

§ 456.2

42 CFR Ch. IV (10–1–03 Edition)

TABLE 1

[This table relates the regulations in this part to the sections of the Act on which they are based.]

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| Subpart A—General | 1902(a)(30) 1902(a)(33)(A) 1902(a)(30) |
| Subpart B—Utilization Control: All Medicaid Services. | |
| Subpart C—Utilization Control: Hospitals | |
| Certification of need for care | 1903(g)(1)(A) |
| Plan of care | 1903(g)(1)(B) |
| Utilization review plan (including admission review). | 1902(a)(30) 1903(g)(1)(C) 1903(i)(4) |
| Subpart D—Utilization Control: Mental Hospitals | |
| Certification of need for care | 1903(g)(1)(A) |
| Medical evaluation and admission review. | 1902(a)(26)(A) 1903(g)(1)(C) |
| Plan of care | 1902(a)(26)(A) 1903(g)(1)(B) |
| Admission and plan of care requirements for individuals under 21. | 1902(a)(26)(A) 1903(g)(1)(B), (C) |
| Utilization review plan | 1902(a)(30) 1903(g)(1)(C) 1903(i)(4) |
| Subpart F—Utilization Control: Intermediate Care Facilities | |
| Certification of need for care | 1903(g)(1)(A) |
| Medical evaluation and admission review. | 1902(a)(31)(A) 1903(g)(1)(C) |
| Plan of care | 1902(a)(31)(A) 1903(g)(1)(B) |
| Utilization review plan | 1902(a)(30) 1903(g)(1)(C) 1903(i)(4) |
| Subpart G—Inpatient Psychiatric Services for Individuals Under Age 21: Admission and Plan of Care Requirements. | 1905 (a)(16) and (h) |
| Subpart H—Utilization Review Plans: FFP, Waivers, and Variances for Hospitals and Mental Hospitals.. | |
| Subpart I—Inspections of Care in Intermediate Care Facilities and Institutions for Mental Diseases.. | |
| Subpart J—Penalty for Failure To Make a Satisfactory Showing of An Effective Institutional Utilization Control Program. | 1903(g) |
| Subpart K—Drug Use Review (DUR) Program and Electronic Claims Management System for Outpatient Drug Claims. | 1927(g) and (h) |

[43 FR 45266, Sept. 29, 1978, as amended at 46 FR 48561, Oct. 1, 1981; 57 FR 49408, Nov. 2, 1992; 61 FR 38398, July 24, 1996]

§ 456.2 State plan requirements.

(a) A State plan must provide that the requirements of this part are met.

(b) These requirements may be met by the agency by:

(1) Assuming direct responsibility for assuring that the requirements of this part are met; or

(2) Deeming of medical and utilization review requirements if the agency

contracts with a QIO to perform that review, which in the case of inpatient acute care review will also serve as the initial determination for QIO medical necessity and appropriateness review for patients who are dually entitled to benefits under Medicare and Medicaid.

(c) In accordance with §431.15 of this subchapter, FFP will be available for expenses incurred in meeting the requirements of this part.

[46 FR 48566, Oct. 1, 1981, as amended at 50 FR 15327, Apr. 17, 1985; 51 FR 43198, Dec. 1, 1986]

§ 456.3 Statewide surveillance and utilization control program.

The Medicaid agency must implement a statewide surveillance and utilization control program that—

(a) Safeguards against unnecessary or inappropriate use of Medicaid services and against excess payments;

(b) Assesses the quality of those services;

(c) Provides for the control of the utilization of all services provided under the plan in accordance with subpart B of this part; and

(d) Provides for the control of the utilization of inpatient services in accordance with subparts C through I of this part.

§ 456.4 Responsibility for monitoring the utilization control program.

(a) The agency must—

(1) Monitor the statewide utilization control program;

(2) Take all necessary corrective action to ensure the effectiveness of the program;

(3) Establish methods and procedures to implement this section;

(4) Keep copies of these methods and procedures on file; and

(5) Give copies of these methods and procedures to all staff involved in carrying out the utilization control program.

§ 456.5 Evaluation criteria.

The agency must establish and use written criteria for evaluating the appropriateness and quality of Medicaid services. This section does not apply to