

Calendar Year: 2008

Performance Rating of Investigation of a Utilization Review Organization

Investigation No: URO-045-08-R

Utilization Review Organization: SHPS Health International

Location: 9305 E. Via De Ventura, Scottsdale, AZ 85258-3423

Number of Requests for Authorization:

| | |
|---------------|----------|
| Prospective | <u>3</u> |
| Concurrent | <u>0</u> |
| Retrospective | <u>0</u> |

Decisions by Type:

| | |
|--------------|----------|
| Approval | <u>3</u> |
| Modification | <u>0</u> |
| Delay | <u>0</u> |
| Denial | <u>0</u> |

1. FACTOR FOR UNTIMELY RESPONSE TO REQUEST

| | | | | |
|--------------------------------|----------|---------------------------------------|----------|----------------|
| # late prospective responses | 1 | divide by # of prospective requests | 3 | |
| # late concurrent responses | 0 | divide by # of concurrent requests | 0 | |
| # late retrospective responses | <u>0</u> | divide by # of retrospective requests | <u>0</u> | |
| Totals | 1 | divide by | Totals 3 | = |
| | | | | 0.33333 |

2. FACTOR FOR FAULTY NOTICE CONTENT

| | | | | |
|----------------------------------|----------|---------------------------------------|----------|----------------|
| # faulty prospective responses | 0 | divide by # of prospective requests | 3 | |
| # faulty concurrent responses | 0 | divide by # of concurrent requests | 0 | |
| # faulty retrospective responses | <u>0</u> | divide by # of retrospective requests | <u>0</u> | |
| Totals | 0 | divide by | Totals 3 | = |
| | | | | 0.00000 |

3. FACTOR FOR IMPROPER DISTRIBUTION OF NOTICE

| | | | | |
|--|----------|---------------------------------------|----------|----------------|
| # prospective w/ improper distribution | 0 | divide by # of prospective requests | 3 | |
| # concurrent w/ improper distribution | 0 | divide by # of concurrent requests | 0 | |
| # retrospective w/ improper distribution | <u>0</u> | divide by # of retrospective requests | <u>0</u> | |
| Totals | 0 | | Totals 3 | |
| | | | | = |
| | | | | 0.00000 |

UTILIZATION REVIEW PERFORMANCE RATING

A Utilization Review Performance Rating of **0.85000** or greater is a passing score.

88.9%

Analysis of Penalties and/or Violations Cited for Utilization Review Investigation

Investigation No.: URO-045-08-R

Utilization Review Organization: SHPS Health International

Location: 9305 E. Via De Ventura, Scottsdale, AZ 85258-3423

Number of Utilization Review Requests for Authorization (requests) for Quarter: **21**

Requests reviewed: 3

Complaints selected for review: 0

| Type of Violation | Violation of Title 8, CCR §9792.12 | Footnotes | # of Violations | Total \$ Violations Identified | \$ Not Subject to Assessment | Total \$ Subject to Assessment |
|---|------------------------------------|-----------|-----------------|--------------------------------|------------------------------|--------------------------------|
| Failure to establish a utilization review plan. | §9792.12 (a)(1) | | 0 | \$0 | \$0 | \$0 |
| Failure to maintain a UR plan conforming to all of the requirements of 8CCR§9792.7(a). | §9792.12 (a)(2) | | 1 | \$5,000 | \$0 | \$5,000 |
| Failure to file a UR plan or letter in lieu of UR plan with the Administrative Director. | §9792.12 (a)(3) | | 0 | \$0 | \$0 | \$0 |
| Failure to timely file any material modification of a UR plan with the Administrative Director. | §9792.12 (a)(4) | | 0 | \$0 | \$0 | \$0 |
| Failure to employ or designate a physician as medical director of the UR process. | §9792.12 (a)(5) | | 0 | \$0 | \$0 | \$0 |
| Issuance of a decision to modify or delay a request which is not within the reviewer's scope of practice. | §9792.12 (a)(6) | | 0 | \$0 | \$0 | \$0 |
| Modification, delay or denial of a request by a non-physician. | §9792.12 (a)(7) | | 0 | \$0 | \$0 | \$0 |
| Approval of amended request by non-physician without written evidence for submission of amended request. | §9792.12 (a)(8) | | 0 | \$0 | \$0 | \$0 |
| Failure to timely respond to an expedited request. | §9792.12 (a)(9) | | 0 | \$0 | \$0 | \$0 |
| Denial of request solely because it is not addressed by MTUS/ACOEM. | §9792.12 (a)(10) | | 0 | \$0 | \$0 | \$0 |
| Failure to document discussion for care plan for denial of concurrent request. | §9792.12 (a)(11) | | 0 | \$0 | \$0 | \$0 |
| No response to non-expedited concurrent request. | §9792.12 (a)(12) | | 0 | \$0 | \$0 | \$0 |
| No response to non-expedited prospective request. | §9792.12 (a)(13) | | 0 | \$0 | \$0 | \$0 |
| No response to a retrospective request. | §9792.12 (a)(14) | | 0 | \$0 | \$0 | \$0 |
| Failure to disclose UR guidelines to the public. | §9792.12 (a)(15) | | 0 | \$0 | \$0 | \$0 |
| Failure of URO or claims administrator to provide documentation of compliance pursuant to 8CCR§9792.11(v)(5). | §9792.12 (a)(16) | | 0 | \$0 | \$0 | \$0 |
| Failure to timely comply with any compliance requirement for the Final Report of UR Investigation. | §9792.12 (a)(17) | | 0 | \$0 | \$0 | \$0 |

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| Type of Violation | Violation of Title 8, CCR §9792.12 | Footnotes | # of Violations | Total \$ Violations Identified | *\$ Not Subject to Assessment | Total \$ Subject to Assessment |
|---|------------------------------------|-----------|-----------------|--------------------------------|-------------------------------|--------------------------------|
| Failure to provide timely notice to all parties of need to extend decision date for request. | §9792.12 (b)(4)(A) | | 0 | \$0 | \$0 | \$0 |
| Failure to document efforts to obtain information from requesting party prior to denying request. | §9792.12 (b)(4)(B) | | 0 | \$0 | \$0 | \$0 |
| Failure to make and communicate a decision to approve, modify or deny a prospective/concurrent request within 5 days of receiving needed information. | §9792.12 (b)(4)(C) | | 0 | \$0 | \$0 | \$0 |
| Failure to issue timely retrospective decision within 30 days of receipt of requested information. | §9792.12 (b)(4)(D) | | 0 | \$0 | \$0 | \$0 |
| Incomplete notice of modification, delay or denial. | §9792.12 (b)(4)(E) | | 0 | \$0 | \$0 | \$0 |
| Failure to provide UR criteria/guidelines when requested by patient. | §9792.12 (b)(4)(F) | | 0 | \$0 | \$0 | \$0 |
| Failure to make a timely request for additional information needed for decision for prospective/concurrent request. | §9792.12 (b)(5)(A) | | 0 | \$0 | \$0 | \$0 |
| Failure to provide timely initial communication of approval for a prospective/concurrent request. | §9792.12 (b)(5)(B) | | 0 | \$0 | \$0 | \$0 |
| Failure to provide timely notice to all parties of decision to modify, delay, or deny a prospective/concurrent request. | §9792.12 (b)(5)(C) | | 0 | \$0 | \$0 | \$0 |
| Failure to provide timely notice to all parties decision for a retrospective request. | §9792.12 (b)(5)(D) | | 0 | \$0 | \$0 | \$0 |
| Failure to immediately notify the requesting party that decision cannot be made within timeframes. | §9792.12 (b)(5)(E) | | 0 | \$0 | \$0 | \$0 |
| Failure to document need/basis to delay decision. | §9792.12 (b)(5)(F) | | 0 | \$0 | \$0 | \$0 |
| Failure to provide in written notice the reason for delay in making a decision. | §9792.12 (b)(5)(G) | | 0 | \$0 | \$0 | \$0 |
| Absent a time extension, failure to make a timely decision for a prospective/concurrent request. | §9792.9 (b)(1) | | 1 | N/A | N/A | \$0 |
| Absent a time extension, failure to provide a timely written notice of decision for a prospective/concurrent request. | §9792.9 (b)(3) | | 0 | N/A | N/A | \$0 |
| Absent a time extension, failure to provide initial notice for modification, delay or denial of a prospective/concurrent request. | §9792.9 (b)(4) | | 0 | N/A | N/A | \$0 |
| TOTAL | | | 2 | \$5,000 | \$0 | \$5,000 |

*Penalties for violations in 8 CCR § 9792.12(a) are mandatory and cannot be waived but may be mitigated depending on factors in § 9792.13. Penalties under § 9792.12(b)(4) and (b)(5) may be waived per § 9792.12(b)(2) and mitigated per § 9792.13.