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2022 Compliance & Internal Audit Conference

Wednesday, November 30 - Friday, December 2, 2022
Mystic Marriott Hotel, Groton, CT

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Presenter and Topic

- Christine Janiszczak
 - Provider Outreach & Education Consultant
 - National Government Services, Inc. (NGS)
 - Part A Medicare Administrative Contractor (MAC) for Jurisdiction K (JK)
 - www.NGS Medicare.com
- Overview of Targeted Probe and Educate (TPE) Process
 - 12/1/2022

Disclaimer

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Objectives

- Attendees will
 - Learn about TPE process, how to participate in it and benefit from it
 - Hear about provider errors we've identified throughout TPE process so you can prevent them
 - Receive helpful TPE-related tips, tools and resources

Agenda

- NGS' Medical Review (MR)
- TPE process
- Medical record documentation preparation and submission
- What you should do now
- Resources
- Questions

NGS' MR – Objectives for MR Activities

- Identify and prevent inappropriate payments
- Identify potential risks to Medicare Trust Fund
- Educate providers
- Decrease provider burden
- Appropriately pay for covered services

NGS' MR – Prepayment vs. Postpayment Reviews

- Prepayment review
 - Initial determination made prior to claim payment
 - Example: TPE
- Postpayment review
 - Claim initially covered and then determination made
 - Determination may result in
 - No change to initial determination or
 - Revised determination (overpayment or underpayment)

NGS' MR – TPE Reviews Restarted

- 9/1/2021 – TPE reviews restarted after COVID-19 suspension
 - Rounds of TPE in progress prior to public health emergency (PHE) are closed
 - 1:1 education is available by request for postpayment reviews and Comparative Billing Reports (CBRs)
 - Case Management mailbox (educational purposes only)
 - JKACaseManagement@elevancehealth.com (Do not send PHI)

NGS' MR – What We Look for When Reviewing Medical Records

- Medical review of records for
 - Technical components
 - Physician certifications
 - Physician orders
 - Beneficiary election statements
 - Eligibility
 - Medicare coverage guidelines
 - Medical necessity
 - Documentation supports services billed

NGS' MR – Common Reasons for Claim Denials

- Certifying physician's signature not included
- Encounter notes do not support all elements of eligibility
- Documentation does not meet medical necessity
- Missing or incomplete initial certifications or recertifications

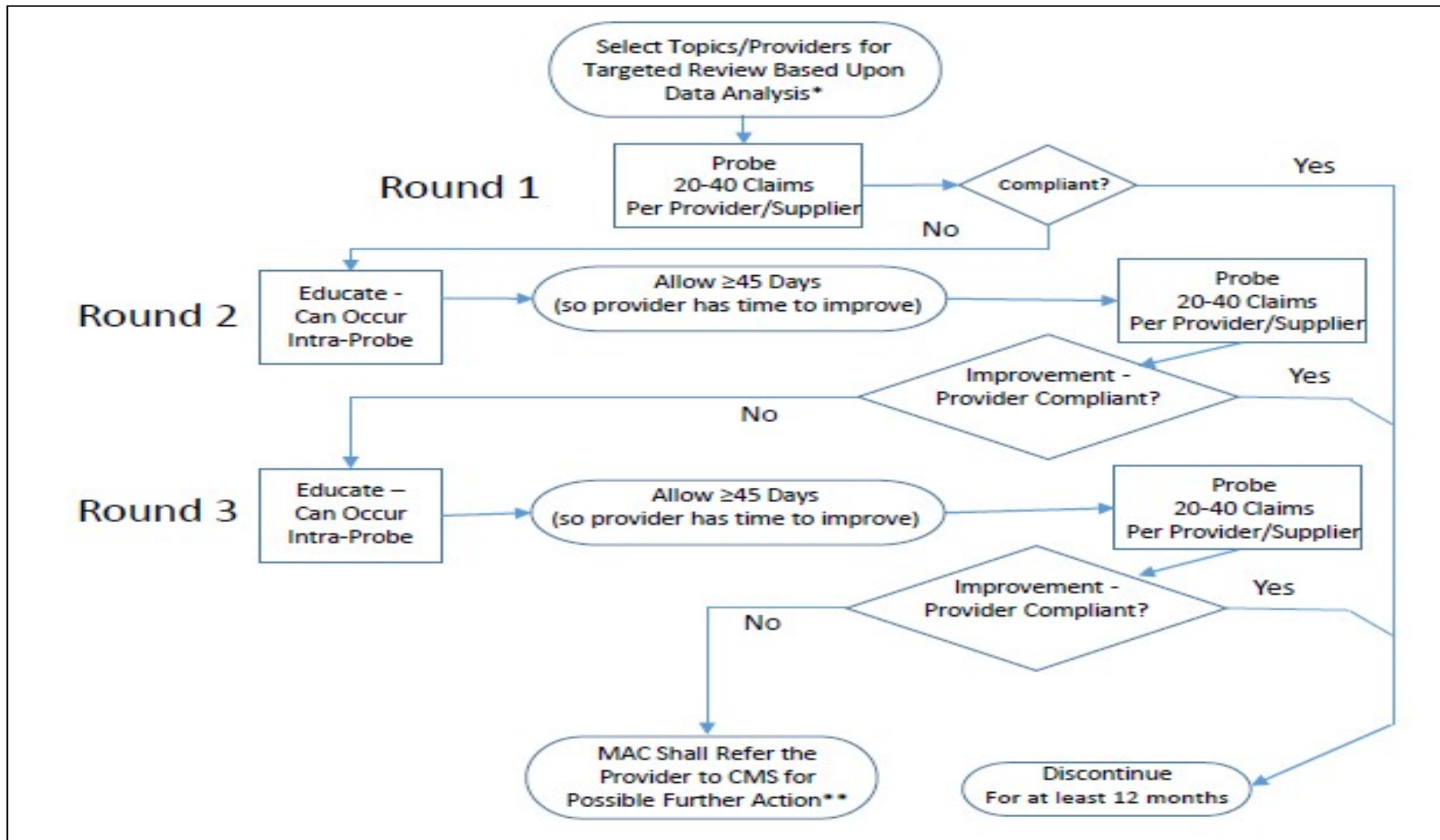
NGS' MR – Appealing a MR Decision

- You can appeal all MR decisions
 - First level = redetermination
 - 120 days from date of receipt of initial determination notice
 - May file an appeal
 - As soon as possible
 - Via MAC provider portal (e.g. NGSConnex) or mail

TPE Process – History and Goals

- Effective 10/1/2017, all lines of business
 - Demonstrations proved TPE successful in lowering error rates
 - TPE model changed process but not policy/procedures
- Help providers
 - Reduce claim denials and appeals through 1:1 help
 - Improve quickly and increase accuracy in specific areas
 - MACs work with providers to identify errors and help correct them

TPE Process – Flow Chart



TPE Process – MR Steps

- Identify providers and/or services to review
 - Use data analysis to determine
 - Providers with high claim error rates or unusual billing practices
 - Items/services with high national error rates that are a financial risk to Medicare
- Send provider a notification letter of review
- Select claim sample (20-40 per review round)
- Send ADR letters to provider requesting medical records

TPE Process – MR Steps

- Review records for Medicare requirements
- Determine payment error rate
- Send detailed results letter to provider
 - If payment error rate is high after round 1
 - Offer 1:1 education and conduct round 2
 - If payment error rate is high after round 2
 - Offer 1:1 education and conduct round 3
 - If payment error rate is high after round 3
 - Refer provider to CMS

TPE Process – Provider Steps

- Receive provider notification letter
 - Review and follow instructions
- Receive ADR letters for each claim in sample
 - Review and follow instructions
 - Prepare medical records and respond to each ADR
- Appeal claim denials if you choose to do so
- Receive detailed provider results letter
 - Review and follow instructions

TPE Process – Initial Probe (Round 1)

- Provider notification letter
- ADR letters
- Validation phase
- Calculation of payment error rates
- Detailed provider results letter
- 1:1 education if applicable

TPE Process – Initial Probe (Round 1): Provider Notification Letter

- First letter we mail (pink envelope)
- Explains why selected, what to expect, timeframes, to email us a contact person, and 1:1 education provided after review
- Includes list of claims (postpayment) or explains ADRs will follow for 20-40 claims and ADR reason code (prepayment)
- View [sample TPE notification letter](#)

TPE Process – Provider Notification Letter Tips

- Develop and implement internal process for who receives pink envelopes
- Provide us with contact person upon receipt
 - We deny many claims for missing documentation as we are unable to reach appropriate person to obtain
- Contact us if you don't receive ADRs in 1 month
 - We may refer non-responders to Recovery Auditor (RA) or Unified Program Integrity Contractor (UPIC)

TPE Process – Initial Probe (Round 1): ADR Letters

- System generated for selected claims
- Mailed to “pay to” or “practice location” on enrollment application
- Request medical record documentation
- Provide timeframe for response of 45 days from ADR date
 - Include claim, which records needed, where to send records and how to send records

TPE Process – ADR Letter Tips

- Respond prior to 45-day deadline for each claim with all applicable medical records
 - **We recommend 30-day response timeframe**
- Establish process to ensure proper staff is receiving and responding to ADRs timely
 - Prevents denials due to nonresponse

TPE Process – Initial Probe (Round 1): Validation Phase

- MR begins reviewing claims and associated medical records once they receive from provider
- MR has 30 to 60 days from date they receive documentation to review it and make a payment determination

TPE Process – Initial Probe (Round 1): Payment Error Rate Calculations

- MR calculates provider payment error rate based on review findings once they complete reviewing **all claims and records**
 - Nonresponses are included as errors
 - MR does not adjust rate per appeals outcomes
- Payment error rate
 - If < about 15%, MR sends results letter, no more rounds
 - If > about 15%, MR sends results letter, offers 1:1 education, moves to round 2

TPE Process – Initial Probe (Round 1): Provider Results Letter

- MR prepares at conclusion of round and mails to your Corporate Compliance Officer
 - After ALL claims processed and payment error rate determined
- Outlines TPE process and includes
 - Number of claims reviewed/denied, denial reasons, payment error rate, whether you are released from review or will move to another round and offer for 1:1 education as well as how to set it up

TPE Process – Provider Results Letter Tips

- Read carefully, follow instructions, contact us within 2 weeks
 - If moving to round 2 or 3, request 1:1 education, make corrections and implement processes
 - If you schedule education, next round is for claims with DOS no earlier than 45 days from education SESSION
 - If you wait to schedule education, next round is for claims with DOS no earlier than 45 days from education OFFER
 - If you do not schedule education, we mark this as a refusal
- Don't wait for letter to file appeals on denials

TPE Process – Rounds 2 and 3

- If high payment error rate, move to round 2
 - 45-56 days after 1:1 education
 - ADR letters
 - Validation phase
 - Calculation of payment error rate
 - Provider results letter with 1:1 education offer if applicable
- If high payment error rate, move to round 3
 - Same as above except last step is referral to CMS

TPE Process – CMS Referral

- After 3 rounds of review and continued high payment error rate, CMS may instruct NGS of any additional action which might include
 - Extrapolation
 - Referral to UPIC
 - Referral to RA Contractor
 - 100% prepayment review
 - Not an all-inclusive list

TPE Process – Billing/Coding Errors We See

- Unbundling of services that should be bundled
- Incorrect diagnostic and procedure codes assigned to claims
- Inappropriate modifiers assigned to claims,
- Services billed that don't quite make sense and are medically unlikely

TPE Process – Communication Tips

- Periodically check that all addresses are up to date and take action promptly if not
- Advise person who handles your mail to watch for and act on correspondence from us
- Follow up with us if you believe you are not getting all communication as expected
- Ensure your Compliance Department communicates with Department selected for TPE review

TPE Process – Education Tips

- Ensure staff familiar with LCDs/LCAs
- Use NGS tools and resources including
 - www.NGS Medicare.com
 - NGSConnex – Safe/secure, and ensures we receive ADR responses
 - POE Educational events
 - Texts, Twitter, YouTube
 - Case Management Team
 - Provides 1:1 education and assists during process

Medical Record Documentation Preparation and Submission – Examples

- Medical record documentation includes but is not limited to
 - Certificates of medical necessity, clinical evaluations, consultations, home health records, hospital records, imaging reports, physician orders, etc.
- Additional documentation examples
 - [Additional Development Request Letters Guide](#)

Medical Record Documentation Preparation

- Do
 - Copy both sides, if applicable
 - Organize (Use of coverletters is at provider discretion)
 - Paginate
 - Send within 45 days of ADR date (we recommend 30)
 - Attach each ADR to top of record(s)
 - Provide signature log, if applicable
 - Perform quality review

Medical Record Documentation Preparation

- Don't
 - Bind all records together if you are sending more than one medical record
 - Highlight records
 - Attach sticky notes or tabs
 - Change or alter records
 - Copy one page as a PDF file

Medical Record Documentation Preparation and Submission – Responding to ADRS

- Within 30 days of ADR date (recommended)
 - [Additional Development/Documentation Request Timeline Calculator](#)
- Submit with appropriate method, fax, address
 - Send each response separately, attach copy of ADR
 - Include all records necessary to support services for DOS
 - Include professionals' signatures/credentials
 - [CMS IOM Publication 100-08, Medicare Program Integrity Manual, Chapter 3, Section 3.3.2.4](#)

Medical Record Documentation Preparation Tips

- Ask clinician to check records to ensure you submit correct documentation
- Consider legibility of records
- Ensure all documents signed
- Ensure billing provider is signing
- If applicable, obtain records from prior hospital stay or from primary care doctor to support medical necessity

Medical Record Documentation Submission – Options



NGSConnex
esMD



National Government
Services Inc.
8115 Knue Road
Indianapolis, IN 46250
ATTN: Mail &
Distribution



National Government
Services Inc.
PO Box 7108
Indianapolis, IN
46207-7108



FAX: 315.442.4390

Always check www.NGSMedicare.com for the most current information

Medical Record Documentation Submission – CD/DVD

- Submit in PDF format via encrypted electronic media (CD, USB) – Suggest Secure-Zip
- Provide password in a separate mailing
 - Do not submit password information with CD/DVD
- Save each beneficiary as a separate file
- Provide contact in case we cannot open or read media
 - We return such media after 5 days of no response

Medical Record Documentation Submission – NGSConnex

- Access via [NGS Website](#)
- Register at [NGSConnex web page](#)
- MR ADR Portal
 - View ADR letter content and respond to MR ADRs
 - Submit supporting documentation
 - Obtain detailed status information including date we received documentation, dates nurse started and completed reviews, , review decision, appeals outcome

What You Should Do Now

- Share information with other staff members
- Watch for TPE review communications
- Develop and implement policies that ensure you participate in TPE process and take any necessary provider action
- Review resources slides
- Check our [Events calendar](#)
- Sign up for our [Email Updates](#)

Resources

NGS Resources

- Visit our website www.NGS Medicare.com
 - Log in (select your provider type and state)
 - For contact information, select [Contact Us](#) (top of page)
 - Interactive Voice Response (IVR) System, Mailing Addresses, NGSConnex, Provider Contact Center (PCC)
 - **Apps** > [NGS Twitter](#): @NGSMedicare
 - **Apps** > [NGS YouTube Videos](#)
 - [Targeted Probe and Educate \(TPE\) Medical Review Strategy](#)

NGS Resources

■ Education

- Medicare Topics > [Additional Documentation Requests](#)
- Manuals and Guides > [NGSConnex User Guide](#) > ADR
 - [Check Status of Additional Documentation Requests](#)
 - [Respond to ADR](#)
 - [Respond to ADR Not in List](#)
 - [View ADR Submission History](#)
- Manuals and Guides > [TPE Manual](#)
 - Medical Review Portal in NGSConnex
 - What is the Targeted Probe and Educate?

NGS Resources

- Address Corrections for Providers
- Additional Developmental Request Letters Overview
- How to Find and Respond to TPE ADR
- Methods for Submitting an ADR
- Results Letters
- Sample TPE Notification Letter
- Tips for Common Issues
- Medical Documentation Signature Requirements
- Appeals

NGS Resources

- [Events](#)
- **Resources**
 - Claims and Appeals > [Appeals](#)
 - Medicare Compliance > [Medical Review Process](#)
 - Medicare Compliance > [Targeted Probe and Educate](#)
 - NGSConnex > [NGSConnex Information](#)
 - Tools and Calculators > [Additional Development/Documentation Request Timeline Calculator](#)

CMS Resources

- [CMS website](#)
- Change Request 10249: [Targeted Probe and Educate](#)
- [CMS Internet-Only Manuals \(IOMs\)](#)
- [CMS Open Door Forums](#)
- [CMS Transmittals](#)
- [CMS Twitter: @CMSGov](#)

CMS Resources

- [CMS YouTube Videos](#)
 - [Targeted Probe and Educate – 2019 CMS National Provider Compliance Conference](#)
 - [Targeted Probe and Educate](#)
 - [Provider Minute: The Importance of Proper Documentation](#)
- [MLN Connects[®] Provider eNews](#)
 - If you are subscribed to our Email Updates, you already receive CMS' eNews

CMS Resources

- [MLN Matters articles](#)
- [MLN Publications & Multimedia](#)
- [MLN Web-Based Training](#)
- [Reducing Provider Burden](#)
- [Targeted Probe and Educate \(TPE\)](#)
- [Targeted Probe & Educate Flow Chart](#)
- [Targeted Probe and Educate Q & As](#)
- TPE program [simple one-pager](#)

QUESTIONS

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