

**Utah Medicaid  
Medical Record and Documentation  
Requirements**

**23 May 2018**



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Inspector General

# Medical Record Requirements

All Utah Medicaid providers must maintain five (5) years of all records to document and disclose services provided and billed. Providers must furnish copies of all records to support a claim upon request by the Utah OIG. Providers must also allow inspection and audit of records for non-Medicaid members to verify usual and customary charges.

When medical record documentation is done well, it will justify the claim, improve patient care, protect the provider, follow policies and rules, and reduce improper payments.

Utah OIG investigators must determine that sufficient documentation exists to support the payment of Medicaid claims. If a determination is made that documentation cannot support the claim payment, the provider shall be required to reimburse Utah Medicaid.



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# Documentation Matters

Records are an important part of the patient care and are used to:

- Coordinate the care of the patient
- Ensure services are provided
- Improve patient care
- Comply with Medicaid policies
- Support the claims that are submitted and/or paid
- Reduce improper payments



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# General Principles of Records

The following are general principles of what constitutes good medical records:

- Complete and Legible
- Document Each Encounter
- Reason for Encounter
- Relevant History
- Diagnosis, Treatment and Billing Code Consistency
- Physical Examination Findings
- Prior Diagnostic Studies
- Rationale for Services
- Support for Diagnostic and Treatment Codes
- Date of Service
- Identity of Provider
- Comply with Medicaid Policies



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# Medicaid Policy

Medicaid providers are required to follow policies and rules when creating and maintaining medical records. State law, rules and policies must be followed for proper and complete documentation.

- Section I: General Information Provider Manual
  - Maintain 5 years of all records necessary to substantiate the claim.
  - Create, maintain and submit records that substantiate the payment upon request.  
<https://medicaid.utah.gov/publications>
- Utah Medicaid Provider Agreement
  - Providers must execute the Provider Agreement before they are authorized to furnish Medicaid services.
- Utah Code Title 63A, Chapter 13
  - Utah OIG shall have unrestricted access to all records of providers.  
<https://le.utah.gov/xcode/code.html>
- Utah Administrative Code Rule R30-1
  - Providers must submit records within 30 days of request.  
<https://rules.utah.gov/>



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# Evaluation and Management Coding

Level of Service – Three Components:

1. History
2. Examination
3. Medical Decision-Making

Follow 1995 or 1997 CMS Evaluation and Management Guidelines. Documentation of each E&M encounter should include:

- Complaint and reason for encounter
- History
- Physical examination findings
- Assessment, impression or diagnosis
- Plan for care
- Date and legible identity of provider



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# Utah OIG Records Request

Utah OIG may request records as part of the normal oversight activities of the Medicaid program. If a Medicaid provider receives a records request, they must comply with that request and provide a complete and legible copy of all requested records by the deadline stated.

Providers must submit documentation to the office within the deadline stated.

Failure to submit records that substantiate the claim payment may result in recovery of the entire claim payment.

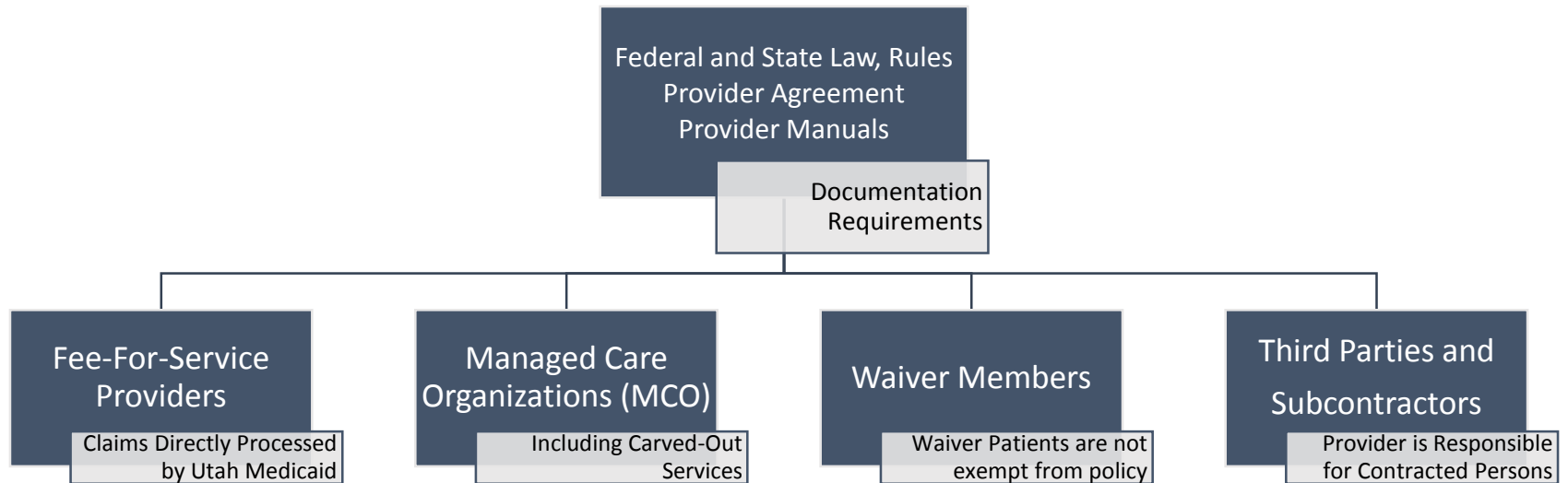
Providers that have questions about a records request can contact the Office Specialist:

- (801) 538-6555
- [oigmedical@utah.gov](mailto:oigmedical@utah.gov)



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# Applies to All Providers



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# References

- 1995 and 1997 Documentation Guidelines for Evaluation and Management Services
- Utah Code Title 63A, Chapter 13, Office of Inspector General of Medicaid Services
- Utah Administrative Code Rule R-30-1, Office of Inspector General of Medicaid Services
- Utah Administrative Code Rule R414-1, Utah Medicaid Program
- Utah Medicaid Section I: General Information Provider Manual
- Utah Medicaid Provider Agreement



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