



## GENEX SERVICES, LLC NORTH CAROLINA PREAUTHORIZATION PROGRAM

An established national industry leader in utilization review, GENEX Services, LLC's URAC-accredited, best practice utilization review program is one of the most comprehensive, customer-focused processes for reviewing workers' compensation treatment requests. With a wide range of clinical and technical resources, we provide consistent, fair, clinically sound claims determinations that comply with North Carolina state regulations.

This plan is intended to outline the policies and procedures of GENEX's North Carolina Preauthorization Program of ArgoGroupUS which utilizes GENEX Services, LLC as their Utilization Review Agent.

In accordance with 04 NCAC 10A.1001 **all** surgeries and **all** inpatient treatments are subject to the preauthorization process. A request for authorization of any surgery or any inpatient treatments is classified as a 'mandatory request' under GENEX's program.

Although North Carolina does not require preauthorization for outpatient services, GENEX will perform preauthorization and retrospective reviews at the direction of ArgoGroupUS. This type of request is classified as a 'voluntary request' under GENEX's plan.

The process as described in this Program, shall apply to both Mandatory Requests and Voluntary Requests.

### I. GENEX Services, LLC ORGANIZATIONAL DEMOGRAPHICS

- A. Name of UR Agent: GENEX Services, LLC
- B. Name of Program or: GENEX North Carolina Pre-Authorization Review Program
- C. UR Agent contact:
  - Susan Mallinger, RN, BSN, CCM
  - Branch Manager Central UM
  - 5501 LBJ Freeway, Suite 700
  - Dallas, Texas 75420
  - Phone: 800-382-9163, ext. 6253
  - Fax: 877-210-3753
  - Email address: [susan.mallinger@genexservices.com](mailto:susan.mallinger@genexservices.com)

### II. Genex Services, LLC DESIGNATED MEDICAL DIRECTOR

The UR program has a designated Medical Director who holds an unrestricted license to practice medicine in Georgia. The Medical Director is responsible for all UR and ensures the review process for approvals, modifications and/or denials comply with the requirements of 04 NCAC 10A.1001:

Terrence J. Wilson MD, MPH (Occupational Medicine)  
Diplomate, American Board of Physician Medicine and Rehabilitation  
Sub-specialty Certification in Pain Medicine  
GENEX North Carolina UR Plan Medical Director  
5501 LBJ Freeway, Suite 700  
Dallas, Texas 75240  
Phone: 800-382-9163  
Fax: 877-210-3753

### III. TREATMENT GUIDELINES & REVIEW CRITERIA:

GENEX will primarily use the most current edition of the Official Disability Guidelines-Treatment in Workers' Comp (ODG) published by Work Loss Data Institute which are available at [www.worklossdata.com](http://www.worklossdata.com). The American College of Occupational and Environmental Medicine (ACOEM) Practice Guidelines are utilized as a secondary source of guidelines which are available at <http://www.acoem.org/practiceguidelines.aspx>.

### IV. MEDICAL DIRECTOR OVERSIGHT

#### A. Peer Review Physicians

The Designated Medical Director ensures that all Physicians are currently licensed by North Carolina, South Carolina, Georgia, Virginia or Tennessee and maintains a valid unrestricted active license. This is required as a new hire and annually as needed throughout employment with GENEX. See Appendix A for the name, licensure and specialty of GENEX's Peer Review Physicians. 04 NCAC 10A.1001(i)

#### B. Non-Physician Reviewers

Non-Physician reviewers are Registered Nurses (RN), Licensed Vocational Nurses (LVN) or Licensed Professional Nurses (LPN). The Designated Medical Director ensures that GENEX's Non-Physician reviewers are currently licensed by a state or the District of Columbia and maintains a valid unrestricted active license. This is required as a new hire and annually as needed throughout employment with GENEX.

#### C. Quality Assurance

1. The Designated Medical Director, Branch Manager and/or his/her designee performs monthly formal quality case review audits to assure the established policies and procedures and quality standards are maintained. A random sampling of closed cases is reviewed.
2. Monthly audit results are discussed at the UM Quality Committee meeting.
  - i Improvement plans are developed and implemented when scores fall below the minimal standard of 90%.
  - ii Monthly feedback of audit results is given to the employee by the Medical Director, Branch Manager and/or designee.

#### D. Policy and Procedures are reviewed annually by the Medical Director and the Policy & Procedure Committee.

### V. GENEX North Carolina Utilization Review Process Policy & Procedure

#### A. Initiation of Initial Preauthorization Request

1. All requests for preauthorization can be made by the health care providers, claimant's attorneys, or unrepresented claimants, and all preauthorization determinations made by insurers. The preauthorization requests shall be submitted on the Industrial Commission Form 25PR. The form can be obtained on the North Carolina web site at <http://www.ic.nc.gov/forms/form25pr.pdf> 04 NCAC 10A.1001(k)
2. The Form 25PR shall be transmitted to GENEX either by email at [dallasumreferral@genexservices.com](mailto:dallasumreferral@genexservices.com) or fax to 877-210-3753

3. GENEX will send acknowledgement of the request to the requesting entity and insurer/adjuster within 2 business of receipt of the Form 25PR.  
04 NCAC 10A.1001(k)
  4. GENEX is available for communication via telephone, fax and/or email on a pending request for preauthorization (including Peer Review Physicians) on a continuous basis on every business day (which excludes weekends and holidays) between the hours of 8:00 AM and 8:00 PM Eastern Standard Time.  
04 NCAC 10A.1001(e)(2)
  5. After hours communication is accessible via phone mail between the hours of 8:00 PM and 8:00 AM Eastern Standard Time Monday through Friday and weekends & holidays. All calls received after hours will be responded to on the next business day.
  6. All requests for service are registered into the GENEX computer system (CMS) by the GENEX Support Staff who verifies appropriate carrier, claim, and Injured Worker demographics and forwards the case to the GENEX Non-Physician Reviewer for review. They are restricted from reviewing clinical information or making clinical decisions.
- B. Initial Review Process by Non-Physician Reviewer (Nurse)
1. A GENEX Non-Physician Reviewer is a Registered Nurse (RN), Licensed Vocational Nurse (LVN) and/or Licensed Professional Nurse (LPN) who holds a current, unrestricted license in their state of residence.
  2. Upon receipt of the clinical information, the Nurse evaluates the requested services for medical necessity of procedure/treatment and inpatient admissions, duration of care, and appropriateness of settings and makes authorization decisions using specified criteria as previously stated. The Nurse has electronic and phone access to consult with a MD/DO or licensed health professional in the same licensure category as the requesting provider.
  3. If the nurse can authorize the request, she will notify the appropriate entities as outlined in D 'Time Frame Requirements'.
  4. If the Nurse is unable to authorize the request in its entirety, the request will be forwarded to a Peer Review Physician. Only physicians may modify or deny treatment requests.
  5. No denial is based on a Nurse Review.
- C. Review Process by Peer Review Physician
1. Clinical reviews are conducted by a GENEX Peer Review Physician on all cases where an authorization is not issued through the initial review.
  2. The GENEX Peer Review Physician is medical doctor, doctor of osteopathy, psychologist, acupuncturist, optometrist, dentist, podiatrist, or chiropractic practitioner which will be currently licensed by North Carolina, South Carolina, Georgia, Virginia or Tennessee and shall hold professional qualifications, certifications, and fellowship training in a like specialty that is at least equal to that of the treating provider who is requesting preauthorization of surgery or inpatient treatment. 04 NCAC 10A.1001(i)
  3. An opportunity for a Peer to Peer discussion is offered to the requesting provider prior to the determination being made. The Peer Review Physician is available to discuss the determination with the requesting provider at 800-

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382-9163 on any business day between 8:00 AM and 8:00 PM Eastern Standard Time. 04 NCAC 10A.1001(h) In the event the reviewer is unavailable, the requesting physician may discuss the request with another Peer Review Physician who is competent to evaluate the specific clinical issues involved in the medical treatment services. In the event no peer to peer occurred, the Peer Review Physician makes the determination based on the information submitted.

4. Requests are not denied on the basis of lack of information without documentation reflecting an attempt to obtain the necessary information from the requesting physician.
5. Treatment is not denied on the sole basis that the treatment is not addressed by a guideline.

D. Time Frame Requirements

1. The first day in counting the timeframe requirement is the day *after* the receipt of the request.
2. The request determination shall be communicated to the requesting physician initially by telephone or fax within 7 business days of receipt of the request. 04 NCAC 10A.1001(l)
3. The communication by telephone/fax shall be followed by written notice and sent to the injured worker and/or the injured worker's representative, the insurer/adjuster, the requesting physician and facility if known.

E. If a Peer to Peer discussion did not take place, GENEX will accept a phone call from the requesting provider within 24 hours of an adverse determination.

F. Appeal

1. The requesting provider, claimant's attorneys, or unrepresented claimants have the right to submit a request for an appeal no later than the 30<sup>th</sup> calendar day after the date of the verbal or faxed notification of the modified or adverse determination. This is done by completing the 2<sup>nd</sup> page of Form 25PR and emailing or faxing along with any additional medical information to [dallasumreferral@genexservices.com](mailto:dallasumreferral@genexservices.com) or fax to 877-210-3753
2. Appeals will follow the initial workflow as outlined above for initial review.
3. The appealing party has the right to seek authorization for any denied treatment from the Commission. 04 NCAC 10A.1001(e)(6)

G. Approvals Made by Claims Adjustor

The insurer's claims adjustor may give approval for any Voluntary pre-authorization requests without formally referring the request to GENEX.

Name	License Type	License State	License #	Specialty
Abraham, William	MD	NC	2010-01006	Orthopaedic Surgery
		TN	46016	Orthopaedic Surgery
Adkins, Richard	MD	TN	MC17085	Pain Management Anesthesiology
Agnew, Daniel	MD	TN	MD0000045437	Orthopaedic Surgery
Ayoola, Ayodele	MD	GA	062466	Internal Medicine
Babus, Glenn	DO	TN	2111	Pain Management Anesthesiology
	DO	VA	102201908	
Bagga, Sudhir	MD	TN	0000038741	Family/General Practice
Barnett, H. Glenn	MD	TN	9765	Neurological Surgery
Bawden, David	MD	GA	046356	Psychiatry
Beahm, Thomas	MD	TN	14704	Plastic Surgery
Bittinger, Marvin	MD	GA	18204	Emergency Medicine
Blanton, Alan	DDS	TN	4231	Dentistry
Blecha, Richard	MD	GA	48878	Orthopaedic Surgery
Bluhm, Renata	MD	TN	MD.19042	Internal Medicine
Boortz-Marx, Richard	MD	NC	2006-01920	Pain Management Anesthesiology
Broukhim, Benjamin	MD	TN	46011	Orthopaedic Surgery
Brown, Douglas	MD	VA	0101019212	Orthopaedic Surgery
Cain, James	MD	GA	066933	Orthopaedic Surgery
		TN	6490	
Cho, Mickey Seong	MD	GA	057293	Orthopaedic Surgery Hand Surgery

Ciochetty, David	MD	NC	9401393	Pain Management Anesthesiology
Clark, Sonya	DO	SC	32951	Hand Surgery
		TN	2121	
Curtis, Dale	MD	GA	047203	Emergency Medicine
Cushman, Arthur	MD	TN	9149	Neurological Surgery
Dawodu, Segun	MD	VA	0101227545	Physiatry Pain Management
Dorsey, E. Richard	MD	NC	16276	Psychiatry
Ducker, Thomas	MD	GA	066365	Neurological Surgery
Duncan, Gary	MD	TN	MD000006104	Neurological Surgery
Emran, Muhammad	MD	GA	069585	Family/General Practice
		NC	2013-00579	
Estwanik, Joseph	MD	NC	18633	Orthopedics
Evans, John	MD	NC	22711	Orthopaedic Surgery Hand Surgery
		SC	MD10132	
Fish, Daniel	MD	VA	0420011070	Orthopaedic Surgery
Ford, Kenneth	MD	TN	TN-47106	Orthopaedic Surgery
Garcia, Peter	MD	GA	063778	Orthopaedic Surgery
		TN	44882	
Gause, Trenton	MD	TN	MD0000045473	Orthopaedic Surgery
Gerstenblitt, Daniel	MD	TN	45667	Internal Medicine Occupational Medicine
Getz, Donald	MD	NC	19477	Orthopaedic Surgery
Gocke, Ryan	MD	NC	2010-01104	Orthopaedic Surgery
Goldman, Michael	DO	TN	2403	Family/General Practice Physical Medicine and Rehabilitation
Goldsmith, Gregory	MD	TN	46710	Orthopaedic Surgery

Greenberg, Robert	MD	TN	37226	Orthopaedic Surgery
Haidak, Paul	MD	TN	44655	Plastic Surgery
Harrop, Daniel	MD	TN	44536	Psychiatry Neurology
Hawthorn, Francis (Bud)	DPM	TN	TN-DPM-193	Podiatry
Huff, Lester	MD	VA	0101245068	Psychiatry
Johnson, Jeffrey	MD	TN	19766	Internal Medicine
Kaelin, Charles	MD	TN	25086	Orthopedics
Kaplan, Edward	MD	TN	5000	Neurological Surgery
Kennedy, Michael	DO	SC	420	Orthopaedic Surgery
Kraft, Jerome	MD	GA	015787	Orthopaedic Surgery Hand Surgery
Kuhn, Michael	MD	NC	2007-00039	Orthopaedic Surgery
Lafavore, Paul	MD	NC	9601371	Pain Management Anesthesiology
		TN	45806	
Lazar, Alan	MD	NC	2008-00839	Orthopaedic Surgery
Loubser, Paul	MD	GA	50859	Pain Management Anesthesiology
Lutz, Richard	DO	TN	2338	Orthopaedic Surgery
Mayfield III, William	MD	TN	38801	Orthopaedic Surgery Orthopedics
Mazzella, William	MD	NC	200101093	Internal Medicine
McCord, David	MD	GA	041618	Orthopaedic Surgery
		NC	29336	
		TN	21573	
McHugh, Daniel	MD	TN	26759	Pain Management Physiatry Physical Medicine and Rehabilitation

Pryor, Aaron	DDS	TN	8064	Dentistry
Ramos, Richard	MD	NC	9801033	Pain Management Anesthesiology
Riso, Anthony	MD	GA	32032	Pain Management Anesthesiology
Rush, Charles	MD	TN	18498	Obstetrics & Gynecology
Schroder, David	MD	VA	0101250899	Orthopaedic Surgery
Shapiro, Steven	MD	GA	039938	Orthopaedic Surgery
		SC	MD28408	
Shaw, Erik	DO	GA	058012	Pain Management Anesthesiology
Shutack, John	MD	VA	0101102740	Neurological Surgery
Siegel, Jerome	MD	GA	031832	Internal Medicine
Simon, Robin	DO	TN	2222	Orthopaedic Surgery
Smith, Glenn	DO	TN	194	Orthopaedic Surgery
Somers, William	MD	TN	29345	Urology
	MD	VA	0101039609	
Stefanoski, Stevco	MD	NC	2008-00561	Internal Medicine
Suthar, Bhavin	MD	VA	0101239456	Pain Management Physical Medicine and Rehabilitation
Szabo, Joshua	MD	NC	200400757	Orthopaedic Surgery
Terry, Kimberly	MD	GA	040849	Neurological Surgery
		NC	2010-01434	
		SC	27189	
		TN	46061	
		VA	0101250777	
Walkup, Martha	DO	TN	0573	Family/General Practice
Wilson, Terrence	MD	GA	060485	Pain Management Physical Medicine and Rehabilitation



Winans, Robert	MD	TN	45896	Orthopaedic Surgery
Wood, James	MD	NC	9701663	Internal Medicine
		SC	28655	
Ximenes, Rey	MD	TN	51689	Pain Management Anesthesiology
Zadeh, Jaffar	MD	VA	0101244912	Internal Medicine