
5. CREDENTIALING AND RECREDENTIALING

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1. Credentialing Policies

APPLIES TO:

A. This policy applies to all IEHP Medi-Cal Providers contracted under IEHP's Direct Network.

POLICY:

- A. IEHP adheres to all procedural and reporting requirements under state and federal laws and regulations regarding the credentialing and recredentialing process, including the confidentiality of Practitioner information obtained during the credentialing process. Department of Health Care Services (DHCS) can modify these requirements at any time and is required to notify the Centers for Medicare & Medicaid Services (CMS) within ninety (90) days prior to any such changes.
- B. IEHP has a well-defined credentialing and recredentialing process for evaluating and selecting licensed independent Practitioners to provide care to its Members.¹
- C. IEHP has a process that describes how primary source information is received, dated and stored; how modified information is tracked and dated from its initial verification; the staff who are authorized to review, modify and delete information, and circumstances when modification or deletion is appropriate; the security controls in place to protect the information from unauthorized modification; and how the organization audits the processes and procedures.²
- D. IEHP has an annual documented process on monitoring its compliance with its CR (Credentialing) controls.³
- E. IEHP collects information from quality improvement activities and Member complaints for all Practitioner files undergoing the recredentialing process, to be included in the recredentialing decision making process.^{4,5}
- F. During the IEHP credentialing, recredentialing, and ongoing monitoring process, Practitioners are reviewed to monitor when network Physicians have opted out of participating in the Medicare Program, by verifying our Practitioners are not included on the Medicare Opt-Out Report.^{6,7}
- G. IEHP does not contract with Practitioners who are precluded from receiving payment for Medicare Advantage (MA) items and services Part D drugs furnished or prescribed to

¹ Title 42 Code of Federal Regulations (CFR), Part 455, Subpart E

² National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, CR 1, Element A, Factors 1-11

³ NCQA, 2023 HP Standards and Guidelines, CR 1, Element D, Factors 1-3

⁴ Medicare Managed Care Manual, Chapter 6 "Relationships with Providers", Chapter 6 § 60.3

⁵ DHCS APL 19-004

⁶ Medicare Managed Care Manual, Chapter 6 "Relationships with Providers", Chapter 6 § 60.2

⁷ DHCS APL 19-004

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Medicare beneficiaries. IEHP does not allow Practitioners identified on the preclusions list to participate in the IEHP network.

- H. IEHP documented process for identifying Transgender Competent Practitioners during the credentialing and recredentialing process.
- I. IEHP’s documented process for pre-screening credentialing applications from Behavioral Health, Mental Health, and/or Substance Use Disorder Providers.

PURPOSE:

- A. IEHP promulgates credentialing and recredentialing decision guidelines for Practitioners directly contracted with IEHP and Practitioners credentialed and contracted by IEHP, to perform these activities.
- B. IEHP must demonstrate a rigorous process to select and evaluate Practitioners.
- C. IEHP must offer to contract with at least one each of the following mandatory Provider types in each of our services counties, where available: Certified Nurse Midwife (CNM) and Licensed Midwife (LM).⁸
- D. Using the Internet for Primary Source Verification (PSV): PSV on documents that are printed/processed from an internet site (e.g. BreEZe, National Practitioner Data Bank (NPDB) etc.), the data source date (as of date, release date) must be queried within the timeframe. The date of the query must be verified prior to the Credentialing Decision. If there is no data source date, the verifier must document the review date on the verification or the checklist. Verification must be from a National Committee for Quality Assurance (NCQA) approved and appropriate state-licensing agency.

DEFINITION:

- A. Attestation: A signed statement by a Practitioner confirming the validity, correctness, and completeness of a credentialing application.⁹
- B. Automated Verification: Requires there be a mechanism to identify the name of the entity verifying the information, the date of the verification, the source, and the report date, if applicable.
- C. Board-certified: A Practitioner has satisfied the requirements/standards of a nationally recognized specialty board and received the board’s specialist certification.¹⁰
- D. Board-certified consultant: A Practitioner external to an organization who holds certification from an American Board of Medical Specialties (ABMS), American Osteopathic Association

⁸ Department of Health Care Services (DHCS) All Plan Letter (APL) 21-006 Supersedes APL 20-003, “Network Certification Requirements”

⁹ NCQA, 2022 Health Plan Standards and Guidelines, Glossary

¹⁰ Ibid.

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(AOA) or other specialty board and acts in an advisory capacity to the organization.¹¹

- E. Clean files: Credentialing files that meet the organization's criteria for participation and are not required to be sent to the credentialing committee for review.¹²
- F. Clinical Privileges: A Practitioner is authorized by a health care facility to provide defined patient care services at the facility, based on the Practitioner's license, education, training, experience, competence, and ability.¹³
- G. National Practitioner Data Bank (NPBD): A federally mandated agency that is the repository of information about settled malpractice suits and adverse acts, sanctions, or restrictions against the practice privileges of a Physician.¹⁴
- H. Peer review: Evaluation or review of colleague performance by professionals with similar types and degrees of expertise (e.g., evaluation of a Physician's credentials and practice by another Physician).^{15,16}
- I. Primary source: The entity that originally conferred or issued a credential.¹⁷
- J. Primary source verification: Verification of credentialing information directly from the entity (e.g., state licensing board) that conferred or issues the original credential.¹⁸
- K. PSV Documentation Methodology: The organization may use an electronic signature or unique electronic identifier of staff to document verifications (to replace the dating and initialing of each verification) if it can demonstrate that the electronic signature or unique identifier can only be entered by the signatory. The system must identify the individual verifying the information and the date of verification.
- L. Qualitative analysis: An examination of deficiencies or processes that may present barriers to improvement or cause failure to reach a stated goal. Also called a causal, root cause or barrier analysis. The analysis involves those responsible for the execution of the program.
- M. Quantitative analysis: A comparison of numeric results against a standard or benchmark, trended overtime using charts, graphs, or tables. Unless specified, tests of statistical significance are not required, but may be useful when analyzing trends.
- N. Verification Time Limit (VTL): National Committee for Quality Assurance (NCQA) counts back from the decision date to the verification date to assess timeliness of verification.
- O. Verbal Verification - Requires a dated, signed document naming the person at the primary

¹¹ Ibid.

¹² Ibid.

¹³ Ibid.

¹⁴ Ibid.

¹⁵ Ibid.

¹⁶ Business and Professions Code § 805

¹⁷ NCQA, 2022 Health Plan Standards and Guidelines, Glossary

¹⁸ NCQA, 2022 Health Plan Standards and Guidelines, Glossary

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source who verified the information, his/her title, the date, and time of verification and include what was verified verbally.

- P. Written Verification - Requires a letter or documented review of cumulative reports. IEHP must use the latest cumulative report, as well as periodic updates released by the primary source. The date on which the report was queried, and the volume used must be noted.

PROCEDURES:

- A. IEHP has a well-defined credentialing and recredentialing process for evaluating and selecting licensed independent Practitioners to provide care to its Members that includes Practitioner Credentialing Guidelines that specify:^{19,20}

1. The types of Practitioners it credentials and recredentials. Credentialing requirements apply to:²¹
 - a. Practitioners who are licensed, certified, or registered by the State of California to practice independently (without direction or supervision).
 - b. Practitioners who have an independent relationship with the organization. An independent relationship exists when the organization directs its Members to see a specific Practitioner or group of Practitioners, including all Practitioners whom Member can select as PCPs.
 - c. Practitioners who provide care to Members under the organization's medical benefits.
 - d. The criteria listed above apply to Practitioners in the following settings:
 - 1) Individual or group practices;
 - 2) Facilities; and
 - 3) Telemedicine.
 - e. IEHP is required to contract with and credential all Practitioners defined as PCPs, Specialists, Non-Physician Practitioners, and Physician Admitters, including employed Physicians participating on the Provider Panel and published in external directories who provide care to Members. At minimum, they include:
 - 1) Doctor of Medicine (M.D.)
 - 2) Doctor of Osteopathic Medicine (D.O.)
 - 3) Doctor of Podiatric Medicine (D.P.M.)

¹⁹ 42 CFR § 422.204

²⁰ DHCS APL 19-004

²¹ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 1

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- 4) Doctor of Dental Surgery (D.D.S.) or Doctor of Dental Medicine (D.M.D.), who provide medical services only
 - 5) Occupational Therapists (O.T.)
 - 6) Physical Therapy (P.T.)
 - 7) Physician Assistants (P.A.) or Physician Assistants Certified (P.A.-C)
 - 8) Certified Nurse Midwives (C.N.M.)²²
 - 9) Nurse Practitioners (N.P.)
 - 10) Speech Pathologists (S.P.)
 - 11) Audiologists (Au.)
 - 12) Registered Dieticians (R.D.) and Nutritionists
 - 13) Psychiatrists (M.D.)
 - 14) Licensed Marriage and Family Therapists (L.M.F.T.)
 - 15) Licensed Clinical Social Workers (L.C.S.W.)
 - 16) Psychologists (Ph.D., Psy.D.)
 - 17) Doctor of Chiropractic (D.C.)
 - 18) Licensed Acupuncturists (L.Ac.)
 - 19) Optometrists (O.D.)
 - 20) Licensed Midwife (L.M.)²³
 - 21) Other Behavioral Healthcare Practitioners
 - Addiction Medicine Specialists
 - Master Level Clinical Nurses
 - License Professional Clinical Counselors (L.P.C.C.)²⁴
- f. Practitioners who do not need to be Credentialed:
- 1) Practitioners who practice exclusively in an inpatient setting and provide care for organization Members only because Members are directed to the Hospital or another inpatient setting;

²² Department of Health Care Services (DHCS) All Plan Letter (APL) 18-022 supersedes APL 16-017 and APL 15-017, “Provision of Certified Midwife and Alternative Birth Center Facility Services”

²³ DHCS APL 18-022

²⁴ Medicare Managed Care Manual, Chapter 6 “Relationships with Providers”, Chapter 6 § 60.3

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- 2) Practitioners who practice exclusively in free-standing facilities and provide care for organization Members only because Members are directed to the facility;
 - 3) Pharmacists who work for a pharmacy benefit management (PBM) organization to which the organization delegates utilization management (UM) functions;
 - 4) Covering Practitioners (e.g., locum tenens), who do not have an independent relationship with the organization are outside NCQA's scope of credentialing;
 - 5) Practitioners who do not provide care for Members in a treatment setting (e.g., board-certified consultants);
 - 6) Rental network practitioners who provide out-of-area care only, and Members are not required or given an incentive to seek care from them; and
 - 7) Practitioners that are Hospital-based and do not see Members on a referral basis.
2. Listed below are the sources used by IEHP to verify credentialing information. All verification sources are included in policy to ensure compliance.
- a. All Practitioners must be licensed by the appropriate state licensing agency in the state where they practice. The following license verifications must be obtained by the licensing board or their designated licensing and enforcement systems.
 - 1) The following licensures may be verified through BreZE Online services or directly with the licensing board via phone or mail:
 - Medical Board of California (M.D.)
 - Osteopathic Medical Board of California (D.O.)
 - Board of Podiatric Medicine (D.P.M.)
 - Board of Behavioral Sciences (L.M.F.T., L.C.S.W., M.F.C.C., L.P.C.C.)
 - Board of Psychology (Ph.D., Psy.D.)
 - Dental Board of California (D.D.S., D.M.D.)
 - California Board of Occupational Therapy (O.T.)
 - California State Board of Optometry (O.D.)
 - Physical Therapy Board of California (P.T.)
 - Physician Assistant Committee (P.A., P.A.-C)
 - California Board of Registered Nursing (C.N.M., N.P.)
 - California Board of Chiropractic Examiners (D.C.)
 - Speech-Language Pathology & Audiology Board (S.P., Au)

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- Acupuncture Board (L.Ac.)
- 2) Arizona practitioner licensures may be verified through the Arizona Medical Board (M.D., D.O., P.A.).
- b. Drug Enforcement Administration (DEA) or Controlled Dangerous Substance (CDS) certificate, if applicable (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision date). All Practitioners who are qualified to write prescriptions, except non-prescribing Practitioners, must have a valid and current DEA certificate verified through one (1) of the following sources:
 - 1) A photocopy of the current DEA certificate, with date stamped and initialed by the reviewer to show receipt and review prior to the credentialing decision.
 - 2) IEHP may credential a Practitioner whose DEA certificate is pending or pending a DEA with a California address, by obtaining written documentation that the Practitioner with a valid DEA certificate will write all prescriptions requiring a DEA number for the prescribing Practitioner until the Practitioner has a valid DEA certificate. The prescribing Practitioner's name, DEA Number, and NPI number will be documented within the Practitioner's file; or
 - 3) If a Practitioner does not have a DEA or CDS certificate, IEHP must have a documented process to require an explanation why the Practitioner does not prescribe medications and to provide arrangements for the Practitioner's patients who need prescriptions requiring DEA certification.
 - 4) If Practitioners practicing in Arizona, IEHP may credential a Practitioner whose DEA certificate is pending or pending a DEA with an Arizona address, by obtaining written documentation that the Practitioner with a valid DEA certificate will write all prescriptions requiring a DEA number for the prescribing Practitioner until the Practitioner has a valid DEA certificate. The prescribing Practitioner's name, DEA Number, and NPI number will be documented within the Practitioner's file.
- c. Education and Training (VTL: Prior to the Credentialing Decision) IEHP may use any of the following to verify education and training:
 - 1) The primary source from the medical school; or
 - 2) The state licensing agency, or specialty board or registry, if the state agency and specialty board, respectively, perform primary source verification. IEHP:
 - Obtains on at least an annual basis written confirmation of primary source verification from the primary source, at least annually; or
 - Provides a printed, dated screenshot of the state licensing agency or specialty board or registry website displaying the statement that it performs

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primary source verification of Practitioner education and training information; or

- Provides evidence of a state statute requiring the licensing agency, specialty board or registry to obtain verification of education and training directly from the institution; or
 - National Student Clearinghouse may be considered an agent of the medical or professional school if the school has a contract with the Clearinghouse to provide verification services.
 - IEHP must provide documentation that the specific school has a contract with the Clearinghouse, to ensure compliance with NCQA.
- 3) Sealed transcripts, if the organization provides evidence that it inspected the contents of the envelope and confirmed that Practitioner completed (graduated from) the appropriate training program; or
- 4) Below are acceptable sources for Physicians (M.D., D.O.) to verify graduation from Medical School:
- American Medical Association (AMA) Physician Master File;
 - American Osteopathic Association (AOA) Official Osteopathic Physician Profile Report or AOA Physician Master File; and
 - Educational Commission for Foreign Medical Graduates (ECFMG) for international medical graduates licensed after 1986.

Below are acceptable sources for Physicians (M.D., D.O.) to verify completion of residency training:

- Primary source from the institution where the postgraduate medical training was completed;
- AMA Physician Master File;
- AOA Official Osteopathic Physician Profile Report or AOA Physician Master File; and
- Federation Credentials Verification Service (FCVS) for closed residency programs.
 - NCQA only recognizes residency programs accredited by the Accredited Council for Graduate Medical Education (ACGME) and the American Osteopathic Association (AOA) (in the United States) or by the College of Family Physicians of Canada (CFPC) or the Royal College of Physicians and Surgeons of Canada.

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- 5) Below are the acceptable sources for Licensed Professional Clinical Counselors (L.P.C.C.'s) to verify training in Couples and Families:
- Effective January 1, 2022, Licensed Clinical Counselors (LPCCs) the additional requirements to Assess or Treat Couples and Families and the requirement for 150 hours of clinical experience in a Hospital or community mental health settings were eliminated; therefore, are no longer required by IEHP.²⁵
- 6) Below is the acceptable source for Nurse Practitioners (NPs) with a Behavioral Health (BH) designation, to verify training in Psych/Mental Health.
- The qualification must be recognized and verified through the BreZE Online services website or directly with the licensing board via phone or mail.
- 7) Below is the acceptable source for Registered Dietician (R.D.s):
- Commission on Dietetic Registration
- d. Board Certification (VTL: 180 calendar days prior to Credentialing decision date). Below are the acceptable sources to verify board certification:
- 1) For all Practitioner types
 - The primary source (appropriate specialty board); or
 - The state licensing agency if the primary source verifies board certification.
 - 2) For Physicians (M.D., D.O.)
 - American Board of Medical Specialties (ABMS) or its member boards, or an official ABMS Display Agency, where a dated certificate of primary-source authenticity has been provided.
 - The ABMS “Is your Doctor Board Certified,” accessible through the ABMS website, is intended for consumer reference only and is not an acceptable source for verifying board certification.
 - AMA Physician Master File.
 - AOA Official Osteopathic Physician Profile Report or AOA Physician Master File.
 - Boards in the United States that are not members of the ABMS or AOA if the organization documents within its policies and procedures which specialties it accepts and obtains annual written confirmation from the

²⁵ Assembly Bill 462

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- boards that the board performs primary source verification of completion of education and training.
- 3) For other health care professionals
 - Registry that performs primary source verification of board that the registry performs primary source verification of board certification status.
 - 4) For Podiatrists (D.P.M.)
 - American Board of Foot and Ankle Surgery (formerly The American Board of Podiatric Surgery).
 - The American Board of Podiatric Medicine.
 - American Board of Multiple Specialties in Podiatry.
 - 5) For Nurse Practitioners (N.P.)
 - American Association of Nurse Practitioners (AANP).
 - American Nurses Credentialing Center (ANCC).
 - National Certification Corporation for the Obstetrics, Gynecology and Neonatal Nursing Specialties (NCC).
 - Pediatric Nursing Certification Board (PNCB).
 - American Association of Critical-Care Nurses (AACN).
 - 6) For Physician Assistants (P.A.-C.)
 - National Commission of Certification of P.A.'s (NCCPA).
 - 7) For Certified Nurse Midwives (C.N.M.)
 - American Midwifery Certification Board (AMCB).
 - 8) For Psychologists (Ph.D., Psy.D.)
 - American Board of Professional Psychology (ABPP).
- e. Work history (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision date) IEHP must obtain a minimum of the most recent five (5) years of work history as a health professional through the application, Curriculum Vitae (CV) or work history summary/attachment, providing it has adequate information.
 - f. Malpractice Claim History. A history of professional liability claims that resulted in settlement or judgment paid on behalf of the Practitioner. (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision date). IEHP will obtain confirmation of the past seven (7) years of malpractice settlements through one (1) of the following sources:

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- 1) Malpractice Insurance Carrier;
 - 2) National Practitioner Data Bank Query; or
 - 3) Evidence of Continuous Query (formerly Proactive Disclosure Services (PDS). Continuous Query must be reviewed within one hundred-eighty (180) calendar days of the initial credentialing decision. Evidence must be documented in the file or on checklist.
- g. Current Malpractice Insurance Coverage. IEHP requires that a copy of the insurance face sheet or Certificate of Insurance (COI) or written verification from the insurance carrier directly, be obtained in conjunction of collecting information on the application. (VTL: Must be evidence that the Practitioner has current and adequate malpractice coverage prior to the Credentialing Committee date and remain valid and current throughout the Practitioner’s participation with IEHP).
- 1) For Practitioners with federal tort coverage, (e.g. Health Resources & Services Administration (HRSA)), the Practitioner must submit:
 - A copy of the face sheet or a federal tort letter as an addendum to the application. The face sheet or federal tort letter must include the:
 - Insurance effective and expiration dates (future effective dates are acceptable)
 - A roster that lists the practitioners covered under the federal tort coverage.
- h. Hospital Admitting Privileges: IEHP must verify that Practitioners have clinical privileges in good standing. Practitioner must indicate their current Hospital affiliation or admitting privileges at a participating Hospital. Verification that all clinical privileges are in good standing to perform functions for which the Practitioner is contracted, to include verification of admitting privileges, must be confirmed with the Hospital, in writing, via approved website or verbally.
- 1) If a published Hospital directory is used, the list must include the necessary information and be accompanied by a dated letter from the Hospital attesting that the Practitioner is in “good standing.”
 - 2) If the Practitioner does not have clinical privileges, IEHP must have a written statement delineating the inpatient coverage arrangement documented in the Providers file. (See Policy 5B, “Hospital Privileges”).
 - 3) Allied Health Professionals (Non-physicians i.e. Chiropractors, Optometrists) will not have Hospital privileges and documentation in the file is not required for these types of Practitioners.
 - 4) Advanced Practice Practitioners (Physician Assistants (PA), Nurse Practitioners (NP), Certified Nurse Midwives (CNM)) may not have Hospital privileges.

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However, if they provide IEHP their Hospital privileges, IEHP will be responsible for verifying if those privileges are active and ensure they are in good standing.

- 5) Specialists (MDs, DOs and DPMs) may not have Hospital privileges. Documentation must be noted in the file as to the reason for not having privileges (e.g. A note stating that they do not admit as they only see patients in an outpatient setting is sufficient).
- i. State Sanctions and Restrictions on Licensure and Limitation on Scope of Practice. State sanctions, restrictions on licensure or limitations on scope of practice (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision).
 - 1) Verification sources for sanctions or limitations on licensure include:
 - Chiropractors: State Board of Chiropractic Examiners, Chiropractic Information Network/Board Action Databank (CIN-BAD, or NPDB).
 - Oral Surgeons: State Board of Dental Examiners, or State Medical Board, NPDB.
 - Physicians: Appropriate state board agencies, Federation of State Medical Boards (FSMB), NPDB.
 - Podiatrists: State Board of Podiatric Examiners, Federation of Podiatric Medical Boards, NPDB.
 - Non-Physician Healthcare Professionals: State licensure or certification board, appropriate state agency, NPDB.
 - For practitioners screened using the Continuous Query (formerly Proactive Disclosure Service (PDS))
 - Evidence of current enrollment must be provided.
 - Report must be reviewed within one hundred eighty (180) calendar days of the initial credentialing decision.
 - Evidence of review must be documented in the file or on checklist.
- j. Medicare/Medicaid Sanctions. Verification Sources for Medicare/Medicaid Sanctions:
 - 1) OIG must be the one (1) of the verification sources for Medicare sanctions, to ensure compliance with CMS.²⁶

²⁶ DHCS APL 19-004 Supersedes APL 17-019, "Provider Credentialing / Recredentialing and Screening / Enrollment"

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- 2) The Medi-Cal Suspended and Ineligible list must be one (1) of the verification source for Medicaid sanctions, to ensure compliance with DHCS.²⁷
 - 3) NPDB
 - 4) FSMB
 - 5) Federal Employees Health Benefits Program (FEHB) Program Department Record, published by the Office of Personnel Management, OIG.
 - 6) List of Excluded Individuals and Entities (maintained by OIG).
 - 7) Medicare Exclusions Database.
 - 8) State Medicaid Agency or intermediary and the Medicare intermediary.
 - 9) For practitioners screened using the Continuous Query (formerly Proactive Disclosure Service (PDS)).
- k. National Provider Identifier (NPI) Number: Practitioners must hold and maintain a valid and active individual National Provider Identification Number (NPI) that can be verified through the NPPES website.
- 1) Group NPI Numbers may be requested by IEHP, in addition to the mandatory individual NPI number.²⁸
- l. Medi-Cal Enrollment. IEHP uses the California Health & Human Services Agency’s portal to confirm the Providers enrollment status with the Medi-Cal Program through DHCS, prior to the Provider beginning the credentialing process.²⁹
3. IEHP verifies that the following are within the prescribed time limits, for all credentialing applications, before Practitioners can provide care to Members. IEHP does not allow provisional credentialing. Policies must define the criteria required to reach a credentialing decision and must be designed to assess the Practitioner’s ability to deliver care. Practitioners who do not meet the criterion set forth in this policy are subject for review by the Credentialing Subcommittee and/or Peer Review Subcommittee. This criterion is used to determine which Practitioners may participate in its network, which may include, but are not limited to:³⁰
- a. Verification of Credentials
 - 1) A current and valid, unencumbered license to practice medicine in the state they practice (i.e. California or Arizona), at the time of Credentialing decision.

²⁷ Ibid.

²⁸ DHCS APL 19-004 Supersedes APL 17-019, “Provider Credentialing / Recredentialing and Screening / Enrollment”.

²⁹ Ibid.

³⁰ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 3

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2) Current and valid DEA registered in the state the practice (i.e. California and/or Arizona), applies to Practitioners who are required to write prescriptions.

- If the Practitioner designates another Practitioner to write all prescriptions on their behalf, while their DEA is still pending, the Practitioner must provide the following information for the designated Physician to ensure compliance with NCQA:
 - Practitioner Name
 - NPI (IEHP requirement)
 - Used as a unique identifier for the prescribing practitioner
 - DEA Number (IEHP requirement)
 - Used to validate that the DEA is current, active and registered in California.

3) Education and Training. Medical Doctors (M.D.) and Doctor of Osteopathic (D.O.) must meet the education and training requirements set forth by the American Board of Medical Specialties (ABMS) or American Osteopathic Association (AOA) and additional criterion set by IEHP and noted below, if applicable. All IEHP specific specialty requirements are subject for review by the IEHP Medical Director or Chief Medical Officer. Further review may be completed by the Peer Review Subcommittee who will either approve or deny.

IEHP will consider all relevant information including practice site demographics, Provider training, experience, and practice capacity issues before granting any such change.

- If the Practitioner is not board certified in the subspecialty in which he/she is applying, there must be evidence of verification of residency and training in the subspecialty (e.g. Fellowship in Cardiology, Rheumatology, Pediatric Endocrinology, etc.), as relevant to the credentialed specialty, and meet the training requirements as set forth by ABMS or AOA.
 - Practitioners who do not meet graduate medical training requirements as set forth by ABMS or AOA for the Provider's requested subspecialty, will be subject to review by the IEHP Credentialing Subcommittee for review. Further review may be completed by the IEHP Peer Review Subcommittee.
- IEHP requires Practitioners to meet the internship and residency requirements to be a Pediatric, Internal Medicine, Family Practice, or Public Health and General Preventive Medicine Provider in order to be credentialed as a PCP in IEHP's network.

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- A Practitioner may be grandfathered from the requirements of this policy if:
 - The Practitioner was a participating Physician with IEHP or its Delegate prior to January 1, 2017; and
 - The Practitioner's participation with IEHP or its Delegate did not lapse or terminate for any reason.
 - If the Practitioner's participation lapses or terminates for any reason, then the Practitioner is considered a new Practitioner and is not grandfathered. The Practitioner may not reapply or be reinstated as a PCP.
- A Practitioner may be exempt from the requirements listed above, to improve primary care access for members residing in the impacted rural regions of IEHPs service areas. The exempted practitioners will be available for members ages 16 and above, if all criteria listed below are met:
 - Successful completion of a one (1) year internship;
 - Practicing at a clinic with a safety net designation that includes, but is not limited to:
 - Federally Qualified Health Clinic (FQHC)
 - Rural Health Clinic (RHC)
 - Indian Tribal Clinic (ITC)
 - Provider is in a rural area, as defined by the U.S. Census Bureau
 - Lack or limited number of practitioners in geographic area
- Provide primary care services using a team approach of Physicians (MD or DO), and must include at least one (1) Nurse Practitioners (NPs) or Physician Assistants (PAs), in the practice, who is working at the clinic at least fifty (50%) of the time the clinic operates

IEHP designated specialty requirements:

- **Bariatric Surgery** requirements effective January 1, 2019. Meet the education and training requirements for General Surgery; and one (1) of the following criteria:
 - Completion of an accredited bariatric surgery fellowship.

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- Documentation of didactic training in bariatric surgery (IEHP recommends the American Society for Metabolic and Bariatric Surgery Course). This information will be verified through:
 - Bariatric training certificate and/or supporting letter from supervising bariatric surgeon, which will be verified by Credentialing. Supporting letter will include the minimum criteria:
 - ✚ Supervising bariatric surgeon qualifications.
 - ✚ Supervising bariatric surgeon relationship with applicant.
 - ✚ Duration of relationship of supervising bariatric surgeon with applicant; and
 - ✚ Assessment of applicant’s competency to perform bariatric surgery by supervising bariatric surgeon.
- Attestation of bariatric surgery case volume signed by applicant (See Attachment, “Bariatric Surgeon Case Volume Attestation” in Section 5) of case volume from the last three (3) years:
 - Volume of applicant’s proctored cases; and
 - Volume of cases where applicant was the primary surgeon. IEHP requires a minimum of twenty (20) cases where applicant was the primary surgeon.³¹
- Current or past “Regular or Senior Member” of American Society for Metabolic and Bariatric Surgery (ASMBS). Verification of membership will be obtained by the Credentialing Department; or
- IEHP recommends applicant actively participates with the MBSAQIP (Metabolic and Bariatric Surgery Accreditation and Quality Improvement Program) or an equivalent regional or national quality improvement program.
 - Supportive documentation of participation with program is to be submitted with Credentialing application and/or request
- **Family Practice 1: Family Practice Providers with Obstetrics (OB) services**, must meet the education and training requirements for Family Practice, set forth by ABMS or AOA and provide the following:

³¹ American Society for Metabolic and Bariatric Surgery, Joint Task Force Recommendations for Credentialing of Bariatric Surgeons, published June 2013, accessed on 07/15/18 at: <https://asmbs.org/resources/joint-task-force-recommendations-for-credentialing-of-bariatric-surgeons>.

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- Provide a copy of a signed agreement that states Member transfers will take place within the first twenty-eight (28) weeks of gestation and a protocol for identifying and transferring high risk Members with a contracted and credentialed OB.
 - The OB must be within the same network as the Family Practice Provider and hold admitting privileges to the IEHP contracted Hospital linked with that IPA network.
- **Family Practice 2: Family Practice that includes full OB services and delivery)** must meet the education and training requirements for Family Practice, set forth by ABMS or AOA and provide the following:
 - Have and maintain full delivery privileges at an IEHP contracted Hospital.
 - Provide a written agreement for an available OB back up Provider is required.
 - The OB Provider must be credentialed, contracted and hold admitting privileges to the IEHP Hospital linked with the Family Practice Provider; and
 - Provide a protocol for identifying and transferring high risk Members and stated types of deliveries performed (i.e. low-risk, cesarean section, etc.).
- Effective August 1, 2023, Internal Medicine practitioners may not expand their age range to all ages unless they have board eligibility or board certification in Pediatrics.
- Effective August 1, 2023, Pediatric Practitioners may not expand their age range to all ages unless they have board eligibility or board certification in Internal Medicine.
- **Obstetrics/Gynecology (OB/GYN) Providers who would like to participate as a Primary Care Provider only**, will provide outpatient well woman services only with no Hospital or surgical privileges, must provide the following information for consideration:
 - Documentation of PCP in the United States.
 - Twenty-five (25) Continuing Medical Education (CME) units for most recent three (3) year period, which must be in primary care related areas.

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- Applicants must provide two (2) letters of recommendation from a Physician coworker (i.e. PCP with work experience associated with the applicant in the preceding twenty-four (24) months); and
 - The Physician coworkers must hold an active board certification in a Primary Care Specialty (i.e. board certified in Internal Medicine, Family Practice or Pediatrics).
- In lieu of having full Hospital delivery privileges, provide a written agreement with an OB Provider, that includes a protocol for identifying and transferring high risk Members, stated types of deliveries performed (i.e. low-risk, cesarean section etc.), must be available for consultations, as needed and that the OB will provide prenatal care after twenty-eight (28) weeks gestation including delivery (See Attachment, “Patient Transfer Agreement” in Section 5).
 - The Agreement must include back-up Physician’s full delivery privileges at IEHP network Hospital, in the same network as the non-admitting OB Provider.
 - The OB Provider must be credentialed and contracted within the same network.

These OB/GYNs provide outpatient well woman services only with no Hospital or surgical privileges. This exception must be reviewed and approved by IEHP Medical Director or Chief Medical Officer (CMO). Further review may be completed by the Peer Review Subcommittee who will either approve or deny.

- **Specialties not recognized by either board (ABMS or AOA) are subject to Medical Director or Chief Medical Officer (CMO) Review.** Further review may be completed by the Credentialing Subcommittee or Peer Review Subcommittee, who will either approve or deny.
- **Urgent Care Providers** must:
 - Meet the education and training requirements set forth by ABMS or AOA for at least one (1) of the following Specialty boards:
 - American Board of Pediatrics.
 - American Board of Family Practice.
 - American Board of Internal Medicine.
 - American Board of Obstetrics and Gynecology.
 - American Board of Emergency Medicine.

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- Osteopathic Board of Pediatrics.
- Osteopathic Board of Family Physicians.
- Osteopathic Board of Internal Medicine.
- Osteopathic Board of Obstetrics and Gynecology.
- Osteopathic Board of Emergency Medicine; or
- If the Practitioner is board certified or eligible in a specialty and/or subspecialty recognized by the American Board of Medical Specialties or American Osteopathic Association not referenced above, then those Providers are subject to Medical Director, Chief Medical Officer Review. Further review may be completed by the Peer Review Subcommittee, who will either approve or deny. For their review and consideration, the following documents must be submitted:
 - ❖ Provide evidence of twenty-five (25) CME units in Pediatric Primary Care completed within the last three (3) years if the Provider is requesting to treat Pediatric patients.
 - ❖ Provide evidence of twenty-five (25) CME units in Adult Primary Care completed within the last three (3) years if the Provider is requesting to treat Adult patients; and
 - ❖ Applicants must provide two (2) letters of recommendation from a Physician coworker (i.e., PCPs with work experience associated with the applicant in the preceding twenty-four (24) months). The Physician coworkers must hold an active board certification in Pediatrics, Family Practice or Internal Medicine.
- **Wound Care Specialists** must be M.D., D.O., D.P.M.'s or N.P.'s who have three (3) or more years of clinical wound care experience or specialize in:
 - Dermatology
 - General Surgery
 - Plastic Surgery
 - Podiatry
 - Vascular Surgery
 - If the Practitioner is board certified or eligible in a specialty and/or subspecialty not referenced above, then those Providers are subject to Medical Director, Chief Medical Officer (CMO) Review. Further

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review may be completed by the Credentialing and/or Peer Review Subcommittee, who will either approve or deny.

- 4) Board Certification. IEHP does not require board certification; however, IEHP must verify the certification status of the Practitioners who state that they are board certified, to include that board eligibility requirements are met.
- 5) Work History. IEHP must obtain a minimum of the most recent five (5) years of work history as a health professional through the Practitioner's application or Curriculum Vitae (CV). If the Practitioner has fewer than five (5) years of work history, the time frame starts at the initial licensure date.

The application or CV includes the beginning and ending month and year for each position if employment experience, unless the Practitioner has had continuous employment for five (5) years or more with no gap. In such a case, providing the year meets the intent of this factor.

- 6) Malpractice history. IEHP obtains confirmation of the past seven (7) years of malpractice settlements from the malpractice carrier or queries the National Practitioner Data Bank (NPDB). Appropriate Malpractice History. For Practitioners with a history of malpractice suits or decisions, the following criteria warrants full Credentialing Subcommittee Review of the history and should be applied in making credentialing and recredentialing decisions:
 - Number of claims - any claims within the prior seven (7) years.
 - Results of cases - any settlements within the prior seven (7) years.
 - Settlements with a minimum payout of \$30,000 or more.
 - Settlements resulting in major permanent injury or death.
 - Trends in cases - Practitioners with multiple malpractice claims in a similar area (e.g., missed diagnosis, negative surgical outcomes, etc.).
- 7) Hospital Admitting Privileges. Practitioner must have clinical privileges in good standing. Practitioner must indicate their current hospital affiliation(s) or admitting privileges at a participating hospital. Practitioners must have appropriate admitting privileges or arrangements with IEHP's contracted Hospitals, if applicable See Policy 5B, "Hospital Privileges" and Attachment, "Hospital Admitting Privileges Reference by Specialty" in Section 5.
 - Providers are not required to maintain Hospital admitting privileges if they are only practicing at an Urgent Care or providing Telehealth Services only.
- 8) NPI: Must confirm Provider has an active Individual NPI with a Primary address must be registered to an address in the state they practice (i.e. California or Arizona (as applicable)).

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- Group NPI may be submitted to IEHP in conjunction to the Individual NPI.
 - Telehealth Providers are not required to have an NPI registered with a primary address in California or Arizona (as applicable).
- 9) Grievance History (if applicable).
- Provider Grievance Rate lower than IEHPs Grievance Rate
 - Absence of grievance trend
- 10) All Primary Care Provider (PCP) and Urgent Care Providers must meet the Facility Site Review (FSR)/Medical Record Review (MRR) guidelines (See Policy 6A, “Facility Site Review and Medical Records Review Survey Requirements and Monitoring”).³²
- b. Sanction Information. IEHP must verify the following sanction information for credentialing.
- 1) State Sanctions, restriction on licensure and limitations on scope of practice:
- Any actions, restrictions or limitations on licensure or scope of practice, are presented for review and discussion to the Credentialing Subcommittee and/or Peer Review Subcommittee.
- 2) Medicare and Medicaid Sanctions:
- Providers Excluded/Sanctioned by Medicare or Medicaid (OIG). IEHP prohibits employment or contracting with Practitioners (or entities that employ or contract with such Practitioners) that are excluded/sanctioned from participation (Practitioners found on OIG report). Providers identified on the OIG report will not be credentialed or contracted and terminated from our network if they are existing Providers.³³
 - Medi-Cal Suspended & Ineligible List Providers are deemed suspended and ineligible from Medi-Cal will be terminated or not be credentialed and contracted with for Medi-Cal line of business. IEHP does not allow Medi-Cal Suspended & Ineligible List Providers to participate in the IEHP network.
 - Medicare Opt-Out Providers who are:³⁴
 - Behavioral Health (BH) Practitioners are not allowed to participate in the IEHP network for any lines of business due to contract limitations

³² Medicare Managed Care Manual, Chapter 6 “Relationships with Providers”, Chapter 6 § 60.3

³³ DHCS APL 19-004

³⁴ Medicare Managed Care Manual, Chapter 6, “Confirmation of Eligibility for Participation in Medicare: Excluded and Opt-Out Provider Checks,” § 60.2

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and system design, therefore are administratively terminated for all lines of business. All Members will be assigned to new Practitioners.

- Practitioners outside of BH are not allowed to participate in the IEHP network for Medicare Lines of business. Medicare Members are reassigned to new Practitioners.
 - Preclusions List: Providers identified on the preclusions list will be terminated or not be credentialed and contracted.³⁵
- c. Credentialing Application. Practitioners must submit an application or reapplication that includes the following:
- 1) Attestation to:
 - Reasons for inability to perform the essential functions of the position.
 - Lack of present illegal drug use.
 - History of loss of license and felony convictions.
 - History of loss or limitation of privileges or disciplinary actions.
 - Malpractice Insurance Coverage: Must have current and adequate malpractice insurance coverage that meets the following criteria:
 - Minimum \$1 million per claim/\$3 million per aggregate.
 - Coverage for the specialty the Provider is being credentialed and contracted for.
 - Coverage for all locations the Provider will be treating IEHP patients.³⁶
 - Current and signed attestation confirming the correctness and completeness of the application.
 - 2) Release of Information used for primary source verification.
 - 3) Addendum A:
 - Practitioner Type
 - Practice Type
 - Name(s) of any employed Advanced Practice Practitioners (e.g. Nurse Practitioners, Nurse Midwives, or Physician Assistants)
 - Age Limitations

³⁵ Centers for Medicare & Medicaid Services, “Preclusion List Requirements”, 11/02/2018

³⁶ NCQA, 2022 HP Standards and Guidelines, CR3, Element C, Factor 5

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- Practitioner Office Hours
 - Practitioner’s written plan for continuity of care if they do not have hospital privileges
 - Languages spoken by Physician
 - Languages spoken by staff
- 4) Addendum B, used for Professional Liability Action explanation(s).
 - 5) Addendum C, used to confirm Practitioner’s status as a:
 - Certified Workers Compensation Provider
 - Reservist
 - 6) Addendum D, Notice to Practitioners of Credentialing Rights/Responsibilities
 - 7) Addendum E, applicable to General Practice and Obstetrics/Gynecology providers who are PCP’s.
 - 8) Verification of Qualifications for HIV/AIDS Physician Specialist form (See Attachment, “Verification of Qualifications for HIV/AIDS Physician Specialists”, in Section 5) required for Practitioners who would like to be designated as an HIV/AIDS Specialist.
 - 9) Behavioral Health (Area(s) of Expertise Form. To ensure Practitioners are listed with the types of services they offer, this form is required for all Practitioners with a Behavioral Health Affiliation/Designation, to include but are not limited to:
 - Psychiatrists
 - Psychologists
 - Addiction Medicine Specialists
 - Master Level Clinical Nurses
 - Licensed Clinical Social Workers
 - Licensed Marriage Family Therapists
 - License Professional Clinical Counselors
 - Nurse Practitioners with a Behavioral Health (BH) designation
 - PAs with a BH designation
 - 10) The Transgender Questionnaire (See Attachment, “Transgender Questionnaire,” in Section 5) is required for all Practitioners who are or would like to be

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designated as a Transgender Competent Provider. At minimum, the Practitioner must meet and provide evidence of the following for consideration:

- Demonstrate ten (10) Continuing Medical Education (CME) hours within the last three (3) years
 - Certification through WPATH
 - Must provide evidence of the following annual staff training on transgender care, that includes:
 - Agenda
 - Sign in sheet
 - Policies and Procedures
- 11) Licensed Midwife Attestation: Plan for Consultation, Emergency Transfer, & Transport (See Attachment, “Licensed Midwife Attestation”, in Section 5) required for all Licensed Midwife Practitioners.
- IEHP requires the backup Licensed Physician, engaged in active clinical obstetrical practice and with whom the Licensed Midwife consults when there are significant deviations from the normal, in either mother or infant, is an active Obstetrics/Gynecology Practitioner within the IEHP network.
- 12) Attachment I: Statement of Agreement by Supervising Provider. IEHP requires a completed Attachment I: Statement of Agreement by Supervising Provider, for all Advanced Practitioner and Supervising Physician arrangements, to ensure arrangements are documented appropriately, which will be collected at the time of credentialing, recredentialing and upon relationship change.
- If these arrangements are clearly described on the Delegation of Services Agreement, Practice Agreement, or Standardized Procedures, those documents may be used in lieu of submitting an Attachment I form.
- 13) Practitioner offices who employ Advanced Practice Practitioners (i.e. Physician Assistants (PAs), Nurse Practitioners (NPs), and Certified Nurse Midwives (CNMs) must ensure written arrangements are in place between the Advanced Practice Practitioner and the practice where they treat IEHP members. These documents must be readily available to IEHP upon request. (See Policy 6F, “Facility Site Review – Non-Physician Practitioner Requirements”).
- IEHP requires all Advanced Practice Practitioners to practice at the same site as their Supervising Physician.
 - PAs with a Behavioral Health Designation must be supervised by a licensed Physician who specializes in Psychiatry.

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The following written arrangements must be provided to IEHP upon request for:

- PAs must provide one (1) of the following:
 - Delegation of Services Agreement and Supervising Physician Form (See Attachment, “Delegation of Services Agreement and Supervising Physician Form” in Section 5).³⁷ This agreement must:
 - Define specific services identified in practice protocols or specifically authorized by the supervising Physician., and
 - Both the Physician and PA must attest to, date and sign the document.
 - An original or copy must be readily accessible at all practice sites in which the PA works.
 - Practice Agreement, effective January 1, 2020,³⁸ written and developed through collaboration among one or more Physicians and Surgeons and one or more PAs, that defines the medical services the PA is authorized to perform³⁹ and that grants approval for Physicians and Surgeons on the staff of an organized health care system to supervise one or more PAs in the organized health care system. Any reference to a Delegation of Services Agreement relating to PAs in any other law shall have the same meaning as a practice agreement. The Practice Agreement must include provisions that address the following:⁴⁰
 - The types of medical services a PA is authorized to perform.
 - Policies and procedures to ensure adequate supervision of the PA, including, but not limited to, appropriate communication, availability, consultations, and referrals between a Physician and Surgeon and the PA in the provision of medical services.
 - The methods for the continuing evaluation of the competency and qualifications of the PA.
 - The furnishing or ordering of drugs or devices by a PA.⁴¹ Any additional provisions agreed to by the PA and Physician and Surgeon.
 - A practice agreement shall be signed by both of the following:

³⁷ Title 16 California Code of Regulations (CCR) § 1399.540(b)

³⁸ Senate Bill 697

³⁹ Bus. & Prof. Code § 3502

⁴⁰ Bus. & Prof. Code § 3502.3

⁴¹ Bus. & Prof. Code § 3502.1

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- The physician assistant.
- One or more Physicians and Surgeons or a Physician and Surgeon who is authorized to approve the practice agreement on behalf of the staff of the Physicians and Surgeons on the staff of an organized health care system.
- A delegation of services agreement in effect prior to January 1, 2020, shall be deemed to meet the requirements of this subdivision.
- A practice agreement may designate a PA as an agent of a supervising Physician and Surgeon.
- Nothing in this section shall be construed to require approval of a practice agreement by the board.
 - Notwithstanding any other law, in addition to any other practices that meet the general criteria set forth in this chapter or regulations adopted by the board or the Medical Board of California, a practice agreement may authorize a PA to do any of the following:
 - Order durable medical equipment, subject to any limitations⁴² or the practice agreement. Notwithstanding that authority, nothing in this paragraph shall operate to limit the ability of a third-party payer to require prior approval.⁴³
 - For individuals receiving home health services or personal care services, after consultation with a supervising physician and surgeon, approve, sign, modify, or add to a plan of treatment or plan of care.
 - After performance of a physical examination by the PA under the supervision of a Physician and Surgeon consistent with this chapter, certify disability of the Unemployment Insurance Code. The Employment Development Department shall implement this paragraph on or before January 1, 2017.⁴⁴
- NPs and CNMs are required to have Standardized Procedures. Standardized Procedures must be on-site site specific and:
 - To meet the requirements, reference textbooks and other written sources, which must include:⁴⁵

⁴² Bus. & Prof Code § 3502

⁴³ Bus. & Prof Code § 3502.3 (1)

⁴⁴ California Code, Unemployment Insurance Code (UIC) § 2708

⁴⁵ 16 CCR § 1474 (3)

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- Book (specify edition) or article title, page numbers and sections.
 - NP and/or CNM must be practicing at a site assigned to their supervising Physician; and
 - Standardized Procedures must be signed by both the Practitioner and the supervising Physician, initially and annually; and provided to IEHP, upon request. At minimum, the documents must include:
 - Table of Contents of the Standardized Procedures used, between the NP and/or CNM and supervising Physician, that references the textbook or written sources to meet the requirements of the Board of Registered Nursing.
 - Evidence that the Standards of Care established by the sources were reviewed and authorized by the Nurse Practitioner, Physician and administrator in the practice setting (i.e., signature page that includes all parties involved).
 - Standardized Procedures written using the Practice Agreement or PAs Delegation of Services Agreement and Supervising Physician Form format and/or verbiage is not accepted by IEHP.^{46,47,48}
- d. Adverse History Guidelines: IEHP will review all Practitioners with evidence of adverse history are presented to Credentialing Committee for review and documented in the meeting minutes, that may include, but is not limited to Providers who have:
- 1) Restrictions on licensure
 - 2) Restrictions on DEA
 - 3) Loss of Clinical privileges or negative privilege actions
 - 4) Sanction History
 - 5) Other negative actions may include, but are not limited to:
 - Use of illegal drugs
 - Criminal history
 - Engaged in any unprofessional conduct or unacceptable business practices.
 - Higher than average grievance rate or trend in grievances.

⁴⁶ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 3

⁴⁷ Medicare Managed Care Manual, Chapter 6 “Relationships with Providers”, Chapter 6 § 60.3

⁴⁸ 16 CCR § 1474 (3)

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e. Provider Network:

- 1) Advanced Practice Practitioners are allowed to increase only one (1) supervising PCPs enrollment capacity per location with a maximum of two (2) unique locations allowed. Advanced Practice Practitioners must be practicing at a site assigned to their supervising Physician.
- 2) Practice Parameter expansion(s) or reduction(s): Providers are required to submit a request that includes a detailed explanation or complete a Provider Privilege Adjustment Request Form (See Attached, "Provider Privilege Adjustment Request Form"), when requesting a change in practice parameters such as an expansion or reduction in Member age range or specialty care privileges (i.e. addition of specialty).

All Practice Parameter expansions and reductions are subject for review by the IEHP Medical Director or Chief Medical Officer. Further review may be completed by the Peer Review Subcommittee who will either approve or deny.

- IEHP will consider all relevant information including practice site demographics, Provider training, experience and practice capacity issues before granting any such change. At a minimum, Provider's written request must include:
 - Documentation of any relevant training (e.g., Continuing Medical Education, postgraduate/residency training, etc.); and
 - Practical experience relating to the request (e.g., years in clinical practice, direct care experience with the relevant membership, etc.).
- 3) **Patient age ranges for Primary Care Providers (PCP)** must be specifically delineated as part of the credentialing process. The guidelines for PCP age ranges are provided below:

| SPECIALTY | AGE RANGE |
|--|--|
| Pediatrics | <ul style="list-style-type: none">• 0 – 18• 0 – 21 |
| Family Practice | <ul style="list-style-type: none">• All Ages• 14 and above |
| Internal Medicine | <ul style="list-style-type: none">• 14 and above• 18 and above• 21 and above |
| Public Health and General Preventive Medicine | <ul style="list-style-type: none">• 18 and above• 21 and above |

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| SPECIALTY | AGE RANGE |
|-----------------------|--|
| Obstetrics/Gynecology | <ul style="list-style-type: none">• 14 and above; restricted to females |
| General Practice | <ul style="list-style-type: none">• All Ages, if evidence of pediatric training, experience and/or CME is present• 14 and above |

- PCPs that have Members assigned ages 0-19 must enroll in the Vaccines for Children (VFC) Program.

Guidelines for age ranges for Non-Physician Practitioners which include Nurse Practitioners (NPs), Physician Assistants (PAs), Certified Nurse Midwives (CNMs), Licensed Midwives (LMs), Physical Therapists (PT), Occupational Therapists (OT), Speech/Language Therapists (S/LT), Opticians, Optometrists (OD), Chiropractors (DC), Dieticians and Nutritionists are as applicable to the training and certification of the Non-Physician Practitioner.

Patient age ranges for specialty Physicians are specific to the specialty involved, training, and education of the Physician.

4. All Practitioners who do not meet the criterion set forth above, must be reviewed by the IEHP Credentialing Subcommittee and/or IEHP Peer Review Subcommittee. IEHPs Credentialing Subcommittee will review, discuss, and document their findings in the respective Subcommittee minutes. At a minimum:⁴⁹
 - 1) The Credentialing Committee must receive and review the credentials of the Practitioners who do not meet IEHP's established criteria for the Practitioners applying directly to IEHP to provide advice and expertise for credentialing decisions.
 - 2) If retrospective review by IEHP's Credentialing Department reveals that a Practitioner approved by a Delegate does not meet the above requirements, IEHP can submit the Practitioner to the Peer Review Subcommittee for review.
5. IEHP utilizes a clean file process. All Practitioners who meet the criterion set forth above, are determined as "clean" and may be submitted to the IEHP Medical Director for sign-off. The sign-off date is the Committee date and evidence of the IEHP's Medical Director signature will be documented in the Practitioners file or on a list of all Practitioners who meet the established criteria.⁵⁰
 - a. The IEHP Medical Director, who is responsible for oversight of the credentialing process, has been identified as the individual with the authority to determine that a

⁴⁹ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 4

⁵⁰ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 5

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file is “clean” and to sign off on it as complete, clean, and approved.

6. IEHP’s credentialing and recredentialing decisions are not based solely on the applicant’s race, ethnic/national identity, gender, age, sexual orientation, or patient in which the Practitioner specializes and describes the steps for monitoring and preventing discriminatory practices during the credentialing/recredentialing process.^{51,52}

IEHP’s procedures for monitoring and preventing discriminatory credentialing decisions may include, but are not limited to:

- a. Monitoring: Periodic audits of Practitioner complaints to determine if there are complaints alleging discrimination are conducted annually.
 - b. Preventing: Maintaining a heterogeneous Credentialing Committee membership and requiring those responsible for credentialing decisions to sign an affirmative statement on, which is included on the sign-in sheet, to make decisions in a non-discriminatory manner.
7. Practitioners are notified in writing, when credentialing information obtained from other sources varies substantially from that provided.⁵³
- a. The Credentialing Specialist notifies the Practitioners `by fax or email, within ten (10) business days of any information obtained during the credentialing process that varies substantially from the information provided by the Practitioner that includes but is not limited to:
 - 1) Actions on license.
 - 2) Malpractice history.
 - 3) Board certification, education, and training.
 - 4) Any incomplete or blank sections on the application

IEHP is not required to reveal the source of the information if the law prohibits the disclosure.

- 1) The notification to the Practitioner includes the following:
 - Identification of the discrepancy.
 - Identification of the source of the discrepancy.
 - Informs the Practitioner that the Practitioner has ten (10) business days to submit the missing and/or corrected information.

⁵¹ 42 CFR § 422.205

⁵² NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 6

⁵³ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 7

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- The format for submitting the correction.
 - The person to whom the corrections must be submitted; and
 - Where to submit the information.
- 2) The Practitioner has ten (10) business days from the receipt of the notification to correct the erroneous information and is responsible for submitting additional or corrected information including any other supporting or pertinent information in writing, to the IEHP Credentialing Specialist.
 - 3) Upon receipt, the Credentialing Specialist stamps the document with the date received, to include the name of the reviewer, and verifies the information is correct. If its correct, the document is included in the Practitioners credentialing file for review and approval.
 - For Credentialing files: If the requested information is not received within ten (10) business days, the Provider is notified that their credentialing process is ceased due to an incomplete credentialing application.
 - For Recredentialing files: If the requested information for recredentialing by the recredentialing deadline, the Practitioner is notified that without this information, the Practitioner will be administratively terminated due to an incomplete recredentialing application.
 - For Recredentialing files: If the requested information is not received within ten (10) business days, the Provider Services Representatives (PSRs) and Contracts Managers (CMs) are notified that the Provider has outstanding items and are approaching their recredentialing due dates. Failure to provide all recredentialing documents timely may result in an administrative termination due to non-compliance to recredentialing.
 8. Practitioners are notified of their credentialing and recredentialing decisions within sixty (60) calendar days of the Committee’s decision or Medical Director sign off.⁵⁴
 9. IEHPs Medical Director’s overall responsibility and participation in the credentialing program includes, but is not limited to:⁵⁵
 - a. Possession of a current license to practice in his/her state of practice
 - b. His/her role in implementation, development, and coordination in the functions of the Credentialing Program.
 - c. Oversight of the Credentialing Program, policies, and procedures.

⁵⁴ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 8

⁵⁵ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 9

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- d. Membership, attendance and/or chairmanship at all Credentialing Committee meetings; and
 - e. Description of the reporting structure and responsibilities for Medical Director/physician designee, Committee and Board of Directors for final recommendation for participation, as applicable.
10. The information obtained in the credentialing process is kept confidential and IEHP mechanisms to ensure confidentiality of the information collected during the credentialing process includes, but is not limited to:⁵⁶
- a. Confidentiality statements are signed by the Committees and Credentialing staff.
 - b. Practitioner files (hard copies, as applicable) are maintained in locked file cabinets and are only accessible by authorized personnel, if applicable; and
 - c. Security for database systems is maintained through passwords or other means to limit access to Practitioner information to authorized staff only.
11. All information provided by IEHP for Member materials and practitioner directories is consistent with the information obtained during the credentialing and recredentialing process, regarding Practitioner education, training, certification, and designated specialty. Information collected and verified during the credentialing and recredentialing process and requests received in between cycles, is entered and maintained by the Credentialing Department to ensure consistency.⁵⁷
- B. IEHP notifies Practitioners of their rights to review information submitted to support their credentialing application, correct erroneous information, and receive the status of their credentialing and recredentialing application, upon request, through the Provider Manual, and Provider application.⁵⁸
1. Practitioners may review information submitted to support their credentialing application that are obtained from outside sources (e.g. malpractice insurance carriers, state licensing boards) to support their credentialing application.
 - a. IEHP is not required to make available:
 - 1) References.
 - 2) Recommendations.
 - 3) Peer-Review protected information.
 2. Practitioners have the right to correct erroneous information (submitted by another source) and must clearly state:

⁵⁶ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 10

⁵⁷ NCQA, 2022 HP Standards and Guidelines, CR 1, Element A, Factor 11

⁵⁸ NCQA, 2022 HP Standards and Guidelines, CR 1, Element B, Factor 1-3

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

1. Credentialing Policies

- a. Practitioners have ten (10) business days of notification of discrepancy from the date the Credentialing Department provides notice to correct any erroneous information. Erroneous information may include substantial variation in information on:
 - 1) Actions on a license
 - 2) Adverse history
 - Malpractice Claim History
 - Criminal History
 - Sanction History
 - Clinical Privileges History
 - 3) Board Certification
 - 4) Education and Training
 - Insufficient years of training in desired specialty
- b. Practitioners must submit their corrections in writing.
- c. Practitioners must send their written requests via confidential fax, email, or letter to the Credentialing Department:

P.O. Box 1800
Rancho Cucamonga, CA 91729-1800
Fax: (909) 890-5756
E-mail: credentialing@iehp.org.

IEHP is not required to reveal the source of information that was not obtained to meet the verification requirements or if federal or state law prohibits disclosure. IEHP documents receipt of corrected information in the Practitioners credentialing file.

3. Practitioners have the right to be informed, upon request, of the status of their credentialing or recredentialing application. Following receipt of the Practitioner's request, the Practitioner will be contacted by the Credentialing Department with their status.
- C. IEHP process for both paper and electronic processes for Credentialing System Controls include:
1. Credentialing applications, supporting documents, and verifications are:
 - a. Received via (mail, email, fax, electronic application, online portal, internet website or web crawler); and
 - b. Dated electronically or date stamped when they are received; and
 - c. Reviewed by Credentialing Team Members; and

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

1. Credentialing Policies

- d. Tracked via internal credentialing checklist and/or electronic database; and
 - e. Stored in (locked cabinets and/or password protected database).
2. If a modification needs to be made to:
- a. Credentialing information, the Credentialing Specialist will document:
 - 1) The date the modification was made; and
 - 2) An explanation of the modification; and
 - 3) Reason for modification; and
 - 4) Who made the modification within the credentialing system
 - b. Primary Source Verification (PSV), the Credentialing Specialist will document:
 - 1) The change; and
 - 2) Who they spoke with; and
 - 3) Initial and date the PSV; and
 - 4) A note will also be placed in the appropriate section of the credentialing database and/or documented in the practitioners file and checklist (as applicable).⁵⁹
3. Only IEHP Team Members with direct involvement in the Credentialing are assigned user roles based on areas of responsibility as defined in their job description. Each user role is assigned specific read/write system access as needed to perform their duties which may include modifying and deleting information.
- a. Verification information may be modified by Credentialing Specialists, Supervisors, Auditors and Managers when verification information changes. If Credentialing information changes, new verifications will be obtained, initialed/dated by Credentialing Team Members, and stored in the practitioner's credentialing electronic file and/or hard file (as applicable).
 - b. Appropriate modifications to credentialing information include, but are not limited to:
 - 1) Updates to expired licensure or other documents;
 - 2) Changes/updates to education, training or privileges;
 - 3) To correct data entry errors
 - 4) Duplicate profiles
 - 5) Documents appended to incorrect provider profile
 - c. Inappropriate modifications to credentialing information, include but are not limited

⁵⁹ NCQA, 2023 HP Standards and Guidelines, CR 1, Element C, Factor 2

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

1. Credentialing Policies

to:

- 1) Altering credentialing approval dates;;
 - 2) Altering dates on verifications;
 - 3) Whited out dates or signatures on hard copy documents;
 - 4) Unauthorized deletion of provider files or documentation.
- d. All credentialing database deletions must be submitted to Healthcare Informatics (HCI).⁶⁰
4. IEHP limits physical access to credentialing information, protecting the accuracy of information gathered from primary and approved sources. Under IEHP's Healthcare Informatics Team, additional controls have been added, and database user groups are implemented to further limit access to information that can be inserted and updated through the credentialing database, Network Development Data Base (NDDDB). These database groups, or user groups, are specific to the departments that maintain the provider data. The database groups are controlled by HCI.
- a. Hard copy data (any printed confidential/sensitive document or file) is stored in locked cabinets. Credentialing Team Members shall secure all practitioner files and information when not in process and during non-work hours in locked cabinets that is only accessible to authorized staff. Workstations are in physically secure areas. Computer screens are positioned to prevent viewing by unauthorized individuals.
 - b. All password-based systems on workstations must mask, suppress, or otherwise obscure the password, so that unauthorized personnel are not able to observe them. Authorized users are prohibited from allowing others to access computer systems or restricted areas with their account, password, badge, or unique ID information.
 - 1) Password protecting electronic systems, including user requirements, are in accordance with and enforced through IEHP's Information Technology (IT) Department, that requires:
 - Use strong passwords
 - Avoid writing down passwords
 - Use different passwords for different accounts
 - Change passwords periodically
 - Password Construction Guidelines for IEHP Team Members and affiliates to create strong passwords for accessing IEHP networks and applications, include:

⁶⁰ NCQA, 2023 HP Standards and Guidelines, CR 1, Element C, Factor 3

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

1. Credentialing Policies

- Password length:
 - IEHP Active Directory (AD) accounts must be at least thirteen (13) characters or longer
 - Other IEHP system and application accounts must be at least eight (8) characters or longer
 - Passphrases containing several words to create a sentence, or a phrase should be used wherever possible over single word passwords
 - Password complexity: IEHP passwords must contain at least one (1) character from three (3) of the four (4) following categories:
 - English upper-case letters [A, B, C, ... Z]
 - English lower-case letters [a, b, c, ... z]
 - Westernized Arabic numerals [0, 1, 2, ... 0]
 - Non-alphanumeric characters such as punctuation symbols [! @, \$,...*].
 - IEHP passwords cannot be:
 - A single dictionary word in any language
 - A person's name
 - Based on personal information i.e. family member names, pet's names, birth places etc.
 - A single dictionary word or a person's name with simple permutations, i.e. Password1, Christmas17, Jonathan2017, etc.
 - A keyboard pattern, i.e. QWERTY, 123454321, qazwsxedc, etc.
 - Password change frequency
 - IEHP Active Directory (AD) passwords must be changed every 180 days.
 - Other IEHP account passwords should be changed every 90 days.
 - When requested or if password(s) are compromised.
- 2) Changing or withdrawing passwords, including alerting appropriate staff who oversee computer security, such as IEHP IT Department, to:
- Change passwords when appropriate
 - Disable or remove passwords of employees who leave the organization

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

1. Credentialing Policies

- User account access will be revoked within 24 hours of notification of a Team Member's departure by IEHP senior leadership or authorized Human Resources representatives. Accounts may be suspended or deleted as necessary
- 3) IEHP does not contract with an external entity to outsource storage of credentialing information.
 - Delegates who are delegated Credentialing responsibilities, IEHP will review the delegate contracts to confirm if it is System Control requirements are addressed.
 - If the contract does not address it, the Delegate may submit policies and procedures for review. This applies to both the Delegate's and each external entity they contract with.
 - This will be reviewed at the Pre-Delegation and any Annual audits thereafter.⁶¹
- c. For preventing unauthorized access, changes to and release of Credentialing information is controlled and granted only to those individuals with direct involvement in the credentialing process. Credentialing information may be released under the following circumstances:
 - 1) Requests from Risk Management, corporate attorney, Credentialing Committee Chair, Peer Review Chair, etc.
 - Reasonable efforts will be made to notify the impacted provider(s) prior to disclosure of information to attorney(s).
 - 2) Regulatory or accreditation agencies
 - Access will require direct supervising by the Credentialing Manager/Supervisor/Auditor to ensure no data is accessed without authorization.
 - 3) Third parties or organizations (health plans, MCOs, etc) with whom Delegate is contracted.
 - Each practitioner must have an appropriate signed authorization and release form on file.
- 5. IEHP monitors its compliance with its own policies and procedures for Credentialing System Controls at least annually and takes appropriate actions when applicable.
 - a. At least annually, the Credentialing Subject Matter Experts (SMEs), which includes: the Credentialing Manager, Credentialing Supervisor, Credentialing Auditor,

⁶¹ NCQA, 2023 HP Standards and Guidelines, CR 1, Element C, Factor 4

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

1. Credentialing Policies

Credentialing Specialists IIs), may perform the audit process and have oversight responsibility for monitoring and reporting, which include, but are not limited to:

- 1) Annual review of job roles and current user access to ensure system access is still appropriate for the role requirements, which will be done in conjunction with Credentialing Leadership and HCI.
- 2) Annual review of all modifications made to credentialing data to confirm accuracy and appropriateness using the electronic systems audit trail function or change tracking reporting capability, will be done in conjunction with Credentialing Leadership and HCI.
- 3) For paper documents/files, conduct periodic walk-throughs of department to ensure confidential/sensitive documents are being handled and stored properly during and after business hours, i.e. in locked drawers/filing cabinets, not left on fax machines, will be done by the Credentialing Team.
- 4) Incorporate review of data modification/changes/updates to credentialing data (both electronic and paper as applicable) into file Q&A process, will be done by the Credentialing Auditors, which will assess and document findings for:
 - Accuracy;
 - Appropriateness; and
 - Compliance with policies
- 5) Require all credentialing staff and anyone who has access to credentialing information to sign confidentiality forms. Update forms annually.

D. At least annually, IEHP demonstrates that it monitors compliance with its CR controls, by:

1. Identifying all modifications to credentialing and recredentialing information that did not meet the organizations policies and procedures for modifications.
2. Analyzing all instances of modifications that did not meet the organization's policies and procedures for modifications, by conducting qualitative and quantitative analysis of all modification that did not meet its policies and procedures.
3. Acting on all findings and implementing a quarterly monitoring process until it demonstrates improvement for one finding over three (3) consecutive quarters.

E. IEHP collects information from quality improvement activities and Member complaints for all Practitioner files undergoing the recredentialing process, to be included in the recredentialing decision making process.^{62,63}

F. During the IEHP credentialing, recredentialing, and ongoing monitoring process, Practitioners

⁶² Medicare Managed Care Manual, Chapter 6 "Relationships with Providers", Chapter 6 § 60.3

⁶³ DHCS APL 19-004

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

1. Credentialing Policies

are reviewed to monitor when network Physicians have opted out of participating in the Medicare Program, by verifying our Practitioners are not included on the Medicare Opt-Out Report.^{64,65}

- G. IEHP does not contract with Practitioners who are precluded from receiving payment for Medicare Advantage (MA) items and services Part D drugs furnished or prescribed to Medicare beneficiaries. IEHP does not allow Practitioners identified on the preclusions list to participate in the IEHP network.
- H. IEHP identifies Transgender Competent Practitioners during the credentialing and recredentialing process.
1. All credentialing and recredentialing applications include a Questionnaire for: Providers for Transgender Members, to review and complete if they would like to be identified as a Transgender Competent Practitioner (See Attachment, “Transgender Questionnaire”, in Section 5).
 2. All Practitioners who complete the form are reviewed and evaluated by the Medical Director for the following criteria:
 - a. Demonstrate ten (10) Continuing Medical Education (CME) hours within the last three (3) years;
 - b. Certification through WPATH; and
 - c. Must provide evidence of the following annual staff training on transgender care, that includes:
 - 1) Agenda
 - 2) Sign in sheet
 - 3) Policies and Procedures
 3. If the Practitioner meets the requirements, they are identified as a Transgender Competent Practitioner, reflecting their offered services from the Questionnaire.
 - a. Practitioners who do not meet the criteria above are subject to Medical Director, Chief Medical Officer (CMO) Review. Further review may be completed by the Credentialing and/or Peer Review Subcommittee, who will either approve or deny.
- I. Effective January 1, 2023, upon receipt of credentialing applications from Behavioral Health, Mental Health, and/or Substance Use Disorder Providers:⁶⁶
1. IEHP will notify the applicant within seven (7) business days of receiving the application

⁶⁴ Medicare Managed Care Manual, Chapter 6 “Relationships with Providers”, Chapter 6 § 60.2

⁶⁵ DHCS APL 19-004

⁶⁶ Health & Safety. Code § 1374.197

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

1. Credentialing Policies

to confirm receipt and inform the applicant whether the application is complete.

- a. If the application is incomplete or requested supporting documents were not provided, IEHP will notify the practitioner within seven (7) business days of receiving the Practitioner's application noting the application received date and that the application was deemed incomplete and withdrawn from the credentialing process due to the missing information.
 - 1) The practitioner must submit the incomplete or requested documentation along with a current application for reconsideration.
 - 2) Once the additional information is received, the application will be deemed complete.
 - b. If the application is deemed complete, the practitioner will be notified that their application will be forwarded to the Initial Application process.
 - 1) The processing time for an initial application starts on the day the Practitioner is notified of their completed application.
2. Practitioner qualifications will be assessed and verified within sixty (60) calendar days after receiving a completed credentialing application. The sixty (60)-day timeframe only applies to credentialing process for Behavioral Health, Mental Health, and/or Substance Use Disorder Providers and does not include contracting completion.

| INLAND EMPIRE HEALTH PLAN | | |
|---|---------------------------------|-----------------|
| Chief Approval: <i>Signature on File</i> | Original Effective Date: | January 1, 2020 |
| Chief Title: Chief Operating Officer | Revision Effective Date: | August 1, 2023 |

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

2. Credentialing Committee

APPLIES TO:

A. This policy applies to all IEHP Medi-Cal Providers contracted under IEHP's Direct Network.

POLICY:

- A. IEHP's Credentialing Subcommittee reviews the credentials for Providers who do not meet established thresholds and gives thoughtful consideration of the credentialing information. IEHP's Credentialing Subcommittee obtains meaningful advice and expertise from participating Practitioners when it makes credentialing decisions in accordance with National Committee for Quality Assurance (NCQA) guidelines.
1. Assessment of Timeliness. IEHP uses the Credentialing Subcommittee or Medical Director decision date to assess timeliness in the file review elements if a review board or governing body reviews decisions made by the Credentialing Subcommittee or Medical Director.
 2. Providing care to Members. IEHP does not permit Practitioners to provide care to its Members before they are credentialed.
- B. IEHP's Credentialing Subcommittee ensures files that meet established criteria are reviewed and approved by a medical director or designated Physician.

PURPOSE:

- A. IEHP designates the Credentialing Subcommittee, that uses a peer-review process, to make recommendations regarding credentialing decision. Activities of the Subcommittee are reported to Quality Management (QM) Committee on a quarterly basis or more frequently for issues of a more serious nature.

DEFINITIONS:

- A. Clean files: Credentialing files that meet the organization's criteria for participation and are not required to be sent to the credentialing committee for review.¹
- B. Credentials Committee Minutes: A document from a peer review committee which includes thorough discussion of credentialing files, decisions/recommendations, and follow-up of issues.
- C. Peer review: Evaluation or review of colleague performance by professionals with similar types and degrees of expertise (e.g. evaluation of a physician's credentials and practice by another physician).²
- D. Timeliness: A term used when auditing file elements to confirm they are within one-hundred

¹ National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, Glossary

² NCQA, 2022 HP Standards and Guidelines, Glossary

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

2. Credentialing Committee

eighty (180) calendar days of the credentials committee decision.

PROCEDURES:

- A. The Credentialing Subcommittee is structured to provide review of Practitioners applying for participation with IEHP and to ensure compliance with IEHP requirements.³
1. IEHP uses participating Practitioners to provide advice and expertise for credentialing decisions. IEHPs voting rights are restricted to the appointed Subcommittee Members, who are Physicians only. Participating Practitioners are external to the organization and are part of the organization's network, as defined by NCQA.
 - a. IEHP Medical Director or designee as Chairperson;
 - 1) IEHP's Medical Director is directly responsible for the credentialing process, Credentialing policies and procedures, and has overall responsibility and participation in the credentialing process.
 - b. Chief Medical Officer (CMO);
 - c. At least four (4) multidisciplinary participating Primary Care Providers (PCPs) or specialty Physician representative of network Practitioners;
 - 1) Any other specialty not represented by Subcommittee membership including vision and behavioral health serves on an ad hoc basis for related issues.
 - Prospective appointed Physician Members of the Subcommittee are subject to verification of licensure, Drug Enforcement Agency (DEA) and malpractice history prior to participating on the Subcommittee.
 - Prospective Physician Members not providing requested information to perform verification in a timely manner, or who do not meet IEHP's requirements upon verification may not participate on the Subcommittee.
 - The full term for practicing primary care and specialists Subcommittee voting Members is two (2) years, with replacements selected from network Practitioners.
 - The determination of whether any Practitioner Member may serve additional terms is at the sole discretion of the CMO and Medical Director, with approval of the Subcommittee.
 - The initial term(s) of Subcommittee Members are staggered to ensure consistent Subcommittee operations.
 - d. IEHP's non-physician staff on the Subcommittee do not have voting rights and

³ NCQA, 2022 HP Standards and Guidelines, CR 2, Element A, Factor 1

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

2. Credentialing Committee

consist of the following:

- 1) Director of Provider Relations;
- 2) Director of Quality Management;
- 3) Director of Provider Network;
- 4) Credentialing Manager;
 - Credentialing ensures the timeframe for notifying applicants of their credentialing decisions for both credentialing and recredentialing, does not exceed sixty (60) calendar days from the committee's decision.
- 5) Quality Manager;
- 6) Other IEHP staff, as necessary; and
 - IEHP staff attend as permanent Members of the Credentialing Subcommittee.
- 7) Provider Services Administrative Assistant.
 - Acts as secretary to the Credentialing Subcommittee.

B. IEHP's Credentialing Subcommittee reviews the credentials for Providers who do not meet established thresholds and give thoughtful consideration of the credentialing information. IEHP's Credentialing Subcommittee obtains meaningful advice and expertise from participating Practitioners when it makes credentialing decisions.⁴

1. The committee's discussion must be documented within its meeting minutes. The Credentialing decision date is used to determine the timeliness requirements for credentialing.
 - a. Credentialing Subcommittee meetings and decision making may take place in form of real-time virtual meetings (e.g. through video conferencing or web conferencing with audio). Meetings may not be conducted only through email.
 - b. Voting cannot occur unless there is a quorum of voting Members present. For decision purposes a quorum can be composed of one of the following:
 - 1) The Chairperson, (who is the IEHP Medical Director or designee), Chief Medical Officer, and three (3) appointed Subcommittee Members; or
 - 2) The Chairperson (who is the IEHP Medical Director or designee), or Chief Medical Officer and two (2) appointed Subcommittee Members.
 - c. Credentialing Subcommittee decisions cannot be based on applicant's race, ethnic/national identity, gender, age, sexual orientation, type of procedure, or patient

⁴ NCQA, 2022 HP Standards and Guidelines, CR 2, Element A, Factor 2

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

2. Credentialing Committee

type (i.e. Medicaid) in which the Practitioner specializes. Policies and procedures must describe specific steps that the organization prevent and monitor discriminatory practices. This does not preclude the organization from including in its network Practitioners who meet certain demographic or specialty needs (i.e. meeting cultural needs of the Members).

- d. In-depth minutes are recorded at each meeting by a Provider Services Administrative Assistant, with review by the Credentialing Manager and IEHP Medical Director.
 - 1) Minutes include all activities addressed in Subcommittee meetings, including credentialing and recredentialing decisions, and other business related to credentialing and recredentialing of Practitioners including thoughtful discussion and consideration of all Practitioners being credentialed and recredentialed before a credentialing decision is determined.
 - 2) Minutes are dated, signed, and reflect the responsible person for follow-up actions.
 - 3) Credentialing minutes are stored in a confidential and secure location with access only to authorized staff.
 - e. Updates of activities including minutes and appropriate reports are submitted to Quality Management (QM) Committee on a quarterly basis, or more frequently as needed.
 - f. The Credentialing Subcommittee meets monthly with additional meetings as needed.
- C. Ensures that files that meet established criteria are reviewed and approved by a medical director or designated Physician. IEHP implemented a process to designate a Medical Director or other designated Physician review and approval of clean files submits all Practitioner files, and then provides a list to the Credentialing Subcommittee for review as a repository.⁵
- 1. IEHP's Medical Director is directly responsible for the credentialing process, credentialing policies and procedures and has overall responsibility and participation in the credentialing process.
 - 2. Evidence of the medical director's or equally qualified Physician's review will be present on a list or file of the Practitioners who meet the established criteria.
 - 3. IEHP's Medical Director reviews, analyzes, and recommends any changes to the IEHP Credentialing and Recredentialing Program policies and procedures on an annual basis, or as deemed necessary.

⁵ NCQA, 2022 HP Standards and Guidelines, CR 2, Element A, Factor 3

5. CREDENTIALING AND RECREDENTIALING

- A. Credentialing Standards
 - 2. Credentialing Committee
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| INLAND EMPIRE HEALTH PLAN | | |
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| Chief Approval: <i>Signature on File</i> | Original Effective Date: | January 1, 2020 |
| Chief Title: Chief Operating Officer | Revision Date: | January 1, 2023 |

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

3. Credentialing Verification

APPLIES TO:

A. This policy applies to all IEHP Medi-Cal Providers contracted under IEHPs Direct Network.

POLICY:

- A. IEHP verifies that the following are within the prescribed time limits: license to practice, Drug Enforcement Administration (DEA), education and training, board certification, work history and malpractice history.¹
- B. IEHP verifies State sanctions, restrictions on licensure or limitations on scope of practice, Medicare and Medicaid sanctions.²
- C. IEHP ensures applications for credentialing and recredentialing include reasons for inability to perform the essential functions of the position, lack of present illegal drug use, history of loss of license and felony convictions, history of loss or limitation of privileges or disciplinary actions, current malpractice insurance coverage, and a current and signed attestation confirm the correctness and completeness of the application.³
- D. IEHP verifies that Practitioners must have clinical privileges in good standing. Practitioner must indicate their current hospital affiliation or admitting privileges at a participating hospital.
- E. IEHP verifies that Practitioners meet all screening and enrollment requirements to include, but not limited to: enrollment in the Medi-Cal Program; Federal and State Database Checks for Social Security Administration's Death Master File (SSADM), National Plan and Provided Enumeration System (NPPES), List of Excluded Individuals/Entities (LEIE), System for Award Management (SAM), CMS' Medicare Exclusion Database (MED), DHCS' Suspended and Ineligible List, Restricted Provider Database (RPD).
- F. IEHP monitors its credentialing files to ensure that it only contracts with Practitioners who have not opted out.
- G. IEHP includes information from the quality improvement activities and Member complaints in the recredentialing decision-making process.
- H. IEHP ensures all Primary Care Provider's (PCP) and Urgent Care's (UC) are informed that they must pass an on-site site review conducted by IEHP. (See Policy 6A, "Site Review and Medical Record Review Survey Requirements and Monitoring")
- I. IEHP monitors its Provider network and ensures their Providers are not included in the Centers Medicare & Medicaid Services (CMS) Preclusions List.

¹ National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, CR 3, Element A, Factors 1-6

² NCQA, 2022 HP Standards and Guidelines, CR 3, Element B, Factors 1-2

³ NCQA, 2022 HP Standards and Guidelines, CR 3, Element C, Factors 1-6

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

3. Credentialing Verification

- J. IEHP must obtain appropriate documentation to expand or limit their practice parameters for IEHP review and approval.
- K. IEHP must ensure and obtain the appropriate documentation for all Advanced Practice Practitioners (i.e. Physician Assistants (PAs), Nurse Practitioners (NPs), and Certified Nurse Midwives (CNMs) between the Mid-Level and Supervising Physician, provide them to IEHP, and ensure these documents are readily available upon request. (See Policy 6F, “Facility Site Review – Non-Physician Practitioner Requirements”).

PURPOSE:

- A. IEHP conducts timely verification of information to ensure that Practitioners have the legal authority and relevant training and experience to provide quality care.
- B. Pencils are not an acceptable writing instrument for credentialing documentation.
- C. Each file contains evidence of verification from a listed source and review by organization staff, defined by NCQA as “Appropriate documentation.” IEHP documents verification in the credentialing files using any of the following methods or a combination:
 - 1. Credentialing documents signed (or initialed) and dated by the verifier.
 - 2. A checklist that includes for each verification:
 - a. The source used.
 - b. The date of verification.
 - c. The signature or initials of the person who verified the information.
 - d. The report date, if applicable.
 - 3. A checklist with a single signature and a date for all the verifications that has a statement confirming that the signatory verified all the credentials on that date and that includes for each verification:
 - a. The source used.
 - b. The report date, if applicable.
 - c. If the checklist does not include checklist requirements listed above appropriate credentialing information must be included.
- D. Using the Internet for Primary Source Verification (PSV): PSV on documents that are printed/processed from an internet site (e.g. BreZE, National Practitioner Data Bank (NPDB) etc.), the data source date (as of date, release date) must be queried within the timeframe. The date of the query must be verified prior to the Credentialing Decision. If there is no data source date, the verifier must document the review date on the verification or

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

3. Credentialing Verification

the checklist. Verification must be from an NCQA approved and appropriate state-licensing agency.

- E. PSV Documentation Methodology. The organization may use an electronic signature or unique electronic identifier of staff to document verifications (to replace the dating and initialing of each verification) if it can demonstrate that the electronic signature or unique identifier can only be entered by the signatory. The system must identify the individual verifying the information and the date of verification

DEFINITION:

- A. Attestation: A signed statement by a practitioner confirming the validity, correctness and completeness of a credentialing application.⁴
- B. Automated Verification - Requires there be a mechanism to identify the name of the entity verifying the information, the date of the verification, the source, and the report date, if applicable.
- C. Board certified: A practitioner has satisfied the requirements/standards of a nationally recognized specialty board and received the board's specialist certification.⁵
- D. CMS Preclusions List – List of prescribers and individuals or entities who fall within any of the following categories: (1) Are currently revoked from Medicare, are under an active re-enrollment bar, and CMS has determined that the underlying conduct that led to the revocation is detrimental to the best interests of the Medicare program.
- E. Death Master File (DMF) contains information about persons who had Social Security numbers and whose deaths were reported to the Social Security Administration from 1962 to the present; or persons who died before 1962, but whose Social Security accounts were still active in 1962.
- F. National Practitioner Data Bank (NPBD): A federally mandated agency that is the repository of information about settled malpractice suits and adverse acts, sanctions or restrictions against the practice privileges of a physician.⁶
- G. NPPEs – CMS National Plan and Provider Enumeration System.
- H. Primary source: The entity that originally conferred or issued a credential.⁷
- I. Primary source verification: Verification of credentialing information directly from the entity (e.g. state licensing board) that conferred or issues the original credential.⁸
- J. Types of Signatures:

⁴ National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, Glossary

⁵ Ibid.

⁶ Ibid.

⁷ Ibid.

⁸ Ibid.

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

3. Credentialing Verification

1. Wet signature - created when a person physically marks a document.
 2. Faxed signature – the “copy” or “duplication” of your signature (no matter the method, system or medium you choose) is referred to as a facsimile signature.
 3. Digital signature - type of electronic signature that encrypts documents with digital codes that particularly difficult to duplicate. It includes a certificate of authority, such as a Windows certificate, to ensure the validity of the signatory (the signature’s author and owner).
 4. Electronic signature - symbols or other data in digital form attached to an electronically transmitted document as verification of the sender’s intent to sign the document.
 5. Scanned signature - a written signature that’s been scanned into an electronic format, like a PDF.
 6. Photocopied signature - a signature reproduced provided that the copy must be of an original document containing an original handwritten signature.
 7. Signature stamp - is an implement personalized with an individual’s name for a quick and easy authorization of documents. These stamps can come customized with just a signature or can include both a signature and printed name.
- K. Verbal Verification - Requires a dated, signed document naming the person at the primary source who verified the information, his/her title, the date and time of verification and include what was verified verbally.
- L. Verification Time Limit (VTL): National Committee for Quality Assurance (NCQA) counts back from the decision date to the verification date to assess timeliness of verification.
1. For web queries, the data source data – e.g. release date or as of date is used to assess timeliness of verification.
- M. Written Verification - Requires a letter or documented review of cumulative reports. IEHP must use the latest cumulative report, as well as periodic updates released by the primary source. The date on which the report was queried, and the volume used must be noted.

PROCEDURES:

- A. IEHP verifies that the following are within the prescribed time limits:
1. A current and valid license to practice in the state they practice. (Verification Time Limit (VTL): one hundred-eighty (180) calendar days prior to Credentialing decision date).⁹
 - a. Must be valid, current, and unencumbered at the time of committee and remain

⁹ NCQA, 2022 HP Standards and Guidelines, CR 3, Element A, Factor 1

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valid and current throughout the Practitioner’s participation with IEHP.

- 1) Failure to maintain a valid and current license at all times, will result in an administrative termination of the Practitioner.
2. A valid Drug Enforcement Administration (DEA) or Controlled Dangerous Substances (CDS) certificate, if applicable (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision date). All Practitioners who are qualified to write prescriptions, except non-prescribing Practitioners, must have a valid and current DEA certificate. IEHP must verify that the practitioner’s DEA or CDS certificate is valid and current in each state where the practitioner provides care to members. The DEA or CDS certificate:¹⁰
 - a. Must be valid and current at the time of committee and remain valid and current throughout the Practitioner’s participation with IEHP), and registered with an address in State of California.
 - b. Verification may be in the form of:
 - 1) A photocopy of the current DEA certificate, with date stamped and initialed by the reviewer to show receipt and review prior to the credentialing decision;
 - c. Any Practitioner with a DEA with an “EXEMPT” fee or status, the DEA is only valid at the exempting institution and any affiliate Hospital or Clinic rotations within the scope of training.
 - 1) IEHP must confirm the Practitioner’s practice and exempting institutions relationship and document their findings in the Provider file, if the address on the DEA does not match the Providers practice location.
 - If a Practitioner is practicing outside of the exempting institution and/or its affiliates, the Practitioner must obtain a “Paid” status DEA.
 - d. IEHP may credential a Practitioner whose DEA certificate is pending or pending a DEA with a California address. IEHP must obtain written documentation from the Provider of their arrangements with another Practitioner who will write all prescriptions requiring a DEA number for the prescribing Practitioner until the Practitioner has a valid DEA certificate. The prescribing Practitioner’s name, DEA number, and NPI number will be documented in the Practitioner’s file. (See Attachment, “Prescribing Arrangements for DEA and CDS Eligible Practitioners” in Section 5)
 - 1) If a Practitioner does not have a DEA or CDS certificate, IEHP must obtain an explanation to why the Practitioner does not prescribe medications and to

¹⁰ NCQA, 2022 HP Standards and Guidelines, CR 3, Element A, Factor 2

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provide arrangements for the Practitioner's patients who need prescriptions requiring DEA certification.

- For credentialing files where verification of DEA or CDS is before June 1, 2020, and a practitioner who is DEA- or CDS- eligible does not have a DEA or CDS certificate, NCQA accepts either the verification process required in the 2020 standards or the applicable prior year's standards, which state "If a qualified practitioner does not have a valid DEA or CDS certificate, the organization notes this in the credentialing file and arranges for another practitioner to fill prescriptions."
 - Practitioner's statement: "I do not prescribe controlled substances for my patients. If I determine that a patient may require a controlled substance, I refer the patient to their PCP or to another practitioner for evaluation and management," example provided by NCQA.
- e. If a Practitioner is practicing in Arizona, IEHP may credential a Practitioner whose DEA certificate is pending or pending a DEA with an Arizona address, by obtaining written documentation that the Practitioner with a valid DEA certificate will write all prescriptions requiring a DEA number for the prescribing Practitioner until the Practitioner has a valid DEA certificate. The prescribing Practitioner's name, DEA Number, and NPI number will be documented within the Practitioner's file.
- f. The Credentialing Specialist reviews the Practitioner's Attestation Question regarding the Practitioner's DEA registration in any jurisdiction, for correctness, completeness and to ensure any applicable written explanation(s) are present in the file, date stamped one hundred-eighty (180) calendar days prior to Credentialing decision. If the practitioner chooses not to provide a written explanation or correct his/her attestation, it will be documented the Practitioners file and included for Credentialing Subcommittee review, as needed.
 - 1) If the Practitioner is new to the IEHP Network, Credentialing will prepare the file as a Level II, files that do not meet IEHP's established thresholds, for review and discussion at the next scheduled Credentialing Subcommittee meeting.
 - 2) If the practitioner is an existing Practitioner, the Credentialing Specialist will confirm if the practitioner was reviewed by the IEHP Credentialing Subcommittee previously, for area not met.
 - If so, the Credentialing Specialist will document in the Practitioner's file when the Practitioner's adverse action was reviewed and discussed by the IEHP Credentialing Subcommittee.

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- If not, the Credentialing Specialist will prepare the Practitioner's file as a Level II, for the next scheduled IEHP Credentialing Subcommittee meeting, for review and decision.
- g. Failure to maintain an active DEA, may result in an administrative termination of the Practitioner.
3. Education and training (VTL: Prior to the Credentialing Decision) All Practitioners must have completed appropriate education and training for practice in the U.S. or a residency program recognized by NCQA, in the designated specialty or subspecialty they request to be credentialed and contracted. IEHP verifies the highest of the following three (3) levels of education and training obtained by the Practitioner, as appropriate i.e., Board Certification, Residency or Graduation from medical or professional school. An expired board certification may be used for verification of education/training.

If the Practitioner is not board certified in the specialty or sub-specialty in which he/she is applying, there must be evidence of verification of residency and training in the sub-specialty (e.g., Fellowships in Cardiology, Rheumatology, Pediatric Endocrinology etc.), as relevant to the credentialed specialty. IEHP may use any of the following to verify education and training:¹¹

- a. The primary source from the Medical School.
- b. The state licensing agency or specialty board or registry if the state agency and specialty board, respectively, perform primary source verification.
 - 1) IEHP obtains written confirmation of primary source verification from the primary source at least annually; or
 - 2) Provides a printed, dated screenshot of the state licensing agencies or specialty boards or registry website displaying the statement that it performs primary source verification of Practitioner education and training information; or
 - 3) Provides evidence of a state statute requiring the licensing agency, specialty board or registry to obtain verification of education and training directly from the institution.
 - 4) National Student Clearinghouse may be considered an agent of the medical or professional school if the school has a contract with the Clearinghouse to provide verification services.
 - Delegates must provide documentation that the specific school has a contract with the Clearinghouse, to ensure compliance with NCQA.

¹¹ NCQA, 2022 HP Standards and Guidelines, CR 3, Element A, Factor 3

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- c. Sealed transcripts if the organization provides evidence that it inspected the contents of the envelope and confirmed that Practitioner completed (graduated from) the appropriate training program.
- d. Below are acceptable sources for physicians (M.D., D.O.) to verify graduation from Medical School:
 - 1) AMA Physician Master File;
 - 2) American Osteopathic Association (AOA) Official Osteopathic Physician Profile Report or AOA Physician Master File; and
 - 3) Educational Commission for Foreign Medical Graduates (ECFMG) for international medical graduates licensed after 1986.

Below are acceptable sources for physicians (M.D., D.O.) to verify completion of residency training:

- AMA Physician Master File;
- Primary source from the institution where the postgraduate medical training was completed;
- AOA Official Osteopathic Physician Profile Report or AOA Physician Master File; and
- FCVS for closed residency programs.
 - NCQA only recognizes residency programs accredited by the Accredited Council for Graduate Medical Education (ACGME) and the American Osteopathic Association (AOA) (in the United States) or by the College of Family Physicians of Canada (CFPC) or the Royal College of Physicians and Surgeons of Canada.
- e. Below is the acceptable sources for Nurse Practitioners (NPs) with a Behavioral Health (BH) designation to verify training in Psych/Mental Health.
 - 1) The qualification must be recognized and verified through the BreZE Online services website or directly with the licensing board via phone or mail.
- f. Below is the acceptable source for Registered Dietician (R.D.s):
 - 1) Commission on Dietetic Registration
- g. If the Practitioner does not meet education and training requirements, set forth in this policy, the Credentialing Specialist will notify the Practitioner that they do not meet the training requirements therefore is subject to Credentialing Subcommittee review, with the possibility of denial due to not meeting education requirements. The Credentialing Specialist will:

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- 1) Confirm the verified training and the required education and training requirements with the Practitioner.
- 2) Request for any additional training or justification the Practitioner would like to include for consideration, for the Credentialing Subcommittee for discussion.
- 3) The Credentialing Specialist reviews the Practitioners Attestation Question regarding internship, residency, fellowship, preceptorship, or any other clinical education program, for correctness, completeness and to ensure any applicable written explanation(s) are present in the file, date stamped one hundred-eighty (180) calendar days prior to Credentialing decision.

If the practitioner chooses not to provide a written explanation or correct his/her attestation, it will be documented in the Practitioners file and included for Credentialing Subcommittee review, as needed.

- If the Practitioner is new to the IEHP Network, Credentialing will prepare the file as a Level II, files that do not meet IEHP’s established thresholds, for review and discussion at the next scheduled Credentialing Subcommittee meeting.
 - If the Practitioner is an existing Practitioner, the Credentialing Specialist will confirm if the Practitioner’s education and training was reviewed by the IEHP Credentialing Subcommittee previously.
 - If so, the Credentialing Specialist will document in the Practitioner’s file when the Practitioner’s education and training was reviewed and discussed by the IEHP Credentialing Subcommittee.
 - If not, the Credentialing Specialist will prepare the Practitioner’s file as a Level II, for the next scheduled IEHP Credentialing Subcommittee meeting, for review and decision.
4. Board certification status, if applicable (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision date).¹²
 - a. IEHP verifies current certification status of Practitioners who state that they are board certified.
 - 1) IEHP must document the expiration date of the board certification within the credential file.
 - If a Practitioner has a “lifetime” certification status and there is no expiration date for certification, the organization verifies that the board certification is current and documents the date of verification.

¹² NCQA, 2022 HP Standards and Guidelines, CR 3, Element A, Factor 4

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- 2) If board certification has expired, it may be used as verification of education and training.
- 3) Verification must be performed through a letter directly from the board or an online query of the appropriate board as long as the board states that they verify education and training with primary sources, is an acceptable source by NCQA, and indicate that this information is correct. Below are the acceptable sources to verify board certification:
 - For all Practitioner types
 - The primary source (appropriate specialty board); or
 - The state licensing agency if the primary source verifies board certification.
 - For Physicians (M.D., D.O.)
 - ABMS or its Member boards, or an official ABMS Display Agency, where a dated certificate of primary-source authenticity has been provided.
 - The ABMS “Is your Doctor Board Certified,” accessible through the ABMS website, is intended for consumer reference only and is not an acceptable source for verifying board certification.
 - AMA Physician Master File.
 - AOA Official Osteopathic Physician Profile Report or AOA Physician Master File.
 - Boards in the United States that are not Members of the ABMS or AOA if the organization documents within its policies and procedures which specialties it accepts and obtains annual written confirmation from the boards that the boards performs primary source verification of completion of education and training.
 - For other health care professionals
 - Registry that performs primary source verification of board that the registry performs primary source verification of board certification status.
 - For Podiatrists (D.P.M.)
 - American Board of Foot and Ankle Surgery (formerly The American Board of Podiatric Surgery).
 - The American Board of Podiatric Medicine.

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- American Board of Multiple Specialties in Podiatry.
 - For Nurse Practitioners (N.P.).
 - American Association of Nurse Practitioners (AANP).
 - American Nurses Credentialing Center (ANCC).
 - National Certification Corporation for the Obstetrics, Gynecology and Neonatal Nursing Specialties (NCC).
 - Pediatric Nursing Certification Board (PNCB).
 - American Association of Critical-Care Nurses (AACN).
 - For Physician Assistants (P.A.-C).
 - National Commission of Certification of P.A.'s (NCCPA).
 - For Certified Nurse Midwives (C.N.M.).
 - American Midwifery Certification Board (AMCB).
 - For Psychologists (Ph.D., Psy.D.).
 - American Board of Professional Psychology (ABPP).
- 4) Verification of board certification does not apply to nurse practitioners or other health care professionals unless the organization communicates board certification to members.
- 5) If IEHP is unable to verify the board certification, the Practitioner is notified and given the right to review and correct erroneous information. In addition, the Providers attestation may require further review and correction.
- b. The Credentialing Specialist reviews the Practitioner's Attestation Question regarding any changes in their board certification (other than changing from eligible to certified, for correctness, completeness and to ensure any applicable written explanation(s) are present in the practitioner's file, date stamped one hundred-eighty (180) calendar days prior to Credentialing decision.
- If the practitioner chooses not to provide a response or correct his/her attestation, it will be documented in the practitioner's file and presented to the Credentialing Subcommittee for review, as needed.
5. Work history (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision date) IEHP must obtain a minimum of the most recent five (5) years of work history as a health professional through the application, Curriculum Vitae (CV) or work history summary/attachment, providing it has adequate information.¹³

¹³ NCQA, 2022 HP Standards and Guidelines, CR 3, Element A, Factor 5

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- a. IEHP must document review of work history on the application, CV, or checklist that includes the signature or initials of staff who reviewed work history and the date of review. Documentation of work history must meet the following:
 - 1) Must include the beginning and ending month and year for each work experience.
 - 2) The month and year do not need to be provided if the Practitioner has had continuous employment at the same site for five (5) years or more. The year-to-year documentation at that site meets the intent.
 - 3) If the Practitioner completed education and went to straight into practice, this will be counted as continuous work history.
 - 4) If the Practitioner has practiced fewer than five (5) years from the date of credentialing. The work history starts at the time of initial licensure.
 - 5) IEHP must review for any gaps in work history. If a work history gap of six (6) months to one (1) year is identified, IEHP must obtain an explanation from the Practitioner. Verification may be obtained verbally or in writing for gaps of six (6) months to one (1) year.
 - 6) Any gap in work history that exceeds one (1) year must be clarified in writing from the Practitioner. The explanation of the gap needs to be sufficient to ascertain that the gap did not occur as a result of adverse and/or reportable situations, occurrences or activities. (See Attachment, “Work History Form Past Five (5) years’ request” in Section 5.)
6. Malpractice History - A history of professional liability claims that resulted in settlement or judgment paid on behalf of the Practitioner.¹⁴ (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision date)
 - a. IEHP will obtain confirmation of the past seven (7) years of malpractice settlements through one of the following sources:
 - Malpractice Insurance Carrier
 - National Practitioner Data Bank Query
 - Evidence of Continuous Query (formerly Proactive Disclosure Services (PDS). Continuous Query must be reviewed within one hundred-eighty (180) calendar days of the credentialing decision. Evidence must be documented in the file or on checklist.
 - b. The Credentialing Specialist will review the Practitioner’s malpractice claim history by querying National Practitioner Data Bank or confirmation from their

¹⁴ NCQA, 2022 HP Standards and Guidelines, CR 3, Element A, Factor 6

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malpractice carrier. A minimum the seven (7) years claim history must be reviewed for initial credentialing and all claim history activities after the previous credentialing decision date, will be reviewed for recredentialing. The seven (7) year period may include residency and fellowship years. IEHP is not required to obtain confirmation from the carrier for Practitioners who had a hospital insurance policy during a residency and fellowship.

For Practitioners with a history of malpractice suits or decision, the following criteria warrants Credentialing Subcommittee Review of the history:

- 1) Number of claims – any claims within the prior seven (7) years
 - 2) Results of cases – any settlements within the prior seven (7) years.
 - Settlements with a minimum payout of \$30,000.00 or more
 - Settlements resulting in major permanent injury or death
 - 3) Trends in cases – Practitioners with multiple malpractice claims in a similar area (e.g. missed diagnosis, negative surgical outcomes, etc.,)
- c. The Credentialing Specialist reviews the practitioners Attestation Question regarding Malpractice history for correctness, completeness and to ensure any applicable written explanation(s) are present in the file, date stamped one hundred-eighty (180) calendar days prior to Credentialing decision.

If the practitioner chooses not to provide a written explanation or correct his/her attestation, it will be documented in the practitioners file and included for Credentialing Subcommittee review, as needed.

- 1) If the practitioner is new to the IEHP Network, Credentialing will prepare the file as a Level II, files that do not meet IEHP’s established thresholds, for review and discussion at the next scheduled Credentialing Subcommittee meeting.
 - 2) If the practitioner is an existing Practitioner, the Credentialing Specialist will confirm if the adverse history was reviewed by the IEHP Credentialing Subcommittee previously.
 - If so, the Credentialing Specialist will document in the Practitioner’s file when the Practitioner’s adverse action was reviewed and discussed by the IEHP Credentialing Subcommittee.
 - If not, the Credentialing Specialist will prepare the Practitioner’s file as a Level II, for the next scheduled IEHP Credentialing Subcommittee meeting, for review and decision.
- B. Medicare and Medicaid sanctions. (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision). IEHP uses the NPDB, to review for Medicare and Medicaid

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sanctions.^{15, 16}

1. If a Practitioner is not identified on any reports, the NPDB findings are included in the Provider file and date stamped by the reviewer, to ensure that findings were reviewed within the one hundred eighty (180) calendar-day timeframe.
 - If a Practitioner is identified on any reports with an action, the Credentialing Specialist obtains and reviews the action(s) identified. Verification sources for Medicare and Medicaid Sanctions, may include, but are not limited to:
 - 1) State Medicaid Agency or intermediary
 - 2) Medicare intermediary
 - 3) List of Excluded Individuals and Entities (maintained by OIG and available over the internet).
 - 4) Medicare Exclusions Database.
 - 5) Federal Employees Health Benefit Plan (FEHB) Program department record, published by the Office of Personnel Management, Office of the Inspector General
 - 6) AMA Physician Master File
 - 7) Federation of State Medical Boards (FSMB).
 - 8) NPDB
 - Continuous Query (formerly Proactive Disclosure Service (PDS)). Evidence of Continuous Query (formerly Proactive Disclosure Services (PDS)). Continuous Query must be reviewed within one hundred-eighty (180) calendar days of the credentialing decision and show evidence the practitioner was enrolled in the alert services at the time of the cited report. Evidence must be documented in the file or on checklist.
2. The Credentialing Specialist reviews the Practitioner's Attestation Question regarding the restriction on licensure or limitations on scope of practice, for correctness, completeness and to ensure any applicable written explanation(s) are present in the file, date stamped one hundred-eighty (180) calendar days prior to Credentialing decision.

If the practitioner chooses not to provide a response or correct his/her attestation, it will be documented in the practitioner's file and included for Credentialing Subcommittee review, as needed.

¹⁵ NCQA, 2022 HP Standards and Guidelines, CR 3, Element B, Factor 2

¹⁶ Department of Health Care Services (DHCS) All Plan Letter (APL) 19-004 Supersedes APL 17-019, "Provider Credentialing / Recredentialing and Screening / Enrollment"

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- a. If the practitioner is new to the IEHP Network, Credentialing will prepare the file as a Level II, files that do not meet IEHP's established thresholds, for review and discussion at the next scheduled Credentialing Subcommittee meeting.
- b. If the practitioner is an existing Practitioner, the Credentialing Specialist will confirm if the adverse history was reviewed by the IEHP Credentialing Subcommittee previously.
 - 1) If the Practitioner is new to the IEHP network, Credentialing will notify the Practitioner that their credentialing is closed due to IEHP not allowing Practitioners identified on the HHS-OIG Exclusions List and/or Medi-Cal Suspended & Ineligible List to participate in the IEHP network.
 - 2) If the Practitioner is an existing Provider, the Credentialing Specialist will send the Provider a notification to terminate due to IEHP not allowing Practitioners identified on the HHS-OIG Exclusions List and/or Medi-Cal Suspended & Ineligible List to participate in the IEHP network.
 - The Credentialing Specialist will prepare these documents for the Peer Review Subcommittee review and discussion for Providers identified through IEHPs ongoing monitoring of sanctions process for the HHS-OIG Exclusions List and/or Medi-Cal Suspended & Ineligible List review.

C. IEHP applications for credentialing and recredentialing must include the following:¹⁷

1. Reasons for inability to perform the essential functions of the position.
2. Lack of present illegal drug use.
 - a. IEHPs application may use alternative language or general language that may not be exclusive to present use or only illegal substances.
3. History of loss of license and felony convictions.
 - a. At initial credentialing, the Practitioner must attest to any loss of license or felony convictions since their initial licensure.
 - b. At recredentialing, the Practitioners may attest to any loss of licensure or felony convictions since their last credentialing cycle.
4. History of loss or limitation of privileges or disciplinary actions.
 - a. At initial credentialing, the Practitioner must attest to any loss or limitation of privileges since their initial licensure.
 - b. At recredentialing, the Practitioners may attest to any loss or limitation of privileges since their last credentialing cycle.

¹⁷ NCQA, 2022 HP Standards and Guidelines, CR 3, Element C, Factors 1-6

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5. Current malpractice insurance coverage. IEHP requires that a copy of the insurance face sheet or Certificate of Insurance (COI) or written verification from the insurance carrier directly be obtained in conjunction of collecting information on the application.

(VTL: Must be evidence that the Practitioner has current and adequate malpractice coverage prior to the Credentialing Committee date and remain valid and current throughout the Practitioner's participation with IEHP.)¹⁸

- a. All Practitioners must have current and adequate malpractice insurance coverage that is current and:
- 1) Meets IEHP's standard of \$1 million/\$3 million, as well as IEHPs standards. Professional Liability Insurance coverage and amounts of coverage must be verified with the insurance carrier or through the Practitioner via a copy of the policy and the signed attestation completed by the Practitioner.
 - The copy of the Practitioner's certificate must be initialed, and date stamped to show receipt prior to the credentialing decision and to show it was effective at the time of the credentialing decision.
 - 2) Must include coverage for the specialty the Practitioner is being credentialed for and for all locations the Practitioner will be treating IEHP patients.
 - If the specialty coverage and/or the locations are not identified on the malpractice insurance certificate, the coverage must be verified with the insurance carrier and documented in the Practitioner's file.
 - 3) For Practitioners with federal tort coverage, (e.g. Health Resources & Services Administration (HRSA)), the Practitioner must submit:
 - A copy of the face sheet, federal tort letter, or employer professional liability policy as an addendum to the application. The face sheet or federal tort letter must include the:
 - Insurance effective and expiration dates (future effective dates are acceptable)
 - A roster that lists all practitioners covered under the federal tort coverage.
 - 4) There must be evidence that the Practitioner has current and adequate malpractice coverage prior to the Credentialing Committee approval date.
 - Failure to maintain current malpractice coverage for the specialty the Provider is being credentialed for and for all locations the Practitioner will be treating IEHP patients, will result in an administrative termination of the Practitioner.

¹⁸ NCQA, 2022 HP Standards and Guidelines, CR 3, Element C, Factor 5

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6. Current and signed attestation confirm the correctness and completeness of the application. Attestation must be:¹⁹
 - a. Signed and dated within the timeframe and must include all elements to be compliant.
 - 1) The one hundred-eighty (180) calendar day timeframe is based on the date the Practitioner signed the application.
 - If the signature or attestation exceeds one hundred eighty (180) calendar days the Practitioner must only attest that the information on the application remains correct and complete, be re-signing and re-dating the attestation. Practitioner does not need to complete another application.
 - b. Signed with a full signature, if the attestation needs to be re-signed by the Practitioner; dating and initialing is not acceptable.
 - 1) Faxed, digital, electronic, scanned or photocopies signatures are accepted. Signature stamps are not acceptable. (See Definitions, “Types of Signatures”)
 - If the full signature is not acceptable, the Credentialing Specialist will reach out to the practitioner to re-sign and date the attestation.
 - c. If the attestation is not signed and/or dated, within the appropriate time frame, all application elements are non-compliant (except current malpractice coverage since IEHP requires a face sheet is obtained).
 - 1) If a question is answered and does not correlate with the practitioner’s file, IEHP is responsible for notifying the Practitioner of the discrepancy and to have them re-review the question.
 - If the Practitioner chooses to change their response, the Practitioner must initial and date next to the change.
 - If the Provider chooses not to change their response, the IEHP will document their attempt to have the Practitioner review their response and that the Provider chose not to change their response and include their documentation in the practitioner and for Credentialing Subcommittee review, as needed.
 - d. When reviewing the Council for Affordable Quality Healthcare (CAQH) application, NCQA accepts the last attestation date generated by the CAQH system as the date when the practitioner signed and dated the application to attest to its completeness and correctness.

D. IEHP must verify that Practitioners must have clinical privileges in good standing.

¹⁹ NCQA, 2022 HP Standards and Guidelines, CR 3, Element C, Factor 6

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Practitioner must indicate their current hospital affiliation or admitting privileges at a participating hospital. Verification that all clinical privileges are in good standing to perform functions for which the Practitioner is contracted, to include verification of admitting privileges, must be:²⁰

1. Confirmed with the Hospital, in writing, via approved website or verbally, and must include:
 - a. The date of appointment.
 - b. Scope of privileges, restrictions (if any i.e., restricted, unrestricted) and recommendations.
 - c. Confirmation Provider has admitting privileges in the specialty the Provider is credentialed and contracted for.
 - d. If a published Hospital directory is used, the list must include the necessary information and be accompanied by a dated letter from the Hospital attesting that the Practitioner is in “good standing.”
 - e. Practitioner must meet the requirements for Hospital Privileges as required by IEHP. (See Policy 5B, “Hospital Privileges”), i.e., if an admitter or hospitalist arrangement is used, a written agreement that meets IEHP admitter requirements, confirming coverage for all inpatient work covering the entire age range of the Practitioner must be included in the Practitioner’s credentialing file.
 - 1) These arrangements must be provided to IEHP for all Practitioners participating in the IEHP network, via Provider application, admitter report or attachment.
 - 2) If the Provider utilizes an admitter or hospitalist arrangement, IEHP will document these arrangements in the Provider file, to include when the Provider was notified. Documentation must include:
 - The date the Practitioner was notified.
 - Name(s) of the admitter and/or hospitalist, admitting on behalf of the Provider.
 - Name(s) of the Hospital, affiliated with the inpatient coverage arrangements.
2. If the Practitioner does not have clinical privileges, the IEHP must have a written statement delineating the inpatient coverage arrangement documented in the Providers file. (See Policy 5B, “Hospital Privileges”). For Specialties that are required to have

²⁰ Title 28, California Code of Regulations § 1300.51 (d)(H)(iii)

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clinical privileges or admitting privileges at a Participating hospital, (See Attachment, “Hospital Admitting Privileges Reference by Specialty”, in Section 5).

3. Allied Health Professionals (Non-physicians i.e. Chiropractors, Optometrists) will not have hospital privileges and documentation in the file is not required for these types of Practitioners. (See Attachment, “Hospital Admitting Privileges Reference by Specialty” in Section 5)
4. Advanced Practice Practitioners (Physician Assistants (PA), Nurse Practitioners (NP), Certified Nurse Midwives (CNM)) may not have hospital privileges. However, if the Advanced Practice Practitioners provides IEHP their hospital privileges, IEHP will be responsible for verifying if those privileges are active and ensure they are in good standing.
5. Specialists (MDs, DOs and DPMs) may not have hospital privileges, documentation must be noted in the file as to the reason for not having privileges. (e.g. A note stating that they do not admit as they only see patients in an outpatient setting is sufficient).
 - a. These arrangements must be provided to IEHP for all Practitioners participating in the IEHP network, via Provider application, admitter report or attachment.
 - 1) These arrangements are subject to IEHP Subcommittee review and approval.
 - 2) IEHP may request for inpatient coverage arrangements for the Practitioner, if IEHP identified that specialty as a specialty that requires hospital admitting arrangements.
6. Certified Nurse Midwives (CNMs) may provide care of mothers and newborns through the maternity cycle of pregnancy, labor, birth and delivery services only after they are fully credentialed and approved by the same Provider network. CNM Providers must meet the following criteria:
 - a. In lieu of having full hospital delivery privileges, provide a written agreement with an OB Provider, that includes a protocol for identifying and transferring high risk Members, stated types of deliveries performed (i.e., low-risk, cesarean section etc.), must be available for consultations, as needed.
 - 1) The Agreement must include back-up physician’s full delivery privileges at IEHP network hospital, in the same network as the CNM Provider.
 - 2) The OB Provider must be credentialed and contracted within the same practice and network.
7. Family Practice including outpatient Obstetrics (OB) services (FP-1) Must provide a copy of a signed agreement that states:
 - a. Member transfers will take place within the first twenty-eight (28) weeks of gestation and a protocol for identifying and transferring high risk Members with a

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contracted and credentialed OB.

- 1) The OB must be contracted and credentialed by the same network as the Family Practice Provider and must hold admitting privileges to the IEHP hospital linked to IEHPs Direct Network.
8. Family Practice including full Obstetrics services and delivery (FP-2). Providers that fulfill these requirements may be referred to and see OB/Gyn Members within IEHPs Direct Network, and must have:
- a. Full delivery privileges at an IEHP network hospital; and
 - 1) Provide a written agreement for an available OB back up Provider is required. The OB Provider must be credentialed, contracted and hold admitting privileges to the IEHP hospital linked with the Family Practice Provider; and
 - 2) Provide a protocol for identifying and transferring high risk Members and stated types of deliveries performed (i.e., low-risk, cesarean section, etc.).
9. Obstetrics/Gynecology (OB/GYN) Providers who would like to participate as a PCP only, will provide outpatient well woman services only with no hospital or surgical privileges, must provide the following information for consideration:
- a. In lieu of obtaining or maintaining full hospital delivery privileges, the Practitioners must provide a written agreement with OB that includes:
 - 1) A protocol for identifying and transferring high risk Members, stated types of deliveries performed (i.e., low-risk, cesarean section etc.).
 - 2) Must be available for consultations, as needed and that the OB will provide prenatal care after twenty-eight (28) weeks gestation including delivery.
 - 3) The agreement must include back-up physician's full delivery privileges at IEHP network hospital, in the same network as the non-admitting OB Provider.
 - The OB Provider must be credentialed and contracted within the same network.
10. Licensed Midwife (LM) practitioners are required to have a backup Licensed Physician, engaged in active clinical obstetrical practice and with whom the Licensed Midwife consults when there are significant deviations from the normal, in either mother or infant. Therefore, LMs must complete a Licensed Midwife Attestation: Plan for Consultation, Emergency Transfer, & Transport (See Attachment, "Licensed Midwife Attestation", in Section 5) required for all Licensed Midwife Practitioners.
- a. IEHP requires the backup Licensed Physician is an active Obstetrics/Gynecology Practitioner within the IEHP network.

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11. Urgent Care Providers are not required to maintain hospital privileges if they are exclusively practicing at an Urgent Care.^{21,22}
- E. IEHP verifies that Practitioners meet all screening and enrollment requirements to include, but not limited to: enrollment in the Medi-Cal Program, Federal and State Database Checks for Social Security Administration's Death Master File (SSADMF), National Plan and Provider Enumerated System (NPPES), List of Excluded Individuals/Entities (LEIE), System for Award Management (SAM), CMS' Medicare Exclusion Database (MED), DHCS' Suspended and Ineligible List (S&I), Restricted Provider Database (RPD). (VTL: one hundred-eighty (180) calendar days prior to Credentialing decision).²³
1. IEHP must ensure all Practitioners submitted to IEHP for participation, for the Medi-Cal line of business, are enrolled in the Medi-Cal Program, to ensure compliance with Title 42, California Code of Regulations § 438.602(b) to extend Provider screening and enrollment requirements to all Managed Care Plan's contracted Providers. The intent of this requirement is to reduce the incidence of fraud and abuse by ensuring that all Providers are individually identified and screened for licensure and certification.
 - a. All Practitioners requesting for participation in the IEHP network, IEHP's Contracts Department must confirm the Provider is enrolled or in-process of enrolling in the Medi-Cal program state level enrollment through DHCS, prior to the Provider beginning the credentialing process.
 - 1) Submissions without proof of Medi-Cal enrollment will be ceased and not processed by IEHP.
 - 2) IEHP uses the California Health & Human Services Agency's portal to confirm the Providers enrollment status with the Medi-Cal Program through DHCS.
 - The portal can be accessed via <http://www.dhcs.ca.gov/provgovpart/Pages/PAVE.aspx>
 - The portal is maintained by the Provider Enrollment Division (PED) and is updated monthly.
 - b. IEHP's Provider Network Department will monitor all Medi-Cal enrollment activities, thereafter.
 2. To verify Federal State Database checks, the during the credentialing or recredentialing process, the Credentialing Specialist or designee will submit the Provider to OIG Compliance Now for screening.
 - a. If a practitioner is not identified on any reports, the OIG Compliance Now

²¹ DHCS APL 19-004

²² California Code of Regulations (CCR) § 1300.51(d)(H)(iii)

²³ DHCS APL 19-004

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Screening Report will be included in the practitioner's file, date stamped by the reviewer, to ensure compliance of the one-hundred-eighty (180) calendar day timeframe.

3. If a practitioner is identified on a report, the Credentialing Specialist obtain and review the action(s) identified from the verification sources listed below:
 - a. Social Security Administration's Death Master File (SSADMF). IEHP must obtain and provide IEHP with Social Security Numbers for all new and existing Practitioners participating Providers, to ensure all Practitioners are included in IEHP's screening of the SSADMF.
 - 1) All Practitioner applications for participation in the IEHP network, must include the Providers full Social Security Number (SSN).
 - Submissions without SSN will be ceased and not processed by IEHP.
 - 2) Existing Practitioners without SSNs will be notified. Practitioners are required to provide all missing SSNs to IEHP.
 - Practitioners who do not provide the requested information will be placed on a Corrective Action Plan (CAP), until all missing SSNs are submitted.
 - 3) If a Practitioner confirms that his/her SSN is correctly stated on the SSADMF, but is clearly not deceased, IEHP must request for:
 - A copy of the Social Security Card;
 - A photo ID;
 - A signed attestation from the Practitioner confirming they are who they say they are; and
 - The Provider to contact the SSADMF to correct the issue.
 - 4) If a Practitioners' SSN is correctly stated but the name and Date of Birth (DOB) does not, the IEHP must request for:
 - A copy of the Social Security Card;
 - A photo ID;
 - A signed attestation from the Practitioner confirming they are who they say they are; and
 - The Provider to contact the SSADMF to correct the issue.
 - 5) This list will be reviewed monthly through the Ongoing Monitoring of Sanctions review, outside of the credentialing and recredentialing cycle.

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- b. National Plan and Provider Enumerated System (NPPES). IEHP must ensure all Practitioners hold and maintain a valid and active National Provider Identifier (NPI) Practitioners individual NPI number, and the information provided must be:
- 1) Verified through the NPPES website.
 - 2) Active while in the IEHP network.
 - 3) Current at all times (i.e. Primary Practice Address must be registered to an address within California).
 - Telehealth Providers are not required to have an NPI registered to an address within California.
 - 4) Practitioners that have a group NPI number may submit that information to IEHP, in addition to the required individual NPI number.
- c. List of Excluded Individuals/Entities (LEIE) maintained by the Office of Inspector General must be the verification source for Medicare sanctions, to ensure compliance with CMS.
- 1) If the practitioner is new to the IEHP Network, the Credentialing Specialist will notify the practitioner they were identified on the LEIE list, therefore not eligible to participate in the IEHP Network.
 - 2) If an existing practitioner is identified, the Practitioner must be administratively terminated for all lines of business without appeal rights due to IEHP prohibiting employment of contracting with Practitioners (or entities that employ or contract with such Practitioners) that are excluded/sanctioned from participation.²⁴
 - Members will be reassigned to new Practitioners.
 - The Provider is presented to Peer Review Subcommittee for further review and discussion as an administrative termination. Peer Review Subcommittee discussion will include Quality Management (QM) and Grievance Department findings of any additional prior quality of care issues and Member complaints regarding the Provider.²⁵
- d. System for Award Management (SAM). The OIG LEIE includes all healthcare providers and suppliers that are excluded from participation in federal health care programs, including those health care providers and suppliers that might also be on the SAM (previously Excluded Parties List System (EPLS)). In addition to health care providers (that are also included on the OIG LEIE) the EPLS includes non-

²⁴ Medicare Managed Care Manual, “Relationships with Providers”, Chapter 6 § 60.2

²⁵ NCQA, 2021 Health Plan Standards and Guidelines, CR 05, Element A, Factor 5

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health care contracts²⁶ which are out of scope for the practitioners undergoing the Credentialing process.

- e. CMS' Medicare Exclusion Database (MED) is the source that is used to populate the LEIE list. IEHP will use the LEIE to verify if practitioners are identified on the MED.
- f. DHCS' Suspended and Ineligible List (S&I) the verification source for Medicaid sanctions, to ensure compliance with DHCS.²⁷
 - 1) If the practitioner is new to the IEHP Network, the Credentialing Specialist will notify the practitioner they were identified on the Medi-Cal Suspended and Ineligible List, therefore not eligible to participate in the IEHP Network.
 - 2) If an existing practitioner is identified, the Practitioner must be administratively terminated for all lines of business without appeal rights.
 - Members will be reassigned to new Practitioners.
 - The Suspended Practitioner is presented for further review and discussion at the Peer Review Subcommittee as an administrative termination. Peer Review Subcommittee discussion includes Quality Management (QM) and Grievance and Appeals Department findings of any additional prior quality of care issues and Member complaints regarding the Provider.²⁸
- g. Restricted Provider Database (RPD). The Credentialing designee will obtain the Restricted Provider Database report on a monthly basis, outside of the credentialing and recredentialing process.
 - 1) Providers identified on the RPD are presented to Peer Review Subcommittee for review and discussion. The following actions are required to ensure compliance with DHCS guidelines:
 - Payment Suspension: Providers are placed under a payment suspension while under investigation based upon a credible allegation of fraud.
 - IEHP may continue contractual relationship; however, reimbursements for Medi-Cal covered services are withheld; or
 - If IEHP chooses to continue the contractual relationship with providers who are placed on payment suspensions, IEHP must allow out-of-network access to members currently assigned to the provider by approving the request.

²⁶ Medicare Managed Care Manual, Chapter 21 "Compliance Program Guidelines and Prescription Drugs Benefit Manual", Section 50.6.8

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- IEHP may choose to terminate the contract by submitting appropriate documentation as outlined in APL 21-003.²⁹
 - 2) Temporary Suspension: Providers placed on a temporary suspension while under investigation for fraud or abuse, or enrollment violations.
 - IEHP must terminate the contract and submit appropriate documentation as outlined on APL 21-003.³⁰
 - 4. The Credentialing Specialist will review the report finding along with the Practitioners Application and Attestation for correctness, completeness and ensure any applicable written explanations are present in the practitioners file and for Credentialing Subcommittee review, as needed.
- F. IEHP monitors its credentialing files to ensure that it only contracts with Practitioners who have not opted out. IEHP uses OIG Compliance Now, a sanction screening service to monitor its Provider network to ensure their Providers have not opted out of Medicare.
 1. During the credentialing or recredentialing process, the Credentialing Specialist or designee will submit the Provider to OIG Compliance Now for screening. The results are reviewed by the Credentialing Specialists and included in the Provider file.
 - a. The document will identify when the Provider was screened, and if the Provider was identified on any of the ongoing monitoring of sanctions review required by IEHP, to include but is not limited to the Medicare Opt-Out Report.
 - 1) If a Practitioner is not identified on any reports, the OIG Compliance Now findings are included in the Provider file and date stamped by the reviewer, to ensure that findings were reviewed within the one hundred eighty (180) calendar-day timeframe.
 - 2) If a Practitioner is identified on the report for Medicare Opt-out, the Credentialing Specialist reviews and obtains the information via hard copies, electronic from <https://data.cms.gov/provider-characteristics/medicare-provider-supplier-enrollemtn/opt-out-affidavits>. The OIG compliance Now findings are included in the Provider file and date stamped by the review, to ensure the findings were reviewed within one hundred-eighty (180) calendar-days of the IEHP Subcommittee decision.
 - The Credentialing Specialist will include these findings in the Provider's file and prepare these documents for Credentialing Subcommittee review and discussion.
 - Certain healthcare Provider categories cannot opt-out of Medicare. These

²⁹ DHCS APL 21-003 Supersedes APL 16-001 "Medi-Cal Network Provider and Subcontractor Terminations"

³⁰ Ibid.

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include Chiropractors, physical therapists and occupational therapists in independent practice.

- Behavioral Health (BH) Practitioners identified on the Medicare Opt Out Report are not allowed to participate in the IEHP network for any lines of business due to contract limitations and system design, therefore, are administratively terminated for all lines of business.
 - All Members will be reassigned to new Practitioners.
- The Credentialing designee includes these findings in the Provider's file and prepares these documents for further review and discussion in the Peer Review Subcommittee as an administrative termination. Peer Review Subcommittee discussion will include Quality Management (QM) and Grievance and Appeals Department findings of any additional prior quality of care issues and Member complaints regarding the Provider.
- Practitioners outside of BH identified on the Medicare Opt Out Report are not allowed to participate in the IEHP network for Medicare lines of business.³¹
 - All Medicare Members are reassigned to new Practitioners.³²

G. IEHP includes information from the quality improvement activities and Member complaints in the recredentialing decision-making process. (Verification Time Limit: Last recredentialing cycle to present).

1. Quality activities include, but are not limited to:
 - a. Adverse events
 - b. Medical record review
 - c. Data from Quality Improvement Activities
 - d. Performance Information, may include but is not limited to:
 - 1) Utilization Management Data
 - 2) Enrollee satisfaction surveys
 - 3) Other activities of the organization
 - e. Not all quality activities need to be present
2. Grievance/complaints^{33,34}

³¹ Medicare Managed Care Manual, Chapter 6 "Relationships with Providers", Section 60.3

³² Medicare Managed Care Manual, "Relationships with Providers", Section 60.2

³³ Medicare Managed Care Manual, "Relationships with Providers", Section 60.3

³⁴ DHCS APL 19-004

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- H. All PCP and UC are informed that they must pass an on-site site review conducted by IEHP. (See Policy 6A, “Site Review and Medical Record Review Survey Requirements and Monitoring”). All PCPs and UCs must pass an IEHP facility on-site review at the time of initial credentialing and every three (3) years thereafter, for Medi-Cal Programs.³⁵
- I. IEHP uses OIG Compliance Now, a sanction screening service to monitor its Provider network and ensures their Providers are not included in the Centers Medicare & Medicaid Services (CMS) Preclusions List.
1. During the credentialing or recredentialing process, the Credentialing Specialist or designee will submit the Provider to OIG Compliance Now for screening. The results are reviewed by the Credentialing Specialists and included in the Provider file.
 - a. The document will identify when the Provider was screened, and if the Provider was identified on any of the ongoing monitoring of sanctions review required by IEHP, to include but is not limited to the Centers of Medicare and Medicaid Services (CMS) Preclusions List.
 - 1) If a Practitioner is not identified on any reports, the OIG Compliance Now findings are included in the Provider file and date stamped by the reviewer, to ensure that findings were reviewed within the one hundred eighty (180) calendar-day timeframe.
 - 2) If a Practitioner is identified on the report for the (CMS) Preclusions List, the Credentialing Specialist reviews the information the (CMS) Preclusions List provided by IEHPs Compliance Department. The OIG compliance Now findings are included in the Provider file and date stamped by the review, to ensure the findings were reviewed within one hundred eighty (180) calendar-days of the IEHP Subcommittee decision.
 - If the Practitioner is new to the IEHP network, Credentialing will notify the Practitioner that their credentialing is closed due to IEHP not allowing Practitioners identified on the Centers of Medicaid and Medicaid Services (CMS) Preclusions List to participate in the IEHP network.
 - If the Practitioner is an existing Provider, the Credentialing Specialist will send the Provider a notification to terminate due to IEHP not allowing Practitioners identified on the CMS Preclusions List to participate in the IEHP network.
 - The Credentialing Specialist will include these findings in the Provider’s file and prepare these documents for the Peer Review Subcommittee review and discussion for Providers identified through IEHPs ongoing monitoring of sanctions process for the CMS

³⁵ Medicare Managed Care Manual, “Relationships with Providers”, Section 60.3

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Preclusions List.³⁶

- J. IEHP must obtain appropriate documentation to expand or limit their practice parameters for IEHP review and approval. Practitioners may practice outside of scope with approval from IEHP, by undergoing the Provide Privilege Adjustment process in this policy.
1. Provider Privilege Adjustment. Practitioners who request a change in practice parameters (i.e. reduction of Member age range, additional specialty) must:
 - a. Submit a detailed explanation or complete a Provider Privilege Adjustment Request Form (See Attached, "Provider Privilege Adjustment Request Form") that includes the following, for review and consideration:
 - 1) Practice site demographics;
 - 2) Practical experience relating to the request (years in clinical practice, direct care experience with the relevant membership, etc.);
 - 3) Practice capacity; and
 - 4) Relevant training in the specialty, if applicable (e.g. Continuing Medical Education (CME), Post-graduate training, etc.)
 2. PCPs age range expansions, the Credentialing Specialist will confirm if the practitioner submitted and meets the following requirements.
 - a. For PCP's who have Adult age ranges assigned and would like to expand their age range to reflect all ages, will be processed with a secondary specialty of General Practice, must provide the following information for review and consideration:
 - 1) Provide documentation of primary care practice in the United States for the past five (5) years which includes a mix of pediatric and adult patients. (See Attachment, "IEHP Addendum E" in Section 5);
 - 2) Provide evidence of twenty-five (25) CME units in Pediatric Primary Care completed within the last three (3) years;
 - 3) PCPs that have Members assigned ages (0-14) must enroll in the Vaccines for Children (VFC) Program;³⁷
 - 4) Malpractice coverage for the age range Provider is requesting for that covers all locations the Provider will be treating IEHP Members; and
 - 5) Pass a Medical Record Chart Audit for Pediatric Members
 - b. For PCP's who have Pediatric age ranges assigned and would like to expand their age range to reflect all ages, will be processed with a secondary specialty of

³⁶ 2019 Medicare Program Final Rule, "Preclusions List Requirements"

³⁷ DHCS Medi-Cal Provider Manual, "Vaccines for Children (VFC) Program"

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General Practice, must provide the following information for review and consideration:

- 1) Provide documentation of primary care practice in the United States for the past five (5) years which includes a mix of pediatric and adult patients. (See Attachment, “IEHP Addendum E” in Section 5);
 - 2) Provide evidence of twenty-five (25) CME units in Adult Primary Care completed within the last three (3) years;
 - 3) PCPs that have Members assigned ages (0-14) must enroll in the Vaccines for Children (VFC) Program;³⁸
 - 4) Malpractice coverage for the age range Provider is requesting for that covers all locations the Provider will be treating IEHP Members; and
 - 5) Pass a Medical Record Chart Audit for Adult Members
- c. After Practitioner submits his/her written request, the Credentialing Specialist will confirm the practitioner is compliant with the criteria set forth in Section 5, “Credentialing Standards – Credentialing Policies” and then forward it to the IEHP Medical Director for review and approval.

K. Practitioner offices who employ Advanced Practice Practitioners (i.e. Physician Assistants (PAs), Nurse Practitioners (NPs), and Certified Nurse Midwives (CNMs) must ensure written arrangements are in place between the Advanced Practice Practitioner and the practice where they treat IEHP members. These documents must be readily available to IEHP upon request. (See Policy 6F, “Facility Site Review – Non-Physician Practitioner Requirements”).

1. IEHP requires all Advanced Practice Practitioners to practice at the same site as their Supervising Physician. The following written arrangements must be provided to IEHP upon request for:

- a. Physician Assistants must provide one (1) on the following:
 - 1) Delegation of Services Agreement and Supervising Physician Form (See Attachment, “Delegation of Services Agreement and Supervising Physician Form” in Section 5).³⁹ This agreement must:
 - Define specific services identified in practice protocols or specifically authorized by the supervising Physician., and
 - Both the Physician and PA must attest to, date and sign the document.

³⁸ DHCS Medi-Cal Provider Manual, “Vaccines for Children (VFC) Program”

³⁹ California Code of Regulations (CCR) § 1399.540(b)

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- An original or copy must be readily accessible at all practice sites in which the PA works;
- 2) Practice Agreement, effective January 1, 2020, ⁴⁰ the writing, developed through collaboration among one or more physicians and surgeons and one or more physicians' assistants, that defines the medical services the physician assistant is authorized to perform pursuant to Section 3502 ⁴¹ and that grants approval for physicians and surgeons on the staff of an organized health care system to supervise one or more physician assistants in the organized health care system. Any reference to a Delegation of Services Agreement relating to physician assistants in any other law shall have the same meaning as a practice agreement. The Practice Agreement must include provisions that address the following:
 - A practice agreement shall include provisions that address the following:⁴²
 - The types of medical services a physician assistant is authorized to perform.
 - Policies and procedures to ensure adequate supervision of the physician assistant, including, but not limited to, appropriate communication, availability, consultations, and referrals between a physician and surgeon and the physician assistant in the provision of medical services.
 - The methods for the continuing evaluation of the competency and qualifications of the physician assistant.
 - The furnishing or ordering of drugs or devices by a physician assistant pursuant to Section 3502.1.
 - Any additional provisions agreed to by the physician assistant and physician and surgeon.
 - A practice agreement shall be signed by both of the following:
 - The physician assistant.
 - One or more physicians and surgeons or a physician and surgeon who is authorized to approve the practice agreement on behalf of the staff of the physicians and surgeons on the staff of an organized health care system.

⁴⁰ Senate Bill 697

⁴¹ Business & Professions Code (BPC) § 3502

⁴² Business & Professions Code (BPC) § 3502.3

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- A delegation of services agreement in effect prior to January 1, 2020, shall be deemed to meet the requirements of this subdivision.
 - A practice agreement may designate a PA as an agent of a supervising physician and surgeon.
 - Nothing in this section shall be construed to require approval of a practice agreement by the board.
 - Notwithstanding any other law, in addition to any other practices that meet the general criteria set forth in this chapter or regulations adopted by the board or the Medical Board of California, a practice agreement may authorize a PA to do any of the following:
 - Order durable medical equipment, subject to any limitations set forth in Section 3502 or the practice agreement. Notwithstanding that authority, nothing in this paragraph shall operate to limit the ability of a third-party payer to require prior approval.
 - For individuals receiving home health services or personal care services, after consultation with a supervising physician and surgeon, approve, sign, modify, or add to a plan of treatment or plan of care.
 - After performance of a physical examination by the PA under the supervision of a physician and surgeon consistent with this chapter, certify disability pursuant to Section 2708 of the Unemployment Insurance Code. The Employment Development Department shall implement this paragraph on or before January 1, 2017.
- b. Nurse Practitioners and Nurse Midwives are required to have Standardized Procedures. Standardized Procedures must be on-site site specific and:
- 1) Reference textbooks and other written sources to meet the requirements of Title 16, CCR § 1474 (3), must include:
 - Book (specify edition) or article title, page numbers and sections.
 - 2) NP and/or NM must be practicing at a site assigned to their supervising Physician; and
 - 3) Standardized Procedures must be signed by both the Practitioner and the supervising Physician, initially and annually; and provided to IEHP, upon request. At minimum, the documents must include:
 - Table of Contents of the Standardized Procedures used, between the NP and/or CNM and supervising Physician, that references the textbook or

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written sources to meet the requirements of the Board of Registered Nursing.

- Evidence that the Standards of Care established by the sources were reviewed and authorized by the nurse Practitioner, Physician and administrator in the practice setting (i.e., signature page that includes all parties involved).
2. Standardized Procedures written using the Physician Assistants Delegation of Services Agreement and Supervising Physician Form format and/or verbiage is not accepted by IEHP.^{43,44}

| INLAND EMPIRE HEALTH PLAN | | |
|---|---------------------------------|-----------------|
| Chief Approval: <i>Signature on File</i> | Original Effective Date: | January 1, 2020 |
| Chief Title: Chief Operating Officer | Revision Date: | January 1, 2023 |

⁴³ Medicare Managed Care Manual, Chapter 6 “Relationships with Providers”, Chapter 6 § 60.3

⁴⁴ Title 16, California Code of Regulations (CCR) § 1474 (3)

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4. Recredentialing Cycle Length

APPLIES TO:

A. This policy applies to all IEHP Medi-Cal Providers contracted under IEHPs Direct network.

POLICY:

A. IEHP is responsible for formally recredentialing its contracted Practitioners (i.e., Primary Care Providers (PCPs), Non-Physician Practitioners, Specialists, and Admitting Physicians) at least every thirty-six (36) months from their last credentialing decision date.^{1,2,3}

PURPOSE:

A. To describe the guidelines for IEHP recredentialing and ensures recredentialing is conducted in a timely manner.

PROCEDURES:⁴

A. The length of the recredentialing cycle is within the required thirty-six (36) month time frame. The thirty-six (36) month recredentialing cycle begins on the date of the previous credentialing decision. The thirty-six (36) month cycle is counted to the month, not to the day.^{5,6}

All written and verbal communications regarding recredentialing applications are documented within Credentialing database, by the person who made the attempt (i.e. Credentialing Specialist, Provider Services Representative (PSR) etc.), to ensure all attempts are documented and readily available for those Practitioners terminated due to non-compliance to recredentialing.

1. Six (-6) months prior to the recredentialing due date, the Credentialing Department generates and sends out the recredentialing applications to the respective Practitioners via email or fax to the Practitioners credentialing contact or Practitioner directly, for review and signature.

a. The Practitioner is provided a due date within fourteen (14) calendar days to return the completed recredentialing application to the Credentialing Department.

1) If the Practitioner does not submit the application within the designated

¹ National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, CR 4, Element A

² Department of Health Care Services (DHCS) All Plan Letter (APL) 19-004 Supersedes APL 17-019, "Provider Credentialing/Recredentialing and Screening/Enrollment

³ Title 42 Code of Federal Regulations (CFR) § 422.204(b)(2)(ii)

⁴ NCQA, 2022 HP Standards and Guidelines, CR 4, Element A

⁵ 42 CFR § 422.204(b)(2)(ii)

⁶ DHCS APL 19-004

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timeframe, the Credentialing Specialist will make at least three (3) separate attempts to follow-up with the Practitioner's office. During this time, the Credentialing Specialist must obtain the following information:

- Confirm the best contact for the recredentialing application
 - Best communication method (i.e. e-mail, fax, phone call etc.)
 - Confirmation of receipt of recredentialing application
 - Next follow-up date
 - Anticipated date of completion and submission to IEHP
2. Three (3) months prior to the recredentialing due date, the Credentialing Department will notify the Provider Services and Contracts Department of the Practitioners who have not submitted their recredentialing applications.
- a. The PSRs are responsible for at least three (3) separate attempts, via phone, email, and office visit, to follow up on the recredentialing application with the practitioner. During this time, the PSRs are responsible for:
- 1) Reminding the Practitioner:
 - Their recredentialing application is past due;
 - If their application is not submitted to credentialing@iehp.org, by the 15th of the month prior their recredentialing application is due, their file will be recommended for termination due to non-compliance to recredentialing; and provide the following disclaimer:
 - After termination and the Practitioner wants to continue participation in the IEHP Direct Network, the Practitioner must undergo the initial credentialing process, regardless if the termination date was less than thirty (30) calendar days.
 - 2) Obtain the next follow-up date and/or anticipated date of completion and submission to IEHP.
 - 3) Collecting and forwarding the recredentialing application to credentialing@iehp.org.
3. Two (2) months prior to the recredentialing due date, the Credentialing Department will notify the Provider Services and Contacts Department of the Practitioners who have not submitted their recredentialing applications. During this time, the PSRs are responsible for:
- a. Notifying the Contracts Managers (CMs) and Credentialing Specialists of their attempts to obtain the Practitioner's recredentialing application.

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- b. If the recredentialing application is not received by the 15th of the month prior to the Practitioner's recredentialing due date, the PSRs will coordinate with the CMs, to send a request to terminate the Practitioner due to non-compliance to recredentialing, with an effective date of the 1st of the following month, their recredentialing application is due.
 - 1) The CMs are responsible for sending a request to terminate the respective Practitioner(s) due to non-compliance to recredentialing, with an effective date of the 1st of the month, following their recredentialing due date, to allow members at least thirty (30) days advance notice of their Practitioner termination and ensure the Practitioner does not see Members beyond their approved credentialing cycle.
 - 2) The Credentialing Specialist will send the termination letter due to non-compliance to recredentialing, via FEDEX and include the respective CMs and PSRs.
 4. If the recredentialing application is received after the termination letter is sent to the Practitioner, the Practitioner is notified by recipient that the Practitioner was terminated due to non-compliance to recredentialing and if the Practitioner would like to continue their participation with the IEHP network, the Practitioner must undergo the initial credentialing process and submit their application to contracts@iehp.org to initiate the process.
- B. IEHP may extend a Practitioner's recredentialing cycle time frame (beyond the thirty-six (36) months) if the Practitioner is on active military assignment, on maternity/medical leave or a sabbatical. If the Credentialing Department is made aware of any of the reasons above, Credentialing must:
1. Obtain written documentation from the Practitioner's office that includes the reason and anticipated date of return.
 2. Recredential the Practitioner within sixty (60) calendar days of the Practitioner's return to practice.
 - a. Failure to meet the allocated time frame above, will result in the administrative termination of the Practitioner due to non-compliance to recredentialing.
- C. Practitioners who have exceeded the thirty-six (36) month timeframe. If IEHP does not have the necessary information for recredentialing, IEHP will:
1. Inform the Practitioner that this information is needed at least thirty (30) calendar days before the recredentialing deadline and that without this information, the Practitioner will be administratively terminated.
 - a. This notification will be included in the Practitioner's credentialing file.
 - b. If the Practitioner is subsequently terminated for lack of information, the termination

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notice will be included in the practitioner's file.

2. Terminate the Practitioner for administrative reasons (e.g. the Practitioner failed to provide complete credentialing information). IEHP does not allow automatic reinstatement within thirty (30) calendar days of termination to Practitioners terminated due to non-compliance to recredentialing. IEHP will review and consider requests to reinstate Practitioners terminated due to non-compliance to recredentialing, on a case-by-case basis.
 - a. IEHP will perform initial credentialing if the reinstatement is more than thirty (30) calendar days after termination.
- D. IEHP allows reinstatements to Practitioners terminated for administrative reasons and not quality reasons if the reinstatement is within thirty (30) calendar days of the termination.
 1. If IEHP terminates a Practitioner for administrative reasons and not for quality reasons, IEHP may reinstate the practitioner within thirty (30) calendar days of termination and is not required to perform initial credentialing. The practitioner will resume their previous credentialing cycle.
 - a. IEHP must perform initial credentialing if the reinstatement is more than thirty (30) calendar days after termination.

| INLAND EMPIRE HEALTH PLAN | | |
|---|---------------------------------|-----------------|
| Chief Approval: <i>Signature on File</i> | Original Effective Date: | January 1, 2020 |
| Chief Title: Chief Operating Officer | Revision Date: | January 1, 2023 |

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APPLIES TO:

A. This policy applies to all IEHP Medi-Cal Providers contracted under IEHPs Direct Network.

POLICY:

- A. IEHP conducts ongoing monitoring of Practitioner sanctions, complaints, and quality issues between recredentialing cycles and takes appropriate action against Practitioners when it identifies occurrences of poor quality on a monthly basis.¹
- B. IEHP maintains a documented process for monitoring whether network Providers have opted out of participating in the Medicare Program.^{2,3}
- C. IEHP verifies that contracted Providers have not been terminated as Medi-Cal Providers or have not been placed on the Suspended and Ineligible Provider List.⁴
- D. IEHP maintains a documented process for monitoring whether its Practitioners are included in the Centers for Medicare & Medicaid Services (CMS) Preclusions List, to ensure compliance with the Medicare Program Final Rule.⁵
- E. IEHP maintains a documented process for monitoring Practitioners identified on the Restricted Provider Database.⁶
- F. IEHP maintains a documented process that includes the System for Award Management (SAM) in their list of database checks.⁷
- G. IEHP notifies the respective delegates of any identified findings through the ongoing monitoring of sanctions process. Delegates are required to present these findings to their Credentialing/Peer Review Committee for review and discussion, followed by a written response to IEHP of the written plan of action for each Practitioner within fourteen (14) calendar days of IEHP's notification.
- H. IEHP notifies the respective Delegates of any findings and actions of the Peer Review Subcommittee regarding the Practitioners identified through the ongoing monitoring of sanctions, complaints, and quality issues between recredentialing cycles.
- I. IEHP verifies and ensures Practitioners maintain an active licensure status, Drug Enforcement

¹ National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, CR 5, Element A, Factors 1-5

² Medicare Managed Care Manual, Chapter 6, "Confirmation of Eligibility for Participation in Medicare: Excluded and Opt-Out Provider Checks," § 60.2

³ Department of Health Care Services (DHCS) All Plan Letter (APL) 19-004 Supersedes APL 17-019 "Provider Credentialing/Recredentialing and Screening/Enrollment"

⁴ Ibid.

⁵ Centers for Medicare & Medicaid Services (CMS), Policy CMS-4182 Final Rule

⁶ DHCS APL 19-004

⁷ Ibid.

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Administration (DEA) or Controlled Dangerous Substances (CDS) certificate and remedies if the license or certification expires or status changes during the Practitioner's participation with IEHP regardless of occurrence outside of the recredentialing cycle.

- J. IEHP must collect Social Security Numbers for all new and existing Practitioners to IEHP to ensure all Practitioners are included in IEHP's screening of the Social Security Administration's Death Master File (SSADMF).⁸

PURPOSE:

- A. IEHP identifies and when appropriate, acts on important quality and safety issues in a timely manner during the interval between formal credentialing.⁹

DEFINITION:

- A. Adverse event: An injury that occurs in the course of a Member receiving health care services from a Practitioner.¹⁰
- B. Peer review: Evaluation or review of colleague performance by professionals with similar types and degrees of expertise (e.g., evaluation of a physician's credentials and practice by another physician).¹¹
- C. Quality of care: The degree to which health services increase the likelihood of desired health outcomes and are consistent with current professional knowledge.¹²

PROCEDURES:

- A. IEHP utilizes OIG Compliance Now as a contracted vendor to conduct the Ongoing Monitoring of Sanctions screenings for IEHPs credentialed and contracted Practitioners. All reports are reviewed within thirty (30) calendar days of its release. New findings are presented to the next scheduled Peer Review Subcommittee, for review and discussion.^{13,14}
1. The Credentialing designee submits a file by the fifth (5th) of each month, prepared by Health Care Informatics (HCI). The file contains a list of credentialed Providers to submit to OIG Compliance Now for screening. The sanction screening service provides screening across various Federal and State agencies including those required by IEHP as noted in this policy.

⁸ DHCS APL 19-004

⁹ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 1-5

¹⁰ NCQA, 2022 HP Standards and Guidelines, Glossary

¹¹ Ibid.

¹² Ibid.

¹³ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 5

¹⁴ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 1-2

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2. All reviews for Ongoing Monitoring of Sanctions are tracked in a Sanctions Log maintained by the Credentialing Department. This log includes the following information:
 - a. Name of Institution, Licensing Board, Organization or Agency issuing the Sanction
 - b. Practitioner types
 - c. Report frequency
 - d. Date Publication was released
 - e. Date report was reviewed
 - f. Providers identified and active credentialed affiliations
 - g. Description of the Sanction or finding
 - h. Name of person reviewing the report
3. All findings are referred to the following Departments and people and are included in the next scheduled Peer Review Subcommittee meeting:
 - a. IEHP Peer Review Chairperson/Medical Director
 - 1) Reviews the sanction in preparation for the upcoming Peer Review Subcommittee discussion.
 - 2) Notifies the following departments if additional information is needed for presentation at the Peer Review Subcommittee meeting:
 - Information may include but are not limited to:
 - Licensure status
 - Education and Training
 - Hospital Affiliations or arrangements
 - Practice Locations
 - Advanced Practice Practitioners under his/her supervision (if applicable)
 - Membership counts
 - National Practitioner Data Bank history
 - Malpractice Claim History
 - Delegated IPA affiliations
 - Facility Site Review/Medical Record Audit Status (if applicable)
 - Quality Improvement activities

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- Grievance History
- Narcotics Audits (if needed, will work with Pharmacy to coordinate)
- b. Chief Medical Officer (CMO)
- c. Chief Operating Officer (COO)
- d. Director of Provider Operations
- e. Director of Quality Management
- f. Director of Grievance and Appeals
- g. Credentialing Manager
- h. Credentialing Designee
 - 1) Responsible for the Peer Review Subcommittee packet compilation and coordination with the Provider Services Administrative Assistant for distribution to the Peer Review Subcommittee.
- i. Quality Assurance Nurse
 - 1) Responsible for collecting Quality Improvement activities, grievance history and summarizing licensure and/or action findings for the Peer Review Subcommittee packet.
- j. Additional Information from other Departments, upon request.
- 4. IEHP will provide evidence of ongoing monitoring and appropriate interventions by:
 - a. Ensuring OIG Compliance Now collects and reviews information from the following sources for Medicare and Medicaid sanctions:
 - 1) List of Excluded Individuals and Entities (LEIE) (maintained by Office of Inspector General) as the verification source for Medicare Sanctions, and review the report on a monthly basis, within thirty (30) days of its release.¹⁵
 - CMS' Medicare Exclusion Database (MED) is the source that is used to populate the LEIE list. IEHP will use the LEIE to verify if Practitioners are identified on the MED.¹⁶
 - 2) If a Practitioner is identified, the Credentialing designee will review the OIG Exclusions Report and confirm the findings.¹⁷
 - A Practitioner identified on the HHS-Office of Inspector General (OIG) Exclusions Report is administratively terminated for all lines of business

¹⁵ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 5

¹⁶ DHCS APL 19-004

¹⁷ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 5

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without appeal rights due to IEHP prohibiting employment of contracting with Practitioners (or entities that employ or contract with such Practitioners) that are excluded/sanctioned from participation.^{18,19}

- Members will be reassigned to new Practitioners.
 - The Practitioner is presented to Peer Review Subcommittee for further review and discussion as an administrative termination. Peer Review Subcommittee discussion will include Quality Management (QM) and Grievance Department findings of any additional prior quality of care issues and Member complaints regarding the Practitioner.
- 3) IEHP ensures OIG Compliance Now collects and reviews information from BreZE Online Services or directly from the licensing Board via phone, email, or mail, for reviewing sanctions or limitations on licensure. If a Practitioner is identified, the Credentialing designee will review and confirm the findings. The verifications are verified through:²⁰
- Physicians
 - Medical Board of California (M.D., L.M.)
 - Subscription for email notifications of accusations, licensure suspensions, restrictions, or surrenders distributed by the Medical Board of California. (<http://www.mbc.ca.gov/Subscribers/>)
 - A distributed list of Disciplinary Actions/License Alerts can be obtained at (<https://www.mbc.ca.gov/Resources/Publications/Alerts.aspx>)
 - Osteopathic Medical Board of California (D.O.)
 - Distribution list from J. Corey Sparks, Lead Enforcement Analyst, Corey.Sparks@dca.ca.gov
Phone: (916) 928-8393 Fax: (916) 928-8392.
 - Chiropractors.
 - California Board of Chiropractic Examiners (D.C.)
 - Disciplinary Action Reports are posted monthly by the licensing board. (<http://www.chiro.ca.gov/enforcement/actions.shtml>)

¹⁸ Medicare Managed Care Manual, Chapter 6, “Confirmation of Eligibility for Participation in Medicare: Excluded and Opt-Out Provider Checks,” § 60.2

¹⁹ DHCS APL 19-004

²⁰ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 2

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- [Subscription email list](https://www.chiro.ca.gov/webapplications/subscribe/index.shtml)
(<https://www.chiro.ca.gov/webapplications/subscribe/index.shtml>)
- Oral Surgeons.
 - Dental Board of California (D.D.S., D.M.D.)
 - Disciplinary Action Reports are posted monthly by the licensing board. (<http://www.dbc.ca.gov/consumers/hotsheets.shtml>)
 - Subscription for list of Board actions
(<https://www.dbc.ca.gov/webapplications/apps/subscribe/index.shtml>)
- Podiatrists
 - Board of Podiatric Medicine (D.P.M.)
 - Recent Disciplinary Actions are updated every three to four (3 to 4) months by the licensing board.
(<https://www.pmbc.ca.gov/consumers/dispsumm.shtml>). An email to the board may be sent if medical board site does not get updated within the three to four (3-to-4) month timeframe to inquire on status. (PMBC@dca.ca.gov).

Non-physician healthcare Practitioners.

- Board of Behavioral Sciences (L.M.F.T., L.C.S.W., M.F.C.C., L.P.C.C.)
 - Subscription for list of enforcement actions.
(<https://www.dca.ca.gov/webapps/bbs/subscribe.php>)
 - Enforcement Actions are updated monthly by the licensing board.
([Enforcement Actions - Board of Behavioral Sciences \(ca.gov\)](#))
- Board of Psychology (Ph.D., Psy.D.)
 - Subscription for list of enforcement actions.
(<https://www.dca.ca.gov/webapps/psychboard/subscribe.php>)
 - [Quarterly Journals](#) are issued by the licensing board with all the [Disciplinary Actions](#) for that quarter reported.
(https://www.psychology.ca.gov/forms_pubs/updates.shtml)
- California Board of Occupational Therapy (O.T.)
 - Disciplinary Actions are updated as needed by the licensing board, contingent when there is an Occupational Therapist placed on

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- probation or revoked.
(http://www.bot.ca.gov/consumers/disciplinary_action.shtml)
- Subscription for list of enforcement actions.
(<https://www.bot.ca.gov/webapplications/apps/subscribe/index.shtml>)
- California State Board of Optometry (O.D.)
 - Disciplinary Actions are updated as actions are adopted.
(<http://www.optometry.ca.gov/consumers/disciplinary.shtml>)
- Physical Therapy Board of California (P.T.)
 - Subscription for email notifications of accusations, licensure suspensions, restrictions, or surrenders distributed by the Physical Therapy Board of California send an email requesting to be added to the monthly disciplinary distribution list (CPS@dca.ca.gov)
Consumer Protection Services Phone: (916) 561-8200 Fax: (916) 263-2560.
 - Quarterly Progress Notes are available by the licensing board indicating the quarterly Administrative Actions for Discipline and Citations (<https://www.ptbc.ca.gov/publications/index.shtml>)
- Physician Assistant Committee (P.A., P.A.-C)
 - Disciplinary Actions are posted monthly by the licensing board.
(https://pab.ca.gov/forms_pubs/disciplinaryactions.shtml)
 - Subscription for disciplinary actions from the licensing board
(<https://www.pab.ca.gov/webapplications/apps/subscribe/index.shtml>)
- California Board of Registered Nursing (C.N.M., N.P.)
 - This Licensing Board does not release sanction information reports; therefore, organizations are required to conduct individual queries every twelve (12) to eighteen (18) months on credentialed Practitioner)
- Speech-Language Pathology & Audiology Board (S.P., AuD.)
 - Disciplinary Actions are updated quarterly by the licensing board.
(<http://www.speechandhearing.ca.gov/consumers/enforcement.shtml>)
- Subscription for disciplinary actions from the licensing board
(<https://www.speechandhearing.ca.gov/webapplications/apps/subscribe/index.shtml>)
- Acupuncture Board (L.Ac.)
 - Disciplinary Action Reports reported monthly by the Licensing board.
(www.acupuncture.ca.gov/consumers/board_actions.shtml); or

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- Subscription for disciplinary actions from the licensing board (<https://acupuncture.ca.gov/webapplications/subscribe/index.shtml>)²¹
- 3. IEHPs Grievance and Appeals Department is responsible for collecting and reviewing complaints and:²²
 - a. Investigates Practitioner-specific Member complaints upon their receipt and evaluates the Practitioner's history of complaints, if applicable.
 - b. Evaluates the history of complaints for all Practitioner's history of complaints at least every six (6) months.
 - c. Quality or collecting and reviewing complaints received by Delegates must be forwarded to IEHP, since they are not delegated for these activities.
 - d. Policy and evidence may be found in the Grievance and Appeals Department.
- 4. IEHPs Quality Management Department is responsible for collecting and reviewing information from identified adverse events and:²³
 - a. Monitors for adverse events every six (6) months.
 - b. Quality/collecting and reviewing adverse events received by Delegates must be forwarded to IEHP, since they are not delegated for these activities.
 - c. Policy and evidence may be found in the Quality Department
- 5. IEHP implements appropriate interventions when it identifies instances of poor quality related to Practitioners with Medicare/Medicaid Sanctions, Sanctions and/or limitations on licensure, member complaints, or adverse events may be found in the Quality Management, Grievance and Appeals, and/or Credentialing Department and documented in the Peer Review Subcommittee minutes. This process determines if there is evidence of poor quality that could affect the health and safety of its Members and implements the appropriate policy based on action/intervention.

The Peer Review Subcommittee meets the 4th Wednesday of every other month and reviews all Practitioners identified through the Ongoing Monitoring of Sanctions Process, Practitioners escalated from the Medical Director(s) for Potential Quality Incidents (PQIs), Practitioners escalated from the Grievance and Appeals Department, and any new Practitioner (s) with adverse history requesting participation through one (1) or more of our IPA networks. The Peer Review Subcommittee will review each of the Practitioners and give thoughtful consideration to the information collected²⁴ and presented for review. The Peer Review Subcommittee obtains advice from participating Practitioners during

²¹ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 2

²² NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 3

²³ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 4

²⁴ NCQA, 2022 HP Standards and Guidelines, CR 2, Element A, Factor 2

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the decision process. All discussions and actions will be documented in the Peer Review Subcommittee meeting minutes and will be reviewed and approved at the following Peer Review Subcommittee.

- a. At minimum, Practitioners identified through ongoing monitoring for licensure actions, sanctions, adverse history, grievances and/or complaints, must be fully discussed and reviewed by the Peer Review Subcommittee. The reason for review must be considered and documented in the meeting minutes.²⁵

- 1) Interventions can be identified in one of the following:

- Committee minutes
- Practitioner files
- Delegate file binders

- D. IEHP monitors when network physicians have opted out of participating in the Medicare Program through the Ongoing Monitoring process with OIG Compliance Now and ensures the vendor is conducting screenings for Medicare Opt-Out using (<https://data.cms.gov/provider-characteristics/medicare-provider-supplier-enrollment/opt-out-affidavits>).

1. IEHP must review the Opt-Out Report most current list available within thirty (30) calendar days of its release

- a. Certain healthcare Practitioner's categories cannot opt-out of Medicare. These include Chiropractors, Physical Therapists and Occupational Therapists in independent practice.
- b. If a Practitioner is identified on the Medicare Opt-Out Report, the Credentialing designee reviews the information via hard copies, electronic or one (1) of the CMS.gov Opt-Out sites to confirm the finding.²⁶

- 1) Behavioral Health (BH) Practitioners identified on the Medicare Opt Out Report are not allowed to participate in the IEHP network for any lines of business due to contract limitations and system design, therefore, are administratively terminated for all lines of business.

- All Members will be reassigned to new Practitioners.
- The Credentialing designee includes these findings in the Practitioner's file and prepares these documents for further review and discussion in the Peer Review Subcommittee as an administrative termination. Peer Review

²⁵ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 5

²⁶ Medicare Managed Care Manual, Chapter 6, "Confirmation of Eligibility for Participation in Medicare: Excluded and Opt-Out Provider Checks," § 60.2

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Subcommittee discussion will include Quality Management (QM) and Grievance and Appeals Department findings of any additional prior quality of care issues and Member complaints regarding the Practitioner.

- 2) Practitioners outside of BH identified on the Medicare Opt Out Report are not allowed to participate in the IEHP network for Medicare lines of business.

- All Medicare Members are reassigned to new Practitioners.

- C. IEHP ensures OIG Compliance Now collects and reviews the Medi-Cal Suspended and Ineligible List published monthly by the Department of Health Care Services (DHCS) (<https://files.medi-cal.ca.gov/pubsdoco/SandILanding.aspx>) as the verification source for Medicaid Sanctions. IEHP must review the Suspended & Ineligible List on a monthly basis, within thirty (30) days of its release.

1. If a Practitioner is identified, the Credentialing designee reviews the Medi-Cal Suspended and Ineligible List and confirms the findings.

- a. Practitioner identified on the Medi-Cal Suspended and Ineligible List are automatically terminated for all lines of business without appeal rights.

- 1) All Members assigned to the suspended Practitioner are reassigned to new Practitioners.
- 2) The Suspended Practitioner is presented for further review and discussion at the Peer Review Subcommittee as an administrative termination. Peer Review Subcommittee discussion includes Quality Management (QM) and Grievance and Appeals Department findings of any additional prior quality of care issues and Member complaints regarding the Provider.²⁷

- D. IEHP ensures OIG Compliance Now screens the CMS Preclusions List to ensure compliance with the Medicare Program Final Rule. In order for Providers (including entities) to receive payment from Medicare Plan (Part C and D), they must not be included in the Centers for Medicare & Medicaid Services (CMS) Preclusions List.²⁸

1. If a Practitioner is identified, the Credentialing designee will review the CMS Preclusions List and confirm the findings.

- a. Providers identified on the CMS Preclusions List are automatically terminated for all lines of business without appeal rights.

- 1) All Members assigned to suspended Practitioners are reassigned to new Practitioners.
- 2) The Practitioner is presented to the Peer Review Subcommittee for further review and discussion as an administrative termination. Peer Review

²⁷ DHCS APL 19-004

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Subcommittee discussion will include Quality Management (QM) and Grievance and Appeals Department findings of any additional prior quality of care issues and Member complaints regarding the Practitioner.

- E. IEHP maintains a documented process for monitoring Practitioners identified on the Restricted Provider Database (RPD).²⁹ The Credentialing designee will obtain the Restricted Provider Database report by the 5th of each month.
1. Practitioners identified on the RPD are presented to Peer Review Subcommittee for review and discussion. The following actions are required to ensure compliance with DHCS guidelines:
 - a. Payment Suspension: Practitioners are placed under a payment suspension while under investigation based upon a credible allegation of fraud.
 - 1) IEHP may continue contractual relationship; however, reimbursements for Medi-Cal covered services are withheld; or
 - If IEHP chooses to continue the contractual relationship with Practitioners who are placed on payment suspensions, IEHP must allow out-of-network access to Members currently assigned to the Practitioner by approving the request.
 - 2) IEHP may choose to terminate the contract by submitting appropriate documentation.³⁰
 - b. Temporary Suspension: Practitioners placed on a temporary suspension while under investigation for fraud or abuse, or enrollment violations.
 - 1) IEHP must terminate the contract and submit appropriate documentation.³¹
- F. IEHP maintains a documented process that includes the System for Award Management (SAM) in the list of database checks. IEHP uses OIG Compliance Now as the vendor to collect data and alert services, including but not limited to the System for Award Management (SAM) in the scope of review.
1. The OIG LEIE includes all healthcare Practitioners and suppliers that are excluded from participation in federal health care programs, including those health care Practitioners and suppliers that might also be on the SAM (previously Excluded Parties List System (EPLS)). In addition to health care Practitioners (that are also included on the OIG LEIE) the EPLS includes non-health care contracts³² which are out of scope for the Practitioners undergoing the Credentialing process.

²⁹ DHCS APL 19-004

³⁰ DHCS APL 21-003 Supersedes APL 16-001 “Medi-Cal Network Provider and Subcontractor Terminations”

³¹ Ibid.

³² Medicare Managed Care Manual, Chapter 9 & 21 “OIG/GSA Exclusion,”

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- G. During the ongoing monitoring of sanctions review, the Credentialing designee notifies the respective delegates of any identified findings.
1. IEHP sends an email to the Delegate notifying them of the findings and the affiliation of the Practitioner to IEHP. The Delegate must provide a written plan of action for the Practitioner identified within fourteen (14) calendar days that includes:
 - a. The date the Practitioner was presented to the Credentialing Committee for review and discussion.
 - 1) If the Credentialing Committee has not discussed the Practitioner, the Delegate must provide the date the Practitioner is scheduled for review.
 - 2) A summary of the Credentialing Committee's discussion and plan of action. Committee's Decision.
 - b. Delegates are responsible for notifying IEHP of any findings and the actions decided by the Credentialing Committee within thirty (30) days of the decision, to include, but not limited to:
 - 1) Date(s) of the Credentialing Committee the Practitioner was reviewed.
 - 2) Date of the Credentialing Committee decision.
 - 3) Delegate's Plan of action for the Practitioner.
 - 4) Frequency of monitoring (if applicable); and
 - 5) Any follow-ups scheduled.
 - 6) Any of the following actions with a contracted Practitioner:
 - The surrendering, revocation or suspension of a license.
 - The surrendering, revocation or suspension of DEA registration.
 - A change in hospital staff status or hospital clinical privileges, including any restrictions or limitations.
 - A change in Hospital admitting arrangements for Practitioners without IEHP affiliated Hospital privileges.
 - Loss of malpractice insurance; and
 - The notification must include the IPA's proposed action and/or resolution.
 - 7) Committee decision resulting in suspension or termination. The Delegate must confirm if suspension or termination was due to administrative reasons or Quality of Care. Delegates are required to notify IEHP in writing within thirty (30) days of the filing if any of the following occurs with one of their contracted Practitioners:

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- Any filing pursuant to Business and Professions Code Sections § 805, 805.01 or 809.
 - Any filing with the NPDB; and
 - The notification must include the Delegate’s proposed action and/or resolution.
 - Suspension or terminations for administrative reasons. The Delegate needs to provide the termination date and reason for termination.
 - This termination notification does not replace the standard termination notification sent to our Provider Relations Team. Delegates must submit terminations to providerupdates@iehp.org to ensure Practitioners are terminated timely.
 - Suspensions or terminations for Quality of Care. Delegates must submit a copy of the 805 and/or 805.01 filing to IEHP for review, within thirty (30) days of file submission to DGCCredentialingSME's@iehp.org.
2. IEHP presents the Practitioner to the Peer Review Subcommittee for review and discussion and includes the plan of actions from the respective networks.
 3. IEHP is responsible for notifying the Practitioner’s respective delegated networks of any findings and the actions decided by the Peer Review Subcommittee within thirty (30) days of the decision, including, but not limited to:
 - a. Date of the Credentialing Committee Practitioner review;
 - b. Date of the Credentialing Committee decision;
 - c. IEHPs Plan of action for the Practitioner;
 - d. Frequency of monitoring (if applicable);
 - e. Any follow-ups scheduled; and
 - f. IEHP reserves the right to approve, deny, terminate or otherwise limit Practitioner participation in the IEHP network for any reason including quality issues.
 - 1) If a Practitioner is denied participation due to quality of care, an 805 is filed with the appropriate licensing agency and the National Practitioner Data Bank (NPDB) is notified then the Practitioner is not eligible to reapply.
 - A Provider may reapply for participation in the IEHP network, after one (1) year if denied participation due to administrative terminations or denials.
 - 2) Practitioners can appeal adverse decisions by the IEHP Peer Review Subcommittee as delineated in IEHP’s Peer Review Process and Level I Review and Level II Appeal (See Attachments, “IEHP Peer Review Level I and

5. CREDENTIALING AND RECREDENTIALING

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Credentialing Appeal” and “IEHP Peer Review Process and Level II Appeal” in Section 5).

- I. IEHP runs a monthly report of all licensures and DEA certifications that have or will expire within thirty (30) days.
 1. For all licensures, IEHP will verify the Practitioner’s licensure with the appropriate licensing agency and ensure that the Practitioners’ licensure is valid and current.
 - a. IEHP sends a notification of administrative termination for all lines of business to Practitioners whose licensures are not valid and current.
 - 1) The letter notification:
 - Is copied to the Practitioners’ affiliated networks.
 - Includes the effective termination date, which is the day after the licensure is no longer valid.
 - Includes a current copy of the licensure verification as an enclosure.
 - 2) All Members assigned to the Practitioner are reassigned to other Practitioners.
 2. For all Practitioners with expired DEA certificates, IEHP will verify the DEA certificate through the DEA Number website (<https://apps.deadiversion.usdoj.gov/webforms2/spring/validationLogin?execution=e1s1>), to ensure the Practitioners DEA certificate is valid and current.
 - a. For all DEA certificates that are no longer valid, the Credentialing designee contacts the individual Practitioner’s office to obtain the Practitioner’s:
 - 1) New DEA Number.
 - 2) The Practitioner’s prescribing arrangements until the Practitioner obtains a new DEA certification.
 - 3) Written explanation for the Practitioner not having a DEA certification, which is presented to the Peer Review Subcommittee for review and discussion.
 - If the Practitioner does not have an appropriate DEA arrangement on file, the Practitioner’s respective network will be notified and IEHP will request a plan of action to include the option of an administrative termination due to not having appropriate DEA arrangements, as required by NCQA.³³
 3. Practitioners are responsible for notifying IEHP of any licensure and DEA changes within thirty (30) days of the change. The notification must include:
 - a. Date the Practitioner was aware

³³ NCQA, 2022 HP Standards and Guidelines, CR 3, Element A, Factor 2

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- b. Type of change
 - c. Effective date of the change
- J. IEHP must collect Social Security Numbers (SSN) for all new and existing Practitioners in the network, to ensure all Practitioners are included in IEHP's screening of the Social Security Administration's Death Master File (SSADMF).
- 1. All Delegates and/or practitioners must provide the Social Security Numbers for the respective practitioners under the following:
 - a. Credentialing/Recredentialing Application(s)
 - b. Practitioner Profile Submission
 - c. Credentialing Activities Report
 - d. Upon request by IEHP. Applicable to all existing Practitioners with missing SSN.
 - 1) Delegates and/or Practitioners who do not provide the requested information will be placed on a Corrective Action Plan (CAP) until all missing SSNs are submitted.
 - 2. If a Practitioner is identified on the SSADMF, and the Practitioner:
 - a. Is not deceased but confirms that his/her SSN is correctly stated on the SSADMF, IEHP will request the following information from the Practitioner:
 - 1) A copy of the Social Security Card.
 - 2) A Photo ID.
 - 3) A signed attestation (See attachment, "Death Master File Identity Attestation" in Section 5) from the Practitioner; and
 - 4) Request for the Practitioner to contact the SSADMF to correct the issue.
 - b. Is not deceased, confirms their SSN is correctly stated but the name and/or Date of Birth (DOB) is not correct, IEHP will request for the following:
 - 1) A copy of the Social Security Card.
 - 2) A Photo ID.
 - 3) A signed attestation (See attachment, "Death Master File Identity Attestation" in Section 5) from the Practitioner; and
 - 4) Request for the Practitioner to contact the SSADMF to correct the issue.
 - 3. Upon receipt of the required documents, the Credentialing designee will provide the attestation and supporting documentation to our Compliance Department for review and

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repository.³⁴

| INLAND EMPIRE HEALTH PLAN | | |
|---|---------------------------------|-----------------|
| Chief Approval: <i>Signature on File</i> | Original Effective Date: | January 1, 2020 |
| Chief Title: Chief Operating Officer | Revision Date: | January 1, 2023 |

³⁴ DHCS APL 19-004

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APPLIES TO:

A. This policy applies to all IEHP Medi-Cal Providers.

POLICY:

A. IEHP must review participation of Practitioners whose conduct could adversely affect members' health or welfare, specify the range of actions that may be taken to improve practitioner performance before termination, IEHP report its actions to the appropriate authorities including State licensing agencies, the National Practitioner Data Bank (NPDB), and Inland Empire Health Plan (IEHP)¹ and inform Practitioners of the appeal process.²

A Practitioner's status or participation in the IEHP network may be denied, reduced, suspended, or terminated for any lawful reason, including but not limited to a lapse in basic qualifications such as licensure, insurance, or required medical staff privileges or admission coverage at an IEHP contracted Hospital or a determination by IEHP based on information obtained during the credentialing process that the Practitioner cannot be relied upon to deliver the quality or efficiency of Member care required by IEHP.

PURPOSE:

- A. IEHP must use objective evidence and patient-care considerations when deciding on a course of action for dealing with a Practitioner who does not meet its quality standards.³
- B. Notification applies to licensed Practitioners for suspensions and terminations for quality reasons.⁴
- C. IEHP must provide evidence that it followed its appeal process if it altered the conditions of a Practitioner's participation based on quality of care or service reasons.⁵
- D. Practitioners must appeal directly to their contracted IPA for adverse credentialing decisions rendered by the IPA.
- E. Reporting to appropriate authorities is not applicable in the following circumstances:

¹ National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, CR 6, Element A, Factor 1

² NCQA, 2022 HP Standards and Guidelines, CR 6, Element A, Factor 2

³ NCQA, 2022 HP Standards and Guidelines, CR 6, Element A, Factor 1-2

⁴ Title 42 Code of Federal Regulations (CFR) § 422.202

⁵ NCQA, 2022 HP Standards and Guidelines, CR 6, Element A, Factor 2

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1. There are no instances of suspension, termination, restriction or revocation to report for quality reasons.
 2. Automatic administrative terminations based on the Practitioners not meeting specific contractual obligations for participation in the network.
- F. All credentialing records and proceeds are confidential and protected to the fullest extent allowed by Section 1157 of the California Evidence Code, and any other applicable law.⁶

DEFINITION:⁷

- A. “Agency” means the relevant state licensing agency having regulatory jurisdiction over the licentiates.
- B. “Denial or termination of staff privileges, membership, or employment” includes failure or refusal to renew a contract or to renew, extend or reestablish any staff privileges, if the action is based on medical disciplinary cause or reason.
- C. “Licentiate” means a physician and surgeon, doctor of podiatric medicine, clinical psychologist, marriage family therapist, clinical social worker, professional clinical counselor, dentist, licensed midwife, or physician assistant. Licentiate also includes a person authorized to practice medicine. .⁸
- D. “Medical disciplinary cause or reason” means that aspect of a licentiate’s competence or professional conduct that is reasonably likely to be detrimental to the patient’s safety or to the delivery of patient care.
- E. “Peer” is an appropriately trained and licensed Physician in a practice similar to that of the affected physician.
- F. “Staff privileges” means any arrangement under which a licentiate is allowed to practice in or provide care for patients in a health facility. Those arrangements shall include, but are not limited to, full staff privileges, active staff privileges, limited staff privileges, auxiliary staff privileges, provisional staff privileges, temporary staff privileges, courtesy staff privileges, locum tenens arrangements, and contractual arrangements to provide professional services, including, but not limited to, arrangements to provide outpatient services.

⁶ California Evidence Code § 1157

⁷ Business and Professions Code § 805

⁸ Business and Professions Code § 2113 and 2168

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A. Credentialing Standards

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PROCEDURES:

- A. IEHP’s Credentialing Subcommittee is appointed by its Quality Management Committee and is responsible for reviewing, approving, and denying Practitioners who directly contract with IEHP’s Direct network.
- B. IEHP’s Peer Review Subcommittee is responsible for reviewing Member complaints, grievances, appeals, and sanctions regarding Practitioners and Practitioner-related quality of care and service issues including Facility Site and Medical Record Reviews. Other Peer Review matters such as Retrospective Practitioner Quality Reviews referred by the Grievance and Appeals Department are reviewed and discussed as directed by the IEHP Medical Director(s) and IEHP Chief Medical Officer (CMO). The Peer Review Subcommittee also performs oversight of contracted credentialing activities of Delegates.⁹
1. The range of actions that IEHP may take to improve Practitioner performance before termination¹⁰ include, but is not limited to:
 - a. Profiling
 - b. Corrective actions(s)
 - c. Monitoring
 - d. Medical Record Audit
 - e. Pharmacy Audit
 - f. Focused Quality Management Audit
 2. Practitioners have the right to appeal any adverse credentialing decision that impact their participation status with IEHP in accordance with the appeals procedures provided herein. IEHP will:
 - a. Provide written notification when a professional review action has been brought against a Practitioner, including reasons for the action. (See Attachments, “Credentialing Subcommittee Termination Letter” and “Peer Review Termination Letter” in Section 5)
 - b. Allow Practitioners thirty (30) calendar days to request a hearing/appeal.
 - c. IEHP cannot have an attorney if the Practitioner does not have attorney representation

⁹ Bus. & Prof. Code § 805

¹⁰ NCQA, 2022 HP Standards and Guidelines, CR 6, Element A, Factor 1

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to ensure compliance with CA Business & Professions Code 809.3(c).^{11,12}

3. Practitioner Appeal Process. IEHP informs the affected Practitioner of its appeal process and includes the following information in the process and notification.¹³
 - a. IEHP provides written notification by FedEx delivery, return receipt requested, within thirty (30) calendar days of the decision reached by the IEHP Subcommittee (Peer Review or Credentialing) to any Practitioner denied participation. The written notice will indicate the following:
 - 1) A professional review action has been brought against the Practitioner
 - 2) Reason(s) for the action. This may include a brief description of the factual basis for the proposed action that includes but is not limited to
 - A lapse in basic qualifications such as licensure, insurance, or required medical staff privileges;
 - A determination that the Practitioner cannot be relied upon to deliver the quality or efficiency of patient care desired by IEHP;
 - A determination that the Practitioner cannot be relied upon to follow IEHP's clinical or business guidelines or directives;
 - Falsification of information provided to IEHP;
 - Adverse malpractice history;
 - Adverse events that have potential for or have caused injury or negative impact to Members; and/or
 - Felony convictions.
 - 3) A summary of the appeal rights and process is provided in the provider manual and is included as an enclosure with the credentialing decision letter. (See Attachment, "IEHP Peer Review Level I and Credentialing Appeal" in Section 5).
 - 4) A statement that the Practitioner may request an IEHP Peer Review Level I Appeal or Credentialing Appeal conducted by the IEHP Subcommittee (Credentialing or Peer Review) who denied participation is included in the decision letter in

¹¹ NCQA, 2022 HP Standards and Guidelines, CR 6, Element A, Factor 2

¹² Bus. and Prof. Code § 809.3(c)

¹³ NCQA, 2022 HP Standards and Guidelines, CR 6, Element A, Factor 2

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accordance with this policy.

- 5) The Practitioner is notified that a request for an IEHP Peer Review Level I Appeal or Credentialing Appeal must be requested by the Practitioner in writing, addressed to the IEHP Committee Chairperson or Medical Director designee.
 - 6) The Practitioner is notified that a request for an IEHP Peer Review Level I Appeal or Credentialing Appeal must be received within thirty (30) days of the date of receipt of the notice. The Practitioner's written request must include:
 - A clearly written explanation of the reason for the request; and
 - A request to exercise the right to present the appeal orally
 - 7) A summary of the Practitioner's Rights at the appeal includes the right to:
 - Present additional written material for review by the IEHP Subcommittee (Peer Review or Credentialing);
 - Present any information orally to the IEHP Subcommittee (Peer Review or Credentialing);
 - Notification that the IEHP Peer Review Level I or Credentialing Appeal meeting takes place before the IEHP Peer Review or Credentialing Subcommittee.
 - The IEHP Peer Review Level I and Credentialing Appeal meetings are not hearings and procedural rights associated with the formal peer review hearings do not apply for adverse credentialing decisions.
 - Practitioners may not be represented by a licensed attorney at the IEHP Peer Review Level I or Credentialing Appeal meeting. However, they have a right to be represented by a non-attorney representative of their choice.
- b. Practitioners not requesting an appeal within the required timeframe and as specified above waive the right to further appeals and the decision of the IEHP Subcommittee is final.
- 1) The decision is adopted as the final action; and

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- 2) IEHP reports the final decision to the IEHP Governing Board, appropriate state licensing agency, and National Practitioner Data Bank..^{14,15}
- c. If an appeal is submitted in a timely manner, IEHP arranges for a review of the appeal to be conducted at the next scheduled meeting of the IEHP Subcommittee (Peer Review or Credentialing) that made the decision to deny.
 - 1) Prior to the meeting, IEHP sends a written notice via FedEx, to the Practitioner with the date, time and place of the meeting.
- d. The IEHP Subcommittee (Peer Review or Credentialing) meets to complete its evaluation and renders a decision to uphold or overturn the denial. Within thirty (30) calendar days of the decision, the Practitioner is provided written notification of the appeal decision which contains specific reasons for the decision. Written notification also includes:
 - 1) If the appeal decision by the IEHP Subcommittee (Peer Review or Credentialing) is to overturn the original denial of the Practitioner's participation in the IEHP network, the Practitioner is notified in writing within thirty (30) calendar days of the decision.
 - 2) If the appeal decision by the IEHP Subcommittee (Peer Review or Credentialing) is to uphold the original denial of the Practitioner's participation in the IEHP network, the Practitioner is notified in writing within thirty (30) calendar days of the decision. The written notice will include:
 - The decision, including a brief description of the decision and the reasons for it;
 - A statement that the Practitioner may request for an IEHP Peer Review Process and Level II Appeal, in accordance to this policy.
 - A copy of the IEHP Peer Review Process and Level II Appeal (See Attachment, "IEHP Peer Review Process and Level II Appeal" in Section 5);
 - A statement that the Practitioner may request an IEHP Peer Review Process and Level II Appeal in accordance with this policy. The request must be in writing, addressed to the IEHP Committee Chairperson or Medical Director designee, and must be received within thirty (30) days of the date of receipt

¹⁴ Bus. & Prof. Code § 805

¹⁵ Title 45 CFR § 60

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of the notice.

- The Practitioner is notified that a request for an IEHP Peer Review Process and Level II Appeal, must be requested by the Practitioner in writing, addressed to the IEHP Committee Chairperson or Medical Director designee.
 - The Practitioner is notified that the Practitioner's request for an IEHP Peer Review Process and Level II Appeal, must be received within thirty (30) days of the date of receipt of the notice.
 - At the hearing, the Practitioner can be represented by an attorney or another person of the Practitioner's choice at the hearing. IEHP cannot have an attorney if the Practitioner does not have attorney representation.
- e. A Practitioner not requesting an appeal within the required timeframe and as specified above waives the right to further appeals, and the decision of the IEHP Subcommittee is final.
- 1) The decision will be adopted as the final action and
 - 2) The action, if implemented, IEHP will report the final decision to the IEHP Governing Board, appropriate state licensing agency, and National Practitioner Data Bank.^{16,17}
- IEHP complies with the reporting requirements of the Medical Board of California, the Dental Board of California, the Osteopathic Medical Board of California, the Board of Podiatric Medicine, the California Board of Behavioral Sciences, the Board of Psychology, and the Physician Assistant Board, and other licensing agencies and National Practitioners Data Bank (NPDB) as required by law. IEHP also complies with the reporting requirements of the California Business and Professions Code and the Federal Health Care Quality Improvement Act regarding adverse credentialing actions. Practitioners are notified of the report and its contents in accordance with law.
- f. The following types of Providers require 805 and 805.01 reporting: Medical Doctors (MD), Dentists (DDS), Osteopaths (DO), Podiatrists (DPM), Marriage Family

¹⁶ Bus. and Prof. Code § 805

¹⁷ Title 45 CFR § 60

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Therapists (MFT), Licensed Clinical Social Workers (LCSW), Psychologists (Psy.D., Ph.D.) and Physician Assistants (PA).^{18,19}

1) 805 Reports

IEHP is not required to file a separate report with respect to action attributable to the same medical disciplinary cause or reason. If the Medical Board of California or a licensing agency of another state revokes or suspends, without a stay, the license of a Physician and Surgeon, a peer review body is not required to file an 805 report when it takes an action as a result of the revocation or suspension.

If the California Board of Podiatric Medicine or a licensing agency of another state revokes or suspends, without a stay, the license of a doctor of podiatric medicine, a peer review body is not required to file an 805 report when it takes an action as a result of the revocation or suspension

- If an 805 is reported, it shall include the following information:
 - The name of the licentiate;
 - The license number of the licentiate
 - A description of the facts and circumstances of the medical disciplinary cause or reason;
 - Any other relevant information deemed appropriate by the reporter
- IEHP must file an 805 report with the relevant agency within fifteen (15) days after the effective date on which any of the following occur as a result of an action of a peer review body:
 - A licentiate's application for staff privileges or membership is denied or rejected for medical disciplinary cause or reason.
 - A licentiate's membership, staff privileges, or employment is terminated or revoked for a medical disciplinary cause or reason.
 - Restrictions are imposed, or voluntarily accepted, on staff privileges, membership, or employment for a cumulative total of thirty (30) days or more for any twelve (12) month period, for a medical disciplinary cause or reason.

¹⁸ Bus. and Prof. Code § 805 and 805.01

¹⁹ 45 CFR § 60

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- If a licentiate takes any of the actions listed below after receiving notice of a pending investigation initiated for a medical disciplinary cause or reason or after receiving notice that his or her application for membership or staff privileges is denied or will be denied for a medical disciplinary cause or reason, the Chief Medical Officer (CMO) or a medical or professional staff or other Chief Executive Officer (CEO), Medical Director, or administrator of any peer review body and the chief executive officer or administrator of any licensed health care facility or clinic where the licentiate is employed or has staff privileges or membership or where the licentiate applied for staff privileges or membership, or sought the renewal thereof, shall file an 805 report with the relevant agency within fifteen (15) days: after the licentiate takes the action.²⁰
 - Resigns or takes a leave of absence from membership, staff privileges or employment.
 - Withdraws or abandons his or her application for staff privileges or membership.
 - Withdraws or abandons his or her request for renewal of staff privileges or membership.

2) 805.01 Reports

IEHP must file an 805.01 report within fifteen (15) days after a peer review body makes a final decision or recommendation of termination, suspension or restriction of staff privileges, membership or employment due to an investigation for at least one (1) of the following reasons:

- Incompetence, or gross or repeated deviation from the standard of care involving death or serious bodily injury to one (1) or more patients in such manner as to be dangerous or injurious to any person or the public.
- The use of, or prescribing for or administering to him/herself, any controlled substance; or the use of any dangerous drug, as defined in Section 4022, or of alcoholic beverages, to the extent or in such a manner as to be dangerous or injurious to the licentiate, or any other persons, or the public, or to the extent that such use impairs the ability of the licentiate to practice safely.
- Repeated acts of clearly excessive prescribing, furnishing or administering of

²⁰ Bus. & Prof. Code § 805

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controlled substances or repeated acts of prescribing, dispensing, or furnishing of controlled substances without a good faith effort prior examination of the patient and medical reason therefor.

- Sexual misconduct with one (1) or more patients during a course of treatment or an examination.

3) National Practitioner Data Bank (NPDB)

- Reports must be submitted to the NPDB within thirty (30) days of the action.

4) Health Plan Reporting

- Delegate Reports must be submitted to IEHPs Credentialing Manager within thirty (30) days of the action.

C. IEHPs policies and procedures regarding suspension or termination of a participating Physician require IEHP to ensure that the majority of the hearing panel members are peers of the affected Physician.^{21,22}

1. A peer is an appropriately trained and licensed Physician in a practice similar to that of the affected Physician.
2. Panel members do not have to possess identical specialty training.
3. Policies and procedures do not always have to state the word “majority”, but at least 51% of the members must be peers.

| INLAND EMPIRE HEALTH PLAN | | |
|---|---------------------------------|-----------------|
| Chief Approval: <i>Signature on File</i> | Original Effective Date: | January 1, 2020 |
| Chief Title: Chief Operating Officer | Revision Date: | January 1, 2023 |

²¹ Medicare Managed Care Manual, Chapter 6, “Suspension, Termination, or Nonrenewal of Physician Contract,” Section 60.4

²² 42 CFR § 422.202

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7. Assessment of Organizational Providers

APPLIES TO:

- A. This policy applies to all IEHP Medi-Cal Providers contracted under IEHPs Direct Network.

POLICY:

- A. IEHP has written policies and procedures for the initial and ongoing assessment of Providers with whom IEHP contract. IEHP must assess all health care delivery Providers before contracting with a Provider, and for at least every thirty (36) months thereafter. IEHP will confirm the Provider is in good standing with State and Federal regulatory bodies; confirms the Provider has been reviewed and approved by an accrediting body; and conducts an onsite quality assessment if the Provider is not accredited.¹
- B. IEHP is responsible for the initial and on-going assessment of subcontracted Providers that render services to Members. IEHP is also responsible for claims payment for those Health Care Delivery Organization Providers. IEHP retains oversight responsibilities for all subcontracted Providers.).²
- C. IEHP includes Behavioral Healthcare Facilities, providing mental health or substance abuse services in an inpatient setting in their scope of Providers. Residential Treatment Facilities and Ambulatory Behavioral Health Facilities are not covered by this policy as these are not a covered IEHP benefit.³

PURPOSE:

- A. IEHP evaluates the quality of organizational Providers with whom IEHP contracts.
- B. All Providers must adhere to all procedural and reporting requirements under State and Federal laws and comply with the most recent NCQA regulatory guidelines for subcontracted organizational Providers, as well as IEHP requirements.
- C. IEHP audits organizations who are delegated the credentialing activities for the assessment of Organizational Providers to ensure compliance with IEHP requirements on an annual basis, using the IEHP Delegation Oversight Audit Tool beginning with a pre-contractual assessment, in accordance with Policy 25A1, “Delegation Oversight - Delegated Activities.” Delegated IPAs are subject to corrective action as defined in Policy 25A4, “Delegation Oversight - Corrective Action Plan Requirements.”

¹ National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, CR 7, Element A, Factors 1-3

² Department of Health Care Services (DHCS) All Plan Letter (APL) 21-006 Supersedes APL 20-003, “Network Certification Requirements”

³ NCQA, 2022 HP Standards and Guidelines, CR 7, Element C, Factors 1-3

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- D. IEHP reserves the right to perform facility site audits when quality of care issues arises and to deny contracted or subcontracted Providers participation in the IEHP network in the event IEHP requirements for participation are not met.
- E. Contracted and/or subcontracted Provider's failure to meet IEHP's requirements may result in adverse action up to and including non-renewal or termination of the delegated entity contract or IEHP contract.
- F. IEHP must offer to contract with each of the following mandatory Provider types in each of our services counties, where available: FQHCs, RHCs, FBCs.⁴
- G. IEHP is required to offer a contract with each IHF in our services area as a mandatory provider type, as well as allow eligible Members to obtain services from an out-of-Network (OON) IHF.⁵

DEFINITION:

- A. Free-Standing facility: An outpatient center that is separate from a Hospital or other inpatient facility and whose primary focus is providing immediate or short-term medical services on an outpatient basis.⁶
- B. Organizational Provider (OP): refers to facilities providing services to Members and where Members are directed for services rather than being directed to a specific Practitioner. This element applies to all OPs with which the organization contracts (e.g., Telemedicine Providers, Urgent Care Centers).⁷
- C. Organizational Provider Credentialing: Credentialing of facilities including hospitals, home health agencies, skilled nursing facilities & rehabilitation facilities, etc.

PROCEDURES:

- A. IEHP must assess all health care delivery Providers before contracting with a Provider, and for at least every thirty (36) months thereafter, IEHP will confirm the Provider is in good standing with state and Federal regulatory bodies; confirms the Provider has been reviewed and approved by an accrediting body; and conducts an onsite quality assessment if the Provider is not accredited. A Provider is considered excluded, sanctioned, or ineligible, if the Provider is named by the appropriate State or Federal departments or agencies on exclusionary lists, IEHP reserves the right to terminate the contract for cause, with appropriate notice as

⁴ Department of Health Care Services (DHCS) All Plan Letter (APL) 21-006 Supersedes APL 20-003, "Network Certification Requirements"

⁵ Title 22 of the California Code of Regulations (CCR) § 55120. 22 and § 55120

⁶ NCQA, 2022 HP Standards and Guidelines, Glossary

⁷ National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, CR 7, Element A

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defined in the IEHP Agreement.⁸

1. The following sources are used to confirm that Providers are in good standing with state and federal requirements, that include, but are not limited to:⁹
 - a. State (Department of Health Care Services) regulatory body
 - 1) Copies of Credentials (e.g., A copy of the license and expiration date) from the Provider. The Health Care Delivery Organization Provider is responsible for providing IEHP with copies of its renewed license and accreditation within sixty (60) days following the expiration of the license and accreditation.
 - IEHP expects the Health Care Delivery Organizational Providers to maintain accreditation and license status in good standing and/or current at all times during participation in the IEHP network. A current and unencumbered license; must also be appropriately licensed and no other negative license actions that may impact participation.
 - Physician-owned clinics are not required to be licensed by DHCS, but they must be accredited by an agency approved by the Medical Board. (If the physician-owned clinic is appropriately accredited, they would be compliant of the Knox-Keene Act of Title 28.)¹⁰
 - 2) If a State license is not issued by the Department of Health Care Services, the facility should have a business license or certificate of occupancy.
 - 3) Successful enrollment in the Medi-Cal Program via the Department of Health Care Services (DHCS) Provider Enrollment Division (PED) or through a Managed Care Plan's enrollment process.
 - All Health Care Delivery Organization Providers must periodically revalidate their enrollment information with the Medi-Cal Program through DHCS. All Providers must resubmit and recertify the accuracy of their enrollment information as part of the revalidation process.¹¹ DHCS's PED is responsible for the timely enrollment of Providers into the Medi-Cal Program. The PED has two (2) options for enrollment:
 - Online
The PED now offers an improved web-based alternative to the current paper application enrollment process via the Provider Application and Validation for Enrollment (PAVE) Provider Portal. The PAVE portal

⁸ California Welfare and Institutions Code (Welf. & Inst. Code), § 14043.6 and 14123

⁹ NCQA, 2022 HP Plan Standards and Guidelines, CR 7, Element A, Factor 1

¹⁰ Knox-Keene Health Care Service Plan Act of Title 28

¹¹ DHCS APL 19-004 Supersedes All Plan 17-019, "Provider Credentialing/Recredentialing and Screening/Enrollment"

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can be accessed using the following link,

<http://www.dhcs.ca.gov/provgovpart/Pages/PAVE.aspx>.

- Paper Application

Application forms, instructions, and tips can be found on the DHCS website at http://files.medi-cal.ca.gov/pubsdoco/prov_enroll.aspx.

The webpage has information that can assist you in completing and submitting a complete application package.

Providers that are successfully enrolled can verify their enrollment utilizing the California Health & Human Services Agency’s portal. The portal will allow Providers to see if they are already enrolled in the Medi-Cal program through DHCS. The portal can be accessed via <https://data.chhs.ca.gov/dataset/enrolled-medi-cal-fee-for-service-provider>. The portal is maintained by the PED and is updated monthly.¹²

- 4) California Department of Public Health (CDPH) Medi-Cal Certification, is applicable

- b. Federal Regulatory Bodies. Provider must have no sanctions that may impact participation. IEHP must verify the identity and determine the exclusion status of all Providers by conducting the following Federal and State Database Checks conducted through our vendor OIG Compliance Now, who reviews the following databases:

- 1) Department of Health & Human Services (DHHS) Office of Inspector General (OIG) List of Excluded Individuals and Entities List (LEIE). Review of OIG or Medicare/Medicaid Sanctions must be completed and documented on the spreadsheet or the file. The monthly review of the OIG report as part of the “Ongoing Monitoring” qualifies as compliant for this section if the facilities are included on the OIG Report.¹³

- IEHP prohibits employment or contracting with Practitioners (or entities that employ or contract with such Practitioners) that are excluded/sanctioned from participation (Practitioners or entities found on OIG Reports).^{14,15}

¹² DHCS APL 19-004 Supersedes All Plan 17-019 “Provider Credentialing/Recredentialing and Screening/Enrollment”

¹³ Medicare Managed Care Manual, Chapter 6, “Confirmation of Eligibility for Participation in Medicare: Excluded and Opt-Out Provider Checks”, Section 60.2

¹⁴ DHCS APL 19-004

¹⁵ DHCS APL 21-003

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- CMS' Medicare Exclusion Database (MED) is the source that is used to populate the LEIE list. IEHP will use the LEIE to verify if practitioners are identified on the MED.¹⁶
 - 2) CMS signed participating agreement letter, if applicable.¹⁷
 - 3) An attestation from a Provider to the organization regarding the Providers regulatory status is not acceptable.
2. IEHP accepts an accreditation report or a letter from the regulatory and accrediting bodies regarding the status of the Provider, as evidence that the Provider has been reviewed and approved by an accrediting body. Accreditation and licensure must be maintained throughout the duration of the subcontractors' participation in the IEHP network. IEHP recognizes the following accreditations by Organizational Provider type:
- a. Hospitals
 - 1) The Joint Commission (TJC)
 - 2) Healthcare Facilities Accreditation Program (HFAP) As of October 2015, the Healthcare Facilities Accreditation Program (HFAP) is no longer owned by the AOA, it is now managed by the Accredited Association for Ambulatory Health Care, Inc. (AAAHC)
 - 3) Det Norske Veritas National Integrated Accreditation of Healthcare Organization (DNVNHAIHO)
 - 4) Center for Improvement in Healthcare Quality (CIHQ)
 - b. Home Health Agencies
 - 1) The Joint Commission (TJC)
 - 2) Community Health Accreditation Program (CHAP)
 - 3) Accreditation Commission for Health Care Inc (ACHC)
 - c. Skilled Nursing Facilities
 - 1) The Joint Commission (TJC)
 - 2) Commission on Accreditation or Rehabilitation Facilities (CARF)
 - 3) Continuing Care Accreditation Commission (CCAC)
 - d. Free-Standing Surgical Centers
 - 1) The Joint Commission (TJC)

¹⁶ DHCS APL 21-003

¹⁷ Medicare Managed Care Manual, Chapter 6 "Institutional Provider and Supplier Certification", Section 70

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- 2) American Association for Accreditation for Ambulatory Surgical Facilities (AAAASF)
 - 3) Accreditation Association for Ambulatory Health Care (AAAHC)
 - 4) Healthcare Facilities Accreditation Program (HFAP) As of October 2015, the Healthcare Facilities Accreditation Program (HFAP) is no longer owned by the AOA, it is now managed by the Accredited Association for Ambulatory Health Care, Inc. (AAAHC)
 - 5) The Institute for Medical Quality's (IMQ's) (CMS approved accrediting body verified by IEHP)¹⁸
- e. Behavioral Health Providers (Intensive Programs and Inpatient Treatment Programs)
- 1) The Joint Commission (TJC)
 - 2) Commission on Accreditation or Rehabilitation Facilities (CARF)
 - 3) Healthcare Facilities Accreditation Program (HFAP)
 - 4) Council on Accreditation (COA)
- f. Hospice
- 1) The Joint Commission (TJC)
 - 2) Community Health Accreditation Program (CHAP)
 - 3) Accreditation Commission for Healthcare INC (ACHC) (CMS approved accrediting body verified by IEHP)
- g. Clinical Laboratories
- 1) The Joint Commission (TJC)
 - 2) Clinical Laboratory Association Improvement (CLIA) Certificate or CLIA Waiver
 - 3) Commission on Office Laboratory Accreditation (COLA)
 - 4) College of American Pathology (CAP)
- h. Comprehensive Outpatient Rehabilitation Facilities
- 1) The Joint Commission (TJC)
 - 2) Commission on Accreditation or Rehabilitation Facilities (CARF)
- i. Outpatient Physical Therapy Providers

¹⁸ NCQA, 2022 HP Standards and Guidelines, CR 7, Element A, Factor 2

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- 1) American Association for Accreditation of Ambulatory Surgical Services (AAAASF)
- 2) If no Accreditation, must be certified by Medicare (Must have Medicare Part A)
- j. Outpatient Speech Pathology Providers
 - 1) American Association for Accreditation of Ambulatory Surgical Services (AAAASF)
 - 2) If no Accreditation, must be certified by Medicare (Must have Medicare Part A)
- k. Providers of End-stage Renal Disease Services (Dialysis)
 - 1) The Joint Commission (TJC)
 - 2) If no Accreditation, must be certified by Medicare
- l. Birth Centers
 - 1) Commission for the Accreditation of Birth Centers (CABC)
- m. Congregate Living Health Facility
 - 1) The Joint Commission (TJC)
- n. Outpatient diabetes self-management training Providers
 - 1) American Association of Diabetes educators (AADE)
 - 2) Indian Health Service (IHS)
- o. Portable X-Ray Supplier
 - 1) Federal Drug Administration (FDA) Certification
- p. Rural Health Clinics
 - 1) The Joint Commission (TJC)
 - 2) American Association for Accreditation of Ambulatory Surgical Facilities (AAAASF)
 - 3) If no Accreditation, must be certified by Medicare
- q. Federally Qualified Health Centers
 - 1) The Joint Commission (TJC)
 - 2) If no Accreditation, must be certified by Medicare
3. An onsite quality assessment must be conducted if the Provider is not accredited. IEHP's onsite quality assessment criteria for each type of non-accredited Provider includes, but is not limited to:

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- a. A process ensuring that the Providers credential their Practitioners.
 - b. A CMS or state quality review in lieu of a site visit under the following circumstances (if IEHP chooses to substitute the site visit with a CMS or state quality review), if it meets the following requirements:
 - 1) The CMS or state review is no more than three (3) years old.
 - If the CMS or state review is older than three (3) years, IEHPs Quality Management (QM) will assess the Provider by conducting its own onsite quality review and present their findings for review and approval to the Credentialing Subcommittee.
 - 2) IEHP obtains a survey report or letter from CMS or the state, from either the Provider or the agency, stating that the facility was reviewed and passed inspection.
 - The report meets IEHPs quality assessment criteria or standards.
 - c. A Medicare certification number is not acceptable for use in lieu of a site visit if a facility is not accredited.¹⁹
 - d. IEHP is not required to conduct a site visit if the state or CMS has not conducted a site review of the Provider and the Provider is in a rural area, as defined by the U.S. Census Bureau (<https://www.hrsa.gov/rural-health/about-us/definition/datafiles.html>).²⁰
- B. The following organizational Provider types are contracted and IEHP is responsible for claims payment, therefore these Providers require an assessment, including, but not limited to:
1. Hospitals²¹
 2. Home Health Agencies²²
 3. Skilled Nursing Facilities²³
 4. Free-Standing Surgical Centers²⁴
 5. Clinical Laboratories
 6. Hospice
 7. Comprehensive Outpatient Rehabilitation Facilities

¹⁹ NCQA, 2022 HP Standards and Guidelines, CR 7, Element A, Factor 3

²⁰ Ibid.

²¹ NCQA, 2022 HP Standards and Guidelines, CR 7, Element B, Factor 1

²² NCQA, 2022 HP Standards and Guidelines, CR 7, Element B, Factor 2

²³ NCQA, 2022 HP Standards and Guidelines, CR 7, Element B, Factor 3

²⁴ NCQA, 2022 HP Standards and Guidelines, CR 7, Element B, Factor 4

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8. Outpatient Physical Therapy Providers
 9. Outpatient Speech Pathology Providers
 10. Providers of End-stage Renal Disease Services (Dialysis)
 11. Outpatient Diabetics Self-Management Training Providers
 12. Portable X-Ray Supplier
 13. Freestanding Birthing Center
 14. Indian Health Facilities
 15. Rural Health Clinics²⁵
 16. Federally Qualified Health Centers²⁶
- C. IEHP's delegation arrangements with Delegates, "carves out" behavioral healthcare services., therefore, IEHP is responsible for the initial and ongoing assessment for behavioral healthcare facilities providing mental health or substance abuse services in the Inpatient setting. Behavioral Healthcare Facilities providing mental health or substances abuse service in Residential and Ambulatory settings are not covered as an IEHP benefit, therefore IEHP is not responsible for the initial and ongoing assessment.^{27,28}
- D. IEHP must assess contracted medical health care Providers, Organizational Providers, against the requirements and within the time frame. IEHP uses:²⁹
1. A comprehensive spreadsheet or log showing credentialing of Medical organizational Providers, to calculate compliance and completion of the File Review.
 2. IEHP has a tracking mechanism for ensuring that licenses and certificates are current and reviews are compliant with the thirty-six (36) month time frame.
- E. IEHP assesses contracted behavioral healthcare Providers against the requirements and within time frame, for the Provider types providing care in the Inpatient setting.
1. IEHP use a comprehensive spreadsheet or log showing credentialing of Behavioral Healthcare organizational Providers, to calculate compliance and completion of the File Review.
- F. IEHP has documentation of assessment of free-standing surgical centers to ensure that if the organizational Provider is not accredited by an agency accepted by the State of California, the organization is certified to participate in the Medicare Program. The following sources are

²⁵ Medicare Managed Care Manual, Chapter 6 "Institutional Provider and Supplier Certification", Section 70

²⁶ Ibid.

²⁷ NCQA, 2022 HP Standards and Guidelines, CR 7, Element C, Factor 1

²⁸ Medicare Managed Care Manual, Chapter 11, "Delegation requirements," Section 110.2

²⁹ NCQA, 2022 HP Standards and Guidelines, CR 7, Element D3

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included in the assessment of non-accredited free-standing surgical centers:^{30,31}

1. Certification letter from Medicare stating the facility is certified.
 - a. If certification letter is not present, attestation in file or Medicare certification number will be noted on the spreadsheet; and
 - b. A CMS Survey, which include the certification number, is also present in the file.
 2. If a surgical center is associated with a TJC (The Joint Commission) American Association for Accreditation of Ambulatory Surgical Facilities (AAAASF), accreditation Association for Ambulatory Healthcare (AAAHHC) accredited hospital or Healthcare Facilities Accreditation Program (HFAP), accrediting program approved by the American Osteopathic Association (AOA), then the assessment of the free-standing surgical center does not apply.
- G. IEHP must conduct Federal and Database checks during the Provider’s initial assessment and reassessment process, and monthly thereafter. Each Provider must maintain good standing in the Medicare and Medicaid/Medi-Cal programs. Any Provider terminated from the Medicare or Medicaid/Medi-Cal program may not participate in the IEHP network.
1. IEHP conducts Federal and State Database checks for the following databases:
 - a. Social Security Administration’s Death Master File (SSADMF) applies to screening Practitioners against the (SSADMF); however Organizational Providers are not reviewed for individual practitioners, therefore the does not apply to the Provider types referenced in this policy.
 - b. National Plan and Provider Enumeration System (NPPES). IEHP ensures the Provider has an active and current Organization NPI.
 - c. List of Excluded Individuals/Entities (LEIE). IEHP ensures our vendor, OIG Compliance Now, collects and reviews information for Medicare and Medicaid Sanctions, on a monthly basis, within thirty (30) days of its release.
 - 1) If a Practitioner is identified, Contracting will review the OIG Exclusions Report and confirm the findings.
 - Practitioners identified on the HHS-Office of Inspector General (OIG) Exclusions Report will be administratively terminated for all lines of business, without appeal rights due to IEHP prohibiting employment of contracting with Practitioners (or entities that employ or contract with such

³⁰ Health and Safety Code § 1248.1

³¹ NCQA, 2022 HP Standards and Guidelines, CR 7, Element B, Factor 4

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Practitioners) that are excluded/sanctioned from participation.^{32, 33, 34}

- Members will be reassigned to new Practitioners.
 - The Provider will be presented to Compliance as an administrative termination, for further review and discussion.³⁵
- d. System for Award Management (SAM). IEHP uses OIG Compliance Now as the vendor to collect data and alert services, to include but is not limited to the System for Award Management (SAM) in their scope of review.³⁶
- 1) The OIG LEIE includes all health care Providers and suppliers that are excluded from participation in federal health care programs, including those health care providers and suppliers that might also be on the SAM (previously EPLS). In addition to health care Providers (that are also included on the OIG LEIE) the EPLS includes non-health care contracts.
- If a Practitioner is identified on the SAM, The Provider will be presented to Compliance, for further review and discussion.³⁷
- e. CMS' Medicare Exclusion Database (MED). The MED database is the source that is used to populate the LEIE list. Therefore, IEHP will use the LEIE to conduct their assessment of the MED database.
- f. DHCS' Suspended and Ineligible Provider List. IEHP ensures OIG Compliance Now collects and reviews the Medi-Cal Suspended and Ineligible List, published monthly by the Department of Health Care Services (DHCS), as the verification source for Medicaid Sanctions. Delegate must review the Suspended & Ineligible List on a monthly basis, within thirty (30) days of its release.
- 1) If a Practitioner is identified, Contracting will review the Medi-Cal Suspended and Ineligible List and confirm the findings. Providers identified on the Medi-Cal Suspended and Ineligible List will be automatically terminated for all lines of business, without appeal rights.³⁸
- All Members assigned to the suspended Provider will be reassigned to new Practitioners.³⁹

³² Medicare Managed Care Manual, Chapter 6, "Confirmation of Eligibility for Participation in Medicare: Excluded and Opt-Out Provider Checks", Section 60.2

³³ DHCS APL 19-004

³⁴ DHCS APL 21-003

³⁵ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 5

³⁶ Medicare Managed Care Manual, Chapter 21 "OIG/GSA Exclusion", Section 50.6.8

³⁷ NCQA, 2022 HP Standards and Guidelines, CR 5, Element A, Factor 5

³⁸ DHCS APL 21-003

³⁹ DHCS APL 19-004

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g. Restricted Provider Database. Contracting will obtain the Restricted Provider Database report monthly, by the 5th of each month. Providers identified on the RPD will be presented to Compliance for review and discussion. The following actions will be required to ensure compliance with DHCS guidelines:

- 1) Payment Suspension: Providers are placed under a payment suspension while under investigation based upon a credible allegation of fraud.
 - IEHP may continue contractual relationship; however, reimbursements for Medi-Cal covered services will be withheld; or
 - If IEHP chooses to continue the contractual relationship with Providers who are placed on payment suspensions, IEHP must allow out-of-network access to members currently assigned to the Provider by approving the request.
 - IEHP may choose to terminate the contract by submitting appropriate documentation.⁴⁰
- 2) Temporary Suspension: Providers placed on a temporary suspension while under investigation for fraud or abuse, or enrollment violations.
 - IEHP must terminate the contract and submit appropriate documentation.⁴¹

H. IEHP's has a documented process for informing IEHP's Compliance Department of any Providers identified with a disciplinary action or on a exclusionary list. If during the contract period, Contracting becomes aware of a change in the accreditation and/or CMS Site Survey, license, certification status, sanctions, fraudulent activity or other legal or remedial actions have been taken against any Provider, Contracting must:⁴²

1. Notify IEHP's Compliance Department by emailing compliance@iehp.org or fax (909) 477-8536 or via Compliance Hotline (866) 355-9038 within five (5) business days of discovering any of our Providers have been added to disciplinary or exclusionary lists.
2. The Director of Provider Contracting informs the Provider in writing that it is in violation of its contract with IEHP and begins the cure process. Depending on the seriousness of the offense, IEHP:
 1. Reserves the right to temporarily suspend or terminate the contract for cause, with appropriate notice as defined in the IEHP Provider Agreement.
 2. May report the termination of the contract to regulatory agencies as per contractual requirements. Any services provided after the date of exclusion shall not be reimbursable or may be subject to recoupment.

⁴⁰ DHCS APL 21-003

⁴¹ Ibid.

⁴² California Welfare and Institutions Code (Welf. & Inst. Code), 14043.6 and 14123

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| INLAND EMPIRE HEALTH PLAN | | |
|---|---------------------------------|-----------------|
| Chief Approval: <i>Signature on File</i> | Original Effective Date: | January 1, 2020 |
| Chief Title: Chief Operating Officer | Revision Date: | January 1, 2023 |

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APPLIES TO:

- A. This policy applies to all IEHP delegated relationships for the Medi-Cal line of business.

POLICY:

- A. IEHP ensures there is a delegation agreement in place for all delegation arrangements in place.¹
- B. For new delegation agreements initiated, IEHP will evaluate the Delegates capacity to meet National Committee for Quality Assurance (NCQA), State, and Federal regulatory requirements before delegation began.²
- C. For delegation arrangements in effect for twelve (12) months or longer, IEHP will conduct oversight reviews of the Delegate’s credentialing activities.³
- D. If there are any opportunities for improvement identified during the review of delegated credentialing activities, IEHP will identify, notify, and follow-up with the Delegate to ensure the opportunities have been addressed.⁴

PURPOSE:

- A. If the Delegated entities subdelegate their credentialing activities, IEHP will review the Delegates oversight process over their subdelegates.^{5,6}
- B. IEHP delegates credentialing activities to outside entities and remains responsible for credentialing and recredentialing its Practitioners, even if it delegates all or part of these activities.⁷
- C. IEHP verifies that Delegates perform the functions discussed in the Section 25 of the Provider Manual and in the Delegation Agreement between IEHP and the Delegate.⁸
- D. IEHP reserves the right to rescind delegation of credentialing activities based on the outcome of monitoring activities or as determined by IEHP.
- E. Within two (2) working days advanced notice to the Delegate, IEHP and any regulatory oversight agency has the right to examine the Delegates credentialing/recredentialing files or

¹ National Committee for Quality Assurance (NCQA), 2022 Health Plan Standards and Guidelines, CR 8, Element A, Factors 1-6

² NCQA, 2022 HP Standards and Guidelines, CR 8, Element B

³ NCQA, 2022 HP Standards and Guidelines, CR 8, Element C, Factors 1-6

⁴ NCQA, 2022 HP Standards and Guidelines, CR 8, Element D

⁵ NCQA, 2022 HP Standards and Guidelines, CR 8

⁶ Medicare Managed Care Manual, Chapter 11, “Delegation requirements,” Section 110.2

⁷ Ibid.

⁸ Ibid.

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sites as needed to perform oversight of all Practitioners or to respond to a complaint or grievance.

- F. If a Management Services Organization (MSO) and an IPA are owned or under the same ownership, this is not considered delegation.
- G. If an IPA changes MSOs during the annual audit period, only the current agreement will be reviewed and scored.
- H. If a Delegate terminates a delegation arrangement during the annual audit period, only the termination date will be reviewed.
- I. Delegates who delegate to a NCQA accredited entity, the Delegate must audit for Medi-Cal and DMHC requirements. Acceptance of accreditation only will not meet compliance for the additional regulatory requirements.
- J. If the Delegate utilizes their sub-delegate for their specialty panel for HIV/AIDS Practitioners, the Delegate must include the Identification of HIV/AIDS Specialists in their annual oversight review.
- K. If the Delegate gives another organization the authority to perform certain functions on its behalf, this is considered delegation, e.g., Primary Source Verification of License, collection of the application, verification of Board Certification.
 - 1. Ongoing monitoring or data collection and alert services are NOT seen as delegation. If the Delegate uses another organization for collecting data for ongoing monitoring or sanctions monitoring, and the Delegate then handles the review of information and intervention, it is not considered delegation.
 - 2. If information is gathered from a company website and the Delegate staff is pulling the queries for OIG or other types of queries, it is NOT considered delegation.
- L. Delegates must provide IEHP all sub-delegation agreements and effective dates.
 - 1. If Delegates have more than four (4) sub-delegation arrangements:
 - a. A sample of up to four (4) delegates will be selected and reviewed
 - b. The following year, IEHP will audit the rest of the delegates that were not audited from the previous year.
 - c. Each audit year different delegates will be selected for review.
 - 2. For Delegates with fewer than four (4) delegates, all delegates are assessed.
- M. IEHP does not accept accredited Health Plan audits for pre-delegation audit evaluations for delegation arrangements between IEHP and IPAs.
- N. Delegation agreements implemented on or after January 1, 2022, must include a description of the Delegate's credentialing system security controls.

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1. For delegation agreements in place prior to January 1, 2022, the organization may provide other mutually agreed upon documentation or the Delegate's system controls policies and procedures.⁹

DEFINITION:

- A. Annual: A twelve (12) month period, within a two (2) month grace period, defined by NCQA.
- B. Audit Date: The date of the file review.
- C. Auto-Credit: Credit given to elements that have been audited by previous accrediting authority and meets industry compliance. Those elements will not be subjected to oversight.
- D. Credentials Verification Organization (CVO): An organization that conducts primary-source verification of Practitioner credentials for other organizations. An organization may obtain the following certification under NCQA CVO status:
 1. Licensure
 2. DEA or CDS verification
 3. Education and Training
 4. Work History
 5. Malpractice History
 6. Medical Board Sanctions
 7. Medicare/Medicaid sanctions
 8. Processing application and Attestation content; and
 9. Ongoing Monitoring of Sanctions (licensure and Medicare/Medicaid)
- E. Delegation: An organization gives an entity the authority to perform certain functions on its behalf. Although the organization may delegate the authority to perform a function, it may not delegate the responsibility of ensuring that the function is performed appropriately.
- F. Exit Interview: Auditor discussion of audit results with Delegate via phone, email or in person.
- G. Factor: A scored item in an element.
- H. Implementation Date: NCQA considers the date of the agreement to be the implementation date if the delegation agreement does not include an implementation date.
- I. Look-back period: Is the date range used for pulling files for a review.
- J. Management Services Organization (MSO): an entity that, under contract provides services such as a facility, equipment, staffing, contract negotiation, administration, and marketing.

⁹ NCQA, 2022 HP Standards and Guidelines, CR 8, Element A, Factor 1

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- K. NCQA CR Accreditation: A provider organization that has achieved an NCQA accreditation in credentialing would receive auto-credit for certain standards of credentialing.
- L. NCQA CVO Certification: An organization that has been certified by NCQA to collect primary source verifications. AN organization that has obtained this certification will still need to have a full file/policy review but does not need to evaluate on actual verification documentation but on the current and timely verification.
- M. NCQA Health Plan Accreditation: A health plan organization that has achieved NCQA accreditation and would receive auto-credit for credentialing. An organization that has obtained this accreditation will still need to have a file/policy review for CMS, or state requirements.
- N. Pre-Assessment: Evaluation of a potential Delegate’s credentialing program prior to executing a delegated agreement.
- O. Sub-delegation: Occurs when a group has delegated certain activities to in turn uses another entity to complete some of its delegated activities.
 - 1. Using a vendor for ongoing monitoring of sanctions is not considered delegation by NCQA.
 - 2. If information is gathered from a company website and the Delegate staff is pulling the queries for OIG or other types of queries, it is NOT considered delegation.
 - 3. Ongoing monitoring or data collection and alert services are NOT seen as delegation. If the organization uses another organization for collecting data for ongoing monitoring or sanction monitoring and the organization then handles the review of information and intervention, it is not considered delegation.
- P. Timeliness: A term used when auditing file elements to confirm they are within one-hundred eighty (180) calendar days of the credentials committee decision.

PROCEDURES:

- A. IEHP will review all delegation agreements in place for all delegation and sub-delegation arrangements in place. The delegation agreement describes all delegated credentialing activities. The written delegation arrangement must ensure:
 - 1. Delegation activities are mutually agreed upon before delegation begins, are in a dated, binding document or communication between IEHP and the Delegated entity. There must be evidence that the document was agreed to by both IEHP and the Delegate before performing delegated activities. Evidence of the mutually agreed-upon document shall include:¹⁰
 - a. A signature and a date on an agreement, but it may also be found in a letter, meeting

¹⁰ NCQA, 2022 HP Standards and Guidelines, CR 8, Element A, Factor 1

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minutes or other form of communication.

- b. The responsibilities of the organization and its Delegates in terms specific to their relationship. At minimum, the document must state which entity (IEHP, the Delegate or both) is responsible for the following tasks:
 - 1) Accepting applications and attestation;
 - 2) Collecting all data elements from NCQA approved sources;
 - 3) Collecting and evaluating ongoing monitoring and complaint information; and
 - 4) Making credentialing decisions.
 - c. To ensure that a consistent and equitable process is used throughout its network, the organization's credentialing and recredentialing policies require a Delegated entity to adhere to at least the same criteria as IEHP.¹¹
2. The written arrangement must be in a delegation agreement or an addendum thereto or other binding communication between IEHP and the Delegate. If the Delegate subdelegates an activity, the delegation agreement must specify which organization is responsible for the oversight of the subdelegate the credentialing activities and which credentialing activities are:¹²
 - a. Performed by the delegate, in detailed language.
 - b. Not delegated but retained by the organization.
 - 1) The organization may include a general statement in the agreement addressing retained functions (e.g., the organization retains all other CR functions not specified in this agreement as the Delegate's responsibility).
 - c. Delegates must adhere to State and Federal Regulations.
 - 1) This language is not required for Credentialing Verification Organization (CVO) Agreements.
 3. IEHP requires Delegates to submit credentialing activity reports even if the Delegate is accredited at least quarterly. Reports may include, but are not limited to:^{13,14}
 - a. Lists of credentialed and recredentialed Practitioners.
 - 1) Delegates are required to complete and submit quarterly reports in the format provided by IEHP (See Attachment, "Credentialing and Recredentialing Report" in Section 25), according to the specified timeframe (See Attachment, "IPA

¹¹ Medicare Managed Care Manual, Chapter 11, "Delegation Requirements," Section 110.2

¹² NCQA, 2022 HP Standards and Guidelines, CR 8, Element A, Factor 2

¹³ NCQA, 2022 HP Standards and Guidelines, CR 8, Element A, Factor 3

¹⁴ Medi-Cal Exhibit A, Attachment 4 of Plan Contract – QI Activities)

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A. Credentialing Standards

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Reporting Requirements Schedule – Medi-Cal”, in Section 25)

- 2) MDLive, American Specialty Healthplans and Kaiser must complete and submit quarterly reports in the format provided by IEHP (See Attachment, “Credentialing and Recredentialing Report for Delegated Networks”, in Section 25)
 - b. Committee meeting minutes.
 - c. Facilities credentialed.
 4. The written arrangement describes IEHPs process for monitoring and evaluating the Delegates performance.^{15,16}
 5. IEHP reserves the right to approve, suspend, deny, terminate or otherwise limit individual Practitioners, Providers and sites’ participation in the IEHP network for any reason, including up to quality issues.¹⁷
 - a. If a Provider is denied participation due to quality of care and an 805 was filed with the appropriate licensing agency and the National Practitioner Data Bank (NPDB), then the Provider is not eligible to reapply.
 - b. Administrative terminations or denials, he/she may reapply after one (1) year.
 - c. The delegation agreement does not specify the right to approve language, the Delegate may provide alternate documentation through another communication between the Delegate and sub-delegate, for review for compliance.
 6. The delegation agreement specifies consequences if a Delegate fails to meet the terms of the agreement and, at a minimum, circumstances that result in revocation of the agreement. The Delegate must comply with the remedies available to the Delegate if it does not fulfill its obligations, as specified in policy 25A4, “Delegation Oversight - Corrective Action Plan Requirements.”^{18,19}
- B. For new delegation agreements initiated, delegation arrangements in effect within twelve (12) months of implementation, IEHP will evaluate the Delegates capacity to meet NCQA, State, and Federal regulatory requirements before delegation begins.²⁰
1. IEHPs pre-delegation evaluation evaluates the Delegate’s capacity to meet NCQA, State and Federal regulatory requirements within twelve (12) months prior to implementing delegation. IEHP will conduct a pre-delegation evaluation under the following

¹⁵ NCQA, 2022 HP Standards and Guidelines, CR 8, Element A, Factor 4

¹⁶ Medicare Managed Care Manual, Chapter 11 “Delegation Requirements,” Section 110.2

¹⁷ NCQA, 2022 HP Standards and Guidelines, CR 8, Element A, Factor 5

¹⁸ NCQA, 2022 HP Standards and Guidelines, CR 8, Element A, Factor 6

¹⁹ Medicare Managed Care Manual, Chapter 11 “Delegation Requirements,” Section 110.2

²⁰ NCQA, 2022 HP Standards and Guidelines, CR 8, Element B

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circumstances:

- a. If the time between the pre-delegation evaluation and implementation exceeds twelve (12) months, IEHP must conduct another pre-delegation evaluation.
- b. If IEHP amends the delegation agreement to include additional credentialing activities, IEHP must perform a pre-delegation evaluation for the additional activities.
- c. If the Delegate changes Management Services Organizations (MSOs), IEHP must evaluate the new MSO prior to contracting.
- d. MSO contracted with multiple IPAs process. When conducting the file review for multiple IPAs who are serviced by the same MSO, IEHP must determine whether all IPAs use the same Credentialing Committee.
 - 1) If an MSO is contracted with multiple IPAs, has one set of policies and procedures and all the IPAs use the same Credentialing Committee, then IEHP will pull one file sample across all contracted IPAs and apply the same score for CR 3 (CR C3 & CR R3) and CR 4 for each IPA.
 - 2) If the IPAs share the same committee, but have different organizational Providers or different delegation agreements, a separate audit must be conducted.
 - 3) If the MSO is contracted with multiple IPAs, has one set of policies and the Delegate has separate Credentialing Committee, IEHP will pull one file sample for each Delegate.
- e. IPAs combining Credentialing Committee within the annual audit period.
 - 1) If an IPA merges their credentialing committee with another at any time during the annual audit period, a separate file pull and audit must be conducted for the IPA. The IPA will be audited for the combined committee and will have one audit at the next annual audit.
- f. New MSO.
 - 1) If a Delegate has changed management companies and the files from the IPA were forwarded to the new MSO, the files may undergo recredentialing when appropriate.
 - 2) If a Delegate has changed management companies and the files were NOT submitted to the new MSO, the Practitioners must be initially credentialed by the new MSO within six (6) months of acquiring the IPA.
- g. IPA purchased by another IPA.²¹

²¹ NCQA, 2022 HP Standards and Guidelines, CR 8, Element B, Factor 1

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- 1) If an IPA purchases another IPA and obtains the credentials files, they can continue with the current recredentialing process.
2. IEHP's systematic method for conducting pre-delegation evaluations, especially if more than one (1) delegation is in effect (See attachment, "Delegation Oversight Audit Preparation Instructions" in Section 25) includes the types of documents to be available at the time of the audit and standard forms to be completed and returned to IEHP prior to the audit. The audit can be conducted on-site or as a desk-top audit.
 - a. File Selection for pre-delegation audits, the IEHP auditor will:
 - 1) Obtain a spreadsheet of all credentialed Practitioners from the Delegate and then select forty (40) initial and forty (40) recredentialing files for the specified audit time period, using the NCQA 8/30 file methodology. When using the 8/30 NCQA file methodology, IEHP uses the following method:
 - After reviewing eight (8) files if any of those eight (8) files are non-applicable for that element (e.g., Drug Enforcement Administration (DEA)), the IEHP auditor will review additional files to have a total denominator of eight (8).
 - After reviewing eight (8) files if one or more of the elements are non-compliant, the IEHP auditor will review the remaining files for the element's that are non-compliant. If the IPA has not initially credentialed or recredentialled at least thirty (30) files, IEHP will note that the file pull was exhausted.
 - b. If the organization is NCQA CR accredited or certified, IEHP must obtain a copy of the certification to ensure the delegate is certified to perform the activity being delegated by the organization.
 - 1) The following are not part of the NCQA Certification/Accreditation review and are not eligible for automatic credit and must be reviewed as part of the delegation oversight process. Delegate must submit copies of the following policies and procedures and other non-file elements.
 - CR 1.A. – Practitioner Credentialing Guidelines. The Delegate specifies:
 - The types of Practitioners it credentials and recredentials.
 - The verification sources it uses.
 - The criteria for credentialing and recredentialing.
 - The process for making credentialing and recredentialing decisions.
 - The process for managing credentialing files that meet the organization's established criteria.

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- The process for requiring that credentialing and recredentialing are conducted in a nondiscriminatory manner.
- The process for notifying if information obtained during the organization's credentialing process varies substantially from the information they provided to the organization.
- The process for notifying Practitioners the credentialing and recredentialing decision within sixty (60) calendar days of the Committee's decision.
- The Medical Director or other designated Physician's direct responsibility and participation in the credentialing program.
- The process for securing the confidentiality of all information obtained in the credentialing process, except as otherwise provided by law.
- CR 1.B. – Practitioner Rights. The Delegate specifies Practitioners about their right to:
 - Review information submitted to support their credentialing application.
 - Correct erroneous information (submitted by another source).
 - Receive the status of their credentialing and recredentialing application, upon request.
- CR 1.C. – Credentialing System Controls (Centers for Medicare and Medicaid Services [CMS]/ Department of Health Care Services [DHCS])
- CR 1.E. – Medicare Exclusions/Sanction Policy (CMS/DHCS)
- CR 5.C. – Monitoring Medi-Cal Suspended and Ineligible Provider Reports (DHCS)
- CR 6.A. – Actions Against Practitioners
- CR 6.B. – Fair Hearing Panel Composition
- CR 7. – Assessment of Organizational Providers
 - CR 7.A. Review and approval of Providers.
 - CR 7.B. Medical Providers: Accreditation/Certification of Free-Standing Surgical Centers (FSSC)
 - CR 7.D. Assessing Medical Providers.
 - Medical Providers included in Delegates assessment.
- CR 8. – Delegation of Credentialing

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- CR 8.A. Written Delegation Agreement.
 - CR 8.C. Review of Delegate’s Credentialing activities, as applicable.
 - CR 8.D. Opportunities for Improvement.
 - CR 9.A. – Written Process for Identification of of Human Immunodeficiency Virus/ Acquired Immunodeficiency Syndrome (HIV/AIDS) Specialists (Department of Managed Health Care DMHC/DHCS)
 - CR 9.B. – Evidence of Implementation (DMHC/DHCS)
 - CR 9.C. – Distribution of Findings (DMHC/DHCS)
- 2) Delegate submits the following information for file review. Additional files will be requested if there is a deficiency or additional elements are required for the review.

INITIAL CREDENTIALING. Initial credentialing is only for those Practitioners who are initiating a contracted with the Delegate. A recredentialing file that was placed into the initial credentialing file pull due to being out of recredentialing timeframe limit will not be included in the initial credentialing files. It must be included in the universe of recredentialing files. If the Provider was terminated and the break in service was for more than thirty (30) days, and was initially credentialed, the file will be audited as an initial credentialing file.

RECREDENTIALING. If the Delegate does not have the necessary information for recredentialing, it informs the Practitioner that this information is needed at least thirty (30) calendar days before the recredentialing deadline and without this information, the Practitioner will be administratively terminated. The Delegate includes this notification in the Practitioners credentialing file. If the Practitioner is subsequently terminated for lack of information, the termination notice should be in the Practitioner’s file.²²

- CR 3.A.2. – A valid DEA/CDS certificate (CMS)
 - Verification conducted within one hundred eighty (180) calendar days of Credentialing Committee decision.
- CR 3.A.5. – Work History (CMS)
 - Verification conducted within one hundred eighty (180) calendar days of Credentialing Committee decision.
- CR 3.B.2. – Medicare and Medicaid Sanctions (CMS/DHCS)

²² NCQA, 2022 HP Standards and Guidelines, CR 4, Element A

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- OIG must be the verification source. Date of query and staff initials must evident on checklist or report must be in file.
- CR 3.C.1-6. – Credentialing Application (CMS)
 - Verification of questions completed, and attestation signed within one hundred eighty (180) calendar days of Credentialing Subcommittee decision.

RECREDENTIALING. This applies to Practitioners who have undergone initial credentialing and are due for recredentialing, thirty-six (36) months thereafter, at minimum. The thirty-six (36) months recredentialing cycle begins on the date of the previous credentialing decision.

- CR R3.A.2. – A valid DEA/CDS certificate (CMS)
 - Verification conducted within one hundred eighty (180) calendar days of Credentialing Committee decision.
- CR R3.B.3. – Medicare and Medicaid Sanctions (CMS/DHCS)
 - OIG must be the verification source. Date of query and staff initials must evident on checklist or report must be in file.
- CR R3.B.4. – Medi-Cal Sanction (DHCS)
 - Medi-Cal Suspended and Ineligible List must be the verification source. Date of query and staff initials must evident on checklist or report must be in file.
- CR R3.C.1-6. – Application and Attestation (CMS)
 - Verification of questions completed, and attestation signed within one hundred eighty (180) calendar days of Credentialing Committee decision.
- CR R3.D. – Hospital Admitting Privileges (CMS/DHCS)
 - Send Documentation of coverage. Verification of admitting privileges required by IEHP.
- CR R3.F. – Review of Performance Information (CMS/DHCS)
 - Must include Quality Improvement (QI) Activities and Grievance/Complaints, via checklist, reports, form/sheet detailing the Delegate’s findings.²³

C. For delegation arrangements in effect for twelve (12) months or longer, IEHP will annually

²³ NCQA, 2022 HP Standards and Guidelines, CR 8, Element B, Factor 1

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evaluate Delegates, including a review of policies and procedures and the documented process that ensure the Delegate's:²⁴

1. Credentialing Committee or organization staff reviews the Delegate's credentialing policies and procedures. At a minimum, IEHP will reviews the sections of the policies and procedures that apply to the delegated functions.
 - a. Credentialing Committee of the Delegates' staff annually reviews their subdelegate's credentialing policies and procedures, e.g., audit tool, audit correspondence, audit summary documentation, committee meeting minutes, and email approval, noted in their database or other methods.
 - b. IEHP does not accept accredited Health Plan audits for annual delegation audit for delegation arrangements between IEHP and IPAs. IEHP will review for evidence that IEHPs health plan audit was reviewed, e.g. audit tool, audit correspondence, committee minutes, email approval, noted in their database or other methods indicating acceptance of review.
 - c. If the Delegate subdelegates credentialing, IEHP will review the Delegates oversight for the credentialing and recredentialing files against NCQA, state and regulatory standards. IEHP bases its annual audit on the responsibilities of the Delegate described in the delegation agreement and provider manual that includes all the appropriate NCQA, state and regulatory standards.²⁵
2. The organization uses one of the following methods to audit the files ²⁶:
 - a. File Selection for pre-delegation audits, the IEHP auditor will:
 - 1) Generate a pull list from IEHP's Network Development Data Base (NDDDB) that includes a list of all credentialed and recredentialed Providers submitted and added to the IEHP network by IPA, based on the look-back period. Then select forty (40) initial and forty (40) recredentialing files for the specified audit time period, using the NCQA 8/30 file methodology. When using the 8/30 NCQA file methodology, IEHP uses the following method:
 - After reviewing eight (8) files if any of those eight (8) files are non-applicable for that element (e.g. DEA), the IEHP auditor will review additional files to have a total denominator of eight (8).
 - After reviewing eight (8) files if one or more of the elements are non-compliant, review remaining files for the element's that are non-compliant. If the IPA has not initially credentialed or recredentialed at least thirty (30)

²⁴ NCQA, 2022 HP Standards and Guidelines, CR 8, Element C, Factors 1-6

²⁵ NCQA, 2022 HP Standards and Guidelines, CR 8, Element C, Factor 1

²⁶ NCQA, 2022 HP Standards and Guidelines, CR 8, Element C, Factor 2

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files, IEHP will note that the file pull was exhausted.

- 2) Obtain a spreadsheet or files of ten (10) initial and ten (10) recredential files from the Delegate. Additional files will be requested if there is a deficiency within the first eight (8) elements or additional elements are required for the review.
3. IEHP annually evaluates the Delegates performance against NCQA standards for delegated activities.
 - a. The audit must include all pieces of the credentialing process (e.g. policies and procedures, file audit, etc.) as outlined in the written delegation arrangement and Credentialing Audit Tool. (See Attachment, “Credentialing DOA Audit Tool” in Section 25).
 - b. If the organization is NCQA CR accredited or certified, IEHP must obtain a copy of the certification to ensure the delegate is certified to perform the activity being delegated by the organization.
 - 1) The following are not part of the NCQA Certification/Accreditation review, are not eligible for automatic credit and must be reviewed as part of the delegation oversight process. Delegate must submit copies of the following policies and procedures and other non-file elements.
 - CR 1.A. – Practitioner Credentialing Guidelines. The Delegate specifies:
 - The types of Practitioners it credentials and recredentials.
 - The verification sources it uses.
 - The criteria for credentialing and recredentialing.
 - The process for making credentialing and recredentialing decisions.
 - The process for managing credentialing files that meet the organization’s established criteria.
 - The process for requiring that credentialing and recredentialing are conducted in a nondiscriminatory manner.
 - The process for notifying if information obtained during the organization’s credentialing process varies substantially from the information they provided to the organization.
 - The process for notifying Practitioners the credentialing and recredentialing decision within sixty (60) calendar days of the Committee’s decision.
 - The Medical Director or other designated Physician’s direct responsibility and participation in the credentialing program.

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- The process for securing the confidentiality of all information obtained in the credentialing process, except as otherwise provided by law.
- The process for confirming that listings in Practitioner directories and other materials for members are consistent with credentialing data, including education, training, board certification and specialty.
- CR 1.B. – Practitioner Rights. The Delegate specifies Practitioners about their right to:
 - Review information submitted to support their credentialing application.
 - Correct erroneous information (submitted by another source).
 - Receive the status of their credentialing and recredentialing application, upon request.
- CR 1.C. – Performance Monitoring for Recredentialing (CMS/DHCS)
- CR 1.E. – Medicare Exclusions/Sanction Policy (CMS/DHCS)
- CR 5.C. – Monitoring Medi-Cal Suspended and Ineligible Provider Reports (DHCS)
- CR 6.A. – Actions Against Practitioners
- CR 6.B. – Fair Hearing Panel Composition
- CR 7.A. – Assessment of Organizational Providers
 - Review and approval of Providers.
 - Medical Providers included in Delegates assessment.
 - Assessing Medical Providers.
 - Accreditation/Certification of Free-Standing Surgical Centers (FSSC)
- CR 8.A. – Delegation of Credentialing
 - Written Delegation Agreement.
 - Review of Delegate’s Credentialing activities, as applicable.
 - Opportunities for Improvement.
- 2) CR 9.A. – Written Process for Identification of HIV/AIDS Specialists (DMHC/DHCS)
- 3) CR 9.B. – Evidence of Implementation (DMHC/DHCS)
- 4) CR 9.C. – Distribution of Findings (DMHC/DHCS)

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- 5) Delegate submits the following information for File Review. Additional files will be requested if there is a deficiency or additional elements are required for the review.

INITIAL CREDENTIALING. Initial credentialing is only for those Practitioners who are initiating a contracted with the Delegate. A recredentialing file that was placed into the initial credentialing file pull due to being out of recredentialing timeframe limit will not be included in the initial credentialing files. It must be included in the universe of recredentialing files. If the Provider was terminated and the break in service was for more than thirty (30) days, and was initially credentialed, the file will be audited as an initial credentialing file.

If the Delegate does not have the necessary information for recredentialing, it informs the Practitioner that this information is needed at least thirty (30) calendar days before the recredentialing deadline and without this information, the Practitioner will be administratively terminated. The Delegate includes this notification in the Practitioners credentialing file. If the Practitioner is subsequently terminated for lack of information, the termination notice should be in the Practitioner's file.

- CR C3.A.2. – A valid DEA/CDS certificate (CMS)
 - Verification conducted within one hundred eighty (180) calendar days of Credentialing Committee decision.
- CR C3.A.5. – Work History (CMS)
 - Verification conducted within one hundred eighty (180) calendar days of Credentialing Committee decision.
- CR C3.B.3. – Medicare and Medicaid Sanctions (CMS/DHCS)
 - OIG must be the verification source. Date of query and staff initials must evident on checklist or report must be in file.
- CR C3.B.4. – Medi-Cal Sanction (DHCS)
 - Medi-Cal Suspended and Ineligible List must be the verification source. Date of query and staff initials must evident on checklist or report must be in file.
- CR C3.C.1-6. – Application and Attestation (CMS)
 - Verification of questions completed, and attestation signed within one hundred eighty (180) calendar days of Credentialing Committee decision.
- CR C3.D. – Hospital Admitting Privileges (CMS/DHCS)

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- Send Documentation of coverage. Verification of admitting privileges required by IEHP.

RECREDENTIALING. This applies to Practitioners who have undergone initial credentialing and are due for recredentialing, thirty-six (36) months thereafter, at minimum. The thirty-six (36) months recredentialing cycle begins on the date of the previous credentialing decision.

- CR R3.A.2. – A valid DEA/CDS certificate (CMS)
 - Verification conducted within one hundred eighty (180) calendar days of Credentialing Committee decision.
 - CR R3.B.3. – Medicare and Medicaid Sanctions (CMS/DHCS)
 - OIG must be the verification source. Date of query and staff initials must evident on checklist or report must be in file.
 - CR R3.B.4. – Medi-Cal Sanction (DHCS)
 - Medi-Cal Suspended and Ineligible List must be the verification source. Date of query and staff initials must evident on checklist or report must be in file.
 - CR R3.C.1-6. – Application and Attestation (CMS)
 - Verification of questions completed, and attestation signed within one hundred eighty (180) calendar days of Credentialing Committee decision.
 - CR R3.D. – Hospital Admitting Privileges (CMS/DHCS)
 - Send Documentation of coverage. Verification of admitting privileges required by IEHP.
 - CR R3.F. – Review of Performance Information (CMS/DHCS)
 - Must include QI Activities and Grievance/Complaints, via checklist, reports, form/sheet detailing the Delegate’s findings.²⁷
4. IEHP evaluates regular reports, at minimum quarterly, of the credentialing activities delegated to the Delegate, to include reporting of the names or files of Practitioners or Providers processed by the delegate. The Quality or Credentialing Committee minutes may be assessed for this information.

All Delegates are required to submit their quarterly reports via Secure File Transfer Protocol (SFTP) server. (See Policy, “Credentialing Standards – Credentialing Quality

²⁷ NCQA, 2022 HP Standards and Guidelines, CR 8, Element C, Factor 3

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Oversight of Delegates”, in Section 25).

a. Lists of credentialed Practitioners.

- 1) Delegates are required to submit quarterly reports that include all credentialing activities within the look-back period. The credentialing dates provided on this report is used to generate the audit pull list for the Annual Credentialing Delegation Oversight Audit.

b. Lists of recredentialed Practitioners.

- 1) Delegates are required to submit quarterly reports that include all recredentialing activities within the look-back period. The recredentialing dates provided on this report is used to generate the audit pull list for the Annual Credentialing Delegation Oversight Audit.

- IEHP will review these reports and ensure all recredentialing packets due are accounted for.

- IEHP will notify the Delegate for any missing packets, if a trend is identified, the Delegate may be required to submit a corrective action, to ensure the Delegates plan to ensure compliance is in place.

c. Terminations²⁸

- 1) Delegates are required to report all terminations during the look back period to ensure the Delegates reported termination to IEHP timely.
- 2) For all terminations due to quality of care, IEHP will review appeals process for compliance.

d. Any compliance risks and areas of opportunities identified on the quarterly reports will be communicated to the Delegate, which may result in a Corrective Action Plan for the respective Delegate.²⁹

- 1) Delegates identified for noncompliance due to untimely reporting, low performance, or incomplete and inaccurate reports will be required to submit monthly reports until the Delegate demonstrates improvement.

5. IEHP annually monitors the Delegate’s system security controls to ensure that the Delegate monitors its compliance with the delegation agreement or with the Delegate’s policies and procedures at least annually.³⁰

- a. IEHPs process for monitoring system security controls covers Delegates that store, create, modify, or use CR data on its behalf. If the organization contracts with such

²⁸ Department of Health Care Services (DHCS) All Plan Letter (APL) 21-003 Supersedes APL 16-001, “Medi-Cal network Provider and Subcontractor Terminations”

²⁹ NCQA, 2022 HP Standards and Guidelines, CR 8, Element C, Factor 4

³⁰ NCQA, 2022 HP Standards and Guidelines, CR 1, Element C, Factor 1-5

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delegates, it:

- 1) Has a process for annually monitoring the delegate's CR system security controls in place to protect data from unauthorized modification?
 - 2) Ensures that the Delegate annually monitors that it follows the delegation agreement or its own policies and procedures.
- b. IEHP reviews all modifications made in all Delegates' CR systems during the look-back period that did not meet the modification criteria allowed by the delegation agreement or by the delegates' policies and procedures.
- 1) If the Delegate's CR system does not allow modifications, the Delegate:
 - Describes the functionality of the system that ensures compliance with the established policy.
 - Provides documentation or evidence of advanced system control capabilities that automatically record dates and prevent modifications that do not meet modification criteria.
 - c. Auditing is allowed only if IEHP or the Delegate does not use a CR system that can identify all noncompliant modifications.³¹
 - 1) Documentation includes the staff roles or department involved in the audit.
 - 2) IEHP or the Delegate identifies all CR system modifications, but may use sampling to identify potential noncompliant changes for the audit.
 - 3) The organization uses one of the following methods to audit files:
 - Five (5) percent or fifty (50) of its files, whichever is less, to ensure that information is verified appropriately.
 - At a minimum, the sample includes at least ten (10) credentialing files and ten (10) recredentialing files. If fewer than ten (10) Practitioners were credentialed or recredentialed since the last annual audit, the organization audits the universe of files rather than the sample.
6. IEHP acts on all findings from Factor 5 for each Delegate and implements a quarterly monitoring process until each Delegate demonstrates improvement for one finding over three (3) consecutive quarters.
- a. IEHP identifies and documents all actions it has taken, or plans to take, to address all modifications that did not meet the delegation agreement or the Delegate's policies and procedures, if applicable. One action may be used to address more than one finding for each Delegate or across multiple Delegates, if appropriate.

³¹ NCQA, 2022 HP Standards and Guidelines, CR 8, Element C, Factor 5

5. CREDENTIALING AND RECREDENTIALING

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- 1) IEHP implements a quarterly monitoring process for each Delegate to assess the effectiveness of its actions on all findings.
 - IEHP must continue to monitor each Delegate until the Delegate demonstrates improvement of at least one (1) finding over three (3) consecutive quarters.
 - If a Delegate did not demonstrate improvement of at least one (1) finding during the look-back period, it submits all quarterly monitoring reports demonstrating ongoing monitoring.
 - If IEHP identified findings less than three (3) quarters before the survey submission date, it submits all monitoring information it has available.
- D. For delegation arrangements that have been in effect for more than twelve (12) months, at least once in each of the past two (2) years, the Delegate must follow up on opportunities for improvement.³²
 1. Findings from the Delegates pre-delegation evaluation, annual evaluations, file audits, or ongoing reports can be sources for identifying areas of improvement for which it takes actions.
 2. The Delegate can use an accredited Health Plans' audit to look for opportunities of improvement.
 - a. If the Delegate sees that the accredited Health Plan found opportunities for improvement, the Delegate reviews the following:
 - 1) The CAP from the subdelegated entity.
 - 2) Reviews to see if the audit and CAP were reviewed and approved, i.e. committee minutes, email approval or other method indicating acceptance of review of the CAP.

| INLAND EMPIRE HEALTH PLAN | | |
|---|---------------------------------|-----------------|
| Chief Approval: <i>Signature on File</i> | Original Effective Date: | January 1, 2020 |
| Chief Title: Chief Operating Officer | Revision Date: | January 1, 2023 |

³² NCQA, 2022 HP Standards and Guidelines, CR 8, Element D, Factor 1

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

9. Identification of HIV/AIDS Specialists

APPLIES TO:

A. This policy applies to all IEHP Medi-Cal Providers contracted under IEHPs Direct Network.

POLICY:

- A. IEHP identifies HIV/AIDS Specialists during the credentialing and recredentialing process, and annually thereafter.
- B. For those Providers who are identified as an HIV/AIDS Specialists, IEHP reconfirms the Provider is appropriately qualified and continues to meet the definition of an HIV/AIDS Specialist, on annual basis.
- C. The department(s) responsible for authorizing standing referrals are notified of the Practitioners who are qualified HIV/AIDS Specialists.

PURPOSE:

- A. IEHP must have a written and documented process to identify and reconfirm the appropriately qualified Physicians within IEHP who meet the definition and requirements of an HIV/AIDS Specialist on an annual basis.

DEFINITIONS:

- A. “Category 1 continuing medical education” means:
 - 1. For Physicians, continuing medical education as qualifying for category 1 credit by the Medical Board of California;
 - 2. For Nurse Practitioners (NPs), continuing medical education contact hours recognized by the California Board of Registered Nursing; and
 - 3. For Physician Assistants (PAs), continuing medical education units approved by the American Association of Physician Assistants.

PROCEDURES:

- A. IEHP identifies HIV/AIDS Specialists during the credentialing and recredentialing process, and annually thereafter. All credentialing and recredentialing applications include an HIV/AIDS form for all Practitioners to review and complete if they would like to be identified as an HIV/AIDS Specialist Provider. (See Attachment, “Verification of Qualifications for HIV/AIDS Physician Specialists,” in Section 5).
 - 1. All Physicians who complete the form and indicate “Yes, I do wish to be designated as an HIV/AIDS Specialist based on the criteria below,” Credentialing will obtain the documents to support the criterion the Practitioner identified on the form.

5. CREDENTIALING AND RECREDENTIALING

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9. Identification of HIV/AIDS Specialists

- a. All Physicians who indicated “Yes, I do wish to be designated as an HIV/AIDS Specialist based on the criteria below,” and met the criterion set forth in this policy will be designated as an HIV/AIDS Specialist.
 - b. If the Physician indicated “Yes, I do wish to be designated as an HIV/AIDS Specialist based on the criteria below,” and does not include the supporting documentation, the Credentialing Specialist will:
 - 1) Make a minimum of three (3) attempts to collect this information from the Physician, which will be documented in the Practitioner’s file.
 - If the Credentialing Specialist is unable to obtain the information from the Practitioner, the Practitioner will then be notified that they will not be listed in IEHP’s network as an HIV/AIDS Specialist due to not meeting the HIV/AIDS Specialist criterion as noted in this policy.
 - c. For all Physicians who indicated “No, I do not wish to be designated as an HIV/AIDS Specialist” or do not complete a form at all, they will not be identified as an HIV/AIDS Specialist in the IEHP network.
- B. IEHP identifies and verifies the appropriately qualified Physicians who meet the definition of an HIV/AIDS Specialist. An “HIV/AIDS Specialist” is a Physician who holds a valid, unrevoked and unsuspended certificate to practice medicine in the State of California, who meets any one of the four (4) criterion below:¹
1. Is credentialed as an HIV Specialist by the American Academy of HIV Medicine (AAHIVM);
 - a. IEHP will verify the Physician’s credentials on the American Academy of HIV Medicine website <https://aahivm.org/>.
 2. Is board certified, or has earned Certificate of Added Qualifications, in the field of HIV medicine granted by a member board of the American Board of Medical Specialties, should a member board of that organization establish board certification, or a Certificate of Added Qualifications, in the field of HIV medicine; or
 - a. IEHP will verify the Physicians board certification(s) using the sources in Policy 05A1, “Credentialing Standards – Credentialing Policies”
 3. Is board certified in the field of Infectious Disease by a member board of the American Board of Medical Specialties and meet the following qualifications:
 - a. In the immediately preceding twelve (12) months has clinical managed medical care to a minimum of twenty-five (25) patients who are infected with HIV; and

¹ Health and Safety Code § 1300.74.16

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

9. Identification of HIV/AIDS Specialists

- b. In the immediately preceding twelve (12) months has successfully completed a minimum of fifteen (15) hours of category 1 continuous medical education (CME) in the prevention of HIV infection, combined with diagnosis, treatment, or both, of the HIV-infected patients, including a minimum of five (5) hours related to antiretroviral therapy per year.
 - 1) IEHP will verify the Physicians board certification(s) using the sources in Policy 05A1, “Credentialing Standards – Credentialing Policies”; and
 - 2) IEHP will request for copies of those Continuing Medical Education (CME) credits and verify:
 - The appropriate number of CMEs hours in the HIV Medicine or antiretroviral therapy, were completed.
4. Meets the following qualifications:
 - a. In the immediately preceding twenty-four (24) months has clinically managed medical care to a minimum of twenty (20) patients who are infected with HIV; and
 - b. Has completed any of the following:
 - 1) In the immediately preceding twelve (12) months has obtained board certification or recertification in the field of infectious disease from a member board of the American Board of Medical Specialties; or
 - 2) In the immediately preceding twelve (12) months has successfully completed a minimum of thirty (30) hours of category 1 continuing medical education in the prevention of HIV infection, combined with diagnosis, treatment of both, of HIV-infected patients.
 - IEHP will verify the Physicians board certification(s) using the sources in Policy 05A1, “Credentialing Standards – Credentialing Policies”;
 - IEHP will request for copies of those Continuing Medical Education (CME) credits and verify: and
 - The appropriate number of CMEs hours in the Prevention of HIV Infection, combined with diagnosis, treatment of both of HIV-infected patients, were completed.
 - 3) In the immediately preceding twelve (12) months has successfully completed a minimum of fifteen (15) hours of category 1 continuing medical education in the prevention of HIV infection, combined with diagnosis, treatment, or both, of HIV-infected patients and has successfully completed the HIV Medicine Competence Examination administered by the American Academy of HIV Medicine.

5. CREDENTIALING AND RECREDENTIALING

A. Credentialing Standards

9. Identification of HIV/AIDS Specialists

- 4) IEHP will request for copies of those CME credits and verify:
 - The appropriate number of CMEs hours in the Prevention of HIV Infection, combined with diagnosis, treatment of both of HIV-infected patients, were completed;
 - 5) IEHP will request for a copy of the Exam Verification of the HIV Medicine Competence Examination administered by the American Academy of HIV Medicine.
- C. On an annual basis, IEHP sends a blast fax to all Direct Network Providers, to confirm which Providers would like to be listed as HIV/AIDS Specialist Providers, ensure IEHP identifies or reconfirms the appropriately qualified Physician who meet the definition of an HIV/AIDS Specialist, on annual basis.
1. The annual screening is faxed to all Direct Primary Care Providers (PCPs) and Specialists.
 2. The blast fax is sent by IEHPs Provider Services Administration Team and then the list of Providers is provided to the Credentialing Department track the Physician responses.
 3. The annual screening is completed within twelve (12) months of the prior year's annual screening.
 4. For Physicians currently listed in the network as an HIV/AIDS Specialist, the Credentialing Department will reconfirm if the Provider still meets the criterion to be listed as a HIV/AIDS Specialist.
- D. The list of identified qualifying Physicians is provided to the department responsible for authorizing standing referrals through our Network Development Data Base in real time and is available upon request to the Credentialing Department.^{2,3}

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² Health & Saf. Code § 1300.74.16

³ Department of Health Care Services (DHCS) All Plan Letter (APL) 02-001, "Medi-Cal HIV/AIDS Home and Community Based Services Waiver Program"

5. CREDENTIALING AND RECREDENTIALING

B. Hospital Privileges

APPLIES TO:

A. This policy applies to all IEHP Medi-Cal Providers.

POLICY:

- A. IEHP and IPAs must ensure that all of their contracted and subcontracted PCPs have Hospital admitting arrangements at a designated IEHP contracted Hospital¹, within a fifteen (15) mile radius or thirty (30) minute travel time from their assigned Member's residence. In rural areas, or in specific situations, IEHP may approve Primary Care Provider (PCP) links to Hospitals outside of these standards (See Policy 18H, "Hospital Affiliations").^{2,3}
- B. IEHP and its IPAs are required to contract with a dedicated Hospitalist at the Hospitals they are linked to and where such Hospitalist exists. IEHP requires that the IPA contract with the Hospitalist contracted with IEHP Direct if IEHP Direct holds a contract with the Hospitalist at the Hospital in question. The IPA may request to contract with another dedicated Hospitalist present at the Hospital, subject to IEHP approval. Hospitalist can only provide coverage for other Primary Care Providers (PCPs) with the same age range.
- C. If a dedicated Hospitalist does not exist at the hospital, the PCP may use their own privileges to admit patients.
- D. If a dedicated Hospitalist does not exist at the hospital and the physician does not have their own hospital admitting privileges, the physician may use an Admitting physician within their same IPA, and cover the same age range, to admit patients on their behalf contingent that they are credentialed and contracted with hospital admitting privileges.
- E. If there is a Hospital where a dedicated Hospitalist does not exist and the physician does not hold their own admitting privileges, the IPA can contract with an Admitter, who may be a person or group, to admit their assigned Members. Admitting Practitioners must be contracted and credentialed within the same network, and cover the same age range, as the non-admitting Provider, in accordance with regulatory standards and IEHP requirements.
- F. IEHP and its Delegates must ensure that all contracted and subcontracted Specialist Practitioners (in the appropriate specialties) (See Attachment, "Hospital Admitting Privileges Reference by Specialty" in Section 5) must have a formal inpatient coverage arrangement at an IEHP contracted Hospital, with a specialist within the same practice and specialty. If the Practitioner does not have clinical admitting privileges, a written statement delineating the

¹ Title 28, California Code of Regulations § 1300.51 (d)(H)(iii)

² Knox-Keene Health Care Service Plan Act of 1975, § 1300.67.2.2

³ Department of Health Care Services (DHCS) All Plan Letter (APL) 21-006 Supersedes APL 20-003, "Network Certification Requirements"

5. CREDENTIALING AND RECREDENTIALING

B. Hospital Privileges

inpatient coverage arrangement, which must be documented in the Provider's file.⁴

- G. Practitioners who provide care of mothers and newborns through the maternity cycle of pregnancy, labor, birth and delivery services (i.e. Certified Nurse Midwives, Obstetrics/Gynecology [OB/GYN], Family Practice 1, Family Practice 2 Providers, Licensed Midwives) must have appropriate Hospital arrangements in place.

PURPOSE:

- A. No enrollment is given to any PCP until appropriate and complete arrangements for Hospital admissions are in place and verified by IEHP.
- B. In the event it is discovered that a PCP with assigned enrollment does not have privileges at the designated IEHP contracted Hospital, and the IPA has not made arrangements with other Practitioners to provide admitting and inpatient care services for that Practitioner, IEHP may freeze the membership of the PCP and/or transfer these Members immediately. The IPA may request to unfreeze or open the Provider's panel once they provide appropriate arrangements with other Practitioners to provide admitting inpatient care services for that Practitioner.
- C. IEHP and its IPAs must have established processes for outpatient and inpatient Utilization Management.
- D. IPAs must have established processes for outpatient and inpatient Utilization Management and are responsible for reviewing, maintaining and notifying IEHP of any changes to their hospital admitting arrangements for each of their affiliated links.

DEFINITION:

- A. Hospitalist: A doctor who primarily takes care of patients when they are in the Hospital. This doctor will oversee a Member's care when the Member is inpatient, keeping the Member's primary doctor informed about the Member's progress, and will return the Member to the care of your Primary Care Provider when the Member is discharged from the Hospital.⁵
- B. Hospitalists do not need to be credentialed. They are Practitioners who practice exclusively in an inpatient setting and provide care for organization Members only because Members are directed to the Hospital or another inpatient setting. The facility will be responsible for Credentialing each practitioner.
- C. Admitting Physician(s): The doctor(s) responsible for admitting a patient to a Hospital or other inpatient health facility.⁶

⁴ DHCS APL 21-006

⁵ CMS.gov (Glossary)

⁶ CMS.gov (Glossary)

5. CREDENTIALING AND RECREDENTIALING

B. Hospital Privileges

PROCEDURES:

- A. IEHP and its IPAs must ensure that all of their contracted and subcontracted PCPs have Hospital admitting arrangements at a designated IEHP contracted Hospital, within a fifteen (15) mile radius or thirty (30) minute travel time from their assigned Member's residence.^{7,8} In rural areas, or in specific situation IEHP may approve PCP links to Hospitals outside of these standards (See Policy 18H, "Hospital Affiliations").
1. Upon receipt of a Provider application for IEHP or Provider profile for IPAs, IEHP will confirm:
 - a. PCPs meet the time and distance requirements specified and above and ensure the physician has appropriate hospital arrangements documented on the Provider Application or profile. IEHP and its IPAs are required to:
 - 1) Use a Hospitalist if a dedicated Hospitalist exists at the Hospital;
 - 2) If a dedicated Hospitalist does not exist, the physician may use their own privileges to admit patients;
 - 3) If the PCP Practitioner does not have clinical admitting privileges, IEHP and its Delegates must obtain a written statement delineating the inpatient coverage arrangement which must be documented in the Provider's file. IEHP and IPA may then use:
 - Admitting Physician who covers the same age range, who is credentialed and contracted within the same network; or
 - Admitter who is contracted by the same network, to admit patients on behalf of the IPA, contingent that they are contracted and credentialed by the same network.
 - b. Specialists must have their current affiliations listed on their application for IEHP or Provider Profile for IPA. IEHP will verify the Specialist:
 - 1) Has privileges in good standing and must indicate their current hospital affiliations or admitting privileges at a participating hospital.⁹
 - Privileges must be in the specialty they are credentialed and contracted
 - Specialists will be linked to all Hospitals where they have appropriate Hospital arrangements;

⁷ KKA § 1300.67.2.2

⁸ DHCS APL 21-006

⁹ Title 28 California Code of Regulations (CCR) § 1300.51(d)(H)(iii)

5. CREDENTIALING AND RECREDENTIALING

B. Hospital Privileges

- IEHP or IPAs are not required to have an existing link at the hospitals for the Specialists to be added.
 - 2) If the Practitioner does not have clinical admitting privileges, IEHP and its Delegates must obtain a written statement delineating the inpatient coverage arrangement which must be documented in the Provider's file.
 - 2. For those physicians who meet IEHPs established criteria, will be added to the network. Those practitioners who have Hospitalist or Admitter arrangements noted, will be added to the Hospitalist and Admitter List for review and maintenance, thereafter.
 - 3. During the Joint Operations Meetings (JOM) with our network hospitals they are provided a Hospitalist Admitter list for review. It includes Hospitalist/Admitters name, phone number and fax number for each Provider who has an alternate hospital arrangement.
 - a. If Hospitals find discrepancies, they are communicated to the Provider Contracting Service Manager, for action.
- B. Hospitalists are used to provide coverage for PCPs affiliated with the same Provider network and age range. IEHPs Direct Hospitalist List is maintained by the Contracts Department and is made available to IPAs via Provider Portal as a reference.
- 1. IEHP and its IPAs are required to contract with a dedicated Hospitalist at the Hospitals they are linked (receiving membership assignment) and where such Hospitalists exist.
 - a. IEHP requires that its IPAs contract with the Hospitalist Group contracted with IEHP Direct.
 - 1) IPA Hospitalist arrangement that do not align with IEHP Direct, will require review and approval from the IEHP Medical Director.
 - b. IEHP does accept utilization of a rotating on-call Hospitalist arrangement, however these arrangements are subject for review and approval. The following arrangements have been reviewed and accepted by IEHP:
 - 1) Arrowhead Regional Medical Center
 - 2) Loma Linda University Medical Center
 - 3) Riverside County Regional Medical CenterIf an IPA is receiving membership assignments for these hospitals, they will automatically be assigned to the rotating on-call Hospitalist arrangement, therefore will not be required to submit Hospital arrangements.
 - 2. For all Hospitalist arrangements, IPAs are required to complete a Hospitalist Admitting Arrangement Attestation – Hospitalist (See Attachment, “Hospital Admitting

5. CREDENTIALING AND RECREDENTIALING

B. Hospital Privileges

Arrangement Attestation – Hospitalist” in Section 5) or submit a written agreement between the IPA and Hospitalist Group that includes the following:

- a. Name of the IPA and Hospitalist;
 - b. Hospitalist \ covered age range;
 - c. Hospitals where the Hospitalist will admit;
 - d. Hospitalist Phone;
 - e. Hospitalist Fax Number;
 - f. Hospitalist National Provider Identifier (NPI);
 - g. Hospitalist W-9 and TIN;
 - h. The agreement must stipulate a minimum of thirty (30) days advance notice of intent to terminate by either party. Notice of termination must be submitted to IEHP within five (5) days of the IPAs knowledge of pending termination; and
 - i. The agreement must also specify that bills for services rendered are submitted to and paid by IPA.
3. Upon receipt of the written arrangement from the IPA, IEHP verifies:
- a. The Hospitalist arrangements can collectively cover admissions for all ages for the IPA and respective Hospital.
 - b. The IPA and Hospital have an existing and/or upcoming link/affiliation arrangement; and
 - 1) IPAs do not have to obtain Hospitalist arrangements to Hospitals where they do not receive membership assignment.
 - c. The Hospitalist aligns with IEHP Direct Hospitalist List
 - 1) If the Hospitalists’ do not align, the written documentation will be forwarded to the IEHP Medical Director for review and approval.
4. Upon approval, IEHP will update the Hospitalist Admitter list for the IPA to reflect the IPAs Hospitalist arrangements.
- a. The IPAs existing PCPs receiving membership at that hospital, will be reassigned to the IPAs Hospitalist arrangement for the respective hospital.
 - b. The IPAs PCP additions to that hospital, will be assigned with the IPAs designated Hospitalist and will appear on the IPAs Admitter Reports thereafter, for review and maintenance.
- C. If there is a Hospital where a dedicated Hospitalist does not exist, the practitioner may use their own privileges to admit patients. IEHP and IPA must confirm the physician:

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B. Hospital Privileges

1. Has admitting privileges at the respective hospital
 2. Is credentialed and contracted with a network hospital where there is membership assignment
- D. If a dedicated Hospitalist does not exist at the hospital and the physician does not have their own hospital admitting privileges, the physician may use a physician within their same practice, same IPA, and same specialty to admit patients on their behalf contingent that they are credentialed and contracted with hospital admitting privileges.
1. If a Delegate PCP physician is using a physician within their same practice, the IPA must verify the following:
 - a. Physicians are within the same practice
 - b. Physicians are within the same specialty of coverage and same age range
 - c. Both practitioners are credentialed and contracted within the same network
 - d. The Admitting Physician has admitting privileges to the respective hospital
 - e. The IPA has a link at the respective hospital
 - f. These arrangements are documented in the physicians credentialing file.
 2. Upon submission to IEHP, the IPA confirms the PCP meets the time and distance requirements as required by IEHP (See Policy 18H, “Hospital Affiliations”) and include the physicians hospital arrangements on their provider profile during the submission process to avoid delays and/or rejection.
 - a. Hospital arrangements must be documented in the physicians credentialing file.
 - b. All rejected submissions must be resubmitted to IEHP via SFTP portal to its entirety.
 3. Upon approval, IEHP will update the Hospitalist Admitter List for the IPA to reflect the physicians’ admitter arrangements. The IPA will then be responsible for:
 - a. Reviewing the IPAs Hospitalist Admitter Reports and monthly, thereafter
 - b. Ensuring the Admitting Physicians holds current and active admitting privileges at the respective hospitals while listed as an Admitting Physician
 - c. Screening the Admitting Physician during the ongoing monitoring of sanctions, on a monthly basis
- E. If there is a Hospital where a dedicated Hospitalist group does not exist, the IPA can contract with an Admitter, who may be a person or group, to admit on behalf of the IPAs assigned Members. Admitters must be contracted and credentialed within the same network, and cover the same age range, as the non-admitting Physician, in accordance with regulatory standards and IEHP requirements.

5. CREDENTIALING AND RECREDENTIALING

B. Hospital Privileges

1. If the IPA chooses to contract with an Admitter, the IPA must credential and contract each Admitter affiliated with the contract, to ensure the Admitter:
 - a. Provides appropriate coverage for the age range
 - b. Is included in the screening of the ongoing monitoring of sanctions,
 - c. Holds Admitting privileges to the respective Hospital while listed as an Admitter
2. For all Admitter arrangements, IPAs are required to complete a Hospital Admitting Arrangement Attestation (See attachment “Hospital Admitting Arrangement Attestation – Admitter” in Section 5) or submit a written agreement between the IPA and Admitter, that includes the following:
 - a. Name of the IPA and Admitter;
 - b. Admitter’s covered age range;
 - c. Hospitals where the Admitter will admit;
 - d. Admitter’s Phone Number;
 - e. Admitter’s Fax Number;
 - f. Admitter’s NPI;
 - g. Admitter’s W-9 and TIN
 - h. Name(s), Specialties and NPIs of the Physicians affiliated with the Admitter Agreement
 - i. The agreement must stipulate a minimum of thirty (30) days advance notice of intent to terminate by either party. Notice of termination must be submitted to IEHP within five (5) days of the IPAs knowledge of pending termination; and
 - j. The agreement must also specify that bills for services rendered are submitted to and paid by the IPA.
4. Upon receipt of the written admitting arrangements, IEHP verifies:
 - a. The Admitter can collectively cover admissions for all ages for the IPA and respective Hospital;
 - b. The IPA and Hospital have an existing and/or upcoming link/affiliation arrangement; and
 - c. All physicians affiliated with the Admitter Arrangement is credentialed, contracted and has admitting privileges to Hospitals they are admitting to that are in good standing.
5. Upon approval, IEHP will update the Hospitalist Admitter List for the IPA to reflect the IPAs Admitter arrangements

5. CREDENTIALING AND RECREDENTIALING

B. Hospital Privileges

6. As IPAs submit Provider Profile submissions, the IPA confirms the PCP meets the time and distance requirements as required by IEHP (See Policy 18H, “Hospital Affiliations”) and include the physicians hospital arrangements on their provider profile during the submission process to avoid delays and/or rejection.
 - a. Hospital arrangements must be documented in the physicians credentialing file.
 - b. All rejected submissions must be resubmitted to IEHP via SFTP portal to its entirety.
 7. All PCPs that meet IEHPs established criteria, will be added with the IPAs current hospital arrangements.
 - a. As Hospitalist and Admitters changes are made for each IPA, these changes will be reflected in the IPA Hospitalist Admitters List for review and maintenance.
- F. Specialist Practitioners (in the appropriate specialties) (See Attachment, “Hospital Admitting Privileges Reference by Specialty” in Section 5) must have admitting staff privileges with at least one (1) contracted Hospital or a formal inpatient arrangement at an IEHP contracted Hospital.¹⁰ IEHP and IPAs must have these arrangements documented in the Practitioner’s file. IPAs are required to include these arrangements during the IEHP submission process. Upon receipt of a Provider Application for IEHP or Provider Profile for IPAs, IEHP will verify the Specialist:
1. Has admitting staff privileges at the respective hospital listed on the application or provider profile
 - a. If the Practitioner does not have clinical admitting privileges, IEHP and its Delegates must obtain a written statement delineating the inpatient coverage arrangement which must be documented in the Provider’s file.
 - 1) Specialists may use another physician to admit on his/her behalf, the Admitting Physician must be:
 - Within the same specialty
 - Within the same covered age range
 - Within the same practice as the respective physician, to avoid delay in care.
 - The Hospital admitting arrangement will be added to the Hospitalist Admitter Report for review and maintenance by the IPAs on a monthly basis.¹¹
- G. Practitioners who provide care of mothers and newborns through the maternity cycle of pregnancy, labor, birth and delivery services (i.e. Nurse Midwives, Obstetrics/Gynecology,

¹⁰ 28 CCR 1300.51(d)(H)(iii)

¹¹ Ibid.

5. CREDENTIALING AND RECREDENTIALING

B. Hospital Privileges

Family Practice 1, Family Practice 2 Providers, Licensed Midwives) must have the following arrangements in place:

1. Nurse Midwives (NM) Providers must meet the following criteria:
 - a. In lieu of having full Hospital delivery privileges, provide a written agreement with an OB Provider, that includes a protocol for identifying and transferring high risk Members, stated types of deliveries performed (i.e. low-risk, cesarean section etc.), must be available for consultations, as needed.
 - 1) The Agreement must include back-up physician's full delivery privileges at IEHP network Hospital, in the same network as the CNM Provider.
 - a. The OB Provider must be credentialed and contracted within the same practice and network.
2. Family Practice 1: Family Practice that includes Outpatient OB services must:
 - a. Provide a copy of a signed agreement that states member transfers will take place within the first twenty-eight (28) weeks of gestation and a protocol for identifying and transferring high risk Members with a contracted and credentialed OB.
 - 1) The OB must be within the same network as the Family Practice Provider and hold admitting privileges to the IEHP contracted Hospital linked with that IPA network.
3. Family Practice 2: Family Practice that includes full OB services and delivery must:
 - a. Have and maintain full delivery privileges at an IEHP contracted Hospital.
 - b. Provide a written agreement for an available OB back up Provider is required.
 - 1) The OB Provider must be credentialed, contracted and hold admitting privileges to the IEHP Hospital linked with the Family Practice Provider; and
 - 2) Provide a protocol for identifying and transferring high risk Members and stated types of deliveries performed (i.e. low-risk, cesarean section, etc.).
4. OB/GYN Providers who would like to participate as a PCP only, will provide outpatient well woman services only with no Hospital or surgical privileges, must provide the following information for consideration:
 - a. In lieu of having full Hospital delivery privileges, provide a written agreement with an OB Provider, that includes a protocol for identifying and transferring high risk Members, stated types of deliveries performed (i.e. low-risk, cesarean section etc.), must be available for consultations, as needed and that the OB will provide prenatal care after twenty-eight (28) weeks gestation including delivery (See Attachment, "Patient Transfer Agreement" in Section 5).

5. CREDENTIALING AND RECREDENTIALING

B. Hospital Privileges

- 1) The Agreement must include back-up Physician’s full delivery privileges at IEHP network Hospital, in the same network as the non-admitting OB Provider.
- 2) The OB Provider must be credentialed and contracted within the same network. These OB/GYNs provide outpatient well woman services only with no Hospital or surgical privileges.

- 1) This exception must be reviewed and approved by IEHP Medical Director or Chief Medical Officer.

- Further review may be completed by the Peer Review Subcommittee who will either approve or deny.

5. OB/GYN Specialists must have full delivery privileges at an IEHP network Hospital or have an arrangement with an Obstetrics/Gynecology Specialist practicing within their same practice, credentialed and contracted with IEHP, who will admit patients on their behalf. This arrangement must be documented in the Provider’s credentialing application.

6. Licensed Midwives (LM) Providers who are authorized to attend cases of normal pregnancy and childbirth, and to provide prenatal, intrapartum, and postpartum care, including family-planning care, for the mother, and immediate care for the newborn. To assist a woman in childbirth as long as progress meets criteria accepted as normal. LMs must meet the following criteria:

- a. In lieu of having full hospital delivery privileges, provide a completed Licensed Midwife Attestation, (See Attachment, “Licensed Midwife Attestation”, in Section 5).

- H. IPAs must have established processes for outpatient and inpatient Utilization Management and are responsible for reviewing, maintaining and notifying IEHP of any changes to their hospital admitting arrangements for each of their affiliated links. (See Policy 25B10, “Credentialing Standards – Credentialing Quality Oversight of Delegates”).

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5. CREDENTIALING AND RECREDENTIALING

C. Provider Screening and Enrollment Requirements

APPLIES TO:

- A. This policy applies to all IEHP Providers; those contracted through Direct and through our IPAs.

POLICY:

- A. All IEHP Network Providers that have a state-level enrollment pathway must enroll in the Medi-Cal Program through the Department of Health Care Services (DHCS) Provider Enrollment Division (PED).¹
- B. IEHP ensures all contracted Providers are enrolled in the DHCS Medi-Cal Program and monitors their enrollment status.

PURPOSE:

- A. To inform our IPAs and Network Providers of IEHP's Provider screening and enrollment requirements as mandated by DHCS.

PROCEDURES:

Provider Screening and Enrollment

- A. IEHP relies on the enrollment and screening process conducted by DHCS and revalidates Provider enrollment status at least a monthly basis.
 - 1. The Plan considers DHCS' PED approval letter as an acceptable form of enrollment verification.²
 - 2. The monthly revalidation process utilizes the data from the California Health and Human Services' (CHHS) Open Data Portal.
- B. As part of its credentialing, re-credentialing, and ongoing monitoring of sanctions process, IEHP accesses the following databases to ensure contracted Providers continue to meet enrollment criteria. IEHP will take appropriate action if an exclusion status is identified:³
 - 1. Social Security Administration's Death Master File;
 - 2. National Plan and Provider Enumeration System (NPPES);
 - 3. List of Excluded Individuals/Entities (LEIE);
 - 4. System for Award Management (SAM);

¹ Department of Health Care Services (DHCS) All Plan Letter (APL) 22-013 Supersedes APL 19-004, "Provider Credentialing/Re-Credentialing and Screening/Enrollment"

² Ibid.

³ Ibid.

5. CREDENTIALING AND RECREDENTIALING

C. Provider Screening and Enrollment Requirements

5. CMS' Medicare Exclusion Database (MED);
 6. DHCS' Suspended and Ineligible Provider List; and
 7. Restricted Provider Database (RPD).
- C. IEHP allows Providers to participate in its network for up to one hundred-twenty (120) calendar days if the Provider has a pending enrollment application in review with DHCS' PED.⁴
1. IEHP may terminate its contract with the Provider no later than fifteen (15) calendar days of the Provider receiving notification from DHCS that the Provider has been denied enrollment in the Medi-Cal program, or upon the expiration of the first one hundred-twenty (120)-day period.⁵
 2. If terminating a Provider's participation will impact Member access, IEHP will notify DHCS and submit a plan of action for continuity of services for review and approval prior to termination.⁶
 3. IEHP will not continue to contract with Providers that have been denied enrollment or after the expiration of the first one hundred-twenty (120)-day period, if the Provider resubmits its enrollment to DHCS, and will only re-initiate a contract upon the Provider's successful enrollment as a Medi-Cal Provider.⁷
- D. IEHP may choose not to require Medi-Cal Program enrollment from a Provider pursuant to a temporary letter of agreement (LOA) with IEHP, continuity of care arrangements, or on an urgent or emergent basis.⁸
- E. IEHP's screening and enrollment requirements are separate and distinct from the credentialing and re-credentialing process, which is one component of the Plan's comprehensive quality improvement system.⁹

Provider Credentialing and Re-Credentialing

- A. IEHP credentials all contracted Providers that render services to assigned Members, whether the Providers have a state-level FFS enrollment pathway or not, in accordance with state and federal law.¹⁰
- B. IEHP verifies the credentials of its Network Providers and verifies the following items, as required for the particular Provider type, through a primary source, as applicable:¹¹

⁴ 42 CFR § 438.602(b)(2)

⁵ Ibid.

⁶ DHCS APL 22-013

⁷ Ibid.

⁸ Ibid.

⁹ Ibid.

¹⁰ Ibid.

¹¹ Ibid.

5. CREDENTIALING AND RECREDENTIALING

C. Provider Screening and Enrollment Requirements

1. The appropriate license and/or board certification or registration;
2. Evidence of graduation or completion of any required education;
3. Proof of completion of any relevant medical residency and/or specialty training; and
4. Satisfaction of any applicable continuing education requirements.

Please see Section 5, “Credentialing Standards” for more information.

- C. IEHP verifies every three (3) years that each Network Provider delivering medical services continues to possess valid credentials. IEHP’s recredentialing process includes documentation that the Plan has considered information from other sources pertinent to the credentialing process, such as quality improvement activities, Member grievances, and medical record reviews.¹² Please see Section 5, “Credentialing Standards” for more information.

Delegation, Monitoring and Oversight

- A. IEHP does not delegate its authority to perform screening and enrollment activities.
- B. IEHP delegates credentialing and recredentialing responsibilities to its IPAs. Please see Section 25, “Delegation and Oversight” for more information.
- C. IEHP remains contractually responsible for the completeness and accuracy of the screening and enrollment activities and will continuously monitor, evaluate, and approve the delegated functions.

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| Chief Title: Chief Operating Officer | Revision Date: | |

¹² DHCS APL 22-013

5. CREDENTIALING AND RECREDENTIALING

Attachments

| <u>DESCRIPTION</u> | <u>POLICY CROSS REFERENCE</u> |
|---|-------------------------------|
| Attachment I: Statement of Agreement by Supervising Provider | 5A1, 25B1, 25B10 |
| Bariatric Surgeon Case Volume Attestation | 5A1, 25B1 |
| Credentialing Subcommittee Termination Letter | 5A6 |
| Death Master File Identity Attestation | 5A5, 25B5 |
| Delegation of Services Agreement and Supervising Physician Form | 5A1, 5A3, 25B1, 25B10 |
| Hospital Admitting Arrangement Attestation – Admitting Physician | 5B |
| Hospital Admitting Arrangement Attestation – Hospitalist | 5B |
| Hospital Admitting Privileges Reference by Specialty | 5A1, 5B, 5A3, 25B1, 25B3 |
| IEHP Addendum E | 5A1, 5A3, 25B1, 25B3 |
| IEHP Peer Review Level I and Credentialing Appeal | 5A5, 5A6, 25B5 |
| IEHP Peer Review Process and Level II Appeal | 5A5, 5A6, 25B5 |
| Licensed Midwife Attestation | 5A1, 5B, 5A3, 25B1, 25B3 |
| Patient Transfer Agreement | 5A1, 5B, 25B1 |
| Peer Review Termination Letter | 5A6 |
| Prescribing Arrangements for DEA and CDS eligible Practitioners | 5A3 |
| Provider Privilege Adjustment Request Form | 5A3 |
| Transgender Questionnaire | 5A1, 25B1 |
| Verification of Qualifications for HIV/AIDS Physician Specialists | 5A1, 5A9, 25B1 |
| Work History Form Past Five (5) years' request | 5A3 |
| Credentialing and Recredentialing Report | 05A8, 25B10 |
| Credentialing and Recredentialing Report for Delegated Networks | 05A8, 25B10 |
| IPA Reporting Requirements Schedule - Medi-Cal | 05A8, 25B10 |
| Delegation Oversight Audit Preparation Instructions - Medi-Cal | 05A8, 25A2 |
| Credentialing DOA Audit Tool | 05A8, 25B8 |

Attachment 05 - Attachment I - Statement of Agreement by Supervising Provider
MID-LEVEL PROVIDER APPLICATION

ATTACHMENT I: STATEMENT OF AGREEMENT BY SUPERVISING PROVIDER

Name: _____ Employed as: _____
Mid-Level Provider

Name: _____
Supervising Provider

I, _____, M.D./D.O. supervising Provider for the above named Mid-Level Provider, do hereby make the following statements of agreement in accordance with the policies/procedures regulating the Mid-Level Provider program:

1. I hereby accept full legal and ethical responsibility for the performance of all duties and acts performed by the above named Mid-Level Provider whom I have employed.
2. I hereby request approval to allow above named Mid-Level Provider to perform, outside my immediate supervision, the specific activities and duties, as outlined in the *attached supervising guidelines and/or job description of the Mid-Level Provider*.
3. I agree to immediately notify IPA/Medical, in writing, in the event my approval to supervise an Mid-Level Provider is removed, limited or otherwise altered by action of the Medical Board of California, or in the event of any notification of investigation of my supervision by the Board, or if there is a change in employment status of the Mid-Level Provider hereby applying.
4. I agree to inform all patients that said Mid-Level Provider will participate in the total care of the patient and agree to ensure that the Mid-Level Provider will be clearly identified by badge.
5. I agree to comply with all regulations and policies of the Medical Board of California and/or other regulating agencies and IPA/Medical with respect to the supervision of the Mid-Level Provider, specifically including such regulations and policies which have been or may, from time to time, be adopted by said Board and/or other regulating agencies and IPA/Medical with respect to:
 - a. Billing for the services of the Mid-Level Provider;
 - b. Requirements for supervision of the Mid-Level Provider with respect to the type and scope of services approved by the Medical Board of California for the Mid-Level Provider to perform; and
 - c. Requirement for identification of the Mid-Level Provider while rendering services.

It is understood that compliance with such regulations shall be considered a necessary but not sufficient condition for the continuing approval by IPA/Medical of the performance of services by the Mid-Level Provider for the health plan.

6. I understand the right of the Mid-Level Provider to render medical services under my contract shall be contingent upon my continued membership and contract with IPA/Medical. If I terminate my membership or contract, or if my membership or contract is suspended, revoked or terminated, the Mid-Level Provider's clinical activities shall automatically be changed accordingly. Similarly, if my membership or contract is restricted, the Mid-Level Provider's activities shall be restricted accordingly.
7. If applicable, a certificate issued to me by the Medical Board of California indicating my approval to supervise an Mid-Level Provider in the type and scope of practice for which this application has been made is attached.
8. I understand that the above named Mid-Level Provider shall have only such authority as is necessary to perform the duties and tasks indicated in this application. Questions of authority shall be referred to me for case by case resolution.

Provider's Signature

Date



**BARIATRIC SURGEON
CASE VOLUME ATTESTATION**

I, _____ (Print: Provider Name), attest that the information reported below accurately reflects the volume of bariatric surgery cases in which I was both proctored and served as a primary surgeon, within the last three (3) years. I do hereby attest that this information is true, accurate, and complete to the best of my knowledge.

I understand Inland Empire Health Plan (IEHP) reserves the right to require me to provide clinical documentation verifying the attested bariatric surgery cases below, which I agree to provide upon IEHP's request.

1. _____ Volume of applicant's proctored cases

2. _____ Volume of cases where applicant was primary surgeon
* IEHP requires a minimum of twenty (20) cases where the applicant was the primary surgeon

PROVIDER'S SIGNATURE

DATE

DATE

SENT VIA FEDEX

Provider First Name M.I. Last Name Suffix, Degree
c/o Practice Name
Address
City, STATE ZIP

RE: IEHP CREDENTIALING SUBCOMMITTEE DECISION

Dear Provider Name:

Inland Empire Health Plan (IEHP)'s Credentialing Subcommittee met on **(DATE)**, and reviewed **(REASON FOR REVIEW)**.

Due to evidence documenting **(EVIDENCE FOUND)**, the IEHP Credentialing Subcommittee has made the recommendation to terminate/deny/suspend your participation with IEHP Direct.

You have the right to appeal this recommendation and request a first level appeal, which is held before the IEHP Credentialing Subcommittee. If you wish to request an appeal, your written request must be received within thirty (30) days of receipt of this letter. In a Level I Review, you will have the right to be present and participate in the proceedings. If you request an appeal, please provide copies of any additional information, which you would like to have presented at the Credentialing Subcommittee meeting for your appeal. In addition, please let me know if you wish to be present at the meeting by contacting me at **(PHONE NUMBER)**. Please send your written request to:

Inland Empire Health Plan
Attn: [Credentialing Chairperson Name]
P.O. Box 1800
Rancho Cucamonga, CA 91729

If your written request for appeal is not received within thirty (30) days of your receipt of this notice, your rights will be considered waived, and any action recommended by the Credentialing Subcommittee will be presented to the Governing Board of IEHP for final action.

A copy of the IEHP Peer Review (Level I) and Credentialing Policy and Procedures is enclosed for your information and further clarification of your rights in the Level I appeal process.

PROVIDER NAME

DATE

Page 2

IEHP will report the final decision of the IEHP Governing Board, to the Medical Board of California and/or the National practitioner Data Bank, as required under California business and professions Codes subsection 805 and 45 of Federal Regulations, Part 60.

Should you wish to discuss this matter further, please feel free to contact [CREDENTIALING CHAIRPERSON'S NAME] at [PHONE NUMBER] or [EMAIL].

Sincerely,

IEHP MEDICAL DIRECTOR'S NAME
Medical Director, IEHP
Credentialing Subcommittee Chairperson

Enclosures: IEHP Peer Review Level I and Credentialing Appeal

cc: [NAME], Chief Operating Officer, IEHP
[NAME], Chief Medical Officer, IEHP
[NAME], Director of Provider Relations, IEHP
[NAME], Director of Provider Network, IEHP
[NAME], Medical Director, IEHP
[NAME], Director of Quality Management
[NAME], Provider Services Representative, IEHP
[NAME], Credentialing Manager, IEHP
[NAME], Credentialing Contact Title, IPA NAME
[NAME], Medical Director, IPA NAME
Provider File



Inland Empire Health Plan

IDENTITY ATTESTATION

Inland Empire Health Plan received notification from the Death Master File (DMF) from the Social Security Association (SSA) that <Practitioner Name>, M.D./D.O. is deceased, therefore we are reaching out to confirm his/her date of death.

A. If the practitioner is deceased, please provide the Date of Death, _____, so we may update our systems accordingly.

| | |
|---------------------------|-------|
| Completed by (Print Name) | Title |
| Completed by (Signature) | Date |

B. If the practitioner is clearly not deceased, please complete, sign and date below to acknowledge your identification on the Death Master File and confirm you will contact Social Security Administration's Death Master File (SSADMf) to correct the issue. Please submit the following documentation along with your Identity Attestation Form:

1. A copy of the Social Security Card;
2. A photo ID;

License Number (as applicable): _____ License Type: _____

Signed on the _____ day of _____ in the year _____

| | |
|----------------------------|---------------------------|
| Print Name of Practitioner | Signature of Practitioner |
|----------------------------|---------------------------|

Address of Practitioner

IEHP Internal Use Only

The information listed on this affidavit has been verified and deemed as true and correct to the best of my knowledge.

| | |
|----------------------------------|-------------------------------|
| Printed Name of IEHP Team Member | Signature of IEHP Team Member |
| Date | Department |

Delegation of Services Agreements – Change in Regulations

Recently, Title 16, Division 13.8, Article 4, section 1399.540 has been amended to include several requirements for the delegation of medical services to a physician assistant. There are four specific changes with this amendment:

Background:

The Delegation of Services Agreement (DSA) is a document used by supervising physicians and physician assistants to meet requirements of Section 1399.540. The DSA is the foundation of the relationship between a supervising physician and the physician assistant, and specifies the names of the supervising physicians and what types of medical services the physician assistant is allowed to perform, how they are performed, how the patient charts will be reviewed and countersigned, and what type of medications the physician assistant will transmit on behalf of the supervising physician.

Regulatory Requirements:

- 1) A physician assistant may provide medical services, which are delegated in writing by a supervising physician who is responsible for patients, cared for by the physician assistant. The physician assistant may only provide services which he or she is competent to perform, which are consistent with their education, training and experience, and which are delegated by the supervising physician.
- 2) The delegation of services agreement is the name of the document, which delegates the medical services. More than one supervising physician may sign the delegation of services agreement only if each supervising physician has delegated the same medical services. A physician assistant may provide medical services pursuant to more than one delegation of services agreement.
- 3) The Physician Assistant Board or their representative may require proof or demonstration of competence from any physician assistant for any medical services performed.
- 4) If a physician assistant determines a task, procedure or diagnostic problem exceeds his or her level of competence, and then the physician assistant shall either consult with a physician or refer such cases to a physician.

Q: What if a physician assistant works for more than one supervising physician at a hospital or clinic? Do we need to have separate DSAs for each supervising physician?

A: The Board has had questions regarding how the DSA would be written if a physician assistant works for more than one supervising physician at a hospital or clinic. If the duties and medical services performed are consistent with each supervising physician, then one DSA can be written to include several supervising physicians. Each supervising physician must sign and date the DSA, along with the signature of the physician assistant.

Q: What if a physician assistant works for one supervising physician who is an ob-gyn, and also works for an ortho supervising physician, and both are at the same clinic or hospital?

A: If the duties and medical services provided by the physician assistant differ from one supervising physician to another, then it is recommended that a separate DSA be written for each supervising physician. However, one DSA could be used, but it would need to be separated with which duties are allowed under each supervising physician. Again, signatures and dates from all parties must be included on the DSA.

Q: What if the physician assistant works at several different clinics – can one DSA be written?

A: A separate DSA should be made for each hospital or clinic, regardless of how many supervising physicians the physician assistant works with. Alternatively, a physician assistant may have a DSA that specifies what services can be provided at a specific site.

Q: How long should I retain my DSA?

A: You should retain the DSA as long as it is valid. Additionally, it is recommended that you keep a copy of your DSA for at least one to three years after it is no longer the current DSA in case you need to reference the document. However, there is no legal requirement to retain the DSA once it is no longer valid and current.

**DELEGATION OF SERVICES AGREEMENT BETWEEN
A SUPERVISING PHYSICIAN AND A PHYSICIAN ASSISTANT
&
SUPERVISING PHYSICIAN’S RESPONSIBILITY FOR SUPERVISION
OF A PHYSICIAN ASSISTANT**

Title 16, Section 1399.540 of the Physician Assistant Regulations states, in part, “A physician assistant may only provide those medical services which he or she is competent to perform and which are consistent with the physician assistant’s education, training, and experience, and which are delegated in writing by a supervising physician who is responsible for the patients cared for by that physician assistant. b) The writing which delegates the medical services shall be known as a delegation of services agreement. A delegation of services agreement shall be signed and dated by the physician assistant and each supervising physician. A delegation of services agreement may be signed by more than one supervising physician only if the same medical services have been delegated by each supervising physician. A physician assistant may provide medical services pursuant to more than one delegation of services agreement.”

The following two sample documents are attached to assist you with meeting this legal requirement:

- 1) Delegation of Services Agreement (DSA) Between Supervising Physician and Physician Assistant; and
- 2) Supervising Physician’s Responsibility for Supervision of Physician Assistant Agreement.

These are sample documents. They are for your convenience, information, and use. Please feel free to duplicate or modify them as appropriate and consistent with law.

If you choose not to use the sample documents, please be aware that you are still required by law to execute a DSA with your supervising physician. The DSA must be signed and dated by you and your supervising physician. The original or a copy of this document should be maintained at all practice sites where the physician assistant practices, and should be readily accessible. It is recommended that you retain prior DSAs for one to three years after the DSA is no longer current or valid.

While every practicing physician assistant is required to have a DSA, you are **not** required to submit it to the Physician Assistant Board. If requested, you must make a copy of your DSA available to any authorized agent of the Medical Board of California, the Osteopathic Medical Board of California, or the Physician Assistant Board who may request it.

Failure to have a current DSA constitutes a violation of the Physician Assistant Regulations and is grounds for disciplinary action against a physician assistant’s license. In addition, failure by the physician assistant and supervising physician to comply with the supervision requirements specified in the Physician Assistant Regulations and in the Delegation of Services Agreement is ground for disciplinary action.

**THE ATTACHED DOCUMENTS DO NOT NEED TO BE RETURNED TO THE
PHYSICIAN ASSISTANT BOARD**

SAMPLE

DELEGATION OF SERVICES AGREEMENT BETWEEN SUPERVISING PHYSICIAN AND PHYSICIAN ASSISTANT (Title 16, CCR, Section 1399.540)

PHYSICIAN ASSISTANT _____
(Name)

Physician assistant, graduated from the _____
(Name of PA Training Program)

physician assistant training program on _____.
(Date)

He/she took (or is to take) the licensing examination for physician assistants recognized by the State of California (e.g., Physician Assistant National Certifying Examination or a specialty examination given by the State of California) on _____.
(Date)

He/she was first granted licensure by the Physician Assistant Board on _____, which expires on _____, unless renewed.
(Date) (Date)

SUPERVISION REQUIRED. The physician assistant named above (hereinafter referred to as PA) will be supervised in accordance with the written supervisor guidelines required by Section 3502 of the Business and Professions Code and Section 1399.545 of the Physician Assistant Regulations. The written supervisor guidelines are incorporated with the attached document entitled, "Supervising Physician's Responsibility for Supervision of Physician Assistants."

AUTHORIZED SERVICES. The PA is authorized by the physician whose name and signature appear below to perform all the tasks set forth in subsections (a), (d), (e), (f), and (g) of Section 1399.541 of the Physician Assistant Regulations, when acting under the supervision of the herein named physician. (In lieu of listing specific lab procedures, etc. the PA and *supervising* physician may state as follows: "Those procedures specified in the practice protocols or which the supervising physician specifically authorizes.")

The PA is authorized to perform the following laboratory and screening procedures:

The PA is authorized to assist in the performance of the following laboratory and screening procedures:

The PA is authorized to perform the following therapeutic procedures:

The PA is authorized to assist in the performance of the following therapeutic procedures:

The PA is authorized to function as my agent per bylaws and/or rules and regulations of (name of hospital):

a) The PA is authorized to write and sign drug orders for Schedule: II, III, IV, V without advance approval (circle authorized Schedule(s)). The PA has taken and passed the drug course approved by the Board on _____ (attach certificate). DEA #: _____ Date

or

b) The PA is authorized to write and sign drug orders for Schedule: II, III, IV, V with advance patient specific approval (circle authorized Schedule(s)). DEA #: _____.

CONSULTATION REQUIREMENTS. The PA is required to always and immediately seek consultation on the following types of patients and situations (e.g., patient's failure to respond to therapy; physician assistant's uncertainty of diagnosis; patient's desire to see physician; any conditions which the physician assistant feels exceeds his/her ability to manage, etc.)

(List Types of Patients and Situations)

MEDICAL DEVICES AND PHYSICIAN'S PRESCRIPTIONS. The PA may transmit by telephone to a pharmacist, and orally or in writing on a patient's medical record or a written prescription drug order, the supervising physician's prescription in accordance with Section 3502.1 of the Business and Professions Code.

The supervising physician authorizes the delegation and use of the drug order form under the established practice protocols and drug formulary. _____ YES _____ NO

The PA may also enter a drug order on the medical record of a patient at _____
(Name of Institution)
in accordance with the Physician Assistant Regulations and other applicable laws and regulations.

Any medication handed to a patient by the PA shall be authorized by the supervising physician's prescription and be prepackaged and labeled in accordance with Sections 4076 of the Business and Professions Code.

PRACTICE SITE. All approved tasks may be performed for care of patients in this office or clinic located at _____
(Address / City) and, in _____ hospital(s) and
(Address / City) skilled nursing facility (facilities) for care of
(Name of Facility) patients admitted to those institutions by physician(s) _____
(Name/s)

EMERGENCY TRANSPORT AND BACKUP. In a medical emergency, telephone the 911 operator to summon an ambulance.

The _____ emergency room at _____
(Name of Hospital) (Phone Number)
is to be notified that a patient with an emergency problem is being transported to them for immediate admission. Give the name of the admitting physician. Tell the ambulance crew where to take the patient and brief them on known and suspected health condition of the patient. Notify _____ at _____ immediately
(Name of Physician) (Phone Number/s)
(or within _____ minutes).

PHYSICIAN ASSISTANT DECLARATION

My signature below signifies that I fully understand the foregoing Delegation of Services Agreement, having received a copy of it for my possession and guidance, and agree to comply with its terms without reservations.

Date

Physician's Signature (Required)

Physician's Printed Name

Date

Physician Assistant's Signature (Required)

Physician Assistant's Printed Name

**SUPERVISING PHYSICIAN'S RESPONSIBILITY
FOR SUPERVISION OF PHYSICIAN ASSISTANT**

SUPERVISOR _____, M.D./D.O. is licensed to practice in California as a physician and surgeon with medical license number _____. Hereinafter, the above named physician shall be referred to as the supervising physician.

SUPERVISION REQUIRED. The physician assistant (PA) named in the attached Delegation of Services Agreement will be supervised by the supervising physician in accordance with these guidelines, set forth as required by Section 3502 of the Business and Professions Code and Section 1399.545 of the Physician Assistant Regulations, which have been read by the physician whose signature appears below.

The physician shall review, countersign, and date within seven (7) days the medical record of any patient cared for by the physician assistant for whom the physician's prescription for Schedule II medications was transmitted or carried out.

REPORTING OF PHYSICIAN ASSISTANT SUPERVISION. Each time the physician assistant provides care for a patient and enters his or her name, signature, initials, or computer code on a patient's record, chart or written order, the physician assistant shall also enter the name of his or her supervising physician who is responsible for the patient. When the physician assistant transmits an oral order, he or she shall also state the name of the supervising physician responsible for the patient.

MEDICAL RECORD REVIEW. One or more of the following mechanisms, as indicated below, by a check mark (x), shall be utilized by the supervising physician to partially fulfill his/her obligation to adequately supervise the actions of the physician assistant named _____.
(Name of PA)

_____ Examination of the patient by a supervising physician the same day as care is given by the PA.

_____ The supervising physician shall review, audit, and countersign every medical record written by the PA within _____ of the encounter.
(Number of Days May- Not Exceed 30 Days)

_____ The physician shall audit the medical records of at least 5% of patients seen by the PA under any protocols which shall be adopted by the supervising physician and the physician assistant. The physician shall select for review those cases which by diagnosis, problem, treatment, or procedure represent, in his or her judgment, the most significant risk to the patient.

_____ Other mechanisms approved in advance by the Physician Assistant Board may be used. Written documentation of those mechanisms is located at _____.
(Give Location)

_____ **INTERIM APPROVAL.** For physician assistants operating under interim approval, the supervising physician shall review, sign, and date the medical records of all patients cared for by the physician assistant within seven (7) days if the physician was on the premises when the physician assistant diagnosed or treated the patient. If the physician was not on the premises at that time, he or she shall review, sign, and date such medical records within 48 hours of the time the medical services were provided.

BACK UP PROCEDURES: In the event this supervising physician is not available when needed, the following physician(s) has (have) agreed to be a consultant(s) and/or to receive referrals:

_____ Phone: _____
(Printed Name and Specialty)

_____ Phone: _____
(Printed Name and Specialty)

PROTOCOLS NOTE: This document **does not** meet the regulation requirement to serve as a protocol. Protocols, if adopted by the supervising physician, must fully comply with the requirements authorized in Section 3502 (c) (1) of the Business and Professions Code.

_____ Date

_____ Physician's Signature

**THIS DOCUMENT IS NOT TO BE RETURNED TO THE BOARD
SAMPLE ONLY**



**HOSPITAL ADMITTING ARRANGEMENTS ATTESTATION
ADMITTER**

Medi-Cal IPAs may contract with an Admitter, who may be a person or group, at the Hospitals where the IPA receives membership assignment, and a Hospitalist does not exist at the Hospital. The Admitter will be assigned to admit patients on behalf of the IPA, for those Primary Care Providers (PCPs) who do not hold their own privileges at the respective hospital.

DEFINITION:

Admitting Physician: The doctor responsible for admitting a patient to a hospital or other inpatient health facility ¹

- Admitting Physicians do not exclusively practice in an inpatient setting, therefore must undergo credentialing and recredentialing by the IPA.

This letter shall serve as formal notification of:

_____ 's written arrangement with
Medi-Cal IPA Name

_____, who meets the definition of an Admitter
Admitter Name

and attests that a written arrangement is in place that includes the following:

- IPA has a mutually agreed upon agreement with the Admitter listed above, which is subject to IEHP review, upon request.
- The agreement stipulates a minimum of thirty (30) days advance notice of intent to terminate by either party. Notice of termination must be submitted to IEHP within five (5) days of the IPA's knowledge of pending termination
- The agreement specifies that bills for services rendered are submitted to and paid by the IPA
- Admitter will provide services and has admitting privileges at the following hospitals:

- | | |
|--|---|
| <input type="checkbox"/> Arrowhead Regional Medical Center | <input type="checkbox"/> Parkview Community Hospital Medical Center |
| <input type="checkbox"/> Barstow Community Hospital | <input type="checkbox"/> Pomona Valley Hospital Medical Center |
| <input type="checkbox"/> Community Hospital of San Bernardino | <input type="checkbox"/> Rancho Springs Medical Center |
| <input type="checkbox"/> Corona Regional Medical Center | <input type="checkbox"/> Redlands Community Hospital |
| <input type="checkbox"/> Chino Valley Medical Center | <input type="checkbox"/> Riverside Community Hospital |
| <input type="checkbox"/> Desert Regional Medical Center | <input type="checkbox"/> Riverside County Regional Medical Center |
| <input type="checkbox"/> Desert Valley Hospital | <input type="checkbox"/> San Antonio Regional Hospital |
| <input type="checkbox"/> Eisenhower Medical Center | <input type="checkbox"/> San Geronio Memorial Hospital |
| <input type="checkbox"/> Hemet Valley Medical Center | <input type="checkbox"/> St. Bernardine Medical Center |
| <input type="checkbox"/> Inland Valley Regional Medical Center | <input type="checkbox"/> Temecula Valley Hospital |
| <input type="checkbox"/> John F. Kennedy Memorial Hospital | <input type="checkbox"/> Victor Valley Global Medical Center |
| <input type="checkbox"/> Montclair Hospital Medical Center | |

¹ CMS.gov (Glossary)



**HOSPITAL ADMITTING ARRANGEMENTS ATTESTATION
ADMITTER**

ADMITTER INFORMATION

| | | |
|---------------------------------|------------|----------------------------|
| _____ | | _____ |
| ADMITTER NAME | | GROUP NPI# |
| _____ | _____ | |
| PHONE | FAX | |
| _____ | | _____ |
| NAME AFFILIATED WITH TIN | | TAX ID NUMBER (TIN) |

By signing below, I hereby affirm that the information submitted is true, current and complete to the best of my knowledge and belief and is furnished in good faith. I understand that material omissions or misrepresentations may result in denial of this hospital arrangement.

| | |
|------------------------------------|-------------|
| _____ | |
| IPA ADMINISTRATOR NAME | |
| _____ | _____ |
| IPA ADMINISTRATOR SIGNATURE | DATE |

PHYSICIANS AFFILIATED WITH ADMITER AGREEMENT

| | | |
|-------------------------|------------------|-----------------------|
| _____ | _____ | _____ |
| PHYSICIANS' NAME | SPECIALTY | INDIVIDUAL NPI |
| _____ | _____ | _____ |
| PHYSICIANS' NAME | SPECIALTY | INDIVIDUAL NPI |
| _____ | _____ | _____ |
| PHYSICIANS' NAME | SPECIALTY | INDIVIDUAL NPI |
| _____ | _____ | _____ |
| PHYSICIANS' NAME | SPECIALTY | INDIVIDUAL NPI |
| _____ | _____ | _____ |
| PHYSICIANS' NAME | SPECIALTY | INDIVIDUAL NPI |



HOSPITAL ADMITTING ARRANGEMENTS ATTESTATION HOSPITALIST

Medi-Cal IPAs are required to contract with a dedicated Hospitalist at the Hospitals where the IPA receives membership assignment and a Hospitalist exists. If IEHP Direct has a Hospitalist contracted at the same hospital, the IPA must contract with the same Hospitalist. All other arrangements are subject to IEHP review and approval. The Hospitalist will be assigned to admit patients on behalf of the IPA, for those Primary Care Providers (PCPs) who do not hold their own privileges at the respective hospital.

DEFINITION:

Hospitalist: A doctor who primarily takes care of patients when they are in the hospital. This doctor will take over your care from your primary care doctor when you are in the hospital, keep your primary doctor informed about your progress, and will return you to the care of your primary care doctor when you leave the hospital.¹

- Hospitalist do not need to be credentialed. They are Practitioners who practice exclusively in an inpatient setting and provide care for organization members only because members are directed to the hospital or another inpatient setting.² Therefore, the Practitioner is credentialed with the Hospital.

This letter shall serve as formal notification of:

_____ 's written arrangement with
Medi-Cal IPA Name

_____, who meets the definition of a Hospitalist,
Hospitalist Name

and attests that a written arrangement is in place that includes the following:

- IPA has a mutually agreed upon agreement with the Hospitalist listed above, which is subject to IEHP review, upon request.
- The agreement stipulates a minimum of thirty (30) days advance notice of intent to terminate by either party. Notice of termination must be submitted to IEHP within five (5) days of the IPA's knowledge of pending termination
- The agreement specifies that bills for services rendered are submitted to and paid by the IPA

¹ CMS.gov (Glossary).

² NCQA, 2020 HP Standards and Guidelines, CR 1, Element A.



**HOSPITAL ADMITTING ARRANGEMENTS ATTESTATION
HOSPITALIST**

- Hospitalist admitting privileges and will be providing PCP coverage at the following hospitals:

- | | |
|--|---|
| <input type="checkbox"/> Arrowhead Regional Medical Center | <input type="checkbox"/> Parkview Community Hospital Medical Center |
| <input type="checkbox"/> Barstow Community Hospital | <input type="checkbox"/> Pomona Valley Hospital Medical Center |
| <input type="checkbox"/> Community Hospital of San Bernardino | <input type="checkbox"/> Rancho Springs Medical Center |
| <input type="checkbox"/> Corona Regional Medical Center | <input type="checkbox"/> Redlands Community Hospital |
| <input type="checkbox"/> Chino Valley Medical Center | <input type="checkbox"/> Riverside Community Hospital |
| <input type="checkbox"/> Desert Regional Medical Center | <input type="checkbox"/> Riverside County Regional Medical Center |
| <input type="checkbox"/> Desert Valley Hospital | <input type="checkbox"/> San Antonio Regional Hospital |
| <input type="checkbox"/> Eisenhower Medical Center | <input type="checkbox"/> San Geronio Memorial Hospital |
| <input type="checkbox"/> Hemet Valley Medical Center | <input type="checkbox"/> St. Bernardine Medical Center |
| <input type="checkbox"/> Inland Valley Regional Medical Center | <input type="checkbox"/> Temecula Valley Hospital |
| <input type="checkbox"/> John F. Kennedy Memorial Hospital | <input type="checkbox"/> Victor Valley Global Medical Center |
| <input type="checkbox"/> Montclair Hospital Medical Center | |

HOSPITALIST INFORMATION:

HOSPITALIST NAME

AGE RANGE

GROUP NPI

PHONE

FAX

NAME AFFILIATED WITH TIN

TAX ID NUMBER (TIN)

By signing below, I hereby affirm that the information submitted is true, current and complete to the best of my knowledge and belief and is furnished in good faith. I understand that material omissions or misrepresentations may result in denial of this hospital arrangement.

IPA ADMINISTRATOR NAME

IPA ADMINISTRATOR SIGNATURE

DATE

HOSPITAL ADMITTING PRIVILEGES BY SPECIALTY 2022

| ADMITTING PRIVILEGES REQUIRED | SPECIALTY | NOTES |
|-------------------------------|--|---|
| N | Acupuncture | |
| N | Addiction Medicine | |
| N | Addiction Psychiatry | |
| N | Adolescent Medicine | |
| N | Adult and Pediatric Allergy and Immunology | |
| N | Adult Congenital Heart Disease | |
| N | Advanced Heart Failure and Transplant Cardiology | |
| N | Aerospace Medicine | |
| N | Allergy | Refer to Allergy and Immunology |
| N | Allergy and Immunology | |
| N | Anatomic Pathology | |
| Y | Anesthesiology | |
| N | Anesthesiology Critical Care Medicine | |
| N | Audiologist | |
| N | Aviation (M.D. Only) | |
| Y | Bariatric Surgery | |
| N | Blood Banking/Transfusion Medicine | Previous Name: Blood Banking |
| N | Brain Injury Medicine | |
| Y | Cardiothoracic Surgery | Alternate Name: Cardiovascular Surgery; Thoracic Surgery |
| Y | Cardiovascular Disease | Alternate Name: Cardiology |
| N | Child Abuse Pediatrics | |
| Y | Child Neurology | Alternate Name: Neurology with Special Qualification in Child Neurology |
| N | Child Psychiatry | Current Name: Child and Adolescent Psychiatry |
| Y | Child/Adolescent Neurology | |
| N | Child and Adolescent Psychiatry | Previous Name: Child Psychiatry |
| N | Chiropractors | |
| N | Clinical Biochemical Genetics | |
| Y | Clinical Cardiac Electrophysiology | Previous Name: Cardiac Electrophysiology |
| N | Clinical Cytogenetics and Genomics | Previous Name: Clinical Cytogenetics |

“Y” responses must have a formal inpatient coverage arrangement documented in the file.

[New Specialties](#)

[Previous Name used](#)

HOSPITAL ADMITTING PRIVILEGES BY SPECIALTY 2022

| ADMITTING PRIVILEGES REQUIRED | SPECIALTY | NOTES |
|-------------------------------|--|---|
| N | Clinical Genetics and Genomics | Previous Name: Clinical Genetics, MD |
| N | Clinical Informatics | |
| N | Clinical Molecular Genetics and Genomics | Previous Name: Clinical Molecular Genetics |
| N | Clinical Neurophysiology | |
| Y | Colon & Rectal Surgery | |
| N | Complex Family Planning | |
| Y | Complex General Surgical Oncology | |
| Y | Complex Pediatric Otolaryngology | Previous Name: Pediatric Otolaryngology |
| Y | Congenital Cardiac Surgery | |
| N | Consultation-Liaison Psychiatry | Previous Name: Psychosomatic Medicine |
| N | Correctional Medicine | |
| Y | Critical Care Medicine | |
| N | Cytopathology | |
| N | Dermopathology | |
| N | Dermatology | |
| N | Developmental - Behavioral Pediatrics | |
| N | Diagnostic Radiology | Previous Name: Diagnostic Roentgenology Diagnostic Radiology providers practicing in an Inpatient setting are required to have privileges |
| N | Diagnostic Radiology/Interventional Radiology | |
| Y | Emergency Medical Services | |
| N | Emergency Medicine | |
| N | Endocrinology, Diabetes and Metabolism | Previous Name: Endocrinology and Metabolism |
| Y | Epilepsy | |
| Y | Family Medicine/OMM with OCC Special Emphasis in Hospital Medicine | |
| N | Family Medicine/OMT (Osteopathic Manipulative Treatment) | |
| Y | Family Medicine | Previous Name: Family Practice |

“Y” responses must have a formal inpatient coverage arrangement documented in the file.

[New Specialties](#)

[Previous Name used](#)

HOSPITAL ADMITTING PRIVILEGES BY SPECIALTY 2022

| ADMITTING PRIVILEGES REQUIRED | SPECIALTY | NOTES |
|-------------------------------|--|--|
| Y | Female Pelvic Medicine and Reconstructive Surgery | |
| N | Forensic Pathology | |
| N | Forensic Psychiatry | |
| N | Gastroenterology | If no hospital privileges, must have Surgery Center Privileges, at minimum |
| Y | General Practice | |
| Y | General Surgery | |
| N | Geriatric Medicine | |
| N | Geriatric Psychiatry | |
| N | Gynecology | |
| Y | Gynecology Oncology | |
| Y | Hand Surgery | |
| Y | Head and Neck Surgery | |
| N | Hearing Aid Dispensers | |
| N | Hematology | |
| N | Hematopathology | Previous Name: Pathology-Hematology |
| N | HIV/AIDS Specialist | |
| N | Hospice and Palliative Medicine | |
| Y | Infectious Disease | |
| Y | Internal Medicine | |
| Y | Internal Medicine-Critical Care Medicine | |
| Y | Interventional Cardiology | |
| N | Interventional Radiology and Diagnostic Radiology | |
| N | Laboratory Genetics and Genomics | |
| N | Laboratory Medicine | |
| N | Manipulative Therapy (D.O. Only) | |
| Y | Maternal-Fetal Medicine | |
| N | Medical Biochemical Genetics | |
| N | Medical Genetics and Genomics | |
| Y | Medical Oncology | |
| N | Medical Physics (Diagnostic, Nuclear, Therapeutic) | |
| N | Medical Toxicology | |
| N | Micrographic Dermatologic Surgery | |

“Y” responses must have a formal inpatient coverage arrangement documented in the file.

[New Specialties](#)

[Previous Name used](#)

HOSPITAL ADMITTING PRIVILEGES BY SPECIALTY 2022

| ADMITTING PRIVILEGES REQUIRED | SPECIALTY | NOTES |
|-------------------------------|---|--|
| Y | MOHS Micrographic Surgery | |
| Y | Molecular Genetic Pathology | |
| Y | Neonatal-Perinatal Medicine | |
| Y | Neoplastic Diseases/Oncology | |
| Y | Nephrology | |
| Y | Neurocritical Care | |
| N | Neurodevelopmental Disabilities | |
| Y | Neurological Surgery | |
| N | Neurology | |
| Y | Neurology with Special Qualification in Child Neurology | |
| Y | Neurology-Child | Alternate Name: Neurology with Special Qualification in Child Neurology |
| Y | Neuromuscular Medicine | |
| Y | Neuromusculoskeletal Medicine | |
| Y | Neuromusculoskeletal Medicine & OMM | |
| Y | Neuropathology | |
| N | Neurophysiology | |
| Y | Neuroradiology | |
| Y | Neurotology | Previous Name: Otology/Neurotology |
| Y | Nuclear Medicine | |
| Y | Nuclear Radiology | |
| Y | Nurse Midwife | |
| N | Nurse Practitioner | |
| Y | Obstetrics | Cannot be Obstetrics only |
| Y | Obstetrics/Gynecology | |
| N | Occupational Medicine | |
| N | Occupational Therapists | |
| Y | Ophthalmology | If no hospital privileges, must have Surgery Center Privileges, at minimum |
| Y | Ophthalmology/Otolaryngology | |
| N | Optometry | |
| Y | Oral Maxillofacial Surgery (D.D.S. Only) | |
| N | Orthopaedic Sports Medicine | |
| Y | Orthopaedic Surgery | |

“Y” responses must have a formal inpatient coverage arrangement documented in the file.

[New Specialties](#)

[Previous Name used](#)

HOSPITAL ADMITTING PRIVILEGES BY SPECIALTY 2022

| ADMITTING PRIVILEGES REQUIRED | SPECIALTY | NOTES |
|-------------------------------|--|--|
| N | Otolaryngic Allergy | |
| Y | Otolaryngology – Head and Neck Surgery | Previous Name: Otolaryngology |
| Y | Otolaryngology & Plastic Surgery | |
| Y | Otorhinolaryngology | |
| N | Pain Medicine | Previous Name: Pain Management |
| N | Pathology | |
| N | Pathology-Anatomic | Previous Name: Anatomic Pathology |
| N | Pathology-Anatomic/Pathology-Clinical | Previous Name: Anatomic Pathology and Clinical Pathology |
| N | Pathology-Chemical | Previous Name: Chemical Pathology |
| N | Pathology-Clinical | Previous Name: Clinical Pathology |
| N | Pathology-Forensic | Previous Name: Forensic Pathology |
| N | Pathology-Hematology | Current Name: Hematopathology |
| N | Pathology-Medical Microbiology | Previous Name: Medical Microbiology |
| N | Pathology-Molecular Genetic | Previous Name: Molecular Genetic Pathology |
| N | Pathology-Pediatric | Previous Name: Pediatric Pathology |
| N | Pediatric Allergy | |
| N | Pediatric Anesthesiology | |
| Y | Pediatric Cardiology | |
| Y | Pediatric Critical Care Medicine | |
| N | Pediatric Dermatology | |
| N | Pediatric Developmental Behavior | |
| N | Pediatric Emergency Medicine | |
| N | Pediatric Endocrinology | |
| N | Pediatric Gastroenterology | |
| N | Pediatric Hematology/Oncology | |
| Y | Pediatric Hospital Medicine | |
| N | Pediatric Infectious Disease | |
| Y | Pediatric Nephrology | |

“Y” responses must have a formal inpatient coverage arrangement documented in the file.

[New Specialties](#)

[Previous Name used](#)

HOSPITAL ADMITTING PRIVILEGES BY SPECIALTY 2022

| ADMITTING PRIVILEGES REQUIRED | SPECIALTY | NOTES |
|-------------------------------|---|---|
| Y | Pediatric Neurology | Alternate Name: Neurology with Special Qualification in Child Neurology |
| Y | Pediatric Otolaryngology | Current Name: Complex Pediatric Otolaryngology |
| Y | Pediatric Pulmonology | |
| Y | Pediatric Radiology | |
| N | Pediatric Rehabilitation Medicine | |
| Y | Pediatric Rheumatology | |
| Y | Pediatric Surgery | |
| Y | Pediatric Transplant Hepatology | |
| Y | Pediatric Urology | |
| Y | Pediatrics | |
| Y | Peripheral Vascular Disease or Surgery (D.O. Only) | |
| N | Physical Medicine & Rehabilitation | |
| N | Physical Therapy | |
| N | Physician Assistant | |
| Y | Plastic & Reconstructive Surgery | |
| Y | Plastic Surgery | |
| Y | Plastic Surgery within the Head and Neck | |
| N | Podiatry | |
| Y | Podiatry (Foot) | |
| N | Podiatry (Foot and Ankle Surgery) | |
| Y | Podiatry (Reconstructive Rearfoot/Ankle Surgery) | |
| N | Preventive Medicine (M.D. Only) | |
| N | Preventive Medicine Occupational Medicine/Environmental Medicine | |
| N | Preventive Medicine Public Medicine | |
| Y | Proctology (Colon & Rectal) | |
| N | Psychiatry | |
| Y | Psychiatry & Neurology | |
| N | Psychologists | |
| N | Psychosomatic Medicine | |
| N | Public Health | |

“Y” responses must have a formal inpatient coverage arrangement documented in the file.

[New Specialties](#)

[Previous Name used](#)

HOSPITAL ADMITTING PRIVILEGES BY SPECIALTY 2022

| ADMITTING PRIVILEGES REQUIRED | SPECIALTY | NOTES |
|-------------------------------------|---|--|
| N | Public Health and General Preventative Medicine | Previous Name: General Preventive Medicine/Public Health |
| Y | Pulmonary Disease | Alternate Name: Pulmonology |
| N | Radiation Oncology | Previous Name: Therapeutic Radiology |
| Y | Radiation Therapy (D.O. Only) | |
| N | Reproductive Endocrinology and Infertility | Previous Name: Reproductive Endocrinology |
| N | Rheumatology | |
| Y | Roentgenology, Radiology | |
| N | Sleep Medicine | |
| N | Speech Therapy | |
| N | Spinal Cord Injury Medicine | |
| N | Sports Medicine | |
| Y | Surgery of the Hand | |
| Y | Surgical Critical Care | |
| Y | Thoracic and Cardiac Surgery | Previous Name: Thoracic Surgery |
| Y | Thoracic Cardiovascular Surgery | |
| Y | Thoracic Surgery | Alternate Name: Cardiovascular Surgery; Cardiothoracic Surgery |
| Y | Transplant Hepatology | |
| Y | Traumatic Surgery | |
| N | Undersea and Hyperbaric Medicine | Previous Name: Undersea Medicine |
| Y | Urology | |
| Y | Vascular and Interventional Radiology | |
| Y | Vascular Neurology | |
| Y | Vascular Surgery | |

“Y” responses must have a formal inpatient coverage arrangement documented in the file.

[New Specialties](#)

[Previous Name used](#)

CONFIDENTIAL/PROPRIETARY

Addendum E
General Practice Providers & Obstetrics/Gynecology PCP's only
Primary Care Experience – Attestation

Please indicate below the age of the patients for whom you have provided primary care services to in the last five (5) years. In order for a category to apply, it must represent at least 20% of your average practice and you must be familiar with and routinely follow standard preventative services, such as CHDP and the American Academy of Pediatrics (AAP), both for Pediatrics only, and the United States Preventative Task Force (USPTF). Please check all those that apply:

- Pediatrics (0 to 18 years of age)
- Pediatrics (0 to 21 years of age)
- Adults (14 years of age and above)
- Adults (18 years of age and above)
- Adults (21 years of age and above)
- Ob/Gyn PCP (14 years and above, restricted to females)
- If you desire age limits different from above, please specify:

NOTE: If your desire age limits different from above, you will not receive member auto-assignment.

I attest to the fact that all of the information submitted by me in this document is true and correct to the best of my knowledge and belief. I fully understand that any significant misstatement or omission from this attestation may constitute cause for denial of participation or dismissal from participation with Inland Empire Health Plan (IEHP).

Physician's Name: _____

Physician's Signature: _____ Date: _____
(Stamped signature is not acceptable)

INLAND EMPIRE HEALTH PLAN

PEER REVIEW (LEVEL I) AND CREDENTIALING APPEAL

Denial, Reduction, Suspension or Termination of Practitioner Status

(Adopted April 14, 1997)

(Amended January 2023)

INLAND EMPIRE HEALTH PLAN

PEER REVIEW (LEVEL I) AND CREDENTIALING APPEAL
Denial, Reduction, Suspension or Termination of Practitioner Status

Purpose:

- A. To provide 1) a mechanism for peer review of IEHP Providers of Service (Practitioners), 2) a process for Practitioner to request review of negative peer review recommendations, decisions, and actions, for any reason related to quality of care issues, non-quality of care issues, and/or credentialing requirements, including, but not limited to, denial, reduction, suspension or termination of Practitioner status, as requested by the Inland Empire Health Plan (IEHP) Peer Review Subcommittee, the IEHP Quality Management (QM) Committee, the IEHP Credentialing Subcommittee, of the IEHP Medical Director, and 3) a mechanism for appropriate action.

Scope:

- A. The following policies and procedures apply to all Practitioners participating or requesting participation as a Provider for IEHP, including, but not limited to, the following licentiates: Physicians (MD), Osteopathic Physician (DO), Podiatrists (DPM), Pharmacists (Pharm D or RPh), Oral Surgeons (DDS or DMD), Optometrists (OD), Chiropractors (DC), Audiologists, Clinical Psychologists, (PhD), Nurse Practitioners (NP), Physician Assistants (PA), Certified Nurse Midwives (NM), Licensed Midwives (LM), Physical Therapists (PT), Occupational Therapists (OT), and Speech/Language Therapists (S/LT), psychiatrists, psychologists, master level clinical nurses, Licensed Clinical Social Workers (LCSW), Marriage, Family and Child Counselors (MFCC/LMFT), Licensed Professional Clinical Counselor (LPCC), and other behavioral health professionals licensed to provide behavioral health services in the state of California.

Policy:

- A. A Provider's status or participation may be denied, reduced, suspended or terminated for any lawful reason, including, but not limited to, a lapse in basic qualifications such as licensure, insurance, or required medical staff privileges or admission coverage at an IEHP contracted hospital; a determination by IEHP that the Practitioner cannot be relied upon to deliver the quality or efficiency of patient care required by IEHP; a determination by IEHP that the Practitioner cannot be relied upon to follow IEHP's clinical or business guidelines or directives; or a change in IEHP's business needs.
- B. A Practitioner may request review of any initial adverse recommendation, decision or action by IEHP that is based on quality of care issues, non-quality of care issues, and/or credentialing requirements, that impact his or her participation status with IEHP, including denial, reduction, suspension, or termination of his or her participation status with IEHP, in accordance with the Level I Review procedures, as provided herein.

Procedure:

- A. Issues raised about either an applicant or a participating Practitioner's credentialing packet or performance as a Practitioner shall be considered initially by the IEHP Medical Director, who shall have the discretion to investigate and to determine the necessary and appropriate response and intervention as delegated to the IEHP Medical Director as a member of the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee. His/her options shall include, but not be limited to, maintaining a record of the matter without further investigation or action; investigating the matter personally and making a report and recommendation to the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee, as warranted; or referring the matter to the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee for investigation and the preparation of a report and recommendation to the IEHP Medical Director.
- B. In instances where there may be an imminent danger to the health of any individual, the IEHP Medical Director and/or the IEHP Peer Review Subcommittee may summarily restrict or suspend the participating Practitioner's privilege to provide patient care services, effective immediately upon written notice to the Practitioner. The notice shall be in the same format as described in Section 3 herein, pending consideration and action by the IEHP Peer Review Subcommittee. The IEHP Peer Review Subcommittee may continue to enforce the reduction or suspension pending further action.
- C. If an unfavorable recommendation, decision or action is made or taken by the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee for a reason relating to quality of care issues, non-quality of care issues, and/or credentialing requirements, the Practitioner shall be entitled to a Level I Review. The Practitioner shall be sent a written notice, by FedEx, with a return receipt, of the recommendation or decision and shall be afforded thirty (30) days in which to respond in writing to request a Level I Review. A copy of the "IEHP Peer Review Level I and Credentialing Appeal" document shall be provided with the notice. The notice will state:
 - 1. The action which has been proposed against the Practitioner;
 - 2. A brief description of the factual basis for the proposed action;
 - 3. That the Practitioner has the right to request that a Level I Review be conducted by the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee;
 - 4. That a Level I Review must be requested by the Practitioner in writing, addressed to the IEHP Medical Director within thirty (30) days of the date of receipt of the notice by the Practitioner. The Practitioner's written request for a Level I Review must state the reasons for the request clearly, and if the Practitioner wishes to exercise the right to present information orally at the Level I Review meeting as provided in Section 4b below.
 - 5. A brief summary of the Practitioner's rights at the Level I Review, as set forth in Section 4 below;

6. That the Level I Review shall take place before the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee; and
7. That the action, if implemented, must be reported to the Medical Board of California under California Business and Professions Code Section 805 or 809 as applicable, National Practitioner Data Bank (NPDB), and/or under any other applicable federal or state law.

D. A Practitioner's rights at the Level I Review include:

1. Right to present any additional written material for review by the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee.
2. Right to present any information orally to the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee in person at the time of the meeting for the Level I Review.
3. If the Level I Review is not requested by the Practitioner within the time and in the manner specified, all administrative Level I Review rights of the Practitioner shall be deemed waived, and the decision made by the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee shall be final.

E. If Level I Review is requested within the time and in the manner specified, the IEHP Medical Director shall arrange for the review to be conducted at the next scheduled meeting of the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee, and the Practitioner shall be sent a written notice via FedEx stating the date, time, and place of the Level I Review meeting. The Practitioner's written response to the notice of action or proposed action shall be summarized in or attached to a report to the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee which shall be written by the IEHP Medical Director, as a member of the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee.

F. As provided in this "IEHP Peer Review Level I and Credentialing Appeal", the Level I Review shall include an opportunity for the Practitioner to present information and arguments in writing and/or orally. However, the Level I Review meeting is not a hearing, and the procedural rights associated with formal peer review hearings do not apply in Level I Review. At a Level I Review meeting, Practitioners may not be represented by a licensed attorney; however, they have a right to be represented by a non-attorney representative of their choice. The IEHP Peer Review Subcommittee and IEHP Credentialing Subcommittee shall have the discretion to prescribe such additional procedural elements as it deems appropriate to the circumstances. When the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee is satisfied that sufficient information and arguments have been presented in this review process, it shall recommend or take such action as it deems appropriate and send written notice via FedEx to the Practitioner.

G. In cases where the decision by the IEHP Peer Review Subcommittee or Credentialing Subcommittee for the Level I Review will result in the denial, suspension, reduction or termination of the Practitioner's participation status with IEHP, the written notice will include the following:

1. The Level I Review decision, including a brief description of the proposed recommendation, decision or action and the reasons for it;
2. That the action, if implemented, must be reported to the Medical Board of California under Business and Professions Code Section 805 or 809 as applicable, National Practitioner Data Bank (NPDB), or under any other applicable federal or state law;
3. That the Practitioner may request a Level II Appeal hearing for adverse peer review decisions
4. That a Level II Appeal hearing must be requested in writing, within thirty (30) days of receipt of the notice by the Practitioner and the request must include a statement of the grounds for requesting a Level II Appeal;
5. A brief summary of the Practitioner's rights with respect to the Level II Appeal hearing;
6. A statement that the Practitioner is required to exhaust the administrative remedies of the Level II Appeal hearing prior to seeking judicial review of the recommendations, decisions or actions of the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee; and
7. The Level II Appeal proceeding shall take place before a Hearing Officer, selected by the IEHP Medical Director in accordance with the procedures set forth in the Level II Appeal document, and the final action shall be taken by the Peer Review Subcommittee or Credentialing Subcommittee.

Request for a Level II Appeal

- A. The Practitioner shall have thirty (30) days following the date of receipt of a notice of an adverse recommendation, decision or action resulting from a Level I Review to request a formal Level II Appeal. The request must be submitted in writing, directed to the IEHP Medical Director, and must be received at IEHP within the prescribed period. If the Practitioner does not request a formal Level II Appeal within the time and in the manner prescribed, they shall be deemed to have accepted the recommendation, decision, or action involved, and shall be deemed to have waived all administrative appellate review rights, and the recommendation, decision, or action may be adopted by the Peer Review Subcommittee or IEHP Credentialing Subcommittee as IEHP's final action.

Reporting

- A. IEHP shall comply with the reporting requirements of the Medical Board of California (MBOC) as required by law. IEHP shall comply with the reporting requirements of the California Business and Professions Code, the Federal Health Care Quality Improvement Act, and the National Practitioner Data Bank (NPDB) regarding adverse credentialing and peer review actions. The Practitioner will be notified of the reports and its contents.
- B. MBOC requires reports whenever: a licentiate's application for staff privileges or membership is

denied or rejected for a medical disciplinary cause or reason; a licentiate's membership, staff privileges, or employment is terminated or revoked for a medical disciplinary cause or reason; restrictions are imposed or voluntarily accepted, on staff privileges, membership, or employment for a cumulative total of thirty (30) days or more for any 12-month period, for a medical disciplinary cause or reason; and/or a licentiate's resignation or leave of absence from membership, staff, or employment following notice of impending investigation based on information indicating medical disciplinary cause or reason.

- C. MBOC requires an 805 report¹ whenever a peer review body makes a final decision or recommendation regarding the disciplinary action that results in a final proposed action to be taken against a licentiate based on the peer review body's determination. This decision is following formal investigation of the licentiate that any of the facts listed below have occurred, regardless of whether a hearing is held pursuant to Section 809 of the California Business and Professions Code.²

- D. IEHP complies with all reporting requirements of the Medical Board of California, the Dental Board of California, the Osteopathic Medical Board of California, the Board of Podiatric Medicine, the California Board of Behavioral Sciences, the Board of Psychology, and the Physician Assistant Board, and other licensing agencies, and National Practitioners Data Bank (NPDB) as required by law. IEHP also complies with the reporting requirements of the California Business and Professions Code and the Federal Health Care Quality Improvement Act regarding adverse credentialing decisions. IEHP notifies the Practitioner of such reporting and its contents in writing.
 - 1. Actions that are reported to the Medical Board of California, the Dental Board of California, the Osteopathic Medical Board of California, the Board of Podiatric Medicine, the California Board of Behavioral Sciences, the Board of Psychology, the Physician Assistant Board, other licensing agencies, and National Practitioners Data Bank (NPDB) as applicable and required by law, include a decision to deny or reject a Practitioner's application for staff privileges or membership for a medical disciplinary cause or reason; a decision to terminate or revoke a Practitioner's membership, staff privileges or employment for a medical disciplinary cause or reason; restrictions imposed or voluntarily accepted, on staff privileges, membership, or employment for a cumulative total of thirty (30) days or more for any twelve (12) month period, for a medical disciplinary cause or reasons; and/or a Practitioner's resignation or leave of absence from membership, staff, or employment following notice of impending investigation based on information indicating medical disciplinary cause or reason.
 - 2. An 805.01 will be filed if a recommendation or final decision based on any of the following:
 - a. Incompetence, or gross or repeated deviation from the standard of care involving death or serious bodily injury or to one or more patients in such a manner as to be dangerous or injurious to any person or the public
 - b. The use of, or prescribing for or administering to him/herself, any controlled substance; or the use of any dangerous drug, as defined in Section 4022, or of alcoholic beverages,

¹ California Business and Professions Code § 805

² California Business and Professions Code § 809

to the extent or in such a manner as to be dangerous or injurious to the licensee, or any other persons, or the public, or to the extent that such impairs the ability of the licensee to practice safely

- c. Repeated acts of clearly excessive prescribing, furnishing or administering of controlled substances or repeated acts of prescribing, dispensing, or furnishing of controlled substances without good faith effort prior examination of the patient and medical reason therefore.
- d. Sexual misconduct with one or more patients during a course of treatment or an examination.³

Confidentiality

- A. All credentialing and peer review records and proceedings shall be confidential and protected to the fullest extent allowed by Section 1157 of the California Evidence Code, and any other applicable law.

³ California Business and Professions Code § 805.01

INLAND EMPIRE HEALTH PLAN

PEER REVIEW PROCESS AND LEVEL II APPEAL

Reduction, Suspension or Termination of Practitioner Status

(Adopted April 14, 1997)

(Amended January 2023)

INLAND EMPIRE HEALTH PLAN

PEER REVIEW PROCESS AND LEVEL II APPEAL Reduction, Suspension or Termination of Practitioner Status

Purpose:

- A. To provide:
 - 1. A mechanism for peer review of IEHP Providers of Service (Practitioners);
 - 2. A process for Practitioners (as defined below under section B, “Scope”) to appeal negative peer review recommendations, decisions and actions for any reason related to quality of care, non-quality of care, and/or other professional conduct issues including, but not limited to, denial, reduction, suspension or termination of practitioner status, as requested by the Inland Empire Health Plan (IEHP) Peer Review Subcommittee, the IEHP Quality Management (QM) Committee, or the IEHP Chief Medical Officer ; and
 - 3. A mechanism for appropriate final action.

Scope:

- A. The following policies and procedures apply to all health care professionals participating or requesting participation as a Practitioner for IEHP (Practitioners), including, but not limited to, the following licentiates: Physicians (MD), Osteopathic Physician (DO), Podiatrists (DPM), Pharmacists (Pharm D or RPh), Oral Surgeons (DDS or DMD), Optometrists (OD), Chiropractors (DC), Audiologists, Clinical Psychologists, (PhD), Nurse Practitioners (NP), Physician Assistants (PA), Certified Nurse Midwives (NM), Licensed Midwives, Physical Therapists (PT), Occupational Therapists (OT), and Speech/Language Therapists (S/LT), Psychiatrists, Psychologists, Master Level Clinical Nurses, Licensed Clinical Social Workers (LCSW), Marriage, Family and Child Counselors (MFCC/MFT), Licensed Professional Clinical Counselor (LPCC) and other behavioral health professionals licensed to provide behavioral health services in the state of California.

Policy:

- A. A Practitioner’s status or participation may be denied, reduced, suspended or terminated for any lawful reason, including, but not limited to, a lapse in basic qualifications such as licensure, insurance, or required medical staff privileges or admission coverage at an IEHP contracted hospital; a determination by IEHP that the Practitioner cannot be relied upon to deliver the quality or efficiency of patient care required by IEHP; a determination by IEHP that the Practitioner cannot be relied upon to follow IEHP’s clinical or business guidelines or directives; or a change in IEHP’s business needs.
- B. A Practitioner may appeal any adverse peer review Level I Review recommendation, decision or action by IEHP that is based on quality of care, non-quality of care, and/or other professional conduct issues that impact his or her participation status with IEHP, including denial, reduction, suspension, or termination of participation status with IEHP, in accordance with the Level II Appeal procedures, as provided herein. A Practitioner may not appeal a recommendation, decision or action based on reasons unrelated to quality of care, non-quality of care, and/or other professional conduct issues. For example, there is no right to appeal if any application is denied or not processed because the applicant fails to provide requested

information. Additionally Level II Appeal procedures are not available for initial adverse credentialing decisions upheld by the IEHP Peer Review Subcommittee or IEHP Credentialing Subcommittee.

Procedure:

A. Final Authority

IEHP, as a health care service plan, is defined as a peer review body under applicable law. Certain peer review functions have been delegated to the IEHP Peer Review Subcommittee and the IEHP Credentialing Subcommittee. The IEHP Peer Review Subcommittee serves as the final level of review and is the final authority in credentialing and peer review decisions. The IEHP Peer Review Subcommittee has delegated the hearing of any Level II Appeal to a Judicial Hearing Committee (JHC).

B. Judicial Hearing Committee

Whenever a Level II Appeal is required pursuant to this document “Peer Review Process and Level II Appeal” the Chief Medical Officer shall appoint a JHC consisting of at least three (3) IEHP Practitioners, and alternates as appropriate (“JHC Members”). The JHC shall be Practitioners from within the IEHP network who shall gain no direct financial benefit from the outcome and are neither in direct economic competition nor professionally associated (including in a referral relationship) with the subject of the hearing. None of the JHC Members may have acted as an accuser, investigator, fact-finder or initial decision maker, or otherwise actively participated in consideration of the matter that forms the subject of the appeal prior to the recommendation or action. JHC Members also should not have participated in the care of the patients (if any) whose care forms the subject of the appeal. Where feasible, the JHC shall include at least one Practitioner who practices in the same specialty as the Practitioner who requested the hearing. The Chief Medical Officer shall designate a Chairperson who shall handle pre-hearing matters and preside until a hearing officer, as described in the Hearing Officer Section 4, is appointed. The JHC shall make findings of fact and issue a recommended decision for action by the Peer Review Subcommittee.

C. Request for a Level II Appeal

Notice of the right to a Level II Appeal shall be sent as provided in Level I Review, Section 9 (Request for a Level II Appeal). The Practitioner shall have thirty (30) days following the date of receipt of a notice of an adverse recommendation, decision or action resulting from a Level I Review to request a formal Level II Appeal. The request must be submitted in writing, directed to the IEHP Chief Medical Officer, and must be received at IEHP within the prescribed period. If the Practitioner does not request a formal hearing within the time and in the manner prescribed, the Practitioner shall be deemed to have accepted the recommendation, decision, or action involved, and shall be deemed to have waived all administrative appellate review rights, and the recommendation, decision, or action may be forwarded to the Peer Review Subcommittee,

D. Hearing Officer

1. Selection

The Peer Review Subcommittee or its designee shall appoint a hearing officer to preside at the JHC hearing. The hearing officer shall be an attorney at law who has been admitted to practice before the courts of this State for at least five (5) years prior to appointment, and who is qualified by knowledge and experience to preside over a quasi-judicial peer

review hearing. The hearing officer shall gain no direct financial benefit from the outcome of the hearing. The hearing officer must not act as a prosecuting officer, or as an advocate for IEHP, Peer Review Subcommittee, the body whose action prompted the hearing, or the Practitioner. If requested by the JHC, the hearing officer may participate in the deliberations of the JHC and be legal advisor to it, but he/she shall not be entitled to vote. The hearing officer may be a hearing officer for either Riverside or San Bernardino counties, provided he or she meets the other criteria established by this subsection. The hearing officer will be sent a letter of appointment by the Peer Review Subcommittee.

The Practitioner shall have the right to a reasonable opportunity to voir dire any JHC member and the hearing officer, and the right to challenge the impartiality of any JHC member and the hearing officer. Such challenges to the impartiality of any JHC member or the hearing officer shall be ruled on by the hearing officer.

2. Duties

The duties of the hearing officer shall be to preside over the hearing, including any pre-hearing and/or post-hearing procedural matters; to rule on the challenges to the impartiality of JHC members and/or the hearing officer; to rule on requests for access to information and/or relevancy; rule on requests for continuances; to rule on evidentiary and burden of proof issues; to prepare the written report and recommendation of the JHC; and to perform such other functions as may be necessary or appropriate to facilitate completion of a fair hearing process as expeditiously as possible.

E. Scheduling of Appeal/Notice of Hearing

Upon the selection of the JHC, the Level II Appeal shall be scheduled at a time and place mutually agreeable to the Practitioner and to IEHP. The Practitioner shall be given notice of the time, place and date of the hearing. IEHP shall make its best efforts to ensure that the date of the commencement of the hearing shall be not less than thirty (30) days nor more than sixty (60) days from the date that IEHP receives the request for a Level II Appeal. The time frames set forth herein may be shortened or extended for a reasonable time by mutual written agreement of the parties (or by the Chairperson of the JHC if the hearing officer has not been appointed yet) upon a showing of good cause in accordance with Section K below. The peer review process shall be completed within a reasonable time after the Practitioner receives notice of a final proposed action or an immediate suspension or restriction of clinical privileges, unless the JHC issues a written decision that the Practitioner failed to comply with the discovery provision herein, or consented to the delay in the proceedings.

F. Notice of Charges

A Notice of Charges shall be sent to the Practitioner along with the Notice of Hearing, further specifying, as appropriate, the acts or omissions with which the Practitioner is charged. This Notice of Hearing also shall provide a list of the patient records, if any, which are to be discussed at the hearing, if that information has not been provided previously.

Witness lists (see Section H) shall be amended as soon as possible when additional witnesses are reasonably known or anticipated. A failure by either party to comply with this requirement, shall be good cause to postpone the hearing.

G. Discovery:
Rights of Discovery and Copying

The Practitioner may inspect and copy (at his/her own expense) any documentary information relevant to the charges that the IEHP Peer Review Subcommittee has in its possession or under its control, as soon as practicable after the receipt of the Practitioner's request for a Level II Appeal. The IEHP Peer Review Subcommittee shall have the right to inspect and copy (at its own expense) any documentary information relevant to the charges that the Practitioner has in his/her possession or control, as soon as practicable after the Practitioner's receipt of the IEHP Peer Review Subcommittee's request for such documents.

This right of discovery and copying does not create or imply an obligation to modify or create documents in order to satisfy a request for information. The right to inspect and copy by either party does not extend to confidential information referring solely to individually identifiable Practitioners, other than the Practitioner under review. Failure to comply with reasonable discovery requests at least ten (10) days prior to the Level II Appeal hearing shall be good cause for a continuance of the Level II Appeal hearing.

1. Limits on Discovery

The Hearing Officer, upon the request of either side, may impose safeguards including, but not necessarily limited to, the denial of a discovery request. The Hearing Officer when ruling upon requests for access to information and determining the relevancy thereof shall, among other factors, consider the following:

- a. Whether the information sought may be introduced to support or defend the charges;
- b. Whether the information is "exculpatory" in that it would dispute or cast doubt upon the charges or "inculpatory" in that it would prove or help support the charges and/or recommendation;
- c. The burden on the party of producing the requested information; and
- d. Other discovery requests the party has previously made or has previously resisted.

H. Pre-Hearing Witness List and Document Exchange

At least (10) working days prior to Level II appeal hearing, the parties shall exchange lists of the names of witnesses expected to be called at the hearing and copies of all documentation expected to be introduced in the evidence at the hearing. A failure to comply with this rule shall be good cause for the hearing officer to grant a continuance. Repeated failures to comply shall be good cause for the hearing officer to limit introduction of any documents or witnesses not provided or disclosed to the other side in a timely manner.

I. Representation

Level II Appeals are provided for the purpose of addressing issues of professional conduct or competence in health care. Practitioner is required to notify IEHP if they intend to be represented by legal counsel. Accordingly, neither the Practitioner nor the peer review body whose decision prompted the hearing may be represented by an attorney at the hearing unless a majority of the JHC members, in their discretion, permit both sides to be so represented. In no case may the IEHP Peer Review Subcommittee be represented by an attorney if the Practitioner is not so represented. The foregoing shall not be deemed to deprive any party of its right to the assistance of an attorney for the purpose of preparing for the hearing. When attorneys are not allowed in the hearing, the Practitioner and the IEHP Peer Review Subcommittee each may be represented at the hearing by a licensed Practitioner who is not an attorney.

J. Failure to Appear

Failure, without good cause, of the Practitioner to appear and proceed at the Level II Appeal shall be deemed to constitute voluntary acceptance of the recommendation or action involved and it shall thereupon become the final action of the IEHP Peer Review Subcommittee.

K. Postponements and Extensions

After a timely request for a hearing has been received as described above, postponements and extensions of time beyond the times expressly permitted in this Level II Appeal Process may be effected upon written agreement of the parties or granted by the hearing officer (or the Chairperson of the JHC if the hearing officer has not been appointed yet) on a showing of good cause and subject to the hearing officer's discretion to assure that the hearing proceeds and is completed in a reasonably expeditious manner under the circumstances.

L. Record of the Hearing

A record of the Level II Appeal shall be produced by using a certified court reporter to record the hearing (an audio tape recording of the proceedings may be made in addition). The Practitioner shall be entitled to receive a copy of the transcript upon paying his or her share of the court reporter's fees, and the reasonable cost for preparing the transcript. Oral evidence shall be taken under oath administered by the court reporter.

M. Rights of the Parties

Both parties shall have the following rights, which shall be exercised in an efficient and expeditious manner and within reasonable limitations imposed by the hearing officer:

1. To be provided with all of the information made available to the JHC;
2. To have a record made of the proceedings as provided herein;
3. To call, examine and cross-examine witnesses;
4. To present and rebut evidence determined by the hearing officer to be relevant; and
5. To submit a written statement at the close of the hearing.

The Practitioner may be called by the IEHP Peer Review Subcommittee's representative and examined as if under cross-examination. The JHC may interrogate the witnesses, or call additional witnesses, as the JHC deems appropriate. Each party has the right to submit a written statement at the close of the Level II Appeal. The JHC may request such a statement to be filed following the conclusion of the presentation of oral testimony.

N. Rules of Evidence

Rules relating to the examination of witnesses and the presentation of evidence in courts of law shall not apply in any hearing conducted herein. Any relevant evidence, including hearsay, shall be admitted by the hearing officer if it is evidence upon which responsible persons are accustomed to rely in the conduct of serious affairs. A Practitioner shall not be permitted to introduce information not produced upon request of the peer review body during the underlying peer review, application, or other credentialing process, unless the Practitioner establishes that the information could not have been produced previously in the exercise of reasonable diligence.

O. Basis of Recommended Decision

The recommended decision of the JHC shall be based on, but may not be limited to, the evidence produced at the hearing and any written statements submitted to the JHC.

P. Burden of Going Forward and Burden of Proof

In all Level II Appeals, the IEHP Peer Review Subcommittee shall have the burden of initially presenting evidence to support its recommendation, decision or action.

1. If the IEHP Peer Review Subcommittee's recommendation is to deny initial IEHP affiliation, the Practitioner shall bear the burden of persuading the JHC, by a preponderance of the evidence, that he/she is sufficiently qualified to be awarded such affiliation in accordance with the professional standards of IEHP. This burden requires the production of information that allows for an adequate evaluation and resolution of reasonable doubts concerning the Practitioner's qualifications, subject to the IEHP Peer Review Subcommittee's right to object to the production of certain evidence as provided herein. A Practitioner shall not be permitted to introduce information not produced upon request of the peer review body during the application process, unless the initial applicant establishes that the information could not have been produced previously in the exercise of reasonable diligence.
2. If the IEHP Peer Review Subcommittee's action involves the termination of existing IEHP participation; or the suspension, reduction or limitation of privileges to perform patient care services, the IEHP Peer Review Subcommittee shall have the burden of persuading the JHC, by a preponderance of the evidence that its action is reasonable and warranted. The term "reasonable and warranted" means within the range of reasonable and warranted alternatives available, and not necessarily that the action is the only measure or the best measure that could be taken in the opinion of the JHC.

Q. Preparation of Recommended Findings of Fact, Recommended Conclusions of Law and Recommended Decision

Within a reasonable time after the final adjournment of the Level II Appeal hearing, the JHC shall issue a decision that shall include finding of fact and conclusions of law articulating the connection between the evidence produced at the hearing and the result. A copy shall be sent to the IEHP Chief Medical Officer, the Practitioner involved, and the IEHP Chief Executive Officer. Final action shall be taken by the Peer Review Subcommittee, as provided below.

There shall be no right of further appeal to the Peer Review Subcommittee following a formal Level II Appeal. The Practitioner shall receive a written decision of the Peer Review Subcommittee, including a statement of the basis for the decision, which shall be sent via FedEx. The notice shall contain a statement that there is no right of appeal the final decision of the Peer Review Subcommittee.

R. Reports

IEHP shall comply with the reporting requirements of the California Business and Professions Code, the Federal Health Care Quality Improvement Act, the National Practitioner Data Bank (NPDB), and any other applicable law regarding adverse peer review actions.

IEHP shall comply with the reports required by MBOC whenever a peer review body makes a final decision or recommendation regarding the disciplinary action, resulting in a final proposed action to be taken against a licentiate based on the peer review body's determination, following formal investigation of the licentiate that any of the facts listed below have occurred, regardless of whether a hearing is held pursuant to Section 809.

MBOC requires reports whenever: a licentiate's application for staff privileges or membership

is denied or rejected for a medical disciplinary cause or reason; a licentiate's membership, staff privileges, or employment is terminated or revoked for a medical disciplinary cause or reason; restrictions are imposed or voluntarily accepted, on staff privileges, membership, or employment for a cumulative total of thirty (30) days or more for any 12-month period, for a medical disciplinary cause or reason; and/or a licentiate's resignation or leave of absence from membership, staff, or employment following notice of impending investigation based on information indicating medical disciplinary cause or reason.

MBOC requires an 805 report whenever a peer review body makes a final decision or recommendation regarding the disciplinary action, resulting in a final proposed action to be taken against a licentiate based on the peer review body's determination, following formal investigation of the licentiate that any of the facts listed below have occurred, regardless of whether a hearing is held pursuant to Section 809:

IEHP complies with all reporting requirements of the Medical Board of California, the Dental Board of California, the Osteopathic Medical Board of California, the Board of Podiatric Medicine, the California Board of Behavioral Sciences, the Board of Psychology, and the Physician Assistant Board, and other licensing agencies, and National Practitioners Data Bank (NPDB) as required by law. IEHP also complies with the reporting requirements of the California Business and Professions Code and the Federal Health Care Quality Improvement Act regarding adverse credentialing decisions. IEHP notifies the Practitioner of such reporting and its contents in writing.

1. Actions that are reported to the Medical Board of California, the Dental Board of California, the Osteopathic Medical Board of California, the Board of Podiatric Medicine, the California Board of Behavioral Sciences, the Board of Psychology, the Physician Assistant Board, other licensing agencies, and National Practitioners Data Bank (NPDB) as applicable and required by law, include a decision to deny or reject a Practitioner's application for staff privileges or membership for a medical disciplinary cause or reason; a decision to terminate or revoke a Practitioner's membership, staff privileges or employment for a medical disciplinary cause or reason; restrictions imposed or voluntarily accepted, on staff privileges, membership, or employment for a cumulative total of thirty (30) days or more for any twelve (12) month period, for a medical disciplinary cause or reasons; and/or a Practitioner's resignation or leave of absence from membership, staff, or employment following notice of impending investigation based on information indicating medical disciplinary cause or reason.
2. An 805.01 will be filed, if a recommendation or final decision based on any of the following:
 - a. Incompetence, or gross or repeated deviation from the standard of care involving death or serious bodily injury or to one or more patients in such a manner as to be dangerous or injurious to any person or the public.
 - b. The use of, or prescribing for or administering to him/herself, any controlled substance; or the use of any dangerous drug, as defined in Section 4022, or of alcoholic beverages, to the extent or in such a manner as to be dangerous or injurious to the licentiate, or any other persons, or the public, or to the extent that such impairs the ability of the licentiate to practice safely.

- c. Repeated acts of clearly excessive prescribing, furnishing or administering of controlled substances or repeated acts of prescribing, dispensing, or furnishing of controlled substances without good faith effort prior examination of the patient and medical reason therefore.
- d. Sexual misconduct with one or more patients during a course of treatment or an examination.

S. Confidentiality

All peer review records and proceedings held pursuant to this procedure shall be confidential and protected to the fullest extent allowed by Section 1157 of the California Evidence Code, and any other applicable State and/or Federal law.

T. Privileges and Immunities

All activities conducted pursuant to this Level II Appeal Process are in reliance on the privileges and immunities afforded by the Federal Health Care Quality Improvement Act (42 USC Section 11101, et seq.) California Business and Professions Code Section 805, et seq. and the California Civil Code Sections 43.7, 43.8 and 47(b)(4) and (c).

U. Severability

This document and the various parts, sections and clauses thereof are hereby declared to be severable. If any part, sentence, paragraph, section or clause is adjudged unconstitutional or invalid, such unconstitutionality or invalidity shall affect only that part, sentence, paragraph, section or clause of this document, or person or entity; and shall not affect or impair any of the remaining provisions, parts, sentences, paragraphs, sections or clauses of this document, or its application to other persons or entities.

V. Applicability

This document shall be applicable to all peer review Level II Appeals and shall be controlling.

W. Costs of Hearing

1. The costs associated only with the conduct of the Level II Appeal hearing, excluding the costs listed in subsection 2 below, shall be divided equally between the Practitioner and IEHP. Such costs shall include, but not limited to, the costs of the certified shorthand reporter and rental of a hearing room, if applicable.
2. The costs to be divided between the practitioner and IEHP shall not include the costs, fees, and any other charges associated with legal representation of either party; the cost of the JHC, if any; the costs of discovery; the costs of preparation for the hearing; mileage costs for either party or witnesses; witness fees; or the costs of obtaining copies of the hearing transcripts or tapes. Except for the costs of the hearing officer and JHC, which shall be borne by IEHP, each party shall bear its own costs for these items individually.

X. Exhaustion of Administrative Remedies

1. A Practitioner shall be required to exhaust the administrative remedies herein prior to seeking judicial review of the actions of the IEHP Peer Review Subcommittee.



**Licensed Midwife Attestation:
Plan for Consultation, Emergency Transfer, & Transport**

4. In the event of a neonatal emergency in an out-of-hospital setting, I will transport to the following:

| | | |
|---------------|-------|-----|
| Hospital Name | Phone | Fax |
| Address | City | ZIP |

5. Licensed physician(s) engaged in active clinical obstetrical practice and with whom I consult when there are significant deviations from the normal, in either mother or the infant is:

PRIMARY (required)

(Please note: the covering physician must be participating in the IEHP Network:

| | | |
|--|----------|----------------|
| Physician's Name <i>(as listed on license)</i> | License# | Individual NPI |
| Group Name | Phone | Fax |
| Address | City | ZIP |

SECONDARY (optional)

(Please note: the covering physician must be participating in the IEHP Network:

| | | |
|--|----------|----------------|
| Physician's Name <i>(as listed on license)</i> | License# | Individual NPI |
| Group Name | Phone | Fax |
| Address | City | ZIP |

By signing below, I _____, LM hereby attest to the written plan of care provided above.

| | |
|---------------------------------|------|
| Licensed Midwife (LM) signature | Date |
|---------------------------------|------|

PATIENT TRANSFER AGREEMENT

BETWEEN

<TRANSFERRING PROVIDER>

AND

<RECEIVING PROVIDER>

PATIENT TRANSFER AGREEMENT

This Patient Transfer Agreement (the “Agreement”) is made and entered into by and between <TRANSFERING PROVIDER>, the transferring provider, hereinafter referred to as “TRANSFEROR”, and <RECEIVING PROVIDER>, the receiving provider, hereinafter referred to as “RECEIVER”. (In general, both individually referred to as “Party” and collectively referred to as “Parties”.)

RECITALS

WHEREAS, TRANSFEROR and RECEIVER share a mutual desire to ensure the continuity of care and treatment appropriate to the needs of each patient in their respective institutions; and

WHEREAS, the purpose of this agreement is to define procedures and policies pertaining to:

1. The transfer of patients from TRANSFEROR to RECEIVER,
2. The provision of medical care by RECEIVER, and
3. The exchange and joint review of patient medical records between TRANSFEROR and RECEIVER.

NOW, THEREFORE, in consideration of their mutual agreements and promises, the Parties hereto agree as follows:

TERMS

1. PROCEDURES AND POLICIES.

TRANSFEROR and RECEIVER mutually agree on the procedures and policies as outlined in Exhibit A and Attachment 1 that are attached hereto and fully incorporated herein.

2. TERM.

The term of this Agreement shall be for a period of year(s) from the date the last party signs this Agreement.

3. TERMINATION.

3.1 This Agreement may be terminated by either Party at any time and for any reason upon at least ninety (90) days prior written notice and by ensuring the continuity of care to patients who already are involved in the transfer process. This Agreement shall automatically terminate upon the occurrence of any of the following:

- a. either Party has its license revoked or suspended;
- b. either Party is destroyed to such an extent that the patient care provided by such institution cannot be carried out adequately;
- c. either Party no longer is able to provide the services for which this Agreement is sought;
- d. either Party is in default under any of the terms of this Agreement.

3.2 The rights and remedies of TRANSFEROR provided in this section shall not be exclusive and are in addition to any other rights and remedies provided by law or this Agreement.

4. INSURANCE.

Each Party shall maintain general and professional liability insurance with limits of at least \$1,000,000

per occurrence and \$3,000,000 in the aggregate. Certificates of insurance shall be made available upon request unless self-insured for the required coverage amounts.

5. HOLD HARMLESS/INDEMNIFICATION.

In connection with the obligations imposed by this Agreement, TRANSFEROR and RECEIVER shall each indemnify, defend, and hold harmless the other, including its officers, directors, agents, and employees, from and against any and all loss, damage, liability, or expense (including without limitation, reasonable attorney's fees), of any kind arising by reason of the acts or omissions of the respective Party's officers, directors, agents, employees, contractors, agents and shareholders acting alone or in collusion with others, in breach of this Agreement or applicable law. Each Party shall promptly notify the other Party hereto of any claims or demands which arise and for which indemnification is sought. The terms of this Section shall survive the termination of this Agreement.

6. INDEPENDENT CONTRACTORS.

The Parties are independent contractors who shall have no liability or objection for the acts or omissions of the other.

7. NONEXCLUSIVE.

Nothing in this Agreement shall be construed as limiting the rights of either Party to affiliate or contract with any other hospital or health care provider while this Agreement is in effect.

8. PATIENT REFERRALS.

This Agreement does not require either TRANSFEROR or RECEIVER to refer patients or enter into any other arrangement for the provision of any item or service offered for which Medicare or Medicaid payments may be made.

9. NON-DISCRIMINATION REGARDING PATIENTS.

Neither Party shall differentiate or discriminate in the treatment of any patient because of the patient's race, color, national origin, ancestry, religion, health status, sex, marital status, age, the source or amount of payment available, or the ability of the patients to pay for medical services.

10. ASSIGNMENT.

This Agreement may not be assigned by either Party without the prior written consent of the other Party.

11. ENTIRE AGREEMENT.

This Agreement contains the entire understanding between the undersigned Parties and supersedes any and all prior agreements or understandings, whether oral or written, relating to the subject matter of this Agreement. This Agreement may not be amended, changed or modified except by written agreement executed by both Parties hereto.

12. JURISDICTION/VENUE.

This Agreement shall be governed by, and construed in accordance with, the laws of the State of

California. The Parties agree and consent to the exclusive jurisdiction of the courts of the State of California for all purposes regarding this Agreement and further agree and consent that venue of any action brought hereunder shall be exclusively in either the County of San Bernardino or the County of Riverside.

13. THIRD PARTY BENEFICIARY.

The Parties do not intend to confer any rights, privileges or benefits upon any other individual(s) or entity(ies), not signatories to this Agreement, arising out of this Agreement. The Parties agree that nothing in this Agreement shall be construed or interpreted to confer any such rights, privileges or benefits upon any individual or entity not a signatory to this Agreement.

14. FORCE MAJEURE.

If either Party is unable to comply with any provision of this Agreement due to causes beyond its reasonable control, and which could not have been reasonably anticipated, such as acts of God, acts of war, civil disorders, or other similar acts, such Party shall not be held liable for such failure to comply.

15. NOTICE.

All correspondences and notices required or contemplated by this Agreement shall be delivered to the respective Parties at the addresses set forth below and are deemed submitted one day after their deposit in the United States mail, postage prepaid:

TRANSFEROR

RECEIVER

Name:

[Redacted]

Name:

[Redacted]

Address:

[Redacted]

Address:

[Redacted]

[Redacted]

[Redacted]

Attention:

[Redacted]

Attention:

[Redacted]

16. RECORDS AND DOCUMENTS.

The Parties shall make available, upon written request by any duly authorized Federal, State or County agency, a copy of this Agreement and such books, documents and records as are necessary. All such books, documents and records shall be maintained for at least five years following termination of this Agreement.

17. HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA).

The Parties in this Agreement are subject to all relevant requirements contained in the Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law 104-91, enacted August 21, 1996, and the laws and regulations promulgated subsequent thereto. The Parties hereto agree to cooperate in accordance with the terms and intent of this Agreement for implementation of relevant law(s) and/or regulation(s) promulgated under HIPAA. The Parties further agree that it shall be in compliance, and shall remain in compliance with the

requirements of HIPAA, and the laws and regulations promulgated subsequent hereto, as may be amended from time to time.

IN WITNESS WHEREOF, the Parties hereto have signed this Agreement as set forth below.

TRANSFEROR

RECEIVER

By _____

By _____

Print Name and Title

Print Name and Title

Date _____

Date _____

EXHIBIT A**SCOPE OF WORK****A. Definition:**

RECEIVER will provide (initial appropriate boxes by each Party)

_____ high risk obstetrical consultation

_____ routine obstetrical consultation

on RECEIVER'S premises, and perform deliveries for patients enrolled in the Medi-Cal program (including the Comprehensive Prenatal Services Program (CPSP)). If high risk obstetrics are provided, upon diagnosis of high risk medical conditions (see Attachment 1), TRANSFEROR will refer patient to RECEIVER for consultation. Pending RECEIVER'S recommendations, RECEIVER will assume care for the high risk patient or may transfer the patient back to TRANSFEROR with recommendation for follow-up care. If RECEIVER does not provide high risk obstetric care, those patients will be referred to other high risk accepting obstetricians with an existing written agreement with TRANSFEROR. Uncomplicated obstetrical patients with Inland Empire Health Plan (IEHP) coverage will be transferred to RECEIVER at 28 weeks gestation for continued care and delivery based on the individual care involved. Uncomplicated obstetrical patients with other coverage will be transferred by 32 weeks for continued care and delivery based on the individual case involved.

B. Responsibilities:

1. Upon request by TRANSFEROR, RECEIVER will accept transfer of the patient for consultation and assume responsibility for the care of the patient if indicated.
2. The Prenatal Care Coordinator (PCC) will maintain the overall Comprehensive Care Plan. The PCC is the CPSP provider that bills the initial combined assessment or any of the initial assessment procedures using the Individualized Care Plan. This provider will inform the patient that they are the case coordinator for all CPSP services. Each provider will bill only for the services that the provider directly renders. There will be no duplicate billing of the services, and service limits as specified in regulation for an individual patient will not be exceeded.
3. Prior to transfer for continuing prenatal care to RECEIVER the patient will be given a copy of her prenatal records and instructed to bring those records to every prenatal visit where the records will be updated. The patient will be instructed to bring these records to the accepting obstetric provider and/or hospital at the time of labor and delivery. Uncomplicated postpartum patients will be referred back to TRANSFEROR for follow-up services of the patient and the newborn. Additionally, TRANSFEROR will transmit via facsimile or electronic transmission, a copy of the patient's prenatal record to RECEIVER at the time of transfer.
4. Patient will be delivered at the hospital where RECEIVER has admitting privileges. RECEIVER shall provide to TRANSFEROR and IEHP a list of hospitals where RECEIVER has admitting privileges.
5. A copy of the discharge summary for both the mother and the newborn will be forwarded to TRANSFEROR by RECEIVER. This information will be used to provide the patient with necessary information and appropriate referrals. TRANSFEROR will follow up with patients after delivery to ensure they receive postpartum services, family planning, well baby care, and Women, Infant, Children (WIC) information. The patient will be instructed to return to TRANSFEROR for the two week newborn exam and six to eight week postpartum examination for the mother.
6. RECEIVER will deliver patients and provide complete delivery information and outcome to TRANSFEROR and arrange for back-up delivery coverage in case of absences.

C. The flow of patient information:

1. TRANSFEROR will provide information and education related to antepartum and postpartum care for patient enrolled in Medi-Cal programs including CPSP and eligible for pregnancy related services. TRANSFEROR will provide information, education and referrals for family planning and well child care in the postpartum period.
2. TRANSFEROR will maintain malpractice insurance to cover the care provided by the TRANSFEROR. The TRANSFEROR may bill Medi-Cal on a fee for service basis (CPSP) or bill the managed care plan for the code “01” daily encounter visit with balance billing to Medi-Cal for the managed care differential (code 18).
3. RECEIVER will provide malpractice insurance coverage to render services under this Agreement. RECEIVER will bill Medi-Cal directly for their care and delivery of those patients enrolled in the Medi-Cal program.
4. All ante-partum and postpartum care will be performed according to protocols approved by the Chief of Medical Services for TRANSFEROR based on the discipline-specific standards set by the American College of Obstetrics and Gynecology.
5. In performing their duties under the agreement, both parties shall comply with the California Medi-Cal program requirements, the Comprehensive Prenatal Services Program (CPSP) requirements (California Code of Regulations, Title 22, Section 51179) when applicable, and the policies and procedures of the managed care plans, including any applicable credentialing requirements.

Attachment 1

High Risk Conditions

This includes all the high risk conditions in which the TRANSFEROR will transfer patients to RECEIVER but not limited to the following list:

Medical history and conditions:

Drug/alcohol use
Proteinuria ($\geq 2+$ by catheter sample, unexplained by urinary tract infection)
Complicated pyelonephritis
Severe systemic disease that adversely affects pregnancy

Obstetric history and conditions:

Blood pressure elevation (diastolic ≥ 90 or more than 2 visits), no proteinuria
Suspected fetal growth restriction
Fetal abnormality suspected by ultrasonography
Fetal demise
Gestational Diabetes Mellitus
Active herpes outbreak on or after 36 weeks
Hydramnios by ultrasonography
Hyperemesis gravidarum
Multiple gestation
Oligohydramnios by ultrasonography
Preterm labor, threatened
Premature rupture of membranes
Vaginal bleeding ≥ 14 weeks

Examination and laboratory findings:

Abnormal MSAFP
Pap HGSIL, ASCUS-cannot rule out HGSIL, AGUS
Anemia (Hct $< 28\%$) not responsive to iron therapy
Condylomata (extensive, covering labia and vaginal opening)
HIV
CDE (Rh) or other blood group isoimmunization (excluding ABO, Lewis)

DATE

SENT VIA FEDEX

Provider First Name M.I. Last Name Suffix, Degree
c/o Practice Name
Address
City, STATE ZIP

RE: IEHP PEER REVIEW SUBCOMMITTEE DECISION

Dear Provider Name:

Inland Empire Health Plan (IEHP)'s Peer Review Subcommittee met on **(DATE)**, and reviewed **(REASON FOR REVIEW)**.

Due to evidence documenting **[EVIDENCE FOUND]**, the IEHP Peer Review Subcommittee has made the recommendation to terminate/deny/suspend your participation with IEHP.

You have the right to appeal this recommendation and request a first level appeal which is held before the IEHP Peer Review Subcommittee. If you wish to request an appeal, your written request must be received within thirty (30) days of receipt of this letter. In a Level I Review, you will have the right to be present and participate in the proceedings. If you request an appeal, please provide copies of any additional information which you would like to have presented at the Peer Review Subcommittee meeting for your appeal. In addition, please confirm if you wish to be present at the meeting in your written request and send it to:

Inland Empire Health Plan
Attn: [Peer Review Chairperson Name]
P.O. Box 1800
Rancho Cucamonga, CA 91729

If your written request for appeal is not received within thirty (30) days of your receipt of this notice, your rights will be considered waived, and any action recommended by the Peer Review Subcommittee will be presented to the Governing Board of IEHP for final action.

A copy of the IEHP Peer Review (Level I) and Credentialing Policy and Procedures is enclosed for your information and further clarification of your rights in the Level I appeal process.

PROVIDER NAME

DATE

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IEHP will report the final decision of the IEHP Governing Board, to the Medical Board of California and/or the National practitioner Data Bank, as required under California business and professions Codes subsection 805 and 45 of Federal Regulations, Part 60.

Please contact [PEER REVIEW CHAIRPERSON'S NAME] at [PHONE] or [EMAIL] if you have any questions or concerns.

Sincerely,

IEHP MEDICAL DIRECTOR'S NAME

Medical Director, IEHP

Peer Review Subcommittee Chairperson

Enclosures: IEHP Peer Review Level I and Credentialing Appeal

cc: [NAME], Chief Operating Officer, IEHP
[NAME], Chief Medical Officer, IEHP
[NAME], Director of Provider Relations, IEHP
[NAME], Director of Provider Network, IEHP
[NAME], Director of Provider Network and Communications, IEHP
[NAME], Medical Director, IEHP
[NAME], Director of Quality Management
[NAME], Provider Services Representative, IEHP
[NAME], Credentialing Manager, IEHP
[NAME], Credentialing Contact Title, IPA NAME
[NAME], Medical Director, IPA NAME
Provider File



Prescribing Arrangements for DEA and CDS eligible Practitioners who do not have a certificate

| Practitioner Name (as listed on license) | License# | NPI# |
|---|-----------------|-------------|
|---|-----------------|-------------|

This form is applicable to practitioners who are qualified to write prescriptions. IEHP must verify that the practitioner’s Drug Enforcement Administration (DEA) or Controlled Dangerous Substances (CDS) certificate is valid and current in each state where the practitioner provides care to members.

Upon review of your credentialing application, we were unable to verify your DEA or CDS certificate, that meets the requirements set forth in our policies. See Policies 5A1, “Credentialing Standards – Credentialing Policies” and 5A3, “Credentialing Standards – Credentialing Verification”.

For DEA- and CDS-eligible practitioners who do not have a valid DEA/CDS certificate, and for whom prescribing controlled substances is in the scope of their practice, IEHP must obtain your written arrangements of the designated practitioner who will be writing prescriptions on your behalf, that includes:

| Prescribing Practitioner’s Name | Individual NPI# | DEA# |
|--|------------------------|-------------|
|--|------------------------|-------------|

OR

| Prescribing Practice’s Name | Group NPI# | DEA# |
|------------------------------------|-------------------|-------------|
|------------------------------------|-------------------|-------------|

Reason for not having a valid DEA/CDS certificate:

NCQA requires that, “If the practitioner states in writing that they do not prescribe controlled substances and that in their professional judgement, the patients receiving their care do not require controlled substances, they are therefore not required to have a DEA/CDS certificate, but must describe their process for handling instances when a patient requires a controlled substance.”

Please describe your process for handling instances when a patient requires a controlled substance, if you do not have an alternate arrangement noted above:

By signing below, I _____, hereby attest to the written plan of care provided above.

| | |
|---------------------------------|-------------|
| Practitioner’s signature | Date |
|---------------------------------|-------------|



QUESTIONNAIRE FOR PROVIDERS FOR TRANSGENDER MEMBERS

IEHP is interested in identifying Providers who have experience and interest in providing high quality care to Transgender Members. Please complete the following survey if you would like to be listed in our Provider Directory, as a Provider available to our Transgender Members.

NPI: _____

LAST NAME: _____ FIRST NAME: _____

SPECIALTY: _____ EMAIL: _____

PHONE: _____ FAX: _____

1. Please assess your ability in providing high quality care to Transgender Members:

- Advanced
 Moderate
 Minimal
 No experience
 (Move to Question 6)

2. Approximately how many Transgender patients have you cared for in the past twelve (12) months?

- None
 1 – 2
 3 – 9
 10 – 25
 Over 25

3. How long have you been providing care to Transgender patients?

- Under 1 year
 1 – 5 years
 5 – 9 years
 Over 10 years

4. What training, if any, have you received to treat Transgender patients? (Please provide documentation for all that apply)

- CME events. Please list organization that provided CME: _____

- Are you a Member of World Professional Association for Transgender Health (WPATH)?

- Transgender certifications through WPATH, date: _____

- None
 Other: _____

5. What clinical practices guidelines/resources do you use in providing transgender care? (Select all that apply)

- WPATH Standards of Care
 UCSF Center of Excellence for Transgender Health – Guidelines for the Primary and Gender – Affirming Care of Transgender and Non-Binary People
 Endocrine Society Clinical Practice Guidelines
 None
 Other, please list: _____

6. What steps have you taken to make your practice trans-friendly? (Select all that apply)

- Date of most Recent Staff training for transgender care: _____
 Submitted copy of Office policies/procedures
 Bathroom policies
 Unique gender identification/name/pronoun capture in EMR?
 None



QUESTIONNAIRE FOR PROVIDERS FOR TRANSGENDER MEMBERS

7. **Have you ever written a letter to support the acquisition of gender affirming surgery?**
- Yes No
8. **Are you willing to write letters to support the acquisition of gender affirming surgery?**
- Yes No
9. **How many of these letters have you written in the past twelve (12) months?**
- None 1 – 3 3 – 10 Over 10
10. **What resources would you recommend IEHP offer to support you in your efforts at providing high quality transgender care? Any other comments:**

TRANSGENDER SERVICES AND SKILL LEVEL

Listed below are services for Transgender members. Please identify your ability or skill level for each service.

| ABILITY/ SKILL LEVEL | | | | SERVICE | |
|--------------------------|--------------------------|--------------------------|--------------------------|---|--------------------------|
| No Experienc | Minimal | Moderate | Advanced | | |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Breast Augmentation | Feminizing Procedure |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Facial/Body Hair Removal | Feminizing Procedure |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Facial Feminization | Feminizing Procedure |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Genital Laser/Electrolysis | Feminizing Procedure |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Hormone Treatment | General |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Hysterectomy with or without Oophorectomy | Masculinizing Procedures |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Integrated Mental and Physical Health Service Model | General |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Mastectomy with male chest reconstruction | Masculinizing Procedures |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Mental Health Services | General |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Metoidioplasty | Masculinizing Procedures |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Orchiectomy | Feminizing Procedure |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Phalloplasty | Masculinizing Procedures |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Procedures (Office Based, please describe: _____ | General |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Voice Therapy | General |

Verification of Qualifications for HIV/AIDS PHYSICIAN SPECIALIST

Health plans and healthcare organizations must implement regulations related to AB2168 (Ch. 426, 2000). This legislation requires standing referrals to HIV/AIDS specialists for patients who need continued care for their HIV/AIDS. The Department of Managed Health Care (DMHC) recently defined an HIV/AIDS specialist under Regulation LS-34-01.

In order to comply with this regulation, we need to identify appropriately qualified specialists within our network who meet the definition of an HIV/AIDS specialist.

Please check ANY and ALL of the criteria listed below that apply to you.

- No, I do not wish to be designated as an HIV/AIDS Specialist
- Yes, I do wish to be designated as an HIV/AIDS specialist based on the below criteria:
- I am credentialed as a "HIV Specialist" by the American Academy of HIV Medicine (attached AAHIVM Certification);
- OR**
- I am Board Certified in Infectious Disease **AND** in the preceding **twelve (12)** months have clinically managed a minimum of **twenty-five (25)** HIV patients **and** have successfully completed **fifteen (15)** hours of category 1 continuing medical education (CME) in HIV medicine, **five (5)** hours of which was related to antiretroviral therapy;
- OR**
- In the past **twenty-four (24)** months, I have provided clinical management of **twenty (20)** patients; **and** in the past **twelve (12)** months completed board certification in Infectious Disease
- OR**
- In the past **twenty-four (24)** months I have provided clinical management to **twenty (20)** HIV patients and in the past 12 months have completed 30 hours of category 1 CME in HIV Medicine;
- OR**
- In the past **twenty-four (24)** months I have clinically managed at least 20 HIV patients and in the past **twelve (12)** months have completed 15 hours of category of 1 CME in HIV Medicine and successfully completed the HIV Medicine Competency Maintenance Examination administered by the American Academy of HIV Medicine (attach copies of the CME credits and Exam verification)

I attest that, to the best of my knowledge, the above information can be supported by documentation, (see *attached*).

Name of Practitioner
(Please print): _____ Date: _____
Practitioner's
Signature: _____ License No: _____
Office Telephone _____ Office Fax: _____



Past Five (5) Years' Work History Form

PRACTITIONER'S NAME: _____

| EMPLOYER NAME Please list current employer(s) first then previous employers in reverse chronological order | START MONTH & YEAR (MM/YYYY) | END MONTH & YEAR (MM/YYYY) |
|--|---|---|
| 1. | | PRESENT |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |
| 6. | | |
| 7. | | |
| 8. | | |
| 9. | | |
| 10. | | |
| 11. | | |
| 12. | | |

Please explain any gaps of more than **six (6)** months:

You may substitute a Curriculum Vitae (CV) for this form, but it must show start and end dates in month/year format for at least five (5) years' work/school history, and any gaps of more than six (6) months must be explained. If graduate school graduation date is within five (5) years, you do not need to document positions prior to graduation.