

GRIEVANCE AND UTILIZATION REVIEW APPEAL QUESTIONNAIRE

Company Name: _____ 5-digit NAIC Company Code: _____

Contact: _____ Telephone: _____

Date: _____

1) In the period April 1 - Dec. 31 1997, did the company write any managed care contracts or products as defined in §4801(c) of the New York State Insurance Law ? (See previous page for §4801(c) definition.)

NOTE: Exclude HMO or *HMO line-of-business products*. Yes _____ No _____

If the answer to #1 above is NO, skip to question 5

For managed care contracts as defined in §4801(c) of the Insurance Law:

2) Approximate number of persons covered by such contracts with your company in the State of New York on: 6/30/97 _____; 12/31/97 _____

3) Direct Premium Written for managed care contracts by your company in the State of New York in calendar year 1997 _____.

4) Please provide the number of Grievances and Utilization Review Appeals for Managed Care accident and health care products written by your company in the State of New York:

	(1) Grievances per §4802 of the Insurance Law *	(2) Pre-§4802/4904 Complaints**	(3) Utilization Review Appeals per §4904 of the Insurance Law*
a) Number filed in 1997			
b) Number closed in 1997 (whether filed in 1997 or not)			
c) Number closed in 1997 resulting in a REVERSAL (in whole or in part) of insurer's original determination			
d) Number closed in 1997 in which the insurer's original determination was UPHELD			
e) Number filed in 1997 that were PENDING on 12/31/97			

*Sections 4802 and 4904 were effective April 1, 1997 and apply to all contracts issued, renewed, modified, altered, or amended on or after that date.

**Complaints that were filed or closed prior to the implementation of §4802 of the Insurance Law.

For accident and health insurance contracts (as defined under Section 1113(a)(3) of the Insurance Law) **other than managed care contracts** and Article 43 contracts **other than managed care contracts:**

5) Approximate number of persons covered by such contracts with your company in the State of New York on: 6/30/97 _____; 12/31/97 _____.

6) Direct Premium Written for such contracts by your company in the State of New York in calendar year 1997 _____.

7) Some or all of the contracts referred to in questions #5 and #6 may contain Utilization Review (UR) provisions. Please provide the approximate number of persons covered by nonmanaged care contracts that contain UR provisions on: 6/30/97 _____, 12/31/97 _____.

8) Direct Premium Written for nonmanaged care contracts that contain UR provisions by your company in the State of New York in calendar year 1997 _____.

9) Please provide the number of complaints and Utilization Review Appeals for accident and health insurance contracts and Article 43 contracts other than managed care products written by your company in the State of New York:

	Complaints*	Utilization Review Appeals per §4904 of the Insurance Law**
a) Number filed in 1997		
b) Number closed in 1997 (whether filed in 1997 or earlier)		
c) Number closed in 1997 resulting in a REVERSAL (in whole or in part) of insurer's original determination		
d) Number closed in 1997 in which the insurer's original determination was UPHELD		
e) Number filed in 1997 that were PENDING on 12/31/97		

* Section 4802 of the Insurance Law does *not* apply to nonmanaged care products, thus this column should reflect all nonmanaged care complaints filed and/or closed by your company in 1997.

** Section 4904 was effective April 1, 1997 and applies to all contracts issued, renewed, modified, altered, or amended on or after that date.

RETURN BY JUNE 12 TO WAYNE COTTER, DIRECTOR OF RESEARCH, NEW YORK STATE INSURANCE DEPARTMENT, 25 BEAVER STREET, NEW YORK, N.Y., 10004.