

## RISK MANAGEMENT

- RM 1: Regulatory Compliance and Internal Controls
  - RM 1-1: Regulatory Compliance Management
- RM 2: Regulatory Compliance
  - RM 2-1: Maintaining Compliance
- RM 3: Information Systems
  - RM 3-1: Information Systems Management
  - RM 3-2: Systems Risk Assessment
- RM 4: Business Continuity
  - RM 4-1: Business Continuity Plan

## OPERATIONS AND INFRASTRUCTURE

- OPIN 1: Business Management
  - OPIN 1-1: Policy and Process Maintenance
  - OPIN 1-2: Delegation Management
- OPIN 2: Staff Management
  - OPIN 2-1: Clinical Staff Credentialing
  - OPIN 2-2: Employment Screening
  - OPIN 2-3: Staff Training Programs
  - OPIN 2-4: Code of Ethical Conduct
  - OPIN 2-5: Employee Diversity, Equity and Inclusion
- OPIN 3: Clinical Leadership
  - OPIN 3-1: Clinical Staff Leadership

## PERFORMANCE MONITORING AND IMPROVEMENT

- PMI 1: Quality Management Scope
  - PMI 1-1: Quality Structure
- PMI 2: Quality Data Collection and Evaluation
  - PMI 2-1: Data Collection and Evaluation

## CONSUMER PROTECTION AND EMPOWERMENT

- CPE 1: Protection of Consumer Information
  - CPE 1-1: Privacy and Security of Consumer Information
  - CPE 1-2: Internal Safeguards
- CPE 2: Consumer Safeguards and Communication
  - CPE 2-1: Consumer Diversity, Equity and Inclusion
  - CPE 2-2: Consumer Safety Protocols
  - CPE 2-3: Consumer Complaint Process
  - CPE 2-4: Health Literacy Promotion
  - CPE 2-5: Consumer Marketing and Communication Safeguards
- CPE-HP 3: Financial Incentives
  - CPE-HP 3-1: Monitoring Financial Incentives

## UTILIZATION MANAGEMENT

- UM 1: Program Management
  - UM 1-1: Program Structure
  - UM 1-2: Utilization Review Monitoring
- UM 2: Clinical Review Criteria
  - UM 2-1: Review Criteria Requirements
- UM 3: Limitations of Initial Screening
  - UM 3-1: Initial Screening Policy
- UM 4: Initial Screening Process
  - UM 4-1: Initial Screening Staff Resources
  - UM 4-2: Non-Clinical Staff Provide Administrative Support
- UM 5: Limitations of Initial Clinical Review
  - UM 5-1: Initial Clinical Review Policy
  - UM 5-2: Automated-Only Review
  - UM 5-3: Initial Clinical Reviewer Licensure
- UM 6: AI and ML Medical Software Selection Criteria
  - UM 6-1: AI and ML Medical Software Used in Utilization Review
- UM 7: Initial Clinical Review Process
  - UM 7-1: Initial Clinical Reviewer Resources
- UM 8: Clinical Peer Review
  - UM 8-1: Clinical Peer Review Policy

- UM 9: Clinical Peer Review Qualifications
  - UM 9-1: Clinical Peer Reviewer Licensure
  - UM 9-2: Additional Clinical Peer Reviewer Qualifications
- UM 10: Clinical Peer Review Process
  - UM 10-1: Peer-to-Peer Conversation
- UM 11: Utilization Review Timelines and Notification
  - UM 11-1: Utilization Review Notification Time Frames
  - UM 11-2: Lack of Information Policy
  - UM 11-3: Information Upon Which to Base Review Determinations
  - UM 11-4: Certification Decision Notice
  - UM 11-5: Written Notice of Non-Certification Decisions
- UM 12: Utilization Review Appeals
  - UM 12-1: Appeal Policy
- UM 13: Appeal Reviewer Qualifications
  - UM 13-1: Appeal Peer Reviewer Licensure
  - UM 13-2: Additional Appeal Peer Reviewer Qualifications
  - UM 13-3: Additional Appeal Peer Reviewer Requirements
- UM 14: Appeals
  - UM 14-1: Appeal Process
  - UM 14-2: Appeal Notification Time Frames
  - UM 14-3: Written Notice of Non-Certifications Upheld on Appeal
- UM 15: Drug Utilization Management
  - UM 15-1: Initial Determinations
  - UM 15-2: Initial Denial and Appeal Determinations

### WORKERS' COMPENSATION UTILIZATION MANAGEMENT

- WCUM 1: Initiation of the Workers' Compensation Review Process
- WCUM 2: Workers' Compensation Appeal Process