

Texas Workers' Compensation

Designated Doctor Process Overview

Presented by Michael Sheppard, D.C.



Topics

- Role of the Designated Doctor
- Certification and Recertification
- Review DWC Form-032, Request for Designated Doctor Examination
- DD Selection and Qualifications
- Disqualifying Associations
- Administrative Violations
- Training and Testing
- Designated Doctor Examination Duties and Responsibilities
- Designated Doctor Reports





Role of the Designated Doctor (DD)

- Impartial, objective medical expert selected and ordered by DWC
- Answers specific questions
- Does not recommend or provide treatment



Importance of DD Opinion

- The report of DD is given presumptive weight in dispute resolution unless preponderance of evidence is to the contrary
- Insurance Carrier (IC) required to pay income and medical benefits based on opinion of DD during pending dispute

DD Reports in Dispute Resolution

DD reports facilitate informal resolution of many issues

 In event parties cannot resolve issues in dispute based on DD's report, they may pursue issues through DWC dispute resolution process

- Benefit Review Conference
- Contested Case Hearing
- Appeals Panel
- Courts



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What's New – effective 6/5/2023

DD Rule Changes – Qualifications

- Physicians with specialties in Emergency Medicine, Orthopedics, Plastic Surgery, PM&R, Occupational Medicine are qualified to evaluate:
 - any joint dislocation
 - one or more fractures with vascular injury
 - one or more pelvis fractures
 - multiple rib fractures



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What's New - effective 6/5/2023

DD Rule Changes – Qualifications

- Physicians with specialties in Neurological Surgery, Neurology, Orthopedic surgery, Occupational Medicine and PM&R are qualified to evaluate spinal cord injuries and diagnoses, including a spinal fracture with:
 - Neurological injury, or vascular injury, more than one spinal fracture or cauda equina syndrome





What's New — effective 6/5/2023 DD Rule Changes — Qualifications

- Physicians with specialties Neurological Surgery, Neurology, PM&R and Psychiatry, Orthopaedic Surgery, Occupational Medicine, Dermatology, Plastic Surgery, Surgery, Anesthesiology with a Subspecialty in Pain Medicine, Emergency Medicine, Internal Medicine, Thoracic and Cardiac Surgery, or Family Medicine are qualified to evaluate Traumatic Brain Injury.
 - This includes diagnoses of concussion and post-concussion syndrome.

What's New

Designated Doctor rule changes

View the Designated doctor rules §127.1-127.25 and §180.23 at:

https://www.tdi.texas.gov//wc/rules/index.html



Certification and Recertification



Certification

- Complete required certification training
- Pass or have passed a division required test (on or after May 13, 2013)
- Submit a completed DWC Form-067,
 Designated Doctor Certification Application

DD Certification and Recertification Rules, 28 Texas Administrative Code Sections 127.100



Recertification

- DDs must train, and submit a completed application every two years for recertification
- Re-testing is no longer required every two years as of 4/30/2023

DD Certification and Recertification Rules, 28 Texas Administrative Code Sections 127.100



What's New – effective 4/30/2023 DD Rule Changes – DD testing

Doctors may be required to complete additional certification testing to demonstrate proficient knowledge on the specific duties of a designated doctor under the Labor Code and division rules.

Examples of circumstances that may require additional testing include, but are not limited to:

- Changes in the duties of a designated doctor
- Updates to the guidelines
- Legislative changes
- Substandard performance





Requesting DD Examinations

Let's review DWC Form-032

Revised for use on or after 6/5/2023

Division of Workers' Compensation
PO Box 12050 Austin, TX 78711 800-252-7031 tdi.texas.gov/wc

DWC032
Complete, if known:
DWC claim #
Insurance carrier claim #

Request for designated doctor examination

Este formulario está disponible en español en el sitio web de la División en <u>www.tdi.texas.qov/forms/dwc/dwc045brcs.pdf</u>

Para obtener asistencia en español, llame a la División al 800-252-7031.

1. Employee's name (first, middle, last)	2. Social Security number
3. Employee's address (street or PO box, city, state, ZIP code)	4. Employee's county
5. Employee's primary phone number	6. Employee's alternate phone number
7. Employee's date of birth (mm/dd/yyyy)	8. Date of injury (mm/dd/yyyy)
9. Representative's name (first, middle, last)	10. Representative's phone number
11. Representative's email address	12. Representative's fax number
13. Employer's name	14. Employer's phone number

16. Insurance carrier's name			
17. Insurance carrier's address (street or	r PO box, city, state, ZIP code)		
18. Adjuster's name (first, middle, last)	19. Adjuster's	19. Adjuster's email	
20. Adjuster's phone number	21. Adjuster's	fax number	
22. Does the claim have medical beneficare network? Yes No If yes, p			
	provide the name of the network.		
care network? Yes No If yes, p	provide the name of the network. fits provided through a political	I subdivision according to Labo	
care network? Yes No If yes, p 23. Does the claim have medical bene-	provide the name of the network. fits provided through a political	I subdivision according to Labo	
care network? Yes No If yes, p 23. Does the claim have medical bene Code Section 504.053(b)(2), directly of	provide the name of the network. fits provided through a political contracting with health care pro	I subdivision according to Labo	
care network? Yes No If yes, p 23. Does the claim have medical bene Code Section 504.053(b)(2), directly of health benefits pool? Yes No	provide the name of the network. fits provided through a political contracting with health care pro	I subdivision according to Labo	





DWC Form-032 (cont'd)

Section II: Insurance Carrier Information

Information concerning networks is needed to identify disqualifying associations

- Box 22
- Network name required for claims with medical benefits provided through a Certified Workers' Compensation Health Care Network
- Box 23
 - Health care plan name required for claims with medical benefits provided through a political subdivision pursuant to <u>TLC §504.053(b)(2)</u>



DWC Form-032 (cont'd)

Insurance Carrier Information

Billing information for the insurance carrier is now provided on the Order for the designated doctor examination.





DWC Form-032 (cont'd)

New DWC Form-032

Injuries accepted by the insurance carrier or legally determined as compensable will no longer be included on the DWC - 032 form.

As the DD, you define the compensable injury TAC §130.1(b)(4) & (c)(3)

When determining Extent of injury you must address all body parts, injuries and conditions listed in Box 31C of the DWC-032.



DWC Form-032 (cont'd) V. Purpose for Examination

Box 31 The requestor checks potential Box(es) A through G for the issues the Designated Doctor is to address.

- A = Maximum Medical Improvement (MMI)
- B = Impairment Rating (IR)
- C = Extent of Injury (EOI)
- D = Disability Direct Result (DDR)
- E = Return to Work



DWC Form-032 (cont'd) V. Purpose for Examination

Box 31 The requestor checks potential Box(es) A through G for the issues the Designated Doctor is to address.

F = Return to Work (Supplemental Income Benefits)

G = Other Similar issues.



DWC Form-032 *(cont'd)*Purpose for Examination - MMI

Box 31

Block A - Maximum Medical Improvement (MMI)

- Question for DD
 - Has MMI been reached?
 - If so, on what date?
 - Statutory MMI Date, if any, is listed here by the requestor



DWC Form-032 (cont'd) Purpose for Examination - IR Box 31

Block B, Impairment Rating (IR)

- Question for DD:
 - As of MMI date* what is impairment rating?
- * Impairment rating is based on employee's medical condition on date of MMI (see 28 TAC §130.1)

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DWC Form-032 (cont'd) Purpose for Examination – EOI

Box 31, Block C Extent of Injury (EOI)

- Question for DD
 - Was accident or incident giving rise to compensable injury a substantial factor in bringing about additional claimed injuries or conditions, and without it, additional injuries or conditions would not have occurred?
 - Address each/all injuries (diagnoses/body parts/conditions listed in 31C)



DWC Form-032 (cont'd) Purpose for Examination – Disability (Direct Result)

Box 31, Block D

Disability - Direct Result

- Question for DD:
 - Is employee's inability to obtain and retain employment at wages equivalent to the pre-injury wage a direct result of compensable injury?
- The requestor should provide beginning and ending dates for each period covered by request if requesting DD to address a time period other than present



DWC Form-032 (cont'd) Purpose for Examination – Return to Work

Box 31, Block E

Return to Work

Question for DD:

- Is the injured employee able to return to work in any capacity and what work activities can the injured employee perform?
- The requestor should provide beginning and ending dates for each period covered by request if requesting DD to address a time period other than present



DWC Form-032 (cont'd) Purpose for Examination – RTW (SIBs)

Box 31, Block F

Return to Work (RTW) for Supplemental Income Benefits (SIBs)

- Question for DD:
 - Has injured employee's medical condition improved sufficiently to allow employee to return to work in any capacity for identified qualifying period(s)?
- The requestor must provide beginning and ending dates for each period covered by request if requesting DD to address a time period other than present
- Further discussion in RTW/MDG presentation





DWC Form-032 (cont'd) Purpose for Examination – Other Similar Issues

Box 31 Block G

- Other Similar Issues
- Lifetime Income Benefits
- Parties may not request DD examination for developing treatment plans, determining appropriateness of medical care or determining compensability



DD Selection and Qualifications

Selecting Designated Doctors

- DWC selects next available doctor on the designated doctor list (DDL)
- A DD is available if doctor
 - Does not have any disqualifying associations;
 - Is appropriately qualified under <u>28 TAC §127.130</u>;
 - Is certified as DD on the date exam is offered and has not failed to timely file for recertification (except for previously assigned exams); and
 - Has not treated injured employee within past year;
 AND has never treated injured employee related to medical condition being evaluated in current DD examination
 28 TAC §127.5(c)



Selecting Designated Doctors (cont'd)

- A DD is qualified if the DD meets appropriate qualification criteria for the area of the body affected by injury and injured employee's diagnosis
- 28 TAC §127.130(b)



Selecting Designated Doctors (cont'd)

A DD who was qualified and performed an initial examination of an injured employee

- SHALL remain assigned to claim and perform all subsequent exams
- Refusal of a subsequent exam is administrative violation
- Unless DWC authorizes removal or requires DD to leave the claim
- 28 TAC §127.130(e)



Disqualifying Associations



Disqualifying Associations

Any association that may reasonably be perceived as having potential to influence the conduct or decision of DD

28 TAC §127.140(a)



Disqualifying Associations (cont'd)

Disqualifying Associations Include

- A contract with same workers' compensation health care network <u>TIC Chapter 1305</u>
- A contract with same political subdivision or political subdivision health plan (<u>TLC Chapter</u> <u>504</u>) that is responsible for providing medical benefits to the injured employee
- 28 TAC §127.140(a)



Rule Clarification 127.10(c)(4)(A)&(B)

Any additional testing or referrals required for the evaluation of an injured employee in a network or political subdivision under Labor Code §504.053(b):

- (A) are not required to use a provider in the same network as the injured employee; and
- (B) are not subject to the network or out of network restrictions



Disqualifying Associations (cont'd)

A DD shall also have a disqualifying association relevant to an examination or claim if an agent of the DD has a disqualifying association as defined by

28 TAC §127.140(b)



Designated Doctor Agents

For purposes of all applicable laws and DWC rules

- Any person with whom a DD contracts or permits to perform DD administrative duties on behalf of DD qualifies as DD's agent as defined by 28 TAC §180.1
- 28 TAC §127.200(b)



Disqualifying Associations (cont'd)

Insurance carriers shall notify DWC of any disqualifying associations between the DD and injured employee because of network or political subdivision affiliations within five days of receiving DWC order for the DD examination

28 TAC §127.140(d)



DD Administrative Violations

- A DD is liable for all administrative violations committed by their agents on their behalf
- Process for notification and appeal of a sanction is governed by 28 TAC §180.27 and suspension, revocation, or other sanctions will remain in effect pending appeal
- 28 TAC §127.210(b) and (c)



Training and Testing



Additional Training Webinars and Workshops

- DD 101 webinar
- Case-Based webinar series
- Extent of Injury Webinar
- Live MSK Examination workshop
- Check the DD website homepage for additional information
 - http://www.tdi.texas.gov//wc/dd/index.html





Testing

- DD tests developed by DWC to ensure competency of DD
- Administered by PSI Exams
 - Test taken at PSI examination site
 - Candidate Information Bulletin in book
 - http://www.psiexams.com
 - (855) 746-8173



Testing (cont'd)

Current number of test questions

DD MD/DO	55 questions
DD DC	55 questions
DD DPM	30 questions
MD/DO MMI/IR only	45 questions
DC MMI/IR only	45 questions

Up to 5 hours to complete



Certifying Doctor (MMI and IR only) and Ancillary Provider Training

Certification & Recertification

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Training & Testing to be Completed

Certifying Doctor

- Must complete required training and pass or have passed the division required MMI & IR test on or after May 13, 2013.
- DWC approved training must be completed every two years.
 28 TAC §180.23
- Health care practitioners performing ROM, sensory and strength testing
 - Training required every two years
 - Testing not required
 - 28 TAC §130.1



DD Examination Requirements and Duties



DD Exam - General Provisions

- DD can receive injured employee's confidential medical records and analyses without signed release
- Treating doctor and insurance carrier shall ensure required records are received by DD no later than 3 working days prior to exam
- 28 TAC §127.10(a)



Medical Records

If DD does not have records 3 days prior to exam, DD must

- Contact DWC
- Not conduct examination until all records received
- Reschedule appointment if records are not received within one working day or if DD does not have sufficient time to review late records before exam

DWC shall

- Take action necessary to ensure that DD receives records
 - 28 TAC §127.10(a)(3)
 - Email: <u>DDRecords@tdi.texas.gov</u>
 - Or, request DWC assistance from your TXCOMP profile





Review of Medical Records

DD shall

- Review records received from treating doctor,
 DWC and IC before examining IE
- Review medical records provided by IE
- 28 TAC §127.10(b)



Additional Testing and Referrals

- DD must perform additional testing and make necessary referrals (when not qualified) when necessary to resolve issue in question
- Testing and referrals by DD not subject to preauthorization or denial retrospectively based on medical necessity, extent or compensability
- 28 TAC §127.10(c)



Additional Testing and Referrals

If additional testing or referrals are necessary, include in your report:

- WHY the referral was necessary to resolve the issue in question
- WHAT were the results don't just attach a copy of the report. Indicate what you felt to be relevant,
- HOW did the results affect your medical decision process



Additional Testing and Referrals (cont'd)

- If testing or referral is ordered DD has 15 working days to complete DD report
- Prior to 15th working day following exam
 - DD can seek DWC approval for additional time to complete report*
- If IE does not attend testing or referral
 - DD shall note that in report and complete report based on exam, records and other information available*
- 28 TAC §127.10(c)





Scheduling Issues

- Examination address cannot be changed without good cause and approval from DWC
- If scheduling conflicts exist
 - DD or injured employee must make contact at least one working day* prior to appointment
 * change from 24 hours in previous version of 28 TAC § 127.5(e)
- 28 TAC §127.5(b) and (h)



Scheduling Issues (cont'd)

- If scheduling conflicts exist
 - If both DD and injured employee agree to reschedule examination, the rescheduled examination shall be set to occur no later than 21 days after scheduled date of originally scheduled examination and may not be rescheduled to occur before originally scheduled examination
- 28 TAC §127.5(j)



Scheduling Issues (cont'd)

- If rescheduled, DD must contact DWC, IE (or rep), treating doctor, and carrier with time and date of new exam
- If exam cannot be rescheduled within 21 days of original exam date OR if IE does not attend, DD shall notify DWC
 - DWC may select new DD after receiving notice
- 28 TAC §127.5(j)



Designated Doctor Duties

A DD shall

- Perform DD examinations in a facility currently used and properly equipped for medical examinations or other similar health care services that ensures safety, privacy and accessibility for the injured employees, injured employees' medical records and other records containing confidential claim information
- 28 TAC §127.200(a)(1)



- Ensure confidentiality of
 - Medical records
 - Analyses
 - Forms provided to or generated by DD for duration of retention period
- Ensure destruction of these medical records after retention expires and DD determines information is no longer needed
- 28 TAC §127.200(a)(2)



Designated Doctor Agents

For purposes of all applicable laws and DWC rules

- Any person with whom a DD contracts or permits to perform DD administrative duties on behalf of DD qualifies as DD's agent as defined by 28 TAC §180.1
- 28 TAC §127.200(b)



- Ensure all agreements with those permitted to perform DD administrative duties (including billing and scheduling duties) on behalf of DD
 - Are in writing and signed by DD and contracting person
 - Define administrative duties that may be performed on behalf of DD
- 28 TAC §127.200(a)(3)



- Require persons with whom DD contracts to comply with all confidentiality provisions of Texas Labor Code and all other applicable laws
- Comply with <u>28 TAC Chapter 133</u> medical billing and payment requirements
- Do not constitute improper inducements under <u>TLC §415.0036</u> and <u>28 TAC §180.25</u>
- Are made available to DWC upon request
- 28 TAC §127.200(a)(3)



Notify DWC in writing and in advance if DD voluntarily decides to defer DD's availability to receive offers of examinations for personal or other reasons and specify duration of and reason for deferral

28 TAC §127.200(a)(4)





- Notify DWC in writing and in advance if DD no longer wishes to practice as DD before DD's current certification expires
- A DD who no longer wishes to practice as a DD, before DD's current certification expires, must expressly surrender DD's certification in a signed, written statement to DWC
- 28 TAC §127.200(a)(5)



Be physically present in same room as injured employee for DD examination or any other health care service provided to injured employee that is NOT referred to another health care provider under 28 TAC §127.10(c)

28 TAC §127.200(a)(6)



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Designated Doctor Duties (cont'd)

- A DD shall, when appropriate
 - Apply appropriate edition of
 - American Medical Association Guides to the Evaluation of Permanent Impairment, and
 - DWC-adopted return-to-work guidelines
 - And consider
 - DWC-adopted treatment guidelines
 - Other evidence-based medicine
- 28 TAC §127.200(a)(7)





A DD shall

- Provide DWC with updated information within 10 working days of change in any of information provided to DWC on doctor's application for certification or recertification as a DD
- 28 TAC §127.200(a)(8)



Maintain a professional and courteous demeanor when performing duties of a DD, including

- Explaining purpose of DD examination to injured employee at beginning of examination
- Using non-inflammatory, appropriate language in all reports and documents produced by DD



A DD can file a complaint

- Get complaint form online: <u>https://www.tdi.texas.gov/wc/ci/wccomplaint.html</u>:
- By fax: 512-490-1030
- By e-mail: <u>DWCCOMPLAINTS@tdi.Texas.gov</u>
- By mail:

Texas Department of Insurance
Division of Workers' Compensation
7551 Metro Center Dr., Suite 100, MS-603
Austin, Texas 78744





A DD shall

- Respond timely to all DWC inquiries regarding
 - Appointments
 - Clarification
 - Document requests
 - All other inquiries

28 TAC §127.200(a)(11)



Notify DWC if a DD's continued participation on claim would require DD to exceed the scope of practice authorized by doctor's license

28 TAC §127.200(a)(12)



- On a claim to which DD has already been assigned as DD
- A DD shall NOT perform
 - Required medical examinations
 - Utilization reviews
 - Peer reviews
- 28 TAC §127.200(a)(13)



A DD shall

- shall consent to any on-site visits, as provided by §127.200(a)(15 to ensure DD compliance with the Act and applicable DWC rules*
 - DWC will notify DD in advance or at time of visit of specific duties being investigated at time of visit
- 28 TAC §127.200(a)(15)





- Identify themselves at beginning of every DD examination
- Cooperate with all DWC audits and quality reviews
- Comply with all applicable laws and rules
- 28 TAC §127.200(a)(14), (16) and (17)



Bill and receive payment for DD examinations in accordance with 28 TAC Chapters 133 and 134

28 TAC §127.200(a)(10)



Designated Doctor Duties (cont'd)

Comply with accommodation requirements of Title II of the Americans with Disabilities Act (ADA)

- When DD receives request for accommodation, they should make every effort to provide accommodation
- If not able to provide accommodation, DD should contact DWC Claims and Customer Services prior to performing examination



DD Report Requirements

Designated Doctor Reports

- All reports (narrative reports and forms) due seven working days after examination
 - DWC Form-068, Designated Doctor Examination Data Report
 - EOI, Disability, Other similar issues
 - DWC Form-069, Report of Medical Evaluation
 - MMI/IR
 - DWC Form-073, Work Status Report
 - RTW
- Any additional testing or referral examination and DD's report must be completed within 15 working days of DD's physical examination of injured employee unless DD requests and receives approval from DWC for additional time before expiration of the 15 working days



General Reporting Requirements *(cont'd)*28 TAC §127.10(d)

MMI/IR examinations according to 28 TAC §130.1 Rule Amendments effective 6/5/2023:

- Do NOT provide multiple certifications when addressing MMI, IR and EOI. In a single exam
- Provide multiple certifications ONLY when ordered by Presiding Officer Directive (POD)
- Return-to-work exams according to 28 TAC 129.5.



Narrative Report Requirements

- Identify questions DWC ordered DD to address and
 - Provide clearly defined answer to ordered question(s)
 - Not answer question(s) not ordered to be addressed
 - Sufficiently explain how DD determined answer(s) within a reasonable degree of medical probability
- 28 TAC §127.220(a)(1), (2) and (3)



Include general information regarding identity of

- Designated Doctor
- Injured Employee
- Employer
- Treating doctor
- Insurance carrier
- 28 TAC §127.220(a)(5)



- State date of exam and address where exam took place
- List specific medical records or other documents DD reviewed including dates of those documents and which, if any, were provided by injured employee
- Provide the total amount of time required for review of the medical records

28 TAC §127.220(a)(6) and (9)



Include narrative description of and documentation of time DD began and completed the following

- Taking medical history
- Physically examining injured employee
- Engaging in medical decision making
- 28 TAC §127.220(a)(8)





Summarize additional testing conducted or referrals made including

- Identity of referral health care provider
- Types of tests conducted or referrals made and dates tests or referral examinations occurred
- Explain why testing/referral was necessary to resolve a question at issue in the exam
- New requirement Note the date the testing or referral examination was done.
- 28 TAC §127.220(a)(7)



Demonstrate, as appropriate, application or consideration of

- AMA Guides to the Evaluation of Permanent Impairment, 4th Edition
- DWC-adopted return-to-work guidelines (currently the MDGuidelines - MDG)
- DWC-adopted treatment guidelines
 (currently the Official Disability Guidelines ODG)
- Other evidence-based medicine
- 28 TAC §127.220(a)(4)



- Be signed by DD who performed exam
- Include a statement of no known disqualifying association

28 TAC §127.220(a)(10-13)



- Include certification of date report was sent to all required recipients and in required manner
- Indicate report was reviewed and approved in final form by DD
- 28 TAC §127.220(a)(10-13)



The rules pertaining to narrative report and form requirements s can be found in one document at:

www.tdi.texas.gov/wc/dd/documents/ddrepor trules.pdf



General Reporting Provisions

- Reports shall be filed with all parties and DWC and treating doctor
- DD must maintain records for a minimum of 5 years from date of last DD exam of injured employee (or longer if required by DD's licensing board)
- Parties may dispute entitlement to benefits affected by DD report through DWC dispute resolution
- 28 TAC §127.10(g),(i), and (j)





Requests for Clarification

- To respond to requests for clarification DD must be on DWC DD list at time request is received by DWC
- DD shall respond to requests for clarification within five working days
- DD must request approval from DWC to perform re-examination

28 TAC §127.20(d)



Thank you



Certification of Successful Completion

Certification or recertification as a designated doctor requires a certificate of successful completion of all required DWC training, including recorded presentations and live webinars

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Certification of Successful Completion

- A designated doctor must submit the DWC attestation to validate viewing the recorded presentations.
- 2. Live webinar participation is confirmed by registration and attendance during the live event
- 3. A certificate of successful completion is emailed to the designated doctor after completing the entire course
- 4. The certificate of successful completion must be submitted with the completed certification application or recertification application

Find the DWC attestation of completion

at: https://www.tdi.texas.gov/wc/dd/documents/ddattestation.pdf

View all required and optional training

at: https://wwww.tdi.texas.gov/wc/dd/training.html

