair Hearing determination
12. Overpayment
13. Closure



# Top 5 issues within audits ...

1. Incomplete documentation/Incomplete or missing orders.
2. Missing dates and signatures on notes or DME delivery confirmation.
3. Missing time in and out or full amount of time spent on time based codes.
4. Up-coding/Overcharging for items without a fee.
5. Identifying information on documentation.



# SURS Staff

Jennifer Tucker, CPC, SURS Supervisor

- 9 Program Integrity Auditors
  - Licensed Health Care Professionals
  - Certified Professional Coders
  - Certified Program Integrity Professionals
  - Licensed Practical Nurse

assigned to multiple provider types and specialties



# Contact Information

## SURS Supervisor

### » **Jennifer Tucker, CPC**

- DPHHS Quality Assurance  
Division

SURS Unit

2401 Colonial Drive

PO Box 202953

Helena, MT 59620

[jtucker2@mt.gov](mailto:jtucker2@mt.gov)

406-444-4586



# Questions?

