

Calendar Year: 2008

Performance Rating of Investigation of a Utilization Review Organization

Investigation No: URO-095-08-R

Utilization Review Organization: Schaller Anderson of California, an Aetna Company; also known as Schaller Anderson of California, LLC

Location: Sugar Land, TX 77478

Number of Requests for Authorization:

Prospective	<u>34</u>
Concurrent	<u>0</u>
Retrospective	<u>0</u>

Decisions by Type:

Approval	<u>25</u>
Modification	<u>0</u>
Delay	<u>1</u>
Denial	<u>8</u>

1. FACTOR FOR UNTIMELY RESPONSE TO REQUEST

# late prospective responses	2	divide by # of prospective requests	34	
# 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	2	divide by	Totals	<u>34</u> =
				0.05882

2. FACTOR FOR FAULTY NOTICE CONTENT

# faulty prospective responses	0	divide by # of prospective requests	34	
# 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	<u>34</u> =
				0.00000

3. FACTOR FOR IMPROPER DISTRIBUTION OF NOTICE

# prospective w/ improper distribution	0	divide by # of prospective requests	34	
# 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	<u>34</u>
				=
				0.00000

UTILIZATION REVIEW PERFORMANCE RATING

98.0%

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

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

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Location: Sugar Land, TX 77478

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	\$200	\$200	\$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	\$50	\$50	\$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)		0	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			0	\$250	\$250	\$0

*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.