
Program Memorandum Intermediaries/Carriers

**Department of Health and
Human Services (DHHS)
Centers for Medicare &
Medicaid Services (CMS)**

Transmittal AB-02-125

Date: SEPTEMBER 11, 2002

CHANGE REQUEST 2268

**SUBJECT: Provider Education Article: Durable Medical Equipment Ordered With
Surrogate Unique Physician Identification Numbers (UPIN)**

An article is attached that will assist you in informing physicians and suppliers about their responsibility to ensure that accurate UPINs are used on claims and that surrogate UPINs should not be used if ordering physicians have permanent UPINs.

Include this article in your next regularly scheduled bulletin and post it immediately on any Web sites or electronic bulletin boards you maintain. You are encouraged to include any additional information in your bulletin to supplement or complement the article.

The effective date for this Program Memorandum (PM) is September 11, 2002.

The implementation date for this PM is September 11, 2002.

These instructions should be implemented within your current operating budget.

This PM may be discarded September 11, 2003.

If you have questions about claims processing, contact Angela Costello at (410) 786-1554.

If you have questions about provider/supplier enrollment, contact Gerald Wright at (410) 786-5798.

Attachment

**Durable Medical Equipment Ordered With
Surrogate Unique Physician Identification Numbers (UPIN)**

Section 1833(q) of the Social Security Act requires that all physicians who meet the §1861(r) definition of a physician must have a UPIN. All claims for services ordered or referred by a physician must include the name and UPIN of the ordering/referring physician.

A physician or supplier who bills Medicare for a service or item must show the name and UPIN of the ordering/referring physician on the claim form, if that service or item was the result of an order or referral from a physician. If the ordering physician is also the performing physician, the physician must enter his/her name and assigned UPIN as the ordering physician. If the ordering/referring physician is not assigned a UPIN, the biller may use a surrogate UPIN.

A physician or supplier who submits a claim for a service or item is responsible for ensuring that the name and UPIN of the ordering/referring physician is obtained and submitted on Form CMS-1500. Physician names and UPINs can be found in the UPIN directory. If the physician's UPIN has not yet been issued, a surrogate UPIN is to be used only until an individual UPIN has been assigned. Surrogate UPINs are used under these conditions:

- OTH000: To be used when the ordering/referring physician has not yet been assigned and does not qualify for one of the other surrogate UPINs. When OTH000 is used, ensure that it is not being over utilized. Notify the suppliers, physicians, or billers if their use of surrogates is excessive. If surrogate UPINs are over utilized, the Part B contractor via the UPIN Registry will confirm that a UPIN has not been assigned to the ordering/referring physician. If a UPIN has been assigned, the physician will be notified of the assigned UPIN. If a UPIN has not been assigned, the physician will be notified of the need to file an application for a UPIN and sent an application form.
- RES000: To be used by physicians meeting the description of "intern," "resident," or "fellow."
- VAD000: To be used by physicians serving on active duty in the United States military and those employed by the Department of Veterans Affairs.
- PHS000: To be used by physicians serving in the Public Health Service, including the Indian Health Service.
- RET000: To be used by retired physicians who have not been issued a UPIN. (Retired physicians who have been assigned a UPIN must use the assigned UPIN.)

It is CMS's goal to assign a UPIN to every physician/health care practitioner and group practice that meets the Medicare definition.