



Provider Handbook 2020

TABLE OF CONTENTS

SECTION 1: INTRODUCTION	4
1.1 WELCOME TO UMPQUA HEALTH ALLIANCE	4
1.2 WHAT IS A COORDINATED CARE ORGANIZATION?	4
1.3 WHAT IS THE OREGON HEALTH PLAN?	4
SECTION 2: KEY CONTACTS	5
SECTION 3: GLOSSARY OF TERMS	6
SECTION 4: PROVIDER SERVICES	11
4.1 CREDENTIALING	11
4.2 LOCUM TENENS	12
4.3 TAXPAYER IDENTIFICATION NUMBERS (TIN)	12
4.4 CALL SHARE	12
4.4.1 CALL SHARE WITH NON-PARTICIPATING PROVIDERS	13
4.5 PRIMARY CARE PROVIDERS (PCP)	13
4.5.1 RESPONSIBILITIES	13
4.5.2 SECOND OPINION	13
4.5.3 REFERRAL TO SPECIALIST	13
4.5.4 SPECIALISTS AS PCPS	14
4.5.5 PCP SELECTION PROCESS	14
4.6 AVAILABILITY	14
4.7 MISSED APPOINTMENTS	15
4.8 MEMBER TRANSFER	16
4.9 TERMINATION OF PROVIDER'S PANEL PARTICIPATION	17
4.10 BILLING MEMBERS	17
SECTION 5: MEDICAL MANAGEMENT	18
5.1 UTILIZATION MANAGEMENT (PRIOR AUTHORIZATION)	18
5.2 MEDICAL PRIOR AUTHORIZATION GRID	18
5.3 PHARMACY FORMULARY AND UTILIZATION MANAGEMENT	18
5.4 CASE MANAGEMENT	19
5.4.1 INTENSIVE CARE COORDINATION (ICC)	20
5.5 QUALITY ASSURANCE PROGRAM	20
5.6 WAIVERS FOR NON-COVERED SERVICES	20
5.7 MEMBER COMMUNICATION AND LANGUAGE SERVICES	21
5.8 HOSPITAL SERVICES	21
5.9 NOT AVAILABLE LOCALLY	22
5.10 URGENT CARE	22
5.11 EMERGENCY CARE SERVICES	22
5.11.1 OUT-OF-AREA EMERGENCIES	22
5.11.2 AFTER HOURS/EMERGENCY PHARMACY OVERRIDES	23
5.12 BEHAVIORAL HEALTH SERVICES	23
5.13 CHEMICAL DEPENDENCY / SUBSTANCE USE	25
5.13.1 A & D RESIDENTIAL SERVICES	26
SECTION 6: FILING CLAIMS	27
6.1 BILLING & CLAIMS	27
6.2 TIMELY FILING GUIDELINES	28
6.3 PAPER CLAIMS	28
6.4 ELECTRONIC CLAIMS	29
6.5 PHARMACY CLAIMS	30
6.6 DENTAL CLAIMS	30
6.7 PLACE OF SERVICE CODES	30
6.8 COORDINATION OF BENEFITS	30
6.9 ELIGIBILITY VERIFICATION	31
6.10 CLAIMS PAYMENT AND REFUND REQUESTS	31
6.11 DENIALS AND PROVIDER CLAIM APPEALS	32
6.12 CLAIMS ANALYSIS	34
SECTION 7: BENEFITS & SERVICES	35
7.1 OREGON HEALTH PLAN BENEFITS	35
7.2 PRIORITIZED LIST OF HEALTH SERVICES	35
7.2.1 NON-FUNDED TREATMENT PAIRS	36
7.3 COORDINATION OF BENEFITS	36
7.4 UMPQUA HEALTH ALLIANCE SUMMARY OF BENEFITS	36
7.5 PRENATAL/MATERNITY BENEFITS & CASE MANAGEMENT FEES	37

7.6	PREVENTIVE COVERED SERVICES	37
7.7	VACCINATIONS	37
7.8	WOMEN'S HEALTH SERVICES	38
7.9	FAMILY PLANNING BENEFITS	38
7.10	STERILIZATION	38
7.10.1	HYSTERECTOMY	39
7.12	VISION	40
7.13	HEARING	40
7.14	DURABLE MEDICAL EQUIPMENT (DME) & SUPPLIES	40
7.15	EMERGENCY AND NON-EMERGENCY MEDICAL TRANSPORT	42
7.16	DENTAL SERVICES	42
7.17	COMMUNITY HEALTH CARE SERVICES	43
7.17.1	BENEFITS AT COMMUNITY HEALTH CLINICS	43
7.17.2	PUBLIC HEALTH NETWORK	43
7.18	INTERNAL REVIEW PROCEDURES	43
7.19	RETROACTIVE REVIEW	43
7.20	REFUND REQUESTS	44
SECTION 8: MEMBERS		45
8.1	MEMBER RESPONSIBILITIES	45
8.2	MEMBER RIGHTS	45
8.3	MEMBER MATERIALS	46
8.4	ACCESS FOR SPECIAL NEEDS MEMBERS	46
8.5	ACCESS TO CARE STANDARDS	47
8.6	PATIENT ADVOCACY	47
8.7	MEMBER GRIEVANCES & APPEALS	47
8.8	APPLICABILITY OF STATE AND FEDERAL LAWS	48
8.9	RESTRAINT & SECLUSION IN DELIVERY OF HEALTH CARE	48
SECTION 9: DOCUMENTATION		49
9.1	MEDICAL RECORD DOCUMENTATION POLICIES	49
9.2	DECLARATION FOR MENTAL HEALTH TREATMENT	49
9.3	ADVANCE DIRECTIVES (LIVING WILLS)	50
9.4	NOTICE OF PRIVACY PRACTICES AND HIPAA	50
9.5	CHANGE OF INFORMATION	50
SECTION 10: COMPLIANCE		51
10.1	CODE OF CONDUCT AND ETHICS	51
10.2	COMPLIANCE PROGRAM AND FRAUD, WASTE, AND ABUSE PREVENTION PLAN HANDBOOK AND POLICIES AND PROCEDURES	51
10.3	FRAUD, WASTE AND ABUSE	51
10.4	TRAINING	53
10.5	PROHIBITION OF EXCLUDED INDIVIDUALS	54
10.6	COOPERATION WITH COMPLIANCE ACTIVITIES	54
10.7	REPORTING CONCERNS	55

Section 1: INTRODUCTION

1.1 Welcome to Umpqua Health Alliance

Umpqua Health Alliance (often called “UHA”) is owned and operated by Umpqua Health, LLC and is the coordinated care organization for most of Douglas County, Oregon.

1.2 What is a Coordinated Care Organization?

A Coordinated Care Organization (CCO) is a network of Providers that coordinate the physical (medical), behavioral, and dental health care services of Medicaid or Oregon Health Plan (OHP) Members within their communities. The goal of CCOs is to meet the “Triple Aim” of better health, better care and lower costs for the populations they serve. CCOs are focused on prevention and helping people manage chronic conditions. This helps reduce unnecessary hospitalizations, emergency room visits and, and diagnostic testing and gives people support to be healthy. UHA works closely with local Providers to achieve these goals.

1.3 What is the Oregon Health Plan?

The Oregon Health Plan or OHP is the Medicaid program in Oregon. Medicaid is a health care program that is paid for by federal and state dollars, to provide eligible, low-income Oregonians’ basic health care services through programs administered by the Oregon Health Authority (OHA).

OHP covers medically necessary and appropriate including but not limited to: doctor visits, prescriptions, hospital stays, dental care, mental and behavioral health services, and help with addiction to tobacco, alcohol and drugs. OHP can provide hearing aids, wigs, medical equipment, home health care, and transportation to health care appointments.

- Doctor visits
- Primary care
- Lab and x-ray
- Prescription drugs
- Pregnancy care
- Hospital visits
- Medical equipment
- Dental cleanings
- Mental health care
- Some vision services

Additional services such as assistance with transportation and non-billable services and supplies may also be covered by UHA in some circumstances.

Section 2: KEY CONTACTS

If you are unsure of which department to direct your call, please call UHA at 541.229.4UHA (4842) to be directed to the appropriate department.

UMPQUA HEALTH ALLIANCE		UMPQUA HEALTH NETWORK, LLC	
Member Services	Medical & Case Management	Corporate Office	Provider Network; Provider Relations & Credentialing
Ph: 541.229.4842 Fx: 541.677.6038 <i>UHA Member Services</i> 500 SE Cass Ave, Ste 101 Roseburg, OR 97470	Ph: 541.229.4842 Fx: 541.677.5881 <i>UHA Clinical Engagement</i> 500 SE Cass Ave, Ste 200 Roseburg, OR 97470	Ph: 541.464.4300 Fx: 541. 440.6306 3031 NE Stephens St Roseburg, OR 97470	Ph: 541.464.6299 Secure Fax: 541.229.4782 3031 NE Stephens St Roseburg, OR 97470
<ul style="list-style-type: none"> Benefit and eligibility information on your patients PCP changes DCO changes Provide/replace Member ID cards 	<ul style="list-style-type: none"> Case management Intensive Care Coordination Member Grievance and Appeals Pharmacy Utilization management Referral and Prior Authorizations Clinical Advisory Panel 	<ul style="list-style-type: none"> Executive Team Legal Finance 	<ul style="list-style-type: none"> Initial credentialing (new Providers) and re-credentialing Credentialing Committee Delegated credentialing Provider credentialing rights Provider changes, updates (i.e., address, practice location, terming practice, etc.) Change in Professional Liability Coverage
Claims			
Ph: 541.229.4842 Fx: 541.677.6038 Ph Tech Attn: UHA Claims PO Box 5308 Salem, OR 97304 UHAClaims@umpquahealth.com			
<ul style="list-style-type: none"> Claims inquiries, First level payment reconsiderations, billing issues, payment methodology inquiries 			
Compliance	Quality Improvement	Human Resources	Provider Network; Contracting
Ph: 541.229.7035 Fx: 541.229.9982 3031 NE Stephens St Roseburg, OR 97470 Email: Compliance@umpquahealth.com	Ph: 541.464.6270 Fx: 541.440.6306 3031 NE Stephens St Roseburg, OR 97470	Ph: 541.464.6274 Fx: 541.229.4785 3031 NE Stephens St Roseburg, OR 97470	Ph: 541.229.7019 Fx: 541.440.6306 3031 NE Stephens St Roseburg, OR 97470
Compliance & FWA Hotline (can report anonymously) <ul style="list-style-type: none"> Phone: 844.348.4702 Online: www.umpquahealth.ethicspoint.com 	<ul style="list-style-type: none"> CCO quality metrics Medicare STAR rating Quality improvement 		<ul style="list-style-type: none"> Contractual questions regarding terms of contract Ph: 541.957.3094
			<ul style="list-style-type: none"> Contracting new Providers Out of state DMAP enrollment

Section 3: GLOSSARY OF TERMS

A

Abuse: Provider practices that are inconsistent with sound fiscal, business, or medical practices and result in an unnecessary cost to Umpqua Health or in reimbursement for services that are not medically necessary or that fail to meet professionally recognized standards for health care. It also includes recipient practices that result in unnecessary cost to Umpqua Health.

Access: Ability to obtain medical services.

Americans with Disabilities Act (ADA): Prohibits discrimination against people with disabilities in employment, transportation, public accommodation, and communications. The ADA also establishes requirements for TTY relay services.

Adjudication: Processing a claim through a series of edits to determine proper payment.

Ancillary Services: Covered services necessary for diagnosis and treatment of Members. Includes, but is not limited to, ambulance, ambulatory or day surgery, durable medical equipment, imaging service, laboratory, pharmacy, physical or occupational therapy, urgent or emergency care, and other covered service customarily deemed ancillary to the care furnished by primary care or Specialist providers. For the OHPs, ancillary services are those medical services not identified in the definition of a condition/treatment pair under the OHP Benefit Package, but are medically appropriate to support a service

covered under the OHP Benefit Package. A list of ancillary services and limitations are identified in OAR-410-141-0520, Prioritized List of Health Services.

Appeal: A request for review of an Action that a Member disagrees with.

Assessment: The determination of a Member's need for Covered Services. It involves collection and evaluation of data pertinent to the Member's history and current problem(s) obtained through interview, observation and record review.

B

Beneficiary: A person who has health care insurance through the Medicare or Medicaid programs.

Benefit Package: Specific services covered by the OHP, OAR 410-141-0480 and OAR 410-120-1210 including diagnostic services that are necessary and reasonable to diagnose the presenting condition, regardless of whether or not the final diagnosis is covered.

C

Call Share: The Providers on whom a Practitioner relies for backup coverage during times he/she is unavailable.

Case Management Services: Specialized coordination of care services provided by UHA and its Providers for severe or complex health care problems or for care not available locally.

CCO (Coordinated Care Organization): A local health plan that manages your health services. All CCOs have a network of health

care providers, such as doctors, nurses, counselors and more.

Chemical Dependency: The addictive relationship with a drug or alcohol characterized by either a physical and/or psychological relationship that interferes with the individual's social, psychological, or physical adjustment to common problems on a recurring basis. For purposes of this definition, chemical dependency does not include addiction to or dependency of tobacco, tobacco products, or foods.

Claim: A request for payment that you submit to Medicare or other health insurance plan when you get items and services that you think are covered.

Clinical Advisory Panel (CAP): A committee comprised of physical, behavioral and oral health providers charged with assuring best clinical practices and conducting quality improvement activities for UHA.

CMS 1500 Form: A federal agency with the Department of Health & Human Services (DHS) responsible for Medicare and Medicaid programs.

COB (Coordination of Benefits): A method of determining who has primary responsibility when there is more than one payer available to pay benefits for the same medical claim.

Complaint/Appeal: A Member or Provider's expression of dissatisfaction and identified as a complaint to be addressed by UHA. Complaints must address issues that are part of UHA's contractual responsibility.

Condition/Treatment Pair:

Conditions described in the International Classification of Diseases, 10th Revision, Clinical Modification (ICD-10-CM) (ICD-10-CM) and treatments described in the Current Procedural Terminology (CPT®) and Healthcare Common Procedure Coding System (HCPCS) which, when paired by the HERC, constitute the line items in the Prioritized List of Health Services. Condition / Treatment Pairs may contain many diagnoses and treatments. The Condition / Treatment Pairs are listed in OAR 410-141-0520, Prioritized List of Health Services.

Credentialing: A process of screening, selecting and continuously evaluating individuals who provide independent patient care services based on their licensure, education, training, experience, competence, health status, and judgment.

D

Denied Claims: A denied claim is a claim that has been received and processed. An explanation of benefits (EOB) is sent to the Provider indicating the reason for denial.

Department of Human Services

(DHS): Oregon's principal agency for helping Oregonians achieve wellbeing and independence through state funded assistance programs.

Diagnostic Services: Those services required to diagnose a condition, including but not limited to, radiology, ultrasound, other diagnostic imaging, EKGs, laboratory, pathology, examinations, and physician or other professional diagnostic/evaluative services.

Disenrollment: The formal leaving of a managed care plan or other health coverage program; the termination of a Member or group's Membership in a health plan.

DME (Durable Medical

Equipment): Crutches, wheelchairs, hospital beds, or other therapeutic equipment which stand repeated use, are medically necessary and are not merely for comfort or convenience of the Member or Provider. The equipment must be related to the covered medical condition of the Member.

E

Emergent/Emergency: a medical condition manifesting itself by acute symptoms of sufficient severity (including severe pain) such that a prudent layperson, who possesses an average knowledge of health and medicine could reasonably expect the absence of immediate medical attention to result in:

- (a) Placing their health or the health of an unborn child in serious jeopardy;
- (b) Serious impairment of bodily functions; or
- (c) Serious dysfunction of any bodily organ or part. "Immediate medical attention" is defined as medical attention which could not be delayed by 24 hours.

Enrollment: The process of enrolling Members in a health plan.

EOB (Explanation of Benefits):

A form included with a reimbursement check from UHA that explains benefits paid and/or charges that were denied.

F

Fee-for-Service (FFS): A

reimbursement system in which a Provider bills UHA for each service after the service has been provided.

Formulary: List of approved prescription medications. Also called a drug list.

Fraud: An intentional deception or misrepresentation made by a person with the knowledge that the deception could result in some unauthorized benefit to him or some other person. It includes any act that constitutes fraud under applicable federal or state law.

G

Global Fee: A single fee that is billed and paid for all necessary services normally furnished by the Provider before, during and after a procedure.

Grievance: A written complaint submitted by, or on behalf of, a Member regarding any matter other than an Action, such as: the availability, delivery, or quality of healthcare services; utilization review decisions; claims payment, handling or reimbursement for health care services; or the contractual relationship between a Member and an insurer.

H

HERC (Health Evidence Review Commission): Reviews clinical evidence in order to guide the Oregon Health Authority in making benefit-related decisions for its health plans. Its main products are the Prioritized List of Health Services, used by the legislature to guide funding decisions for the Oregon Health Plan.

HIPAA (Health Insurance Portability and Accountability Act): The “Standard for Privacy of Individually Identifiable Health Information (also called the “Privacy Rule”)” of HIPPA assures your health information is properly protected while allowing the flow of health information needed to provide and promote high quality health care and to protect the public’s health and well-being.

Hospice: A healthcare service that provides supportive care for the terminally ill. Hospice care involves a team-oriented approach that addresses the coordinated care of the Member. Hospice also provides support to the Member’s family or caregiver.

I

In-network: Providers, including hospitals, pharmacies that have agreed to provide Members of certain insurance plan with services or supplies at a contracted rate. In some insurance places, Member care is only covered if it is received from an in-network Provider.

L

Living Will: A written, legal document, also called a “medical” or “advance directive” that shows what type of treatment a Member wants in case they can’t speak for

themselves. This document usually only comes into effect if they’re unconscious.

M

Managed Care: A system of care where a company contracts with the Oregon Health Authority to provide care under guidelines for Members assigned to manage the cost, quality, and access of care. It is characterized by a contracted panel of physicians and/or Providers; use of a primary care practitioner; limitations on benefits provided by non-contracted physicians and/or Providers; and a referral authorization system for obtaining care from someone other than the primary care practitioner.

Medicaid: The joint federal and state program for some U.S. citizens with low-income and limited resources.

Medically Appropriate: Health care services or supplies needed to prevent, diagnose, or treat an illness, injury, condition, disease, or its symptoms and that meet accepted standards of medicine.

Medicare: A federal health insurance program for people who are 65 or older, certain younger people with disabilities, and people with End-Stage Renal Disease.

Member: A person entitled to receive benefits under a policy or contract issued, arranged, or administered by UHA.

N

Non-Covered Services: Health care services or items for which Members are not entitled to receive from UHA according to the Plan Benefit as outlined in the Oregon Health Plan (OHP) Benefit

Contract. Services may be covered under OHA, but not covered under OHP. Non-covered services for the OHP are identified in OAR 410-120-1200 (excluded services and limitations), or in the individual OHA Provider Guides.

Non-Participating Provider: A Provider who has not signed a contract with UHA.

O

Open Card Member: A person found eligible by DHS division to receive services under the OHP. The individual may or may not be enrolled with UHA.

Oregon Health Authority (OHA): A division of the Department of Human Resources responsible for the administration for the Federal/State Medicaid Program and the Oregon Health Plan Medicaid Demonstration Project (OHP).

Oregon Health Plan (OHP): The Medicaid demonstration project which expands Medicaid eligibility to low income residents and to children and pregnant women up to 185% of the federal poverty level. The OHP relies substantially upon prioritization of health services and managed care to achieve the public policy objectives of access, cost containment, efficacy, and cost effectiveness in the allocation of health resources.

Out-of-Area: Any area that is outside the UHA - Douglas County service area.

Out-of-Network Provider: A Provider who is not contracted with UHA as a part of the panel.

P

Participating Provider: A Provider who has signed a contract with UHA.

Preventive Care: An approach to healthcare emphasizing preventive measures, such as routine physical exams, diagnostic tests (e.g., PAP tests) and immunizations.

Preventive Services: Health care to prevent illness or detect illness at an early stage, when treatment is likely to work best (e.g., pap tests, flu shots, and screening mammograms).

Primary Care Provider (PCP): A Provider selected by a Member who shall have the responsibility of providing initial and primary care and for referring, supervising, and coordinating the provision of all other covered services to the Member. A PCP may be a family provider, general practitioner, internist, pediatrician, or other practitioner or nurse practitioner who has otherwise limited their practice of medicine to general practice or a Specialist who has agreed to be designated as a primary care practitioner. Managed care plans require that each enrollee be assigned to a PCP who functions as a gatekeeper.

Primary Hospital: The hospital who has signed a contract with UHA to provide covered hospital services for its Member. Capitation payment may be the method of reimbursement for the hospital.

Prior Authorization (PA): An approval process prior to the provision of services, usually requested by the Provider for procedures, admissions or services before the services are provided.

Factors determining authorization may be eligibility, benefits of a specific plan, or setting of care.

Provider Panel: Participating Providers contracted with a Plan to provide services or supplies to Members.

Q

Quality Assurance Program: A program and process that is carried out by UHA and contracted Providers to monitor maintain and improve the quality of services provided to Members.

Quality Improvement (QI): A continuous process that identifies problems in healthcare delivery, tests solutions to those problems, and monitors the solutions for improvement. A process that assures that health care received by Members meets accepted community standards of care.

R

Referral: A written order from a Provider to see a Specialist or get certain medical supplies or services. If a referral is not acquired, the health insurance plan may not pay for the service.

Representative: A person who can make OHP related decisions for OHP Members who are not able to make such decisions themselves. A representative may, in the following order of priority, be a person who is designated as the OHP Client's health care representative, a court appointed guardian, a spouse or other family Member designated by the OHP Member. The Individual Service Plan Team (for develop behaviorally disabled Members), or a DHS case manager designated by the OHP client.

Risk: A possibility that revenues of the insurer will not sufficiently cover expenditures incurred in the delivery of contractual services.

S

Service Area: The geographic area covered by the health insurance plan where direct services are provided (Douglas County). A Plan may disenroll Member if they move out of the health insurance plan's service area.

Subcontractor: Any individual, entity, facility, or organization, other than a participating Provider, that has entered into a Subcontract with the Contractor or with any Subcontractor for any portion of the Work under the Contract.

Supplier: Any company, person, or agency that gives you a medical item or service, except when the Member is in a hospital or skilled nursing facility.

T

Third Party Administrator (TPA): An independent person or corporate entity that administers group benefits, claims, and administration for a self-insured group or insurance company. A TPA does not underwrite risk.

Third Party Resource (TPR): A medical or financial resource that under law is available and applicable to pay for medical services and items for a medical assistance client.

Triage: The classification of sick or injured persons, according to severity, in order to direct care and ensure efficient use of medical and nursing staff and facilities.

TTY (TeleTYpewriter): A special device which connects to a standard telephone used for people who are deaf, hard of hearing, or have speech loss to communicate with a hearing person.

U

Urgent: A medical disorder that could become an emergency if not diagnosed or treated in a timely manner; that delay is likely to result in prolonged temporary impairment; and that unwarranted prolongation of treatment increases the risk of treatment by the need for more complex or hazardous treatment or the risk of development of chronic illness or inordinate physical or psychological suffering by the patient. An urgent admission is defined as one which could not have been delayed for a period of 72 hours.

Utilization: The extent to which the Members of a covered group use a program over a stated time, specifically measured as a percentage determined by dividing the number of covered individuals who submitted one or more claims by the total number of procedures of a particular healthcare benefit plan.

Utilization Review: The review of health care services for medical necessity, efficacy, quality of care, and cost-effectiveness.

Utilization Management: A set of techniques used to manage the cost of health care before its provision by influencing patient-care decision making through case-by-case assessments of the appropriateness of care based on accepted dental practices.

W

Waste: Overutilization or inappropriate utilization of services and misuse of resources, and typically is not criminal or intentional.

Section 4: PROVIDER SERVICES

4.1 Credentialing

Umpqua Health Alliance (UHA) is committed to continuously improving the quality of patient care and serving the community in an efficient and cost-effective manner. Providers are initially credentialed and subsequently re-credentialed according to Umpqua Health Network's Credentialing Policies and Procedures, which utilize the National Committee for Quality Assurance (NCQA) standards and guidelines. Re-credentialing shall take place at least every three (3) years. Completion for the credentialing process and approval by the Credentialing Committee is required prior to providing care for UHA Members. Temporary participation as a Provider may be granted on a case-by-case basis by the Chairman of the Credentialing Committee or Designee. The credentialing process must be completed for all eligible providers. Temporary participation will not exceed 90 days. The Provider will be reviewed at the next Credentialing Committee meeting.

UHA requires the following to be submitted and verified as part of the credentialing process:

- Current version of the Oregon Practitioner Credentialing Application (OPCA) (for initial/new credentialing) and the Oregon Practitioner Recredentialing Application (OPRA) (for re-credentialing) approved by the Advisory Committee on Physician Credentialing Information (ACPCI). The application must be complete in order for the credentialing process to begin, this includes the completed Attestation questions, Authorization and Release of Information form and required additional documents. Additionally, per UHA's policy, CR3 that is recognized by the State, the following is also a process that must meet approval prior to any contracts executed: High Risk: Medicare and Medicaid designates a "high" risk category according to section 42 CFR §424.518(c)(1) when a Provider is newly enrolling. A Provider designated "high" risk must meet limited and moderate risk screening requirements. Criminal background check must be conducted and submission of fingerprint set required based on risk of Fraud, Waste, and Abuse in accordance with 42 CFR §455.434. A Provider who has received suspension, sanction, or exclusion from a State or Federal program within the previous 10 years. Should a Provider not obtain the proper background verifications based on the below requirements of the credentialing UHA will not honor their contract.
 - DMAP Medicaid number
 - CMS Medicare number
 - Electronic Medical Records (EMR)
- Attest to annual training requirements:
 - Cultural Competency Training
 - Americans with Disabilities Act (ADA)
- All state licenses – Oregon license must be current and unrestricted
- Hospitals admitting privileges or hospital admit plan if you do not have admitting privileges at a participating hospital
- 24 Hour Provider Call Coverage
- Professional Liability Insurance with minimum limits of \$1 million/\$3 million
- Malpractice Claims History
- Education, Professional degree(s) and training program(s) completion, including ECFMG
- Board Certification (not required for participation)
- DEA certificate with current practice location
- Work History
- National Practitioners Data Bank (NPDB) Report
- Peer References
- Excluded Provider Search
- Proof of background checks
- Seclusion and Restraint attestation form
- Additional information may be requested during the credentialing process

4.2 Locum Tenens

A Locum Tenens arrangement is made when a participating Provider must leave their practice temporarily due to illness, vacation, leave of absence, or any other reasons. Locum Tenens is a temporary replacement for that Provider, usually for a specified amount of time. Locum Tenens should possess the same professional credentials, certifications, and privileges as the practitioner he or she is replacing.

When a participating Provider requires coverage by a Locum Tenens Provider, the practice should notify Provider Services of the arrangements. If the Locum Tenens Provider will be covering for more than 60 days, the Locum Tenens Provider is required to be credentialed and your office should email Provider Services at UHNProviderServices@umpquahealth.com.

4.2.1 Locum Tenens Provider Agreement

Locum Tenens Providers shall agree to accept UHA payments for participating Providers and not bill the Member for balances other than co-payments:

- Use participating Providers and contracted facilities when available
- Follow UHA's referral and PA procedures

4.3 Taxpayer Identification Numbers (TIN)

If you have a change in your tax identification number (TIN), you are required to notify Provider Services immediately. To ensure accurate IRS reporting, your tax ID number must match the business name you report to the federal government.

When you notify us of a change to your tax identification number, please follow these steps:

- If you do not have a current version of the IRS W9 form, you may download directly from the IRS website at <https://www.irs.gov/forms-pubs/about-form-w-9> or [Click here](#).
- Complete and sign the W9 form, following instructions exactly as outlined on the form. Include an effective date
- On a separate sheet of paper, tell us the date you want the new number to become effective (when UHA should begin using the new number).
- Send the completed form with the effective date by fax to 541.440.6306, email UHNProviderServices@umpquahealth.com or mail:

Umpqua Health Network
Provider Services
3031 NE Stephens St
Roseburg, OR 97470

4.4 Call Share

Participating Providers will establish call share arrangements with other participating Providers when they are unavailable. In such situations, the call share Provider may bill the health insurance plans for the services provided to the Member. If changes are made in call share arrangements, please notify the Credentialing Specialist at 541.464.6299.

Answering service messages must include:

- Name and telephone number of the on-call Provider along with instructions on how to contact that Provider.
- A disclaimer that if the Member presents to the emergency room without contacting the on-call Provider, payment by the health insurance plan may be denied.

Answering service messages should contain:

- Office hours.
- When the office is closed (e.g., vacation, holiday) and when it will re-open.
- When and how often the office checks their messages.

- The telephone number to call the PCP, call-share Provider or answering service.
- Different contact and/or phone number(s) for after-hours and weekends.

IMPORTANT NOTE: A tape-recorded telephone message instructing Members to present to or call a hospital emergency room is not sufficient for 24-hour coverage.

4.4.1 Call Share with Non-Participating Providers

In some cases, it is necessary for a participating Provider to call share with a non-participating Provider. It is the responsibility of the participating Provider to provide the following information to all non-participating Providers. Non-participating call-share Providers shall be fully credentialed by UHA prior to seeing UHA Members. UHA reserves the right to deny non-participating call share status to any Provider whose credentials do not meet UHA's requirements. Non-participating call share Providers shall agree to accept UHA payment for participating Providers as payment in full and agree not to bill the Member for balances other than co-payment. Non-participating call share Providers shall agree to use only participating hospitals and facilities for UHA Members unless services are not available. Non-participating call share Providers shall agree to follow UHA's referral and PA requirements.

4.5 Primary Care Providers (PCP)

4.5.1 Responsibilities

When a Provider chooses to be designated as a Primary Care Provider (PCP) under the OHP, they agree to provide and coordinate health care services for UHA Members. The PCP will provide, or facilitate referrals to Specialists to provide for the complete healthcare needs of the Member. PCPs are expected to abide by UHA's health plan policy MS1 – Member Assignment and Reassignment Policy. PCP responsibilities include:

- Being the Manager of the Member's Care.
- Providing all primary preventive healthcare services except for a yearly gynecological exam for which the Member may choose to seek services from a participating women's healthcare Specialist.
- When specialized care is medically necessary, facilitating a referral to a Specialist or specialty facility.
- Contacting UHA to obtain a referral or PA to a Specialist (if required).
- Monitoring the Member's condition and arrange appropriate care when notified of an out-of-area emergency that will require follow-up or has resulted in an in-patient admission.
- Coordinating care and share appropriate medical information with UHA as well as with a Specialist to whom they refer their Members.
- Documenting in a prominent place in their Member's records whether or not an individual has executed an Advance Directive.
- Filling out and attaching the Sterilization and Hysterectomy Consent Form to the claim when submitting claims for their UHA Members.
- Per HIPAA Privacy rule – Providers are responsible for safeguarding their Members' personal health information (PHI). Disclosure of any PHI is limited to the minimum necessary and a disclosure form is required prior to any release of PHI.

4.5.2 Second Opinion

UHA provides for Members to obtain a second opinion at no cost. If a Member wants a second opinion about their treatment options, they can ask their PCP to refer them for another opinion. If the Member wants to see a Provider outside UHA's network, they or their Provider can contact UHA Clinical Engagement to request a prior authorization.

4.5.3 Referral to Specialist

In cases where referrals to Specialists are required to adequately address the medical needs of the Member, the PCP will refer the Member's care to the Specialist when appropriate. Out-of-network Specialists will require Plan authorization. In-network Specialists do not (except as noted in the Prior Authorization grid published on UHA website).

In order for those services to be eligible for reimbursement by UHA, the PCP must complete a Prior Authorization (PA). The Specialist should verify that an authorization has been approved. It is not the responsibility of the Member to obtain an authorization number from their PCP before receiving services from a Specialist. The Specialist and PCP together are responsible for completion of the authorization process.

Contracted Specialists have the responsibility to:

- Treat Members within the scope of their practice
- Coordinate and share appropriate medical information with the Member, the Member's PCP, and UHA

4.5.4 Specialists as PCPs

A Specialist may consider being a PCP for an established Member if the Specialist is willing to assume all of the responsibilities of a PCP for that Member. Examples of this include an OB becoming the PCP for their pregnant Member and an Oncologist becoming the PCP for their Member during the Member's cancer treatment program.

4.5.5 PCP Selection Process

Members may choose their Primary Care Provider (PCP) based on the past history with the Provider, or from the listing of available PCPs in their area. Members must select a PCP at the time of enrollment in UHA. PCPs are listed in the Provider Directory that also lists participating Providers who specialize in internal medicine, family practice, and pediatrics. Each individual family Member may choose the same family PCP or a different PCP.

PCPs receive a weekly report of all Members who have selected them as their PCP. PCPs can also generate a list of their eligible Members at any given time.

4.6 Availability

Participating Providers agree to accept new Members unless their practice has closed to new Members of any health plan. Providers must not close their practices to only Members of health plans they deem undesirable. Please notify Provider Services by email at UHNProviderServices@umpquahealth.com when your practice is closed to new Members and when it re-opens.

Participating Providers agree to provide 24 hours a day, 7 days a week coverage for UHA Members in a culturally competent manner and in a manner consistent with professionally recognized standards of healthcare. The Provider or their designated covering Provider will be available on a 24-hour basis to provide care personally or to direct Members to getting the most appropriate action for treatment. All telephone contact with Members shall be recorded and entered into the Member's medical record.

4.6.1 Provider Availability Requirements

UHA's Providers shall meet the following availability standards for appointment wait times.

- a. Primary Care Providers ("PCPs") are required to meet the following availability standards:
 - i. Timeframe for Urgent Appointments – Within 72 hours (OAR 410-141-3220(8)(b)).
 - ii. Timeframe for Routine Appointments – Within four weeks (OAR 410-141-3220(8)(c)).
 - iii. Timeframe for follow up visit following an ER visit or post hospital discharge – Within 72 hours (OAR 410-141-3220(8)(a)).
- b. Specialists are required to meet the following availability standards.
 - i. Timeframe for Urgent Appointments – Within 72 hours (OAR 410-141-3220(8)(b)).
 - ii. Timeframe for Routine Appointments – Within four weeks (OAR 410-141-3220(8)(c)).
- c. Dental Care Providers are required to meet the following availability standards:
 - i. Timeframe for Emergent Oral Care – Within 1 business day (OAR 410-141-3220(8)(d)).
 - ii. Timeframe for Urgent Oral Care – Within one to two weeks (OAR 410-141-3220(8)(e)).
 - iii. Timeframe for Routine Oral Care:

- A. Within an average of 8 weeks (OAR 410-141-3220(8)(f)); and
- B. Within no longer than 12 weeks (OAR 410-141-3220(8)(f)).
- d. Behavioral Health Providers are required to meet the following availability standard:
 - i. Non-urgent Behavioral Health Appointments – Within 2 weeks from the date of request (OAR 410-141-3200(8)(g)).

4.6.2 Provider Access Requirements

UHA shall ensure that its network is meeting the following time and distance access standards.

- a. UHA's in-network PCPs are required to meet the following time and distance standards for at least 90% of UHA's Members.
 - i. Travel time for Member to PCP: 30 minutes urban/60 minutes rural (OAR 410-141-3220(4)(a)); or
 - ii. Distance for Member to PCP: 30 miles urban/60 miles rural (OAR 410-141-3220(4)(b)).
- b. UHA's in-network Specialists are required to meet the following time and distance standards, which are based on the proposed specialties and standards for Qualified Health Plans in Oregon in 2018.
 - i. Dental – within 60 minutes or 60 miles of Member.
 - ii. Endocrinology – within 60 minutes or 60 miles of Member.
 - iii. Gynecology (OB/GYN) – within 60 minutes or 60 miles of Member.
 - iv. Infectious Diseases – within 60 minutes or 60 miles of Member.
 - v. Oncology (Medical/Surgical) – within 60 minutes or 60 miles of Member.
 - vi. Oncology (Radiation/Radiology) – within 60 minutes or 60 miles of Member.
 - vii. Mental Health – within 60 minutes or 60 miles of Member.
 - viii. Pediatrics – within 60 minutes or 60 miles of Member.
 - ix. Cardiology – within 60 minutes or 60 miles of Member.
 - x. Rheumatology – within 60 minutes or 60 miles of Member.
 - xi. Hospitals - within 60 minutes or 60 miles of Member.
 - xii. Outpatient Dialysis – within 60 minutes or 60 miles of Member.
 - xiii. Inpatient Psychiatric Facility Services – within 60 minutes or 60 miles of Member.

4.6.3 Access and Cultural Considerations

UHA promotes delivery of health equity for all its Members ensuring they reach their full health potential and well-being and are not disadvantaged by their race, ethnicity, language, disability, gender, gender identity, sexual orientation, social class, intersections among these communities or identities, or other socially determined circumstances. UHA requires its Providers to uphold delivery of services in a culturally competent manner to all Members (diverse cultural and ethnic backgrounds, disabilities, and regardless of gender, sexual orientation or gender identity), including those with limited English proficiency. UHA requires its Providers to complete annual cultural responsiveness and implicit bias training and education by providing trainings consisting of, but not limited to: the use of culturally and linguistically appropriate services (CLAS) standards, implicit bias training addressing structural barriers and systemic structures of oppression, language access, adverse childhood experiences/trauma informed care practices that are culturally responsive and address historical trauma, the use of REAL+D to advance health equity, universal access and accessibility in addition to compliance with the American Disabilities Act (ADA), and health literacy (PN6 – Provider Orientation and Training).

4.7 Missed Appointments

Providers requesting Member disenrollment due to Members missing their appointments, must abide by the health plan policy MS1 – Member Assignment and Reassignment Policy. If the Provider should experience any problems with Members who fail to show for appointments, this information should be relayed to UHA Member Services. UHA will authorize a request for reassignment for frequent missed appointment only if the following has occurred:

- a. Member was given a copy of the Provider's policy at intake.
- b. The policy allows no less than four missed appointments over a six-month period.

- c. The Provider has made documented attempts to remind the Member of upcoming appointments.
- d. The Provider has attempted to reduce barriers (e.g., transportation needs).
- e. The Provider has previously reached out to UHA's Member Services Department regarding the Member, requesting a care coordination referral to assist with Member engagement.

Upon receipt of the request, UHA's Member Services Department will render a decision within five business days on whether the request has been approved. Member Services will also inform the Contracting Department of any potential reassignment requests that do not align with this policy. The Contracting Department will then contact the Provider for remediation strategies. OHP Members cannot be billed for missed appointments.

Coordination of Reassignment

1. Once a request for reassignment has been approved, Providers are expected to assist in the coordination of care process.
2. Upon approval of reassignment, the Provider office must inform the Member by mail of the reassignment within two business days of approval.
3. Content of the letter to the Member should include:
 - a. Reason for reassignment, if appropriate.
 - b. Timeline for reassignment.
 - i. If possible and safe to do so, Providers should attempt to provide a 30-day or more transition period.
 1. In certain situations, a longer transition may be warranted if it is feasible and safe to do so.
 2. Shorter transitions may be necessary specifically in situations where safety is a concern (e.g., immediate reassignment).
 - ii. Provider availability during the transition, such as being willing to see the Member during the transition timeframe for routine and/or urgent appointments.
 - c. Prescriptions.
 - i. If Member is currently using prescription prescribed by the Provider, a dialogue of future refills (if applicable) is needed during the transition.
 - d. Referrals, labs, and/or imaging studies follow up.
 - i. If Member currently has open referrals, labs, imaging studies, etc. that were referred by the Provider, the letter must discuss the process for follow up of these services during the transition period.
 - e. Name, address, and phone number for new Provider (if known).
 - f. Language that Member's medical records will be available for ten years.

If there are any barriers during the transition process, Providers should contact UHA's Member Services and/or Care Coordination team for assistance.

4.8 Member Transfer

At the occurrence of any one of the following events, UHA Member Services will reach out to the Member and/or family and offer a PCP or new PCP:

- Member newly assigned to UHA.
- Member newly re-enrolled to UHA.
- Member requests change in existing PCP.
- Provider leaves town, retires or passes away.
- Provider chooses to relinquish all of their UHA assigned Members.

UHA's Chief Medical Officer has the authority to recommend reassigning any individual Members or an entire family under the following circumstances:

- One or more Member access to care issues with current PCP have been identified.
- One or more Member access to Medically Appropriate care issues have been identified.
- Provider or clinic utilizes Member applications or screening processes.

UHA will notify the PCP in writing of a reported concern of one or more of the circumstances above. Providers will have 30 days upon notification by UHA to remedy the situation prior to Member reassignment.

Providers requesting Member disenrollment must abide by the health plan policy MS1 – Member Assignment and Reassignment Policy.

4.9 Termination of Provider's Panel Participation

A participating Provider who chooses to terminate their Umpqua Health Network Provider Services Agreement without cause, is required to provide an effective date at least ninety (90) days after a written Notice of Termination is given to Umpqua Health Network.

4.10 Billing Members

Participating Providers are expected to seek compensation solely from Umpqua Health, and not Umpqua Health's Members, including situations where Umpqua Health denies a claim. This includes complying with requirements established by OAR-141-3395. Furthermore, participating Providers are prohibited from billing a Member, sending a Member's bill to a collection agency, or maintaining civil actions against a Member to collect money owed by Umpqua Health for which the Member is not liable for (OAR 410-141-3395(5)). This provision does not prohibit the participating Providers from collecting deductibles, copayments, coinsurance, or for health services not covered by Umpqua Health as long as a valid DMAP 3165 form is signed by the Member, prior to the service, as required by OAR 410-141-3395(6), OAR 410-120-1280, OAR 410-141-0420.

Section 5: MEDICAL MANAGEMENT

5.1 Utilization Management (Prior Authorization)

A request for services is required in order to determine, prior to delivery of care, if the requested service is part of the benefit plan and it meets the OHP coverage criteria. Prior Authorization (PA) requests will be addressed in a timely manner. Routine requests should be received by Umpqua Health Alliance (UHA) at least two (2) weeks before a planned service is scheduled. This allows time for UHA to process the PA and review pertinent medical information critical to the decision making process. A copy of the Member's chart notes, lab and/or x-ray tests, and any other pertinent facts should accompany the original request.

To submit PA requests electronically, you will need to contact UHNProviderServices@umpquahealth.com to request a CIM Access Request Form. Once you've received a login and password from PH Tech, you can login to CIM at <https://cim1.phtech.com/mcrweb/>.

PA forms also are available for download on the UHA website at www.umpquahealth.com or [Click here](#). Supporting documentation is required and PA forms are to be completely filled out. Submitting an accurate form will expedite the PA process.

General PA requests and referrals will be reviewed by UHA Clinical Engagement and the Provider will be notified. The Standard timeline is fourteen (14) calendar days, Expedited timeline is seventy-two (72) hours. If a general PA request is "Expedited" (e.g., Members' loss of life or limb without prompt treatment), the Provider will be notified of the Medical Review Committee's decision within seventy-two (72) hours.

Prior Authorization Success Tips

- Complete information submitted with the prior authorizations (PA) request; upload chart notes in CIM or include with the faxed request.
- Avoid phone calls to UHA Clinical Engagement inquiring about the determination prior to 7 days.
- Use "Expedited" status only in the appropriate situations (i.e., loss of life or limb without prompt treatment.)
- Avoid scheduling tests prior to receiving the PA approval from UHA.
- Avoid sending a request for reconsideration that does not include new information.

A PA does not guarantee benefits. The actual claim may be rejected for reasons such as the care provided differs from the care that was pre-authorized. Payment for care that has been pre-authorized will not be denied on the basis of medical necessity unless critical information was not given at the time of authorization (i.e., Member was given an experimental or investigational treatment that was not clearly stated in the authorization process.) If the Member has lost eligibility, the claim will not be paid regardless of PA.

5.2 Medical Prior Authorization Grid

UHA medication and procedure guidelines are approved by the Clinical Advisory Panel (CAP). Providers can view the most updated UHA Prior Authorization Grid in more detail by visiting the UHA website at www.umpquahealth.com or [Click here](#).

5.3 Pharmacy Formulary and Utilization Management

The UHA Formulary is a list of covered drugs selected by the UHA Pharmacy and Therapeutics (P&T) Committee to treat medical conditions that are covered by the Oregon Health Plan. Formulary decisions are based on critical review of the available scientific evidence for efficacy, safety, outcomes, cost-effectiveness, value, the OHP Prioritized List of Health. The UHA Formulary does not contain Mental Health drugs which are covered directly by OHA. The UHA Formulary can be on the UHA website at www.umpquahealth.com. Starting no later than January 1, 2020, Prior Authorization criteria

will also be posted to the UHA website. The UHA formulary and prior authorization criteria are updated periodically throughout the year, and formulary updates are posted to the website prior to the effective date.

In general, the following are not covered:

- Brand medications when a generic equivalent exists, except select “narrow therapeutic index” drugs;
- Drugs not listed in the formulary (non-formulary exceptions may be granted through the prior authorization process);
- Drugs used for non-medically accepted indications;
- Drugs when used to treat conditions that are not covered by the OHP, such as fibromyalgia, allergic rhinitis, fungal infections of the skin and nails and chronic pain (see section 7.2, “Prioritized List of Health Services”);
- Drugs used to promote fertility or to treat sexual dysfunction;
- Drugs used for cosmetic purposes or hair growth;
- Drugs used for the symptomatic relief of cough and colds;
- Drugs when used for anorexia, weight loss, or weight gain (even if used for a non-cosmetic purpose, i.e. morbid obesity);
- Most prescription vitamins and minerals, except prenatal vitamins and pediatric multivitamins with fluoride, and fluoride preparations; and
- Other drugs specifically excluded from coverage under Medicaid, such as drugs not approved by the FDA.

The formulary applies only to drugs provided by a pharmacy and do not apply to drugs used in inpatient settings or furnished by a Provider. For more information on coverage of drugs furnished by a Provider and administered in a clinic or facility, see the “Medical Prior Authorization Grid” section.

The drugs listed in the Formulary do not have copays. Drugs that require prior authorization, step therapy, or age restriction or have quantity limits are designated as PA, ST, AR, and QL, respectively. Prior authorization (PA) is required for the following:

- Drugs listed in the formulary as “PA” (prior authorization required);
- Drugs listed in the formulary as “ST” (step therapy) if the Member does not have claims history of the prerequisite drug(s);
- Non-formulary drugs (drugs not listed in the formulary);
- Brand drugs with generic equivalents;
- Drugs listed in the formulary with “AR” (age restriction) when prescribed to Members who do not meet age criteria;
- Drugs listed in the formulary with QL (quantity limit) when prescribed in quantities greater than allowed; and
- Select drugs administered incident-to-a physician’s service in a clinic or facility.

To obtain a prior authorization or request a formulary exception for medications obtained at the pharmacy, submit a “Pharmacy Drugs” PA through CIM or fax the “Pharmacy medication prior authorization form”, available on the website, to the fax number listed on the form. To obtain a prior authorization for medications furnished by a Provider and administered in a clinic or facility, submit a “Injectable/Infusion Drugs” PA through CIM or fax the “J-code prior authorization form”, available on the website, to the fax number listed on the form. Medication requests will be reviewed by a Member of the Clinical Pharmacy Services team, and the Provider will be notified of the coverage decision within 24 hours of receipt.

5.4 Case Management

A portion of the population served will require a greater than usual amount of available resources. Case Management services are offered as a resource to Providers by our team of Case Managers under the guidance of the Chief Medical Officer, to assist in managing the care of the Members that have presented as having complex medical and social needs, thereby requiring intensive care coordination (ICC). Early identification of these Members can significantly impact the cost associated with their care without sacrificing quality or Member satisfaction. Under the OHP, these services are referred to as ICC or “Intensive Care Coordination”.

5.4.1 Intensive Care Coordination (ICC)

CCOs and medical plans have specialized staff to assist Members who have been identified as having complex medical conditions or special healthcare needs. CCOs refer to this staff as “Intensive Care Managers (ICM)”. The designated staff will assist with coordinating health care services for Members with disabilities, complex medical issues, mental health issues, substance abuse disorder or special healthcare needs. Members who have special medical supply or equipment needs, or who will require support services in obtaining care, may ask for help from an ICM by calling UHA Clinical Engagement or UHA Member Services at 541.229.4UHA (4842) or 866.672.1551. Case Management referral form can also be found on the UHA website at <https://www.umpquahealth.com/wp-content/uploads/2018/08/case-manager-referral.fillable.pdf> and faxed to 541.672.5881.

Identification of Members in need of ICM service will occur through surveillance of:

- Referral and PA requests
- Facility discharge reports
- Provider referrals
- Member requests
- DHS referrals

UHA has an ICM available to assist Members Monday through Friday, 8:00 a.m. to 5:00 p.m.

5.5 Quality Assurance Program

UHA’s Quality Assurance Program, provides a mechanism for systematic, coordinated, and continuous monitoring. The goal is to improve Member health and the quality of the service provided by UHA.

5.5.1 All participating Providers will cooperate with the requests and requirements of quality review organizations, when such activities pertain to the provision of services for our Members.

5.5.2 All participating Providers are required to comply with UHA practice guidelines, medical policies, QI program, and Medical Management program, as developed by UHA Board of Directors, UHA Clinical Advisory Panel (CAP) and UHA Community Advisory Council (CAC). Providers are required to participate in the State’s external quality review of UHA, if requested.

5.6 Waivers for Non-Covered Services

OAR 410-120-1280, Billing, outlines the waiver requirements for the OHP. OHA, and therefore UHA requires that Members receive advanced written notification that a specific service is not covered. Members may not be asked to sign waivers on a routine basis. OHA and UHA require that the following be included in the waiver:

- The specific service being provided
- An estimated cost of the service
- A statement indicating that the Member or Member’s family is or may be financially responsible for payment for specific services

In addition, a Member cannot be billed a “cancellation fee” for missed appointments. A missed appointment is not considered to be a distinct Medicaid service by the federal government and as such is not billable to the Member or UHA as outlined in OAR 410-120-1280 (1)(a), Billing.

NOTE: Services that are not supported by a diagnosis or established coding guideline (i.e., unbundling) may be denied as a Provider responsibility even though a waiver may be on file.

5.7 Member Communication and Language Services

Members or potential Members who do not speak English as their primary language and who have a limited ability to read, speak, write or understand English are called limited English proficient or LEP. Anyone who is LEP may be entitled to language assistance for healthcare services/encounters or benefits.

The following are provided to the Provider or Member at no cost:

- Sign language interpreters
- Spoken language interpreters for other languages
- Written materials in other languages
- Braille
- Large print
- Audio
- Auxiliary Aids and other formats (i.e., tablets)

UHA will assure that all UHA Member Handbooks and all other printed information intended for widespread distribution to Members, including Member satisfaction surveys and grievance and appeals information, is available in the primary language of each substantial population of non-English speaking Members.

- Substantial is defined as 35 non-English speaking households that share the same primary language.
- UHA's online Provider Directory lists all PCP offices with bilingual capability and the language(s) spoken and can be located at <https://www.physicianehs.com/searchProvider.cfm> or [Click here](#).
- During business hours, UHA Member Services can make arrangements to provide qualified interpreters who can interpret in the primary language of each substantial population of non-English speaking Members, during their office visits. The interpreters shall be capable of communication in English, the primary language of the Member, and translate medical information effectively.
- When given prior notice, PCPs and other participating Providers, such as Specialists and hospitals, shall be prepared to meet the special needs of visually and/or hearing impaired Members.
- PCP offices shall have signs in the primary language of each substantial population of non-English speaking Members in their practices.

5.8 Hospital Services

Provided Locally (Mercy Medical Center)

- Cardiac/pulmonary rehabilitation services (outpatient)
- Electroencephalogram (EEG) services (outpatient)
- Electrocardiogram (EKG) services (outpatient)
- Emergency department services including all emergent and urgent medical treatments
- Home health care services
- Hospice care services
- Imaging services (outpatient); Computed Tomography (CT) or Magnetic Resonance Imaging (MRI)
- Inpatient hospital services (all)
- Occupational therapy (outpatient) at Mercy Institute of Rehabilitation
- Other therapeutic services
- Other diagnostic services
- Physical therapy (outpatient) at Mercy Institute of Rehabilitation
- Pulmonary function services (outpatient)
- Sleep studies (both home and facility based)
- Speech/language pathology (outpatient) at Mercy Institute of Rehabilitation
- Treatment room services **except** when delivered as a component of outpatient treatment

5.9 Not Available Locally

Not all medically necessary services are available at Mercy Medical Center. UHA requires a PA for **all** requested services to be performed in other participating and non-participating facilities. Members and their Providers are encouraged to utilize Mercy Medical Center for all services available, however, under certain circumstances UHA may grant authorization for services to be performed at other facilities.

5.10 Urgent Care

Urgent problems are things like severe infections, sprains, and strong pain. Members are instructed to call their PCP office first regarding any health problems. PCPs should be available to Members day and night, weekends, and holidays to schedule an appointment, give medical advice or send them to the right place to get care. There are currently 3 Urgent Care clinics in Roseburg that accept OHP Members.

Canyonville Health & Urgent Care

115 S Pine St
Canyonville, OR 97417
541.839.4211

Evergreen Urgent Care

2570 NW Edenbower Blvd, Ste 100
Roseburg, OR 97471
541.957.1111

Umpqua Health Newton Creek – Urgent Care

3031 NE Stephens St
Roseburg, OR 97470
541.229.7038

5.11 Emergency Care Services

UHA defines a medical emergency as a sudden and unexpected onset of a condition requiring medical or surgical care immediately after the onset, or as soon as it can be made available. Care received later than 24 hours after the onset of the condition is not considered emergent. Chest pains, poisoning, loss of consciousness, convulsions, severe bleeding, broken bones, and accidental injuries are some examples of medical emergencies. Some conditions should **not** be treated in an emergency setting. Please do not refer Members to the emergency department for routine care. Routine care provided in a hospital emergency department is **not** a covered benefit. When a Member requires emergency services from a hospital other than Mercy Medical Center and necessary services are provided, UHA may pay for the services upon retrospective review.

In communities where after hours' coverage is provided by the emergency room, a Provider must be available for telephone consultation and triage. Answering messages and services may not direct a Member to present to the emergency room as the only option after hours.

PAs are not necessary in cases of emergency room visits. UHA emergency room claims may be reviewed for medical necessity.

5.11.1 Out-of-Area Emergencies

Members are instructed to receive emergency care at their primary hospital if possible. Coverage of out-of-area emergencies are provided only for true emergency situations. UHA will cover out-of-area emergency expenses.

5.11.2 After Hours/Emergency Pharmacy Overrides

UHA handles all Member and Provider calls as well as Prior Authorizations. UHA's pharmacy staff reviews all medication prior authorizations within 24 hours of receipt, 365 days a year. UHA's Pharmacy Benefit Manager (PBM) MedImpact handles pharmacy calls 24/7 but does not handle any Member or Provider calls during or after business hours. For Emergencies, MedImpact will enter a five-day override, only after the plan's business hours, if the pharmacy states that it is for an emergency. During hours, MedImpact will refer the caller to UHA at 541.673.1462 for emergency situations.

Specific to Natural Disasters, MedImpact will enter a one-time refill-too-soon override, per medication, if the pharmacy states the Member has had to evacuate due to a disaster. The override may include quantity restrictions, as long as there is no lifetime or yearly limit on the medication and the quantity does not exceed the limit allowed per month as defined in the Member's benefit.

5.12 Behavioral Health Services

UHA contracts with Adapt dba Compass Behavioral Health, the designated County Mental Health Provider (CMHP), as the main provider of behavioral health services for UHA Members.

- **Outpatient Services;** 24-hour crisis evaluation and care, comprehensive assessment and diagnosis, counseling for children, adolescents and adults, individual, group and family counseling, psychiatric medical services for children and adults, forensic mental health programs for individuals involved in the criminal justice system
- **Community Support Services;**
 - Assertive Community Treatment (ACT); <https://www.adaptoregon.org/mental-health/community-support-services/assertive-community-treatment/>
 - 24-hour crisis counseling
 - Individual assessment and treatment planning
 - Nursing services, including care coordination, education, consultation and support
 - Treatment for co-occurring substance use disorders
 - Psychiatric services
 - Supportive mental health therapy
 - Skills-training to support and sustain stability
 - Vocational services, such as job interest assessment, education, follow-along supports
 - Case management to assist Members in accessing benefits, housing and other support services
 - Education, support and consultation for families and other supports
 - Referrals and coordination of hospital admissions and discharges
 - Early Assessment & Support Alliance (EASA); <https://www.adaptoregon.org/mental-health/community-support-services/early-assessment-support-easa/>

EASA is committed to providing rapid identification, support, assessment and treatment for teenagers and young adults who are experiencing the early signs of psychosis. EASA provides up to two years of treatment and support for Douglas County young people ages 15 to 25 who have experienced a first episode of psychosis or who have experienced risk symptoms within the last year that are not caused by a medical condition or substance abuse.

 - Rapid access to psychiatric and counseling services
 - Education about causes, treatment and management of psychosis
 - Coaching on rights to employment, school, housing and additional resources
 - Family psycho-education and support groups
 - Employment education and independent living supports
 - Access to local teams including psychiatrists, social workers, psychologists and occupational therapists
 - Referral to community services
 - Individual Placement and Supported Employment (IPS); <https://www.adaptoregon.org/mental-health/community-support-services/ips-supported-employment/>

- No-cost placement services to help local employers match applicants to business needs
 - On-the-job support, including initial placement and stabilization in the workplace
 - Ongoing support, skill building and job coaching to meet individual needs and preferences
 - Benefits counseling and financial planning
 - Referral to community agencies, such as Vocational Rehabilitation
 - Peer support, including recovery and integration role-modeling
 - Links to natural community resources to reduce barriers to school or work, such as transportation, housing, training and social supports
 - Peer Support Services; <https://www.adaptoregon.org/mental-health/community-support-services/peer-support-services/>
 - Support to make connections in the community
 - Help to develop community navigation and integration skills
 - Connections to help transition to independent living and self-sufficiency
 - Assist in identifying barriers and solutions for needed resources and services
 - Assistance with group and class attendance
 - Provide individual and group activities in the community to help develop and maintain social networks and natural supports
 - Education and support to help individuals move forward with their goals
 - Mental Health Court; <https://www.adaptoregon.org/mental-health/community-support-services/mental-health-court/>
 - Assessment & diagnosis
 - Treatment planning
 - Individual & group counseling
 - Coordinate mental health, drug and alcohol treatment services
 - Work in coordination with court staff to support compliance with Mental Health Court
 - Referral and coordination of community supports and resources
- **Crisis Services;** mental health evaluation and intervention, treatment determination, referral to mental health services and other community resources, client protective service investigations, pre-commitment investigation
- **Adult Mental Health Services;** offers comprehensive psychiatric and behavioral health care for adults struggling with a variety of mental health symptoms, focusing on restoring well-being and preventing the relapse of symptoms. Services include psychiatric assessment and diagnosis, medication services, individual and group therapy, crisis intervention, rehabilitation services, forensic services and clinical case management. Adapt works in close collaboration with Compass Behavioral Health Community Support Programs to assist individuals in obtaining employment, assessing medical care, securing safe and supportive housing and accessing other social services to support recovery, resilience and independence
- **Adult Outpatient;** comprehensive assessment and treatment planning, short-term psychotherapy, individual, group and family services, Choice Model Partnership to ensure the availability and quality of treatment services and supports, skill-building training, comprehensive case management to assist individuals in gaining access to needed services and supports
 - **Clinical Case Management;** assessment and coordination of services to meet individuals and family needs, assistance with the transition to independent living, individual and group skill-building, information and assistance in gaining access to needed medical, behavioral health, housing, employment, benefits, social, education and other essential services
 - Clinical Case Management services are available by referral from a Compass Behavioral Health treatment provider
 - **Forensic Services;**
 - *Jail Diversion Program (JDP)* is designed to provide appropriate treatment for individuals with a serious mental illness that is thought to be contributing to low level criminal behavior. The goal of JDP is to provide treatment to help avoid or reduce incarceration through appropriate community-based services, such as mental health and/or substance abuse treatment.
 - *.370 Project* (also known as Aid and Assist)
The .370 Project is designed to aid individuals with a mental illness who are involved with the criminal justice system to achieve stabilization and a level of understanding of the charges

against them so that they can participate in their own defense. For more information, contact our office or visit Oregon Aid and Assist.

- **Psychiatric Security Review Board (PSRB)**

Compass works in cooperation with the Oregon PSRB to ensure that individuals diagnosed with a mental illness who have committed serious crime receive the necessary services and support to reduce the risk of future criminal behavior. We use recognized principles of risk assessment, victims' interest and person centered care. For more information, visit Oregon PSRB.

- **Youth & Family Mental Health;** comprehensive assessment and treatment planning, individual, group and family services, skills-training to support and sustain stability, psychiatric day treatment for students in kindergarten to 8th grade, school-based therapeutic services, care coordination, referrals and transition planning with community services, hospitalization, residential care and other treatment Providers
 - **Wraparound Program;** a referral-based planning process that follows a series of steps to help children, young adults, and their families accomplish their family vision
- **Mental Health Support Services;** such as Assertive Community Treatment (ACT), Clinical Case Management, Early Assessment & Support Alliance, Individual Placement Support Supported Employment, Peer Support Services, and Mental Health Court

**Adapt dba Compass Behavioral Health
Adult, Medical and Crisis Services**

621 W Madrone St

Roseburg, OR 97470

Mon – Fri 8:00 a.m. to 5:00 p.m. 541.440.3532

24-hour Crisis Line: 800.866.9780

Website: www.adaptoregon.org or [Click here](#)

In addition, UHA has individually licensed behavioral health Providers for outpatient behavioral health services. Behavioral Health services do not require Prior Authorization if provided by an in-network Provider.

All inpatient behavioral health services require prior authorization. PA/Referral forms can be downloaded online at <http://www.umpquahealth.com/for-Providers/> or by contacting:

UHA Clinical Engagement

500 SE Cass Ave, Ste 200

Roseburg, OR 97470

541.229.4842

5.13 Chemical Dependency / Substance Use

Outpatient chemical dependency services for alcohol and drug treatment are part of the OHP benefit package for all OHP Members. These services include outpatient treatment and intensive outpatient detoxification. Members do not need a referral for outpatient chemical dependency services in Douglas County. Substance abuse services are provided in multiple service locations within the county.

UHA has contracted with Adapt and Serenity Lane for provisions of outpatient chemical dependency services for OHP Members in Douglas County for the following services:

- Outpatient treatment services
- Opiate substitution services
- Intensive outpatient treatment services

Adapt is also contracted with UHA to coordinate referral and follow-up to residential treatment services, community detoxification and/or basic core services which include child care, elder care, housing, transportation, employment, vocational training, educational services, behavioral health services, financial and legal services.

5.13.1 A & D Residential Services

Residential treatment services are available through Adapt and Serenity Lane. A prior authorization is required for any out-of-county or out-of-network facility.

Adapt

621 W Madrone St
Roseburg, OR 97470
541.672.2691

Website: www.adaptoregon.org or [Click here](#)

Serenity Lane

91150 Coburg Industrial Way
Coburg, OR 97408
800.543.9905 or 541.687.1110

Website: <https://serenitylane.org/> or [Click here](#)

Section 6: FILING CLAIMS

6.1 Billing & Claims

UHA accepts paper and electronic claim submissions and these should be submitted in HIPAA 837P, 837I, CMS 1500, or UB-04 format. In order to be paid for services rendered to a UHA member, provider and or/facility MUST be enrolled with the state of Oregon and have an active DMAP number for the date(s) of service. If you are an out of area provider needing to be enrolled with DMAP, please contact the Contract Department by phone at 541.957.3094 or email UHNProviderServices@umpquahealth.com.

Facility Type	Claim Form	Billing Rules
Hospital	UB-04	DMAP/Medicare
Physician	CMS 1500	DMAP/Medicare
Federally Qualified Health Clinic (FQHC)	CMS 1500	DMAP/Medicare
All other claim types; DME, lab, radiology, transport services, ancillary services *pharmacy excluded*	CMS 1500	DMAP/Medicare

UHA strives to adjudicate claims in an accurate and timely manner to aid in quality service to our members and providers. Claims are typically processed within 60 days of receipt of a clean claim. Non-clean claims typically result in a longer adjudication window and/or denials.

Claim Submission Methods		
Electronic Vendor Clearinghouse	Payor ID	Paper (via mail)
Allscripts/PayerPath (via forwarding)	77502	Use Exact Address as Listed
Availity	77503	PhTech
Cortex EDI	CIM11	Attn: UHA Claims
Emdeon/Change Healthcare	77502	PO Box 5308
GE Healthcare/Athena	77500	Salem, OR 97304
Gateway EDI/Trizetto	77504	PhTech
Office Ally	77501	Attn: UHA Appeals
Relay Health PCS (Professional)	77505-CPID 1291	PO Box 5308
Relay Health PCS (Institutional)	77505-CPID 6551	Salem, OR 97304

*****Please note that UHA must be present in mailing address or claim may be rejected and returned*****

- UHA requires that all hysterectomy or sterilization claims be submitted with Informed Consents attached to confirm the validity of the consent. Claims that do not include these attachments may be denied and/or any claims processed with missing or invalid consents will be recouped.
- UHA does not pay claims for provider-preventable conditions. UHA expects providers to comply with reporting requirements.

After first quarter 2020, UHA contracted providers must sign up for access to Community Integration Manager (CIM) where you can check the status of your claims, access member eligibility and prior authorizations, and correspond with UHA's Member Services, Prior Authorizations, and Claims teams via secure email. If you are needing any assistance with CIM access, please contact PhTech at 503.584.2169 option 2 or by email at support@phtech.com.

UHA has a Claims Support team available by phone Monday-Friday 8 a.m. - 5p.m. (PST) at 541.229.4842 option 2 or can be reached by email at UHAClaims@umpquahealth.com. If sending any PHI through email, please ensure that it is sent via secure email.

Please feel free to visit our website <https://www.umpquahealth.com/for-providers/> for more helpful information about UHA. Here, you can also find our prior authorization forms, case management referral forms, provider newsletters, and various other information pertaining to care for our members.

6.2 Timely Filing Guidelines

Timely Filing Guidelines are as follows:

- 120 days from the date of service (DOS) (unless it is an inpatient stay, then date of discharge)
- 1 year (365 days) from DOS for corrections, appeals, and secondary/tertiary billing (primary EOB/documentation must be included with original claim submission).

Providers are encouraged to submit claims within thirty (30) days of the date of service to facilitate collection of encounter data and provide effective utilization management. Exceptions to the above guidelines for claims submissions are:

- Pregnancy related diagnoses
- When UHA is secondary to Medicare or another third party resource
- Inpatient stays
- Eligibility issues
- Provider system and/or claim submission errors/issues
- If you are experiencing any system issues with claim submissions or any instances that will delay timely billing, UHA MUST be notified as soon as issue is identified
- Please contact UHA Claim Support by phone at 541.229.4842 option 2 or by email UHAclaims@umpquahealth.com.
- **Please note that DMAP enrollment is not a valid reason for untimely claims submission. Once provider/facility becomes enrolled claims are automatically reprocessed and original submission must be within the timely guidelines above.**

You may submit a request for reconsideration on a timely filing denial. Please see section 6.11 Denials & Claims Appeal for more details on what to include.

6.3 Paper Claims

UHA follows requirements set forth by Medicare and OHA for processing of paper CMS 1500 or UB-04 claims. Paper claims must be submitted on either a current standard CMS-1500 form or a UB-04 claim form. When you have important information about a claim, it is best to submit a paper claim with explanations attached. The paper claims and/or documents are converted to electronic image by scanning. The scanned claims then go through an optical character recognition (OCR) process. The following is required in order to properly identify each claim's data:

- CMS 1500 or UB-04 claim forms with red outline that can be scanned should be used. The claim is to be machine printed with dark black ink. Photocopies, faxes, or handwritten claims will not be accepted. Light ink or dot matrix printed claims may not have characters that are recognized correctly.
- Align the claim form so all information is contained within the appropriate fields. Each piece of data must have a space between it and the next piece of data. For example: the procedure code must have a space between it and any modifier (88305 26 rather than 8830526).
- When multiple claim forms are sent, they should each be accompanied by their own EOB, chart notes, and other attachments as needed. **DO NOT** send multiple claim forms with only one EOB or attachment.
- Each EOB or attachment must be on standard 8.5 x 11 white paper with black print for text only. If the attachment is a screen shot or copy, it must be submitted in color. The images darken upon scanning and may not be readable upon claim review. Half sheets or strips of paper will rip or become separated from the claim in the scanning process. Attachments **should not** be stapled to the claim.
- Additional comments can be made on a standard white sheet of paper and submitted with the claim. **Handwriting on the claim will not be picked up during the OCR process.**

- Highlighting is not necessary and cannot be seen once the claim is scanned. Use only a yellow highlighter if highlighting is necessary; other colors will scan as black and will not be seen as highlighted material.
- Any EOB attachments must not contain any other patients PHI. Any PHI other than the members should be blacked out. All information included must be for the member the claim is submitted for.

Failure to follow these requirements may result in claims being returned to the Provider unprocessed. In the event that this happens, PhTech will mail a letter with the rejected claim and information on how to correct the issue. If you receive one of these letters with your rejected claim, please contact PhTech at the number listed on the letter. This letter also serves as your timely filing and **MUST** be submitted with your corrected claim as proof.

Common reasons for returned or denied claims:

- Unreadable or handwritten information
- Missing, incomplete, or invalid member information
- Missing, incomplete, or invalid provider information
- Date of service does not precede the claim receipt date
- Missing, incomplete, or invalid procedures codes or diagnosis codes
- Incorrect managed care entity referenced on claim (IE: OHP, DMAP, etc) UHA must be in address title to ensure PhTech is processing claim for the proper Managed Care program

For detailed information on how to complete a claim form, refer to the Centers for Medicare & Medicaid Services (CMS) website at <http://www.cms.gov> or [Click here](#).

Documents such as chart notes, timely filing proof, and EOBs from primary insurance can be uploaded electronically to the claim via CIM if they are missed upon the scanning of the claim. Please contact UHA's claims support team at 541.229.4842 for assistance on attaching documents.

Paper (via mail)
* Use Exact Address as Listed *
<p>PhTech Attn: UHA Claims PO Box 5308 Salem, OR 97304</p>

6.4 Electronic Claims

HIPAA 837P or 837I claims may be submitted to UHA. EDI claims processing is faster and more cost effective than paper billing. The online software program will pre-process the claim file checking for common billing errors that require immediate attention before the file can be accepted. Most requirements for paper claims also apply to EDI claims. For information on 837P and 837I guidelines, refer to the CMS website at <http://www.cms.gov> or [Click here](#).

UHA utilizes the clearinghouses below:

Electronic Vendor Clearinghouse	Payor ID
Allscripts/PayerPath (via forwarding)	77502
Availity	77503
Cortex EDI	CIM11
Emdeon/Change Healthcare	77502
GE Healthcare/Athena	77500
Gateway EDI/Trizetto	77504
Office Ally	77501
Relay Health PCS (Professional)	77505-CPID 1291

If you wish to be setup to send EDI claims online or are having trouble with direct claim submissions, you may contact the PH Tech EDI Support at 503.584.2169, option 1 or email EDI.Support@phtech.com. You can become a direct submitter to PhTech or you can use your clearinghouse. If you do not see your clearinghouse on the below list, please reach out to PhTech EDI Support Line above.

6.5 Pharmacy Claims

Pharmacy services are provided by MedImpact Healthcare Systems, Inc. Local pharmacies can contract with MedImpact if they wish to provide services to UHA Members. Pharmacy claims adjudicate electronically in real-time. If you are having any issues filling a prescription for a UHA member, please reach out to Member Services by phone at 541.229.4842 or by email at UHAMemberServices@umpquahealth.com.

6.6 Dental Claims

Please note that UHA (PhTech) does not process dental claims. Please refer to members assigned Dental Coverage Organization (DCO) for dental billing. If you need information for the members assigned DCO you can contact Member Services by phone at 541.229.4842 or email UHAMemberServices@umpquahealth.com.

6.7 Place of Service Codes

Place of service codes and descriptions can be referenced online at http://www.cms.gov/Medicare/Medicare-Fee-for-Service-Payment/PhysicianFeeSched/Downloads/Website_POS_database.pdf or [Click here](#).

6.8 Coordination of Benefits

Current federal regulations require Medicaid to pay for health care only after the Member's other health resources have been exhausted. In other words, Medicaid is viewed as the payer of last resort. The requirement that third parties pay first is called Medicaid "third party liability" (TPL). In guidelines issued by the CMS, TPLs are defined as individuals, entities, insurers, or programs that may be liable to pay all or part of the expenditures for medical assistance provided under a state Medicaid plan.

Per OAR 410-120-1280(8)(a-e), it is the Provider's responsibility to obtain any third party liability (TPL) information from the member. The Provider must make reasonable efforts to obtain payment from other sources as UHA is always payor of last resort.

Third Party payors include:

- Private health insurance (e.g., commercial insurers, self-funded plans, or profit or non-profit pre-paid plans)
- Medicare and MedAdvantage Plans
- Champus and Champva
- Motor Vehicle Accidents (MVA), Workers Comp (WC), and other Federal programs.
- Pursuant to 42 CFR 136.61 subpart G and the Memorandum of Agreement in OAR 310-146-0000, Indian Health Services or Tribal Health Facilities operating under a section 638 agreement are payers of last resort and are *not considered* an alternate resource or third party resource (TPR).

With the exception of tribal/Indian Healthcare, the primary coverage should **ALWAYS** be billed first. Upon receipt of payment or denial from the primary carrier, charges should then be submitted to UHA, accompanied by the primary carrier's explanations of benefits (EOB).

If you encounter any of the following or have any questions regarding third party liability, please contact the TPR Department by phone at 541.464.4175 or by email at UHTPR@umpquahealth.com

- Member has other insurance which is not noted by UHA
- Member is pursuing a settlement for an injury or illness
- Member is in police custody at the time treatment is rendered
- If it is not available in the CIM portal, please reach out to UHA using contact information above

Per OAR 410-120-1280(5)(e) If a member has Medicare primary (this also includes ATRIO), these claims are automatically crossed over after the primary adjudicates the claim. In order to complete this process effectively, the provider **MUST** submit the Medicare (or ATRIO) claim with all applicable Medicaid information for all full benefit dual eligible (FBDE) clients. Providers are encouraged NOT to submit secondary claims to UHA for FBDE members since this process is in place. In the event that your crossover claim is not located or denied, please contact UHA claims support team **PRIOR** to submitting a new claim to UHA. UHA is responsible for claims payment including deductible/co-insurance/co-payments up to the allowed amount. If the primary carrier's payment is equal to or exceeds UHA's allowed reimbursement, the remaining balance **cannot** be billed to the member. Please see 42 CFR § 447.15 and OAR 410-120-1280 for further details on billing Medicaid members.

UHA will refer complex and high-cost claims to an outside claims review service. That claims review service identifies billing errors, such as the use of billing codes that are not supported by the medical record or the separate pricing of medical supplies and services that are routinely priced together.

6.9 Eligibility Verification

All UHA members are issued an ID card upon becoming active with UHA. It contains the members name, ID #, assigned PCP clinic, DCO, and issue date. Providers are encouraged to keep an updated copy in the member's chart. It is the Provider's responsibility to confirm member's eligibility at the time of service, as well as, confirming PA requirements with UHA for that service. Providers must inform the Member of any charges for non-covered services **prior** to the services being delivered. If the Member is to be held financially responsible for non-covered services, the Provider must have them complete and sign the OHP Client Agreement to Pay for Health Services form (OHP 3165). Claims payment is dependent on many factors including member eligibility on the date(s) of service.

Providers have access to an electronic eligibility verification system, CIM1, 24 hours a day which allows you to view a single Member's eligibility. If you are an UHA contracted PCP, CIM1 can also be used to generate a list of eligible Members assigned to you. For ease of Member identification, these lists include member identifiers (name, ID#, DOB), sex, and effective date of UHA eligibility.

If you do not have an established user name and password, email EDI.Support@phtech.com or call 503.284.2169, opt 1. You can also reach out to UHA at 541.229.4842 to request the CIM Access Request Form to send to PhTech.

Other eligibility verification sources:

- Online with MMIS system at <https://www.or-medicaid.gov/ProdPortal/Default.aspx> or by calling 866.692.3864 to access the Automated Voice Response system
- By calling UHA Member Services Monday-Friday 8 a.m. – 5 p.m. at 541.229.4842 or 866.672.1551

6.10 Claims Payment and Refund Requests

Claims payment is subject to UHA's referral and prior authorization (PA) requirements, OARs specific to the service, member eligibility, active DMAP enrollment, proper billing, etc.

- *Participating* providers are issued payment at the rate and terms agreed upon and set out in your Provider contract with UHA.
- *Non-participating providers* are issued payment typically at the current DMAP rates, based on the rules and regulations related to the Oregon Health Plan (OHP) and UHA's contract with the State of Oregon to provide services to OHP Members. This requires UHA to follow the regulations related to the payment of non-participating Providers. Please see OAR 410-120-1295 for more information.

Payment can be issued electronically or by paper check. If you are unsure how your payments are being issued, please reach out to UHA claims support team. Typically, if you use a clearinghouse, are a participating provider, or direct submitter payment is done electronically. This can be dependent on the billing information, so verification on provider's side may be required. Paper checks are mailed to the billing provider address located on the claim form and are typically accompanied by an EOB. If you feel that you have not received a paper check or EOB, please contact UHA claims support team at 541.229.4842 option 2 or by email at UHAClaims@umpquahealth.com

UHA occasionally has to request funds back from a provider due to other coverage found, incorrect payment issued, billing errors, etc. Once the need for a refund is identified, PhTech will send the provider a refund request notice. There are two ways you may receive a refund request notice.

1. If a claim is put into refund request either by plan direction or due to TPA error, a refund request voucher will be sent out to the provider. It looks very similar to an EOB, however, it is titled "Refund Voucher Statement". Much like the EOBs it will have an Explanation of Benefits Summary with the CARC definitions or reason for the refund request. **It is important to note that this does not mean that PhTech has recouped the funds. There is a "remit payment to" section following the Explanation of Benefits Summary and these funds are due back to the plan.**
2. If a claim is identified by our Third Party Liability (TPR) department, the provider will receive a letter titled "refund request" with all of the claim identifiers and explanation for refund request. These letters come directly from UHA's TPR department, and the funds should be remitted within 30 days from the letters date. Please remit any TPR related refunds with letter to:

**Umpqua Health Alliance
Attn: Third Party Recovery
500 SE Cass, Suite 101
Roseburg, OR 97471**

For both instances noted above, if there is no refund check or corrected claim sent, PhTech will look to recoup the balance owed in the upcoming check runs. If there are funds available, PhTech will automatically recoup the balance and the claim information will be included on the EOB for that check run. The claim will show as negated indicating that funds for that claim have been taken back. Providers are encouraged to remit Refunds within 30 days of receiving the refund request.

6.11 Denials and Provider Claim Appeals

Claim denial information is provided in the EOB that is sent to providers. There will be an "Explanation of Benefits Summary" section on the last page of the EOB following all claim information. These codes will correspond with the "EOB Code" column on the EOB, which is the reason for claim denial/partial payment. This information can be useful in creating a corrected claim or identifying other claim submission issues. If you have received a claim denial and have questions, please reach out to UHA claims support team at 541.229.4842 option 2 or by email at UHAClaims@umpquahealth.com. We will review the claim with the provider to determine what options are available. If there is an issue on UHA side, *typically*, corrected claims are not required, and UHA will have claim reprocessed. Timely filing for appeals or corrections is 1 year (365 days) from the date of service as long as the initial claim submission was within the original timely filing guidelines. ***Please note that our UHA Claim Support team does not advise on how to bill, rather provides information that may be helpful in correcting the issue.***

Common reasons for denied claims:

- Member cannot be identified as a UHA Member (usually DOB/Name/member ID mismatch)
- Timely filing, duplicate billing, missing documentation
- Provider and/or facility is not enrolled with DMAP
- More than one Provider or supplier is billing on one claim
- Incomplete or inaccurate coding
- Claims not submitted on proper CMS 1500 or UB-04 claim form
- Missing, incomplete, or invalid unit of measure on codes that require an NDC

- Incorrect provider information
- Discarded drugs not billed properly

There are two levels of claims appeals if you receive a claim denial or partial payment that you do not agree with.

- A **Level I** claim dispute is a communication from a provider about a disagreement with the manner in which a claim was processed. This communication can be verbally by phone/via UHA provider representative or in writing via email/letter. When a Level I claim dispute is reviewed, UHA will advise providers on the additional options based on the findings. The Provider Request for Reconsideration and Claim Dispute Form is not required.
- A **Level II** claim dispute is a formal request for review when the provider has received an unsatisfactory response to a level I Claim Dispute. The Provider Request for Reconsideration and Claim Dispute Form and all required documentation is required. The Provider Request for Reconsideration and Claim Dispute Form can be found on UHA's website at www.umpquahealth.com/for-providers or you can reach out to the UHA Claims Support team at 541.229.4842 option 2 or by email at UHAClaims@umpquahealth.com to request a copy.
 - **Level II Claim Disputes must include the following:**
 - Provider Request for Reconsideration and Claim Dispute Form completely filled out (one per claim)
 - A UHA EOB with claim number in question clearly circled
 - Any pertinent clinical information or related documentation that would be of assistance in reviewing the request, to support the reasons for the reversal of the adverse organization determination. This includes but is not limited to chart notes, EOB's, and claims submission logs.
 - If including screen shots or print outs, they must be sent in color or attached via CIM directly to the claim. These images darken upon scanning and often cannot be read when in black and white.
 - If a treatment has been denied on the basis that it is experimental or investigational, the request for reconsideration must be accompanied by peer-reviewed literature supporting the effectiveness of the procedure or treatment at issue.

If the above requirements are not included, the appeal will be considered an invalid submission and will not be reviewed. A provider can submit a Level II appeal by mail or electronically.

Written appeals should be submitted to the following address:

Paper (via mail)
* Use Exact Address as Listed *
<p style="text-align: center;">PhTech Attn: UHA Appeals PO Box 5308 Salem, OR 97304</p>

Providers that have CIM1 access can also utilize the provider portal to upload a Level I or Level II appeal to the claim in question directly. If this is the route that is chosen, please note that the appeal **MUST** be followed up with a CIM email to PhTech titled "Level I Appeal" OR "Level II Appeal", notifying them of the appeal so that they can route it to the appropriate reviewer. If this step is not completed, the appeal will be considered an invalid submission and will not be reviewed. If you need assistance with uploading, please reach out to the UHA claims support team at 541.229.4842 option 2 or by email at UHAClaims@umpquahealth.com.

The Provider's appeal will be reviewed within sixty (60) calendar days of receipt of a clean claim by UHA or as required by law. If the claim is not clean, the 60 days does not start until all the required information is received. The appeal request will be reviewed by the appropriate department depending on the reason for appeal. If UHA reverses their previous decision, in whole or in part on any claims denial, the claim shall be reprocessed and paid as soon as possible. If the appeal is denied, a denial letter will be sent to the Provider by PhTech and also attached to the claim for reference.

The letter will advise on additional options if an original decision is upheld. If the Level II claim dispute denial is upheld, the Provider may file for a review with OHA, per OAR 410-120-1580, Provider Appeals – Administrative Review.

6.12 Claims Analysis

UHA reserves the right to do retrospective review of claims paid. UHA will engage in various kinds of analysis of claims made by Providers, including reviewing claims after they are processed and paid. When reviewing a claim, UHA looks for the following:

- Inappropriate provision of healthcare services, prescriptions, or products
- An inappropriate level of care
- Unreasonable or excessive charges for healthcare services
- Over-utilization of services
- Any indicators of potential fraud, waste, or abuse

Section 7: BENEFITS & SERVICES

7.1 Oregon Health Plan Benefits

Umpqua Health Alliance (UHA) has contracted to provide benefits to eligible Oregon Health Plan (OHP) Members. The medical, dental or behavioral health services OHP covers for each Member is called a “benefit package.” UHA defines a benefit package using a priority process emphasizing primary care, preventive care, managed care, reduced cost-shifting, and monitoring the purchase and use of expensive medical technology. Each Member receives a benefit package based on certain things, such as age or healthcare condition. Members of their household may receive different benefit packages. Benefits covered under OHP and plan specific guidelines are located on the Umpqua Health Alliance website at: <http://www.umpquahealth.com> or [Click here](#) and listed online at: <http://www.oregon.gov/oha/healthplan/Pages/benefits.aspx> or [Click here](#).

If you have any questions regarding the OHP Benefit Package (covered vs not covered services), please contact the UHA Member Services at 541.229.4UHA (4842) or 866.672.1551.

7.2 Prioritized List of Health Services

OHP does not cover all health care services. OHP Members receive services based on where health care conditions and treatments are placed on the Prioritized List of Health Services, as contained in OAR 410-141-0520. The Prioritized List of Health Services is a list of health care conditions and their treatments. The List helps determine what services the OHP covers. The Prioritized List contains 665 line items consisting of condition-treatment pairs, of which the services on lines 1-469 are covered services for OHP Members. The diseases and conditions below line 469 on the Prioritized List are usually not covered by OHP. Something that is “below the line” could be covered if you have an “above the line” condition that could get better if your “below the line” condition gets treated.

- **“Above the Line”** items – Diagnoses which range within lines 1-469. These are “above the line” diagnoses, and if paired, are payable services, assuming all other applicable requirements, such as Member eligibility, medical appropriateness, and PA approvals, are met.
- **“Below the Line”** items – Diagnoses which range within lines 470-665. These are “below the line” diagnoses, and are not covered by OHP.
- **“Non-Ranking”** items – Diagnoses which are not listed in the Prioritized List. These conditions are usually symptom codes, and are not covered by OHP without a more specific diagnoses code.

The list uses ICD-10 CM diagnosis codes and CPT and HCPCS procedure codes to define the condition-treatment pairs that make up each of the 665 lines. The methodology used to prioritize health services places a high emphasis on preventative services and chronic disease management in the recognition that the utilization of these services can lead to a reduction in more expensive and often less effective treatments provided in the crisis stages of disease. The Oregon Health Evidence Review Commission (HERC) ranks all health care services to reflect the best unbiased information on clinical effectiveness and cost-effectiveness available. Co-morbid conditions factor in to decision making of line ranking.

The Prioritized List is amended from time to time according to the available budget and the approval of CMS. The most current Prioritized List can be viewed online at: <https://www.oregon.gov/oha/HPA/DSI-HERC/Pages/Prioritized-List.aspx> or requested by contacting:

Oregon Health Authority
HSB - 3rd Floor 500 Summer St NE
Salem, OR 97310-1097
503.945.6738

If you have questions about how to authorize or bill for services to UHA Members, contact UHA Member Services at 541.229.4UHA (4842) or 866.672.1551.

7.2.1 Non-Funded Treatment Pairs

Understanding the complete implication for the treatment pairs that fall below the funded line is important. These principles need to be kept in mind:

- Condition/treatment pairs are defined by specific CPT and ICD-10-CM diagnosis codes.
- All claims must have accurate CPT and ICD-10-CM coding in order to be a covered treatment pair. ICD-10-CM codes should be coded to the greatest degree of specificity (4th or 5th digit).
- Diagnostic services may be covered until a diagnosis is reached.

7.3 Coordination of Benefits

Current federal regulations require Medicaid to pay for health care only after the Member's other health resources have been exhausted. In other words, Medicaid is viewed as the payer of last resort. The requirement that third parties pay first is called Medicaid "third party liability" (TPL).

In guidelines issued by the CMS, TPLs are defined as individuals, entities, insurers, or programs that may be liable to pay all or part of the expenditures for medical assistance provided under a state Medicaid plan.

Third parties include private health insurance (e.g., commercial insurers, self-funded plans, or profit or non-profit pre-paid plans), Medicare, Champus, Champva, automobile insurance, state worker's compensation, and other Federal programs.

Pursuant to 42 CFR 136.61 subpart G and the Memorandum of Agreement in OAR 310-146-0000, Indian Health Services or Tribal Health Facilities operating under a section 638 agreement are payers of last resort and are not considered an alternate resource or third party resource (TPR).

If you encounter any of the following or have any questions regarding third party liability, please contact the TPR Department at 541.464.4175.

- Member has other insurance which is not noted by UHA
- Member is pursuing a settlement for an injury or illness
- Member is in police custody at the time treatment is rendered

7.4 Umpqua Health Alliance Summary of Benefits

UHA utilizes the OHP Prioritized List of Health Services to determine whether a diagnosis and/or service is considered to be part of the OHP Benefit Package. The Oregon Health Services Commission designed and maintains the prioritized list under the direction of the Oregon Legislature. The Legislature then determines to what line the program will be funded on a bi-annual basis. Diagnoses and/or treatments that are considered to be "below the line" are not funded by the available budget, and are not part of the OHP Benefit Package.

Covered Medical Services include:

- 24-hour emergency care
- Diagnostic testing to find out what is wrong, whether the treatment or condition is covered or not
- Chemical dependency (alcohol and drug) treatment
- Diabetic supplies and education
- Emergency ambulance
- Eye health care services
- Family planning and related services
- Hospice

- Labor, delivery and newborn care
- Durable medical equipment and supplies
- Behavioral health services
- Most prescription drugs
- Preventive services
- Treatment for most major diseases
- Smoking cessation programs
- Some surgeries
- Specialty care and referrals

7.5 Prenatal/Maternity Benefits & Case Management Fees

- Maternity care should be billed globally, to include prenatal care, delivery and postnatal care. Office visits for related OB care and routine lab handling fees are included in the global charges (with the exception of venipuncture charges, which may be billed separately).
- An exception to global billing is a situation in which the PCP or OB/Gyn has not provided all phases of care. In such a situation the charges must be broken out (using the appropriate CPT codes), and submitted by each Provider for reimbursement.
- Routine lab tests provided outside the Provider's office (e.g., hospital or independent laboratory) will be reimbursed in addition to the global fee.

7.6 Preventive Covered Services

Well Baby/Child Checks: From birth through 36 months, UHA reimburses well child checks at the current recommended intervals from the Centers for Disease Control and the American Academy of Pediatrics or as recommended by the PCP.

- Guidelines for immunizations are based on the Childhood Immunization Schedules located online at Advisory Committee on Immunization Practices (ACIP) website at <http://www.cdc.gov/vaccines/acip/index.html> or [Click here](#).

Well Child/Teen Checks: From 37 months through 18 years, UHA reimburses routine well child checks at the current recommended intervals from the Centers for Disease Control and the American Academy of Pediatrics or as recommended by the PCP.

- Guidelines for immunizations are based on the Childhood Immunization Schedules located online at Advisory Committee on Immunization Practices (ACIP) website at <http://www.cdc.gov/vaccines/acip/index.html> or [Click here](#).

7.7 Vaccinations

- Effective April 1, 1996, as a result of the Vaccinations for Children (VFC) Program, UHA reimburses Providers for the immunization administration fee only (with the exception of Varicella and adult vaccinations), when billed with the CPT code for the specific immunization. If a Provider does not participate the Member must be sent to another contracted Provider who participates with VFC.
- VFC is an Oregon Public Health program, in which vaccines for immunizing eligible children in public and private practices can be obtained **without charge** by Providers who service Medicaid, OHP, uninsured or American Indian/Alaskan Native patients through age 18.

Umpqua Community Health Center dba Aviva Health ("Aviva Health")

150 NE Kenneth Ford Dr.

Roseburg, OR 97470

Phone: 541.672.9596 or 541.440.3512

TTY: 877.874.7662

<http://aviva.health/> or [Click here](#).

- Flu Vaccination Policy
 - Vaccinations are available annually to all Members
 - Members may get the vaccine at either a contracted pharmacy, Provider's office or Aviva Health.
- Pneumococcal Vaccination/Revaccination Policy
 - Vaccinations are available at Aviva Health.
 - All recommendations for clinical preventive services can be found online at the U.S. Preventive Services Task Force website:
<http://www.uspreventiveservicestaskforce.org/Page/Name/recommendations> or [Click here](#).
- Adults may receive Hepatitis B immunizations without a PA.

7.8 Women's Health Services

Routine breast, pelvic exams and mammograms are based upon the recommended guidelines of The American College of Obstetricians and Gynecologists and can be located online at: <http://www.acog.org/> or [Click here](#).

- Routine breast and pelvic exams may be performed by the Member's PCP, or may be performed by a participating OB/GYN, without requiring a specialty referral.
- Under age 40, a PA is required for routine mammograms.

7.9 Family Planning Benefits

Services not requiring a referral and/or PA:

- UHA Members may be seen by their PCP, a panel OB/GYN, or a panel Urologist (vasectomies only), county health department, or family planning clinic for family planning services, without a referral.
- These claims must be billed with a "Family Planning" or "Contraceptive Management" diagnosis code in order to identify these claims as excluded from the standard referral procedures.
- UHA reimburses for formulary oral birth control medication, diaphragms, Depo-Provera injections and IUDs without requiring a PA. The removal of Norplant implants or similar devices is reimbursable, as long as the removal is performed by a participating panel Provider and is medically necessary.
- OHA covers abortion services, without a PA.

7.10 Sterilization

Voluntary Sterilization

Sterilizations and hysterectomies are a covered service only when they meet the federally mandated criteria in 42 CFR 441.250 to 441.259 and the requirements of OHA established in OAR 410-130-0580, Hysterectomies and Sterilization. The Provider performing the sterilization procedure (tubal ligation and vasectomy) is responsible for obtaining a completed and signed *Ages 15-20 Consent to Sterilization* or *Consent to Sterilization* form for Members age 21 and over. Parent/guardian signature for a child less than 15 years of age is required. Documentation must be received at least thirty (30) days, but not more than one hundred eighty (180) days prior to the date of the sterilization except:

- In the case when the sterilization was performed less than thirty (30) days but more than seventy-two (72) hours after the date of the Member's signature on the Consent form because of the following circumstances:
 - Premature delivery
 - Emergency abdominal surgery
- The performing Provider must sign the Consent form. The date of signature must be either the date the sterilization was performed or a date following the sterilization.
- The Consent form must be signed and dated by the person obtaining the consent after the Member has signed, but before the date of the sterilization. If an interpreter assists the Member in completing the form, the interpreter must also sign the consent.

When an UHA Member signs a *Consent to Sterilization* form, it must be an informed choice and they must be legally competent to give informed consent. The Consent is not valid if it is signed when the Member is:

- In labor
- Seeking or obtaining an abortion
- Under the influence of alcohol or drugs
- Signed less than 30 days prior to procedure

Consent to Sterilization form can be obtained by contacting:

OHA, Provider Forms Distribution

PO Box 14090
Salem, OR 97309-4090

Access the OHA form online at:

<https://www.oregon.gov/oha/PH/HEALTHYPEOPLEFAMILIES/REPRODUCTIVESEXUALHEALTH/RESOURCES/Pages/resources-medical.aspx#consent> or [Click here](#).

7.10.1 Hysterectomy

- **In cases where a woman is capable of bearing children** prior to the surgery, the person securing authorization must inform the woman and her representative that the hysterectomy will render her permanently incapable of reproducing. The woman must sign the consent acknowledging that she has received the information.
- **In cases where a woman is sterile prior to the hysterectomy** the Provider who performs the hysterectomy must certify in writing that the woman was already sterile prior to the hysterectomy and state the cause of sterility.
- **In cases where the hysterectomy is required because of a life-threatening emergency situation** the Provider performing the hysterectomy must certify in writing that the hysterectomy was performed under a life-threatening emergency situation in which it was determined that prior acknowledgment was not possible. The nature of the emergency must also be described.
- Please download the *Hysterectomy Consent Form* at <https://www.oregon.gov/OHA/HSD/OHP/Pages/Forms.aspx?wp2131=se:%22sterilization%22>, complete, attach and send with the claim to:

UHA Claims Processing Center

PO Box 5308
Salem, OR 97304

7.11 Tobacco Cessation

Tobacco cessation products are covered by the health plan. Nicotine replacement therapies including Nicotine Gum and Nicotine Patches are available without Prior Authorization (PA) for up to two quit attempts per year. Chantix and Zyban (bupropion) are also available without PA for up to two quit attempts per year. Please contact UHA Member Services at 541.229.4UHA (4842) or 866.672.1551 for any questions regarding coverage details.

Quit for Life Program

Phone: 866.QUIT.4.LIFE (866.784.8454)

TTY: 877.777.6534

<https://www.quitnow.net/oregon/> or [Click here](#)

7.12 Vision

All UHA Members have a routine vision benefit. Plan specific guidelines are located on the Umpqua Health Alliance website at: <http://www.umpquahealth.com/> or [Click here](#).

Members who are younger than 21 years of age qualify once every 12 months. This includes a vision exam, lenses, frame and fitting. Pregnant women (21 or older) can have an eye exam and new glasses (lenses and frames) every 24 months.

Medical eye exams are unlimited, if medically necessary.

Reimbursement
<ul style="list-style-type: none">• Per OHA guidelines, when a complete eye exam is done, CPT code 92015 will not be accepted as reimbursable when billed with CPT code(s) 92002, 92004, 92012, 92014.• Add-ons and buy ups for hardware are considered non-covered services, and as such the entire pair of glasses would be considered non-covered.• UHA reimburses the basic rates for standard hardware (lenses and frames).• Hardware may be ordered through a UHA participating Provider who will coordinate services.

If a Member wants to buy more expensive glasses, which are not included in the OHP Benefit Package, or wants to add options such as blended bifocals or trifocals, the Member is responsible for the entire cost of the glasses. The State of Oregon prohibits Plan coverage, in whole or in part, of a “buy-up” benefit.

Post Cataract Care, Members are covered for one lens change per eye post cataract surgery, Provider needs to bill with a medical condition.

7.13 Hearing

Hearing services are a covered benefit for UHA Members. Providers must request a PA in accordance to OAR 410-129-0080, Prior Authorization. UHA utilizes the most current OHA guidelines for hearing aid reimbursement and PA requirements as outlined in OAR 410-129-0070, Limitations (2), Audiology and hearing aid services.

7.14 Durable Medical Equipment (DME) & Supplies

DME and supplies can be described as equipment that can stand repeated use and is primarily used to serve a medical purpose. Examples include wheelchairs, walkers, concentrators, and orthopedic braces. Disposable medical supplies would include diapers, gauze, syringes, and tubing.

The UHA Policy and Procedures for DME and medical supplies are to be used in conjunction with the Medicare DMERC Supplier Manual and the OHA DME guide. DME coverage for eligible Members is based on these rules which govern the

provision and reimbursement for DME and Medical Supplies and can be found online at <http://www.oregon.gov/oha/healthplan/Pages/dme.aspx> or [Click here](#).

UHA has a process for managing the capped rental process for DME for Medicaid beneficiaries. In accordance with the Deficit Reduction Act of 2005, UHA has adopted the Medicaid/Medicare DME capped rental policy, whereby after 10 to 13 months of rental, the beneficiary owns the capped rental DME item. After that time, UHA will pay for reasonable and necessary maintenance and servicing (i.e., parts and labor not covered by suppliers or manufacturer's warranty) of the item. Rental charges, starting with the initial date of service, regardless of payer, apply to the purchase price. Please note oxygen rental terms vary from above. Please see the CMS website for details.

Rental fees include:

- Delivery
- Training in the use of the equipment
- Pick-up
- Routine service, maintenance and repair

Purchases include:

- Assessment
- Assembly
- Delivery
- Adjustment (reasonable follow-up)
- Training in the use of the equipment

Repairs include:

- A prescription is only required for the initial repair request for an item purchased by a different payer.
- Pick-up & delivery (travel time, phone time or ordering time is not to be billed), charges may only be for the time actually spent repairing the equipment).
- Miscellaneous codes are to be avoided if an appropriate code exists. If not, clearly identify item, its manufacturer, its rental price, and the price charged. All miscellaneous coded items are reviewed to verify if they are medically appropriate.
- Modifiers must be used when billing for DME.
- Rented DME: DME will rent until the combined rental equals the purchase price or the fee schedule maximum allowable, whichever comes first.
- Regular DME: If an item is part of the Medicaid capped rental program, continue to bill Medicaid for the maintenance per their schedule.

If a Member wishes to purchase a non-covered portion or service, they must purchase the entire service. If the Member accepts financial responsibility for a "buy up" service, payment is a matter between the Provider and the Member. The DME Provider is expected to maintain documentation of a signed OHA approved waiver should this occur, and is required to provide this information to UHA.

Wigs:

Members with hair loss related to chemotherapy or radiation therapy will be eligible for a wig benefit of at least \$150 per year. If you have any questions, please contact the UHA Member Services at 541.229.4UHA (4842) or 866.672.1551.

7.15 Emergency and Non-Emergency Medical Transport

Requirements/Guidelines	Reimbursement
<ul style="list-style-type: none">• Authorization is not required for emergent transport services.• The transport must be medically necessary.• Condition of the individual is such that use of any other means of transportation would endanger health.• Transport must be from a lower level of care to a higher level of care.• Medical transport for an inpatient or outpatient Member who is transported for the sole purpose of diagnostic or other short-term services (in which the Member is returned within the first 24-hour period) will be DENIED, per OHA rules.• Medical transport notes are required along with the submission of an ambulance claim.• Ambulance claims must be submitted on a CMS 1500 form.	<p><u>Base Rate includes:</u></p> <ul style="list-style-type: none">• Any procedure/services performed.• Non-reusable supplies and/or oxygen used.• All direct or indirect costs including general operating costs.• Personnel costs including neonatal intensive care teams employed by the ambulance Provider.• The first 10 miles of transport.• Use of reusable equipment.• Miscellaneous medical items or special handling that may be required in the course of transport. <p><u>Deceased Members:</u></p> <ul style="list-style-type: none">• When death occurs prior to the arrival of the transport Provider, the medical transport is not eligible for reimbursement.• When death occurs during the course of the medical transport, UHA reimburses for base rate and mileage.• A cardiac arrest victim is considered to be alive until such a time as medical interventions are curtailed.

Non-Emergency Medical Transportation (NEMT)

Bay Cities Brokerage arranges non-emergency medical transportation services (NEMT) for UHA Members. Their call center is available for Members or the Provider's office to contact Monday through Friday between 8:00 a.m. and 5:00 p.m. Rides should always be scheduled at least two business days in advance and no less than 24 hours, if possible. Bay Cities Brokerage will arrange the best transportation for the Member's needs.

As medically appropriate, Members may receive reimbursement for driving themselves or having a friend or family drive them to a medical appointment. A copy of the "Rider's Guide" can be downloaded online or requested by calling Bay Cities Brokerage.

Bay Cities Brokerage
1290 NE Cedar St
Roseburg, OR 97471
Phone: 877.324.8109 or 541.672.5661
Toll Free TTY: 711
<http://www.bca-ride.com/> or [Click here](#)

If you have questions regarding this covered service contact UHA Member Services at 541.229.4UHA (4842) or 866.672.1551.

7.16 Dental Services

Certain dental services are a part of UHA's benefits. These services are handled through the Member's assignment to a Dental Care Organization (DCO). The DCO assigns them to a dentist and coordinates their dental care. The Member's ID card will reflect which DCO they have been assigned to.

Members should contact UHA Member Services or the Dental Care Organization (DCO) listed on their Member ID card. Provider information or Member coverage may also be obtained by calling Advantage Dental at 866.268.9631.

7.17 Community Health Care Services

UHA affirms the value of cooperation between publicly supported programs such as community health clinics.

7.17.1 Benefits at Community Health Clinics

Any participating community health clinic may provide the following services, without requiring a referral from the Member's PCP:

- Family Planning Services: Birth control pills, Depo-Provera injections, IUD placement, condoms (with a copy of the prescription attached to the claim).
- Women's Health: Pregnancy tests, and annual women's health exams (with PAP smear). In cases in which a Member exhibits symptoms suspicious for UTI, appropriate diagnostic screening may be performed. However, claims for reimbursement must indicate the suspected UTI in order to be eligible for reimbursement. With a referral from the Member's PCP, county health departments may perform cryotherapy, colposcopies, and cervical biopsies.
- Immunizations: Administrative fees under the UHA Standard Immunization schedule.
- Prescriptions: Pre-natal vitamins, children's multi-vitamins and anti-lice medication.
- Screening and /or Diagnosis: Sexually Transmitted Diseases (including treatment), and HIV. Dual screening for UTI may also be performed as outlined above under "Women's Health".
- Tuberculosis Screening and some treatment – home visits by nurses require a PA.

7.17.2 Public Health Network

- Early and Periodic Screening, Diagnosis and Treatment (EPSDT) Services (aka, Medichex for Children and Teens) are covered for individuals under 21 years of age and can be provided by the Public Health Network.
- Public Health Networks may provide home visits by county health nurses for enforcement of tuberculosis treatment.

Contact information for our local community health clinic is:

Umpqua Community Health Center dba Aviva Health

150 NE Kenneth Ford Dr.

Roseburg, OR 97470

Phone: 541.672.9596 or 541.440.3512

TTY: 877.874.7662

<http://aviva.health/> or [Click here](#).

7.18 Internal Review Procedures

Member appeals and grievances data is present to the Clinical Advisory Panel (CAP), which meets quarterly. This Committee may determine if a corrective action needs to be taken.

7.19 Retroactive Review

Should services for routinely prior authorized services be required to be performed outside of normal business hours (e.g., skilled nursing facility admission, DME), retro-active authorization requests will be reviewed following the initiation (such as, an inpatient hospital stay), or provision of the service(s) in cases in which the Member's condition is emergent and/or services were provided outside of UHA's available health care service hours (Monday – Friday, 8:00 am – 5:00 pm).

For the purpose of retroactive authorization, UHA defines “emergent” as a medical condition manifesting itself by acute symptoms of sufficient severity such that a prudent layperson, with an average knowledge of health and medicine, could reasonably expect the absence of medical attention to result in:

- Serious jeopardy to the health of the individual or if pregnant, to the health of the woman or child; or
- Serious impairment of bodily functions; or
- Serious dysfunction of any bodily organ or part.

In order to be considered for approval:

- The request must be determined to be medically necessary and appropriate.
- Supporting documentation of medical necessity and emergent nature is provided with the retroactive PA request.

7.20 Refund Requests

On occasion, UHA will issue “refund requests” to Providers. Typically, these requests are generated because a Member is covered by other insurance or for claim adjustment purposes. It is UHA’s policy that Providers forward the requested reimbursement within thirty (30) days of receiving the request. Reimbursement not received within thirty (30) days may result in a deduction from the Providers’ future claim payments for the requested amount.

Section 8: MEMBERS

8.1 Member Responsibilities

- To choose your Provider or clinic once enrolled.
- To treat all Umpqua Health Alliance (UHA) Providers and personnel with respect.
- To be on time for appointments made with Providers.
- To call in advance if you are going to be late or have to cancel your appointment with a Provider.
- To seek periodic health exams, check-ups, and preventive service from your (PCP) or clinic.
- To use your PCP or clinic for diagnostic and other care, except in an emergency.
- To obtain a referral to a Specialist from your PCP or clinic before seeking care from a Specialist.
- To use urgent and emergency care appropriately and notify UHA Member Services or PCP within 72 hours of an emergency.
- To give accurate information for inclusion in the clinical record.
- To help the Provider or clinic obtain clinical records from other Providers. This may include signing a Release of Information form.
- To ask questions about conditions, treatment, and other issues related to your care that is not understood.
- To use information to make informed decisions about treatment before it is given.
- To help in the creation of a treatment plan with the Provider.
- To follow prescribe agreed-upon treatment plans.
- To tell the Provider that your health care is covered under the OHP before services are received and to show the Provider the Medical ID card when requested.
- To tell the DHS Case Worker if someone in the family becomes pregnant and to notify the DHS case worker of the birth of a child.
- To tell the DHS Case Worker if any family Member moves in or out of the household.
- To tell the DHS Case Worker if there is any other insurance available and report any changes in insurance in a timely manner.
- To pay for received non-covered services.
- To pay the monthly OHP premium on time, if required.
- To assist the health insurance plan in pursuing any third party insurance to which you are entitled and to pay the health insurance plan the amount of benefits you received as a result of an accident or injury.
- To bring issues, complaints, or grievances to the attention of UHA Clinical Engagement.
- To sign a release so that DHS and UHA can get information that is pertinent and needed to respond to an “Administrative Hearing” request in an effective and efficient manner.
- Contact UHA Fraud, Waste and Abuse at 541.229.7035 immediately if you suspect any fraud or abuse.

8.2 Member Rights

- To be treated with dignity and respect.
- To be treated by Providers the same as other people seeking health care benefits to which Member is entitled.
- To select or change a PCP.
- To obtain behavioral health, chemical dependency, or family planning services without referral.
- To have a friend, family Member, or advocate present during appointments and at other times as needed within clinical guidelines.
- To be actively involved in the development of a treatment plan.
- To receive information about their condition and covered and non-covered services, and to allow an informed decision about proposed treatment(s).
- To consent to treatment or refuse services and be told the consequences of that decision, except for court-ordered services.
- To receive written materials describing rights, responsibilities, benefits available, how to access services, and what to do in an emergency.
- To receive written materials explained in a manner which is understandable.
- To receive necessary and reasonable services to diagnose the presenting condition.

- To receive covered services under the OHP which meet generally accepted standards of practice and are medically appropriate.
- To obtain covered preventive services.
- To have access to care when it is needed, 24 hours a day, 7 days a week.
- To have access to their medical records, unless restricted by statute.
- To request changes to be made to their medical records.
- To transfer a copy of their medical records to another Provider.
- To make a statement of wishes for treatment (Advance Directive) and obtain a Power of Attorney for health care.
- To know how to make a complaint, grievance or appeal and receive a response.
- To receive written notice before a denial, or change in, a benefit or service level is made, unless such notice is not required by federal or state regulations.
- To request an “Administrative Hearing” with the DHS.
- To receive a notice of an appointment cancellation in a timely manner.
- To receive adequate OHA Notice of Privacy Practices (MSC 2090 (2/2014)).
- For problems that have not been resolved through OHP Client Services or other means, call the OHA Ombudsperson at 877.642.0450, TTY 711.

8.3 Member Materials

Members receive the following materials from Umpqua Health Alliance:

- **UHA Member Handbook** – At minimum, the UHA Member Handbook will contain the following elements:
 - Phone numbers to call for more information
 - Choice and use of primary care Provider
 - How to get a second opinion
 - Use of a referral system
 - Use of urgent and emergent services
 - How to change their medical records
 - General benefits (including preventative and family planning) available, and non-covered services
 - Information about UHA’s grievance and appeals process
 - Information about Advance Directives and Declaration for Mental Health Treatment
 - How to access the UHA Provider Directory
 - Health Risk Survey
- **Member ID Card**
 - Member’s full name
 - OHA identification number
 - Primary Care Provider (PCP)
 - Dental Care Organization (DCO)
 - How to access emergency services

If Members have questions regarding materials sent to them by UHA, they should be referred back to UHA Member Services at 541.229.4UHA (4842) or 866.672.1551, TTY 541.440.6304.

8.4 Access for Special Needs Members

UHA shall ensure that both the information and services provided are accessible to the Members.

- Providers are required by contract to comply with provisions of the American Disabilities Act (ADA). Providers shall provide for physical access to their offices. UHA staff may conduct an annual site review to determine the accessibility of each of the participating Provider’s office. As a Provider, you must ensure the following provisions;

street level access or accessible ramp into the facility, wheelchair access to the lavatory, corridor railings, and elevators operable from a wheelchair when appropriate.

- In addition, facilities and personnel shall be prepared to meet the special needs for Members who are visually and/or hearing impaired. Providers shall request sign interpreter services to be arranged.
- In the event that a PCP is unable to meet the unique needs of the UHA Member because of a specific disability, the PCP shall notify the ICM of the Member's physical limitations and services that may be required. The ICM shall secure the appropriate medical services or assist the Member in selecting a different participating Provider or secure services from a non-participating Provider.
- Policies pertinent to the processing of referrals shall apply. The Member's PCP shall be notified of any necessary changes. Efforts to locate a Provider shall be documented in the Member's file.

8.5 Access to Care Standards

UHA recommends the following office visit access standards for Members seeking medical services from participating PCP Providers.

Non-urgent, routine care	Must be seen, treated or referred within four weeks
Urgent care	Must be seen within 72 hours
Timeframe for follow-up visits following an ER visit or post hospital discharge	Must be seen within 72 hours
Wait time in office for scheduled appointment	Not to exceed 45 minutes without an explanation
Wait time in office for walk-in appointment if these are offered by the clinic	2 hours
Access to advice nurse on the telephone	2 hours
Return telephone calls from Provider's office	Routine by close of business day Urgent within 4 hours

The Member shall be informed when the Provider is not able to see the Member at the scheduled appointment time due to an emergency. The Member shall be offered an opportunity to reschedule the appointment at another time.

Providers are expected to abide by UHA's health plan policies N7- Network Adequacy Policy, N8- Monitoring Network Availability Policy and N9- Monitoring Network Access Policy.

8.6 Patient Advocacy

Provider may, without any constraint from UHA, advocate on behalf of a Member who is their patient, for the following:

- The Member's health status, medical care or treatment options, including any alternative treatment that may be self-administered.
- Any information the Member needs in order to decide among all relevant treatment options.
- The risks, benefits, and consequences of treatment or non-treatment.
- The Member's right to participate in decisions regarding his or her health care, including the right to refuse treatment, and to express preferences about future treatment decisions.
- Such contract provisions would not be allowed unless UHA has cited a moral or religious objection to counseling for a particular service or services and has provided written information to the State Medicaid agency.

8.7 Member Grievances & Appeals

UHA has two different procedures to deal with two different kinds of complaints from Members. The first is a Member Grievance procedure. A Grievance is a complaint from a Member that is not related to an action of UHA.

The second is a Member Appeal procedure. An Appeal is a complaint related to an Action of UHA. An Action is a denial or limited authorization of a requested covered service; reduction, suspension or termination of a previously authorized service; denial of payment for service; failure of the Health Plan to act within timeframes; denial of request to obtain services outside of the Health Plan's participating Provider panel. All Actions result in a written "Adverse Benefit Denial" from UHA to the Member.

If a Member expresses any sort of complaint or dissatisfaction with you or to you about some aspect of their care in the UHA plan that is NOT related to a Notice of Action, you should:

- Advise the Member to contact UHA in writing or by phone at 541.229.4842.
- Keep the Member's complaint confidential. If the Member wants to pursue their complaint, they can do so by following the UHA Grievance procedure.

If the complaint is something you can help with, please do not hesitate to address their concerns. For instance, if a Member complains about a long wait for an appointment, you can apologize for the wait and consider ways to remedy the situation. We encourage you to deal with Member complaints promptly and sensitively. In no event should you discourage a Member from making a complaint with UHA, but that does not mean that you cannot address a Member's complaint and allow the Member to decide whether to follow up with UHA or not.

If a Member expresses a complaint related to a Notice of Action (this will usually be about some sort of denied service) you should do this:

- Advise the Member to contact UHA in writing or by phone at 541.229.4842 to begin the appeal process.
- Keep the Member's complaint confidential. If the Member wants to pursue their complaint, they can do so by following the UHA Member Appeals procedure.
- If you feel it is appropriate, you can offer to support the Member in their Appeal of the Notice of Action. For example, if UHA has denied a service that you feel is important to the Member's health, you may support the Member's Appeal of that decision without any risk that UHA will penalize you for that. UHA encourages Providers to be advocates for their UHA Members.

8.8 Applicability of State and Federal Laws

As a State contractor, UHA receives State funds to provide services to UHA Members. As a participating Provider providing services to these Members, you are subject to laws applicable to individuals and entities receiving state and federal funds. Participating Providers who treat UHA Members are required to comply with applicable state and federal laws and regulations regarding Medicaid and Medicare.

8.9 Restraint & Seclusion in Delivery of Health Care

UHA Providers will ensure that Members are free from any form of restraint or seclusion used as a means of coercion, discipline, convenience, or retaliation, in accordance with state and federal regulations on the use of Restraints and Seclusion.

Contractor's shall comply with all state and federal laws and regulations including Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972 (regarding education programs and activities) the Age Discrimination Act (ADA) of 1990, and all amendments to those acts and all regulation promulgated there under. Contractors shall also comply with all applicable requirements of state civil rights and rehabilitation statutes and rules. CFR 438.100, Enrollee Rights.

Section 9: DOCUMENTATION

9.1 Medical Record Documentation Policies

Participating Providers are required to safeguard Member-identifying information and to maintain the records in an accurate and timely manner consistent with state and federal laws. Compliance with medical record policies will be monitored by Umpqua Health Alliance (UHA). By agreeing to participate, Providers agree to cooperate in random medical record reviews that are conducted by UHA. If evidence of substandard medical record keeping is identified by random chart note review, the Provider will be educated regarding this policy and further monitoring done as deemed necessary. Participating Providers may be required to submit corrective action plans for non-compliant processes if continued evidence of substandard medical record keeping is identified by random chart note review.

Each Provider shall maintain the confidentiality of the medical record information, assuring that the contents of the medical record shall be released to authorized personnel only. This includes UHA's designee or persons, as authorized by the Member in the Release of Information form. The Provider shall cooperate with UHA and their representatives for the purposes of audits and the inspection and examination of medical records. Medical record information can be released to UHA by the Provider without a HIPAA Authorization form signed by the Member, according to HIPAA regulations, if the disclosure is for treatment, payment, and healthcare operations.

The PCP is responsible for maintenance of each Member's integrated medical record that documents all types of services delivered, both during and after office hours.

Participating Providers shall include the following in the medical record for all UHA Members' medical records:

- Preventive visits according to established protocols, basis of the diagnostic impression, Member's primary complaint sufficient to justify any further diagnostic procedures and treatment or recommendations for return visits and referrals.
- The medical record shall be complete and legible. Each entry shall be dated, have a legible signature/initial and all pages identified with the Member's name. A complete record includes chart notes, nurses' notes, vital signs, medications, immunizations, and telephone message entries. This excludes problems on the problem list, prominent allergy notations and biographical or business information.
- Medical records shall be organized, uniform, detailed, current, and contain the securely attached record of one Member in each chart.

9.2 Declaration for Mental Health Treatment

"A Guide to Oregon's Declaration for Mental Health Treatment" was developed pursuant to Oregon Revised Statutes (ORS) 127.700 through 127.736. It was created to allow the Member to protect themselves when they are unable to make their own mental health treatment decisions. The Declaration for Mental Health Treatment form tells what kind of care the Member wants or does not want if they ever need that kind of care but are unable to make their wishes known. The Member can choose an adult to represent them. The Representative must agree to do so. The Representative keeps a copy of the Declaration and a copy is provided to the Member's PCP or mental health Provider. The Declaration is only good for three (3) years and must be renewed. If the Member is incapable of making mental health treatment decisions during the 3 years, the Declaration will remain until the time-when-ever that may be-that the Member regains capacity to make their own decisions. The Member can change or cancel the Declaration as long as they are still capable of understanding the information provided. A revised copy must be provided to the PCP, dental or mental health Provider. Only a court and two doctors can decide if the Member is not able to make decisions about their mental health treatment.

For more information on the Declaration for Mental Health Treatment, go to the State of Oregon's website at:
<http://www.oregon.gov/OHA/HSD/AMH/forms/declaration.pdf>

If your Provider does not follow your wishes in your Declaration for Mental Health Treatment, you can file a complaint. A form for this is at:

<http://www.oregon.gov/oha/PH/PROVIDERPARTNERRESOURCES/HEALTHCAREPROVIDERSFACILITIES/HEALTHCAREHEALTHCAREREGULATIONQUALITYIMPROVEMENT/Pages/complaint.aspx>. Send your complaint to:

Health Care Regulation and Quality Improvement Program

800 NE Oregon St, #465

Portland, OR 97232

Email: Mailbox.hcls@state.or.us

Fax: 971.673.0556

Phone: 971.673.0540; TTY: 711

9.3 Advance Directives (Living Wills)

An Advance Directive, also called a Living Will, explains the specific medical decisions the Member wants if they have a terminal illness or injury and are incapable of making decisions about their own care, including refusing treatment. Most hospitals, nursing homes, home health agencies and HMOs routinely provide information on advance directives at the time of admission. In order to comply with the Federal Patient Self Determination Act (PSDA) 1990 42 U.S.C. 1395 cc (a) Subpart E, UHA requires that PCPs, dental and mental health Providers ask Members if they have executed an Advance Directive or mental health treatment declaration. The Provider must document that fact in the Member's medical record, make a copy of the document and include it as part of their medical record.

To download a copy of an Advance Directive form, go to:

http://www.oregon.gov/DCBS/insurance/shiba/Documents/advance_directive_form.pdf or [Click here](#).

In Oregon, the Health Care Decisions Act (ORS 127.505 - 127.660 and ORS 127.995) allows the Member to preauthorize a health care representative(s) or health care power of attorney, at least 18 years of age, to allow the natural dying process if he or she is medically confirmed to be in one of the conditions described in his or her health care instructions. UHA encourages PCPs, as part of the Member education and registration process, to annually ask if the Member has executed an Advance Directive. If so, a copy should be put in the medical record.

UHA Case Management is available to assist Members with completing Advance Directives by contacting Member Services at 541.229.4842.

9.4 Notice of Privacy Practices and HIPAA

The Health Insurance Portability and Accountability Act of 1996 (HIPAA) protects your protected health information (PHI) and keeps it private. All participating Providers are required to comply with HIPAA Privacy and Security rules and regulations.

9.5 Change of Information

Please notify Provider Services of any changes to your practice including:

- Billing address
- Closing practice date
- Mailing address
- Member/patient limits and restrictions
- Physical office address
- Status of your Membership with Umpqua Health Alliance (UHA)
- Tax ID and NPI number
- Telephone number

Submit any changes by email to UHNProviderServices@umpquahealth.com or in writing:

Umpqua Health Network - Provider Services

3031 NE Stephens St

Roseburg, OR 97470

Section 10: COMPLIANCE

Umpqua Health is dedicated to operating in accordance with its CCO Contract with the Oregon Health Authority, along with State, Federal and Local regulations. Furthermore, Umpqua Health expects its Provider panel to operate with a high level of integrity to ensure compliance with regulations.

Umpqua Health will not tolerate deceitful, wasteful, abusive, or other similarly inappropriate activities among any of those individuals or entities whom we employ, serve, or otherwise do business with. More importantly, Umpqua Health takes the health and welfare of our patients, Members, and others we serve very seriously.

Many of Umpqua Health's Compliance Program documents may be accessed on UHA's website, or upon request. Additionally, Umpqua Health's Compliance Office can be reached, at the contact information listed below, if there are questions or concerns regarding requirements.

10.1 Code of Conduct and Ethics

Providers for Umpqua Health are required to comply with Umpqua Health's Code of Conduct and Ethics Program. This document provides a solid basis for Providers to understand the fundamental core values we hold ourselves to, as well as providing guidance in conducting business with or on behalf of UHA. To that end, Umpqua Health will provide a copy of its Code of Conduct and Ethics document to Providers during the credentialing and contracting process, and expect Providers to attest that they have read and understood this document.

10.2 Compliance Program and Fraud, Waste, and Abuse Prevention Plan Handbook and Policies and Procedures

Umpqua Health's Compliance Program and Fraud, Waste, and Abuse Prevention Plan Handbook and all applicable policies and procedures, govern the operational elements of its Compliance Program and Fraud, Waste, and Abuse (FWA) Plan. Accordingly, Providers are expected to fully comply and follow the requirements established in the Compliance Program and FWA Prevention Plan Handbook as well as its policies and procedures. These documents can be viewed on UHA's website.

10.3 Fraud, Waste and Abuse

Providers of Umpqua Health are required to comply with Umpqua Health's Fraud, Waste, and Abuse policies, along with Federal and State Fraud and Abuse laws. Below, Umpqua Health provides a brief description of some of the key Fraud and Abuse laws Providers should be aware of:

Federal False Claims Act (FCA) (31 U.S.C. § § 3729-3733 & 18 U.S.C. § 287)

The Federal FCA prohibits an individual or entity from submitting claims for payments to Medicare or Medicaid that are false or fraudulent. It is designed to ensure the Federal Government is not being overcharged or sold substandard goods or services. For civil penalties, no specific intent is needed for the FCA to be enforced. An example would include submitting a claim to Medicare or Medicaid for services that never occurred, or billing for services at a higher level than what was actually performed and documented.

Civil penalties for violating the Federal FCA include:

- Fines up to three times of the programs' loss.
- Civil monetary penalties of \$5,500 to \$11,000 per claim.
- Exclusion from Federal Healthcare participation.

Criminal penalties may also be administered in the event intent is proven, which could result in imprisonment and additional fines and/or penalties.

The Federal FCA also has the “Qui Tam,” provision, commonly referred to as the “Whistleblower Provision.” This provision allows an individual to file a lawsuit on behalf of the Federal Government, towards individuals or entities engaging in activities violating the FCA. In the event the whistleblower is the prevailing party, the whistleblower is entitled to part of the recovery proceeds (typically 15-25%). Lastly, whistleblowers are also granted certain levels of protection under the law, specifically regarding non-retaliation. Therefore, Umpqua Health takes a strong stance in prohibiting any form of retaliation against anyone who brings an issue forward in good faith.

Oregon False Claims Act (ORS 180.750)

Similar to the Federal FCA, the State of Oregon also has a FCA, which pertains to submitting a fake or fraudulent claim to the State of Oregon for payment.

Penalties include:

- Repayment of funds received.
- Penalty equal to the greater of \$10,000 for each violation, or an amount equal to twice the amount of damages incurred for each violation.

Anti-Kickback Statute (AKS) (42 U.S.C. § 1320a-7b(b))

AKS is a criminal statute that prohibits one from knowingly and willfully giving payments, or remuneration, to induce or reward referrals for services paid by Federal healthcare programs. Both the giving individual and the receiving individual can be implicated with the AKS Statute if the arrangement does not fit within a designated safe harbor. Remunerations can take many forms including cash, reduced rent, lavish vacations, medical directorships, pricey goods, etc. An example of an AKS scenario is a lab compensating a physician \$50 for each referral the physician sends to the lab. The AKS is an intent driven statute, meaning the compensation given or received was meant to drive up referrals. Lastly, the AKS Statute can also apply to the patient population. Routine waiver of copayments, excessive gifting to patients, free/discounted services, can also implicate AKS, as these remunerations may encourage patients to seek excessive services.

Violations for AKS include:

- \$50,000 penalty per kickback.
- \$25,000 criminal fine.
- Three times the amount of the remuneration.
- Five years in prison.
- Exclusion from Federal Healthcare participation.
- FCA violations.

Physician Self-Referral aka Stark Law (42 U.S.C. § 1395nn)

The Stark Law prohibits a physician from referring patients who are to receive “designated health services,” payable by Medicare or Medicaid, to an entity in which the physician (or immediate family Member) has a financial relationship. The Stark Law does not require intent for it to be enforced, and is strictly a liability statute. An example of a potential Stark Law violation would occur if a physician refers a patient to an imaging center that the physician has some form of ownership, and the arrangement did not fit within an exception under the Stark Law.

Penalties for Stark violations include:

- Penalties of \$15,000 per claim submitted.
- \$100,000 penalty per scheme.
- FCA violations.

Exclusion Statute (42 U.S.C. § 1320a-7)

Outside of fines and imprisonment, one of the Federal Government's best tool for combatting Fraud and Abuse is the use of the Exclusion Statute. Certain healthcare related offenses can result in the Health and Human Services' Office of Inspector General (HHS-OIG) seeking exclusion for individuals and entities. Excluded individuals or entities are prohibited from billing Medicare and Medicaid for treating patients, nor may their services be billed indirectly through a group or an employer.

Civil Monetary Penalties Law (CMPL) (42 U.S.C. § 1320a-7a)

The CMPL is a resource the Federal Government may use to sanction individual or entities for engaging in certain conduct. Such prohibited activities under the CMPL include:

- Offering inducements for services to Medicare and Medicaid patients.
- Offering inducements to physicians to limit services.
- Contracting or employing an individual who is excluded.
- Failing to report an overpayment.

Penalties for violating the CMPL vary depending on the situation, but may include:

- Fines up to \$50,000.
- Denial of payment.
- Repayment of the amount paid.
- Exclusion authority.
- FCA violation.

Criminal Health Care Fraud Statute 18 U.S.C. Section 1347

A criminal statute, which makes it a criminal offense for knowingly and willfully engaging in a scheme to defraud healthcare programs.

Penalties include:

- 10 years in prison.
- Up to \$250,000 fine.

10.4 Training

As a condition of contracting, Providers are required to complete certain trainings in order for Umpqua Health to meet contractual and regulatory requirements. These trainings should be conducted on an annual basis and cover the following:

- Fraud, waste, and abuse.
- HIPAA.
- Compliance training (Compliance Program and FWA Prevention Plan Handbook and Code of Conduct and Ethics).
- False Claims Act and Whistleblower Protection.

Umpqua Health shall require and provide training or ensure training is provided on implicit bias for all of the Provider network. Cultural Responsiveness and Implicit Bias training for the Provider network, at a minimum, includes:

- Implicit bias/addressing structural barriers and systemic oppression;
- Language access and use of health care interpreters;
- Culturally and Linguistically Appropriate Services (CLAS) Standards;
- Adverse childhood experiences/trauma informed care;
- Uses of data to advance health equity; and
- Universal access or accessibility in addition to ADA.

Providers may elect to utilize their own trainings or request trainings from Umpqua Health. If Providers intend to develop and utilize its own training, the Provider must ensure it aligns with the materials presented in:

- CMS Medicare Learning Network (<http://www.cms.gov/MLNProducts>).
- Umpqua Health Alliance's CCO contract with the Oregon Health Authority (Exhibit B, Part 8, Section 14).

Umpqua Health reserves the right to require its Providers attest and/or provide documentation that the Provider and its workforce has received the required trainings. In the event that a Provider cannot demonstrate training was provided, Umpqua Health may ask the Provider to complete a corrective action plan to address the deficiency.

10.5 Prohibition of Excluded Individuals

Umpqua Health is prohibited from engaging in any form of contractual relationship with individuals or entities who are actively excluded/debarred from participation in State and Federal healthcare programs. This requirement trickles down to its Providers, therefore, Providers are expected to comply with this requirement by ensuring they are not contracting or employing any individual who is actively excluded/debarred from State and Federal healthcare participation.

Commonly referred to as exclusion monitoring, Providers shall review monthly that none of their employees or contractors are actively listed on the following databases:

- HHS-OIG's List of Excluded Individuals (LEIE).
- Excluded Parties List System (EPLS), also known as System for Award Management (SAM).

In the event a Provider identifies an individual who is actively excluded/debarred, the Provider shall notify Umpqua Health's Compliance Department within one business day.

10.6 Cooperation with Compliance Activities

Umpqua Health engages in a variety of activities to support its Compliance Program. Providers and their staff are expected to fully cooperate with all of Umpqua Health's Compliance activities. Such activities include but are not limited to:

- External audits
- Provider audits
- FWA audits
- Subcontractor audits
- Investigations
- Trainings

In the event Umpqua Health identifies deficiencies associated with a Provider's performance, Umpqua Health will engage in a corrective action plan process with the Provider. Providers are expected to participate and take appropriate actions to mitigate any of the deficiencies in a timely manner.

10.7 Reporting Concerns

Individuals and Providers who suspect fraud, waste, or abuse or other suspicious activities, are required to report these concerns to Umpqua Health's Compliance Department. Furthermore, Umpqua Health expects its Provider panel to comply with its Non-Retaliation Policy for individuals who report matters in good faith. Reports can be made to:

Umpqua Health
Attn: Compliance Department
3031 NE Stephens St
Roseburg, OR 97470
Phone: 541.229.7043
Email: Compliance@umpquahealth.com

Umpqua Health also provides an anonymous hotline for individuals seeking anonymity. It can be access by:

Compliance & FWA Hotline (Can report anonymously)
Phone: 844.348.4702
Online: www.umpquahealth.ethicspoint.com

Lastly, reports can be made to State and Federal Regulators through the following channels:

Medicaid Fraud Control Unit (MFCU) (Provider FWA Referrals)
Oregon Department of Justice
100 SW Market Street
Portland, OR 97201
Phone: 971.673.1880
Fax: 971.673.1890

OHA Program Integrity Audit Unit (PIAU) (Provider FWA Referrals)
3406 Cherry Ave NE
Salem, OR 97303-4924
Phone: 888.372.8301

OHA/DHS Fraud Investigation (Member FWA Referrals)
P.O. Box 14150
Salem, Oregon 97309-5027
Phone: 888.FRAUD01 (888.372.8301)
Fax: 503.373.1525 ATTN: Hotline

US Department of Health and Human Services
Office of Inspector General
ATTN: OIG HOTLINE OPERATIONS
PO Box 23489
Washington, DC 20026
Phone: 800.HHS.TIPS (800.447.8477)
Fax: 800.223.8164
Web: <https://oig.hhs.gov/fraud/report-fraud/index.asp>