

## **SECTION V.9. Utilization Review Procedures**

“Utilization Review” (UR) is a Department of Disabilities, Aging and Independent Living (DAIL) review process intended to assure that the Choices for Care (CFC) service type and volume are appropriate, person centered and meet the needs of eligible individuals in an efficient and effective manner. **DAIL staff** shall use the following procedures in completing utilization review.

### **A. Home-Based and Enhanced Residential Care (ERC) Setting**

1. DAIL staff shall review documents for completeness (see application procedures, Section III for required forms) including all necessary signatures by the case manager, the Participant or legal representative and the surrogate (when applicable).
2. DAIL staff shall review the assessment information, with particular emphasis on health and functional needs.
3. DAIL staff shall review the proposed Service Plan, personal care worksheet (home-based), Tier worksheet (ERC), and service volume.
4. DAIL staff shall document any concerns or actions on a UR form, including conversations with case managers or providers.
5. DAIL staff shall follow-up with case managers or service providers regarding any questions or concerns.
6. DAIL staff shall consider variables such as, but not limited to:
  - a. Health status of the individual
  - b. Functional needs of the individual
  - c. Total number of people living in the individual’s household
  - d. Size of the living environment
  - e. Utilization of other CFC services (such as adult day in the home-based setting)
  - f. Utilization of non-CFC services, including paid and unpaid help (such as Medicare home health services or family)
  - g. Variance requests submitted by the case manager
7. DAIL staff shall make adjustments to the Service Plan, when appropriate, according to CFC eligibility requirements, and service principles, definitions, standards, and limitations.
8. DAIL staff shall notify the case manager when a Service Plan is being adjusted.
9. DAIL staff will send a copy of the adjusted Service Plan to the individual and providers, including appeal rights.

### **B. Nursing Facility Setting**

Nursing facility services are provided as a bundled package to all eligible individuals. The daily rate for services is determined by the Division of Rate Setting, utilizing a case-mix method generated from the Minimum Data Set (MDS) tool.

The Department of Disabilities, Aging and Independent Living will conduct utilization review assessments on a case-by-case basis as needed, within the current state and federal regulations.

### **C. ACF Home-Based Setting**

1. DAIL staff shall review the AFC ILA for completeness.
2. DAIL staff shall review the AFC ILA assessment information, with particular emphasis on health and functional needs.
3. DAIL staff shall review the proposed AFC Tier worksheet to ensure the scores match the assessment information on the AFC ILA.
4. DAIL staff shall document any concerns or actions on a UR form, including conversations with case managers or providers.
5. DAIL staff shall follow-up with case managers or service providers regarding any questions or concerns.
6. DAIL staff shall consider variables such as, but not limited to:
  - a. Health status of the individual
  - b. Functional needs of the individual
  - c. Accuracy of assessment
7. DAIL staff shall notify the case manager of the AFC Tier.