



# Utilization Management Policy

## Critical Data Elements

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### Policy Statement

The critical data elements that impacted a particular utilization review decision will be recorded whenever an adverse clinical determination is rendered.

### Purpose

This policy lists and describes the application of critical data elements as a component of utilization review determinations.

### Scope

All in and out of network programs, involving all provider types, where utilization review (UR) determinations are performed.

### Definitions

*Critical data elements* precisely describe the attributes of an individual clinical presentation that led to the application of a utilization management policy, as the basis for a particular utilization review determination

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## Background

Utilization management policies have been developed to serve as the clinical criteria for utilization review determinations. Clinical review determinations are arrived at following the application of utilization management policies in the context of individual patient clinical presentations. Certain attributes (critical data elements) of a particular clinical presentation significantly contribute to utilization review decision making.

## Data Elements

The critical data elements used by Optum\* by OptumHealth Care Solutions, LLC peer reviewers are classified as follows:

1. Demographic and Historical Elements e.g., patient's age, previous treatment, etc.
2. Nature of Complaint/Diagnosis e.g., location and distribution of complaint, etc.
3. Phase/Plan/Type/Level of Care and Nature of Condition e.g., initial or ongoing plan of care, acute or chronic care management, etc.
4. Patient-Reported Measures, Treatment Goals and Outcomes e.g., pain frequency and intensity, progress with treatment, probability of further improvement with treatment, etc.

## References

1. Bogduk N. McGuirk B. Medical management of acute and chronic low back pain: an evidence-based approach, 2002; *Elsevier*: Amsterdam, The Netherlands
2. Waddell G. The back pain revolution, 2004; *Churchill Livingstone*: Edinburgh, UK
3. Yeomans S. The clinical application of outcomes assessment, 2000; *Appleton & Lange*: Stamford, CT
4. Kaplan SL. Outcome measurement & management, 2007; *F.A. Davis Company*: Philadelphia, PA
5. Guide to physical therapy practice, 2<sup>nd</sup> edition 2003; *American Physical Therapy Association*: Alexandria, VA

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## Policy History/Revision Information

Date	Action/Description
9/20/2002	Original effective date
11/11/2003	Annual review and approval completed
10/18/2004	Annual review and approval completed
2/14/2006	Annual review and approval completed
4/10/2008	Annual review and approval completed
1/15/2009	Policy reformatted
4/30/2009	Annual review and approval completed
4/08/2010	Annual review and approval completed
10/07/2010	Policy revised to include a transitional period of care; data elements updated
10/26/2010	Policy rebranded to "OptumHealth Care Solutions, Inc. (OptumHealth)"
4/07/2011	Annual review and approval completed
4/19/2012	Annual review and approval completed
4/18/2013	Annual review and approval completed
4/17/2014	Annual review and approval completed; Policy rebranded "Optum* by OptumHealth Care Solutions, Inc."
4/16/2015	Annual review and approval completed
4/21/2016	Annual review and approval completed
4/20/2017	Annual review and approval completed; Policy Statement revised (application to transitional care period was deleted); Data element list revised to reflect current response language used in member and provider UR decision notifications. Legal entity name changed from "OptumHealth Care Solutions, Inc." to "OptumHealth Care Solutions, LLC."
4/26/2018	Annual review and approval completed; deleted two redundant data elements
4/25/2019	Annual review and approval; reformatted the critical data elements list; added 32 critical data elements concerning the nature of complaint/diagnosis, phase/plan/type/level of care and nature of condition, and patient-reported measures, treatment goals and outcomes
4/23/2020	Annual review and approval completed. Updated Data Elements List
4/22/2021	Annual review and approval completed. Replaced list of individual data elements with a categorical list of the types of critical data elements.
5/03/2022	Annual review and approval completed
6/29/2022	Updated legal entity name "OptumHealth Care Solutions, LLC." to *Optum™ Physical Health ("Optum") includes OptumHealth Care Solutions, LLC; ACN Group IPA of New York, Inc.; ACN Group IPA of California, Inc. d/b/a OptumHealth Physical Health of California; Managed Physical Network, Inc.; and OrthoNet Holdings, Inc. which includes OrthoNet New York IPA, Inc., OrthoNet West, Inc., OrthoNet, LLC, OrthoNet of the South, Inc.
4/27/23	Annual review and approval completed; no significant changes made to the document. Updated contact email from policy.inquiry@optumhealth.com to phpolicy_inquiry@optum.com.

## Contact Information

Please forward any commentary or feedback on Optum utilization management policies to: [phpolicy\\_inquiry@optum.com](mailto:phpolicy_inquiry@optum.com) with the word "Policy" in the subject line.

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## Utilization Management Policy

Certain internal policies may not be applicable to self-funded members and certain insured products. Refer to the member's Summary Plan Description (SPD) or Certificate of Coverage (COC) to determine whether coverage is provided or if there are any exclusions or benefit limitations applicable to any of these policies. If there is a difference between any policy and the member's SPD or COC, the member's SPD or COC will govern.