**UTILIZATION MANAGEMENT PROCESS**  
*June 2016*

Kaiser Permanente provides services directly to our members through an integrated care delivery system made up of Kaiser Foundation Health Plan, Inc. (the Plan), Kaiser Foundation Hospitals, and the Permanente Medical Groups. These three parts of the Kaiser Permanente care delivery system work together to help ensure that members receive quality care. Managing how health care services and related resources are used helps improve the delivery of health care services and controls health care costs for you.

Utilization management (UM) is a process that determines whether a health care service recommended by your treating provider is medically necessary for you. If it is medically necessary, then you will be authorized to receive that care in a clinically appropriate place consistent with the terms of your health coverage. The determination of whether a service is medically necessary is based upon criteria that are consistent with sound clinical principles and processes, which are reviewed and approved annually by the Plan.

Please note that the UM process only addresses whether a health care service or item is medically necessary for you. It is separate from questions about whether the health plan you have selected covers a particular health care service or item, as described in your *Evidence of Coverage.* For example, your *Evidence of Coverage* may exclude coverage for supplemental Durable Medical Equipment, such as a wheelchair. In that case, you would not be covered for a wheelchair, even if the wheelchair could be found medically necessary for you in the UM process.

**Prior Authorization**

In the majority of cases, when your provider prescribes a course of treatment or plan of care for you, he or she is not required to request permission from anyone to provide you those services. In some situations, your provider will need to request permission from the Plan to provide you the recommended care under a process called Prior Authorization. The services that require Prior Authorization include:

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### UM Statement

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Please keep in mind that this list is subject to change without notice. In addition, please refer to your *Evidence of Coverage* to determine whether you have coverage for the services and items listed above. If you have coverage for these services and items, the Prior Authorization process will apply and you will be authorized for these services if they are found to be medically necessary for you.

**Northern and Southern California Regions**

**Acupuncture.** Acupuncture may be considered a component of a comprehensive treatment program for members with a history of chronic pain (defined as pain of three months or more duration) or for the treatment of severe nausea, particularly due to chemotherapy. There is currently sufficient evidence to support the use of acupuncture as a treatment modality for these conditions; other conditions are reviewed on a case-by-case basis. If your provider prescribes acupuncture, a UM physician decision-maker will review your condition and determine if the services requested meet our formal coverage criteria.  

**Behavioral Health Treatment for Pervasive Developmental Disorder and Autism.** These services include applied behavior analysis and evidence-based behavior intervention programs that develop or restore, to the maximum extent practicable, the functioning of a person with pervasive developmental disorder or autism. These services will be covered if prescribed by a Plan or contracted physician or psychologist, and a treatment plan is developed and provided by a provider who is a qualified autism services professional.

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1. If you have supplemental coverage for acupuncture services through American Specialty Health Plan (ASH), you may self-refer for these services, and ASH will be responsible for the UM decision-making process.
Chiropractic Care. If you are a Kaiser Permanente Senior Advantage Member, your chiropractic care is limited to manual manipulation of the spine to correct subluxation (or restricted range of motion) of the spine related to pain. If you are a Medi-Cal member of Geographic Managed Care (GMC) (Sacramento, Amador, El Dorado, Placer and San Diego Counties), Health Plan of San Mateo (San Mateo County), Partnership Health Plan of California (Marin, Napa, Solano, Sonoma, Yolo Counties), CalOptima (Orange County), or Gold Coast Health Plan (Ventura County), your chiropractic care is limited to manual manipulation when prescribed by a Plan physician, with a maximum of two treatments per month. For all other members, a UM physician decision-maker will review your condition, and will determine if the services are medically necessary for you.²

Community Based Adult Services (CBAS) (Medi-Cal Only). CBAS is a program for Kaiser Permanente Medi-Cal managed care members that stresses partnerships with the participant, the family and/or caregiver, the primary care physician, and the community in working toward maintaining personal independence for the frail elderly or adults (18 years old or older) with disabilities. You must also have one or more chronic or post-acute medical, cognitive, or mental health conditions, and you must need assistance with at least two activities of daily living. A UM physician decision-maker will determine if you meet these criteria for these services.

Dental Anesthesia. General Anesthesia (GA) and associated facility charges for dental procedures are a covered benefit when GA is medically necessary based on clinical status or a qualifying medical condition. Medical necessity for GA requires that specific medical criteria are met in accordance to the established Dental Anesthesia Utilization Guidelines for Commercial, CMS and Medi-Cal. The referring dentist must provide documentation to support finding(s). Members may receive treatment for a dental procedure provided under GA by a Plan anesthesiologist in the dental office, in a hospital or surgery center. If sedation is indicated then the least profound procedure shall be attempted first. The procedures are ranked from low to high profundity in the following order: conscious sedation via inhalation or oral anesthetics, IV sedation, then general anesthesia.

Durable Medical Equipment. If your provider prescribes durable medical equipment such as a wheelchair, he or she will submit a written referral. If your coverage includes the item and it is listed on our durable medical equipment formulary for your condition, it will be approved. If the equipment requested doesn’t appear to meet our formulary guidelines, it will be submitted to a UM physician decision-maker for review.

Home Health Continuous Shift Care. This is defined as care for 8 hours or greater for an ongoing period of time or for a transitional period of time. The purpose of a transitional period of time is to assist the family member or other layperson caregivers with the completion of their training in order for them to assume 24 hour responsibility for the patient’s care in the home setting.

The criteria to be met for continuous hourly Home Health care for an ongoing period of time are:

1. The services the patient requires in the home setting cannot be safely and effectively performed by an unlicensed family member or other layperson even with appropriate training and supervision, and

² If you have supplemental coverage for chiropractic care through American Specialty Health Plan (ASH), you may self-refer for these services, and ASH will be responsible for the UM decision-making process.
2. The services of the licensed nurse are required on a continuous hourly basis throughout a 24 hour period.

The criteria to be met for continuous hourly Home Health care for a transitional period of time are:

1. There is evidence that the family member or other layperson caregivers require further teaching, observation, and/or monitoring in order to safely and effectively perform the services the patient requires in the home setting, and
2. This is required for a defined temporary period of time that has a definite start and end point, and
3. There is a transition plan developed that shows a continuous gradual reduction in hours over a defined temporary period of time to less than 8 hours/day.

**Home Health Shift Care for Medi-Cal Children (Medi-Cal Only).** To be eligible for Home Health Shift care under the Early and Periodic Screening, Diagnosis, and Treatment program (EPSDT), you must be a Medi-Cal member under the age of 21 and must be stable enough that care can be safely delivered in a home setting. The home must be adequate to accommodate needed equipment, supplies, and personnel. Other eligibility requirements include:

- the family caregivers have been appropriately trained,
- all necessary supports and an emergency back-up plan are in place, and
- the primary caregiver demonstrates the willingness, skills and ability to provide the direct care, not paid for in the EPSDT supplemental services plan of care

The primary care physician must order the home health shift care evaluation. Once the necessary clinical assessments/documentation has been completed and reviewed, the primary treating physician will make a referral for the medically necessary EPSDT Supplemental Shift Nursing Services needed and submit the referral to the local KP Home Health Agency. Requests for EPSDT Supplemental Nursing Shift Care Services are authorized through the Home Health Continuous Hourly Care Committee.

**Occupational, Physical, and Speech Therapies (OT/PT/ST).** The vast majority of habilitation and rehabilitation services are available at your local medical center. In some locations, some or all of the services are provided by contracted therapists. If you are referred for evaluation to a contracted therapist, ongoing treatment by the contracted therapist will be reviewed by a Plan provider to determine if the treatment plan is medically appropriate and the services require the skill of a licensed OT, PT or ST provider.

**Ostomy and Urological supplies.** If your provider prescribes ostomy or urological supplies, he or she will submit a written referral. If your coverage includes the item and it is listed on our soft goods formulary for your condition, it will be approved. If the item doesn't appear to meet our formulary guidelines, it will be submitted to a UM physician decision-maker for review.

**Out-of-Plan Referrals.** If your provider prescribes covered services that cannot be provided by a Kaiser Permanente health care provider, he or she will recommend that you be referred to a non-Kaiser Permanente provider (also known as Out-of-Plan referrals or services). Some Out-of-Plan services are listed within this document because specific criteria apply to them (for example: Acupuncture, Chiropractic Care, Behavioral Health Treatment, and Occupational, Speech, and
Physical Therapies).
However, please note that all services provided Out-of-Plan are subject to Prior Authorization, even those that are not listed in this document. If the UM physician decision-maker determines that the Out-of-Plan services are medically necessary for you, they will be approved.

Prosthetic and Orthotic Devices. Prostheses are artificial devices attached or applied to the body to replace a missing part (for example, following a medically necessary mastectomy). Orthoses are devices externally applied to the body to aid the neuromuscular and skeletal system (for example, leg braces). If your provider prescribes a prosthetic or orthotic device, he or she will submit a written referral. If the device is covered by the guidelines or regulations that apply to you, it will be approved. If the device doesn't appear to meet these criteria, it will be submitted to a UM physician decision-maker for review.

Transplants. In most cases when your provider makes a written referral for a transplant, the regional transplant committee or board will authorize an evaluation at a transplant Center of Excellence, using national transplant guidelines. We will authorize the transplant services if the physician(s) at the Center of Excellence determine that the services are medically necessary for your condition.

Transgender surgery. If your provider makes a written referral for transgender surgical services, the Medical Group’s Transgender review experts will authorize surgery if they determine that the services meet the requirements described in the Medical Group's transgender surgery guidelines and criteria.

Northern California Region Only

Hyperbaric Oxygen Therapy. Hyperbaric Oxygen (HBO) therapy provides a therapeutic dose of oxygen by creating a pressurized environment that increases the concentration of oxygen in the blood. It helps to stimulate the growth of new blood vessels and acts to help to kill bacteria. There are very specific conditions in which HBO may be indicated. We will authorize these services if the UM physician decision-maker determines that they are medically necessary for your condition.

Southern California Region Only

Medical Transportation. If your provider prescribes nonemergency ambulance or psychiatric transport van services, he or she will submit a written referral. If the physician UM-decision maker determines that your condition requires the use of a licensed ambulance or psychiatric transport van, and that the use of other means of transportation would endanger your health, it will be approved. Please note these services are covered only when the vehicle transports you to or from services that are covered under your health plan.

Home Based Phlebotomy. We cover medically necessary phlebotomy services in the home only if prescribed by a Plan Provider and only if you meet the criteria for being Homebound. A member is considered to be homebound if he/she has a condition due to an illness or injury which causes the individual to be normally unable to leave home and, consequently, leaving his/her home would require a considerable and taxing effort; the blood
draw requires the skills of a lab technician; the member lives within the Health Plan service area; and a Kaiser physician or pharmacist has certified your homebound status.

**Implantable Spinal Cord Stimulators.** Spinal cord stimulators (SGS) are battery-powered electronic devices that are surgically implanted under the skin. SGS send tiny electrical impulses, which mask the pain signals going to the brain. This stimulation replaces the pain signal with a more pleasant sensation called paresthesia, usually described as a tingling or massaging sensation. Spinal cord stimulators are intended to treat neuropathic pain, chronic pain resulting from failed back surgery syndrome, and chronic pain from radiculopathy.

**Pre-Bariatric Surgery Preparation Program.** Prior to receiving any Bariatric surgical procedures to treat obesity, you must attend the Pre-Bariatric Surgery Preparation Program to ensure you are physically and mentally prepared for the surgery and the complex post-surgical care path. If your Body Mass Index (BMI) is under the range considered to warrant Bariatric Surgery, a physician who is a specialist in Bariatric care will review your medical records and make a decision about whether you are an appropriate candidate to enter the Pre-Bariatric Surgery Preparation Program.

**Referral to a Plastic Surgeon for consultation for Breast Reduction or Panniculectomy.** If your provider refers you for a consultation with a Plastic Surgeon for a panniculectomy (surgery to remove excess abdominal tissue) or breast reduction surgery, a Plan physician who is expert in Plastic Surgery will review your medical records. Higher Body Mass Index (BMI) increases complications associated with post-bariatric panniculectomy and breast reduction surgery, primarily related to wound healing and infection. If you are determined to not be a candidate for a panniculectomy or breast reduction surgery because your BMI is too high, you will be asked to continue to work on weight reduction until you are closer to the level considered to improve complication rates.

**Clinical Decision-Making Criteria**

Kaiser Permanente uses written objective criteria based on sound clinical evidence in making utilization management (UM) decisions. We have policies that establish how such clinical criteria are developed, adopted, and reviewed. When we make a UM decision that denies or modifies provider-requested services, we will communicate that decision to you in writing. That notification will include a concise explanation of the reasons for our decision and the criteria or guidelines we used. UM decisions are always independently based on clinical criteria or scientific literature; they are never made on the basis of a financial incentive or reward.

**Qualified Medical Professionals**

Qualified physicians or other appropriately qualified health care professionals review all Prior Authorization denials. Physicians who make UM decisions may be physician leaders for Outside Referral Services, physician experts, and/or members of physician specialty boards. They have appropriate education, training, and clinical experience related to the services being requested. When necessary, they will consult board-certified physicians in the associated specialty to assist
them in making a UM decision.

**UM Decision Time Frames**

The physician UM decision-makers will make the UM decision within the time frame appropriate for
your condition, but no later than five (5) business days after receiving your provider’s request for
the services (or 14 days for Medicare members), along with all of the information reasonably
necessary to make the UM decision, including additional examination and test results. Decisions
about urgent services will be made no later than 72 hours after receipt of the information
reasonable necessary to make the decision. If more time is needed to make the decision because
necessary information has not been received or because the physician UM decision-maker has
requested consultation by a particular specialist, you and your treating provider will be informed
about the additional information, testing, or specialist that is needed, and the date that the
physician UM decision-maker expects to make a decision. Please refer to your Evidence of
Coverage for information on the appeal process if you disagree with a UM decision.

**The Kaiser Permanente Medical Care Program**

As a Kaiser Permanente member, you have chosen to receive health care services from our
integrated care delivery system made up of Kaiser Foundation Health Plan, Inc., the Permanente
Medical Groups, and Kaiser Foundation Hospitals. The Kaiser Permanente Medical Care Program
gives you access to all of the covered services you may need, such as routine care, hospital care,
laboratory and pharmacy services, emergency services, urgent care, and other benefits as
described in your Evidence of Coverage.

Generally, you must receive all covered care from Kaiser Permanente providers inside our
designated service area (there are a few exceptions that are described in your Evidence of
Coverage, such as authorized referrals to non-Kaiser Permanente providers, emergency services,
and out-of-area urgent care).

**Assistance with Utilization Management (UM) Issues and Processes**

For more information about policies regarding financial incentives and how we control utilization of
services and expenditures, or for information about UM issues or Processes, generally, call our Member Service Contact Center at:

1-800-464-4000 (English)
1-800-788-0616 (Spanish)
1-800-757-7585 (Chinese dialects)
711 – California Relay Service (hearing/speech impaired)
1-800-443-0815 (Medicare)

You may also inquire about UM processes or specific UM issues by leaving a voice mail after
hours. Please leave your name, medical record number and/or birth date, telephone number
where you can be reached, and your specific question. Messages will be responded to no later
than the close of the next business day.
This description is only a brief summary of the Prior Authorization process. The precise criteria that are used for services that require Prior Authorization are available upon request from our Member Service Contact Center. Also, please refer to your Evidence of Coverage for authorization requirements that apply to Post-Stabilization Care from Non-Plan providers.

1 Open 24 hours a day, seven days a week (except closed on holidays and closed after 5 p.m. on the day after Thanksgiving, on Christmas Eve, and on New Year’s Eve).

2 Open from 5 a.m. to 8 p.m. and at 711 from 8 p.m. to 5 a.m., seven days a week (except closed on holidays and closed after 5 p.m. on the day after Thanksgiving, on Christmas Eve and on New Year’s Eve).

3 Open from 8 a.m. to 8 p.m., seven days a week.