

Utilization Review Organization Investigation Performance Rating

Calendar year: **2020**

Investigation Number: **023-20-R**

Utilization Review Organization: **TRISTAR Managed Care**

Location: **Santa Ana, CA**

RFAs reviewed:		Decisions by Type:	
Prospective	52	Approvals	32
Concurrent	0	Modifications	3
Retrospective	5	Denials	22
		Conditional Denials	0

1. Factor for Untimely Responses			
Late prospective responses	0	Total of prospective requests	52
Late concurrent responses	0	Total of concurrent requests	0
Late retrospective responses	0	Total of retrospective requests	5
Total	0	Total	57
Faulty Notices divided by Total Requests =			0.00000

2. Factor for Faulty Notice Content			
Faulty prospective responses	20	Total of prospective requests	52
Faulty concurrent responses	0	Total of concurrent requests	0
Faulty retrospective responses	2	Total of retrospective requests	5
Total	22	Total	57
Faulty Notices divided by Total Requests =			0.38596

3. Factor for Improper Distribution			
For prospective decisions	0	Total of prospective requests	52
For concurrent decisions	0	Total of concurrent requests	0
For retrospective decisions	0	Total of retrospective requests	5
Total	0	Total	57
Faulty Notices divided by Total Requests =			0.00000

Utilization Review Performance Rating	87.1%
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* A Utilization Review Performance Rating of **85%** or greater is a passing score.

Analysis of penalties and/or violations cited for this investigation

Utilization Review Organization: **TRISTAR Managed Care**

Location: **Santa Ana, CA**

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

Requests reviewed:

57

Complaints reviewed:

5

Type of Violations	Violation of Title 8, CCR §9792.12	Footnotes	Number of violations	Total \$ Violations Identified	\$ Not Subject to Assessment	Total \$ Subjected 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)		0	\$0	\$0	\$0
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

Type of Violations	Violation of Title 8, CCR §9792.12	Footnotes	Number of violations	Total \$ Violations Identified	\$ Not Subject to Assessment	Total \$ Subjected to Assessment
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)	Complaint	1	\$1,000	\$0	\$1,000
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

Type of Violations	Violation of Title 8, CCR §9792.12	Footnotes	Number of violations	Total \$ Violations Identified	\$ Not Subject to Assessment	Total \$ Subjected to Assessment
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
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

Type of Violations	Violation of Title 8, CCR §9792.12	Footnotes	Number of violations	Total \$ Violations Identified	\$ Not Subject to Assessment	Total \$ Subjected to Assessment
Incomplete notice of modification, delay or denial.	§9792.12(b)(4)(E)		22	\$2,200	\$2,200	\$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 in a 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

Type of Violations	Violation of Title 8, CCR §9792.12	Footnotes	Number of violations	Total \$ Violations Identified	\$ Not Subject to Assessment	Total \$ Subjected to Assessment
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
Failure to provide the Application for Independent Medical Review, DWC Form IMR.	§9792.12(c)(1)		0	\$0	\$0	\$0
Failure to provide the Employee Name, Address, Phone Number, and Date of Injury.	§9792.12(c)(2)(A)		2	\$1,000	\$0	\$1,000
Failure to provide the Requesting Physician Name, Address, Specialty, and Phone Number.	§9792.12(c)(2)(B)		12	\$6,000	\$0	\$6,000
Failure to provide the Claims Administrator Name, Adjustor / Contact Name, Address, and Phone Number.	§9792.12(c)(2)(C)		0	\$0	\$0	\$0
Failure to complete any field under the section heading "Disputed Medical Treatment;"	§9792.12(c)(2)(D)		0	\$0	\$0	\$0

Type of Violations	Violation of Title 8, CCR §9792.12	Footnotes	Number of violations	Total \$ Violations Identified	\$ Not Subject to Assessment	Total \$ Subjected to Assessment
For the failure to provide any field not identified in §9792.12 (c)(2)(A) through §9792.12 (c)(2)(D).	§9792.12(c)(2)(E)		25	\$2,500	\$0	\$2,500
Failure to include a clear statement in the written decisions for modifying or denying, advising the injured employee that any dispute shall be resolved in accordance with the IMR provisions.	§9792.12(c)(3)		0	\$0	\$0	\$0
If there is an internal appeals process, a notice of modify/deny did not include statement on its internal appeals process.	§9792.12(c)(4)		0	\$0	\$0	\$0
Total			62	\$12,700	\$2,200	\$10,500

*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.