



## Utilization Review Agent Application Tips

January 30, 2025

- The Managed Care Quality Assurance (MCQA) Utilization Review Agent (URA) Applications Team licenses and regulates Texas URAs to make sure compliance with:
  - Texas Insurance Code (TIC) Chapters [4201](#) and [1305](#).
  - Texas Administrative Code (TAC) Chapter 10, [Subchapter F](#) – Workers' Compensation.
  - TAC Chapter 19:
    - [Subchapter R](#) – Health
    - [Subchapter U](#) – Workers' Compensation
- The URA application process facilitates delivery of the required information within the necessary deadlines based on the type of application.

## Utilization review definitions

- **Utilization review:** A system for prospective, concurrent, or retrospective review to determine the medical necessity and appropriateness or the experimental or investigational nature of health care services. Doesn't include a review in response to an elective request for coverage clarification.
- **URA:** an entity that conducts utilization review for:
  - An employer with Texas employees covered under a health benefit plan or health insurance policy.
  - A payor.
  - An administrator holding a certificate of authority under [TIC 4151](#).
- **Utilization review plan:** The screening criteria and URA review.

# TDI | URA application form

**TDI** | Texas Department  
of Insurance

LHL005 | 0923

## Utilization Review Agent (URA) Application

### Type of Application (must check one)

- Original Application (Certified): **Fee - \$2,150**
- Original Application (Registered): **No Fee**
- Renewal Application (Certified): **Fee - \$545**, URA Number \_\_\_\_\_
- Renewal Application (Registered): **No Fee**, URA Number \_\_\_\_\_
- Update / Change to Application: **No Fee**, URA Number \_\_\_\_\_

### Organizational Information

Name of Applicant \_\_\_\_\_ FEIN \_\_\_\_\_

Business Address (Do not use PO Box) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Mailing Address (If different) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

# TDI | Form reminders

- Original Application (Registered): **No Fee**
- Renewal Application (Certified): **Fee - \$545**, URA Number \_\_\_\_\_
- Renewal Application (Registered): **No Fee**, URA Number \_\_\_\_\_
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Name of Applicant \_\_\_\_\_ FEIN \_\_\_\_\_

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Mailing Address (If different) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

**Official Email Address** \_\_\_\_\_ (Required by [28 TAC 1.1302](#))

Business Telephone Number \_\_\_\_\_ Fax Number \_\_\_\_\_

Toll-Free Number \_\_\_\_\_ (Required by [TIC Section 4201.004](#))

**Normal Business Hours** \_\_\_\_\_ (Required by [TIC Section 4201.004](#) – must provide business hours in both time zones in Texas - Central and Mountain time)

## Agent for Service of Process in Texas

Name \_\_\_\_\_

Email \_\_\_\_\_

Address (do not use PO Box) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Telephone Number \_\_\_\_\_ Fax Number \_\_\_\_\_

**If not domiciled in Texas, select "NAIC Uniform Certificate of Authority Application forms (naic.org)" from the [Company Licensing and Registration Forms page](#), click on the "Expansion App" tab, and choose Form No. 12, "Uniform Consent to Service of Process (Expansion and Corporate Amendments Only)."**

## Primary Contact Person for Complaints

Name \_\_\_\_\_

Email \_\_\_\_\_

Address (do not use PO Box) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Telephone Number \_\_\_\_\_ Fax Number \_\_\_\_\_

# TDI | URA renewal applications deadlines

- URAs are required to submit a license renewal application every two years.
- TDI must receive the completed URA application form, exhibits, and fee no later than the license expiration date.
- If a URA submits a complete application:
  - No later than the expiration date - May operate until TDI renews license.
  - Within 90 calendar days of expiration - May not operate until TDI issues the renewal.
- If the license has been expired for more than 90 calendar days, the URA must get a new license by submitting an original application.

# TDI | URA renewal applications

- Submission instructions are posted [online](#).
- Include the following on company letterhead, signed by an authorized URA representative:
  - An explanation of the intent of the submission with the URA license name and number.
  - Confirmation that adverse determination notice template letters, submitted as part of the renewal, are the ones the MCQA office approved with the last renewal or update application and that the URA is currently issuing to the involved parties.
- Our goal is to process renewals within 30 days.

# TDI | Online submissions for renewals

- Start the URA license renewal process [online](#).
- Read applicable laws, rules, and all instructions.
- To renew online:
  - Texas resident license tutorial.
  - Non-resident license tutorial.
  - Email the required application exhibits
    - Use: “URA Renewal Application for [insert company name on application]” for the subject line
    - Naming convention for the renewal documents.

# TDI | Renewal applications file names

## Documents

## File name

Exhibit 1:

Categories of personnel

1 Personnel list

Exhibit 2:

Initial AD letter

2 Initial AD

Exhibit 2:

AD appeal acknowledgement letter

2 Appeal ack

Exhibit 2:

AD appeal determination letter

2 Appeal AD

URA application LHL005

LHL005

# TDI | License changes

- URAs must report material license changes within 30 days of the change by submitting an update application.
- Changes can't be submitted in a renewal application.
- Submission instructions can be found by scrolling to the "Updates" section here: [tdi.texas.gov//hmo/mcqa/renewura.html](https://tdi.texas.gov/hmo/mcqa/renewura.html).
- Include an explanation of what is changing in a cover letter on company letterhead, signed by an authorized URA representative.
- Include the effective date of the change within your cover letter.

# TDI | Electronic submission for updates

- Read applicable laws and rules and all update instructions.
- [Email the application](#) with the required application exhibits with the subject line: “URA Update Application for [insert company name on application]”
- Naming convention for the update documents.
- Examples of material changes include:
  - New officers and directors.
  - Changes in the organizational structure or contractual relationships.
  - Changes in the utilization review plan or to adverse determination notices.
  - Adding a new line of utilization review.

# TDI | EIN or Tax ID changes

- URA licenses are non-transferable.
- EIN or Tax ID changes require a new original application.
- Only report URA related changes in a URA update application.
- Don't submit changes in a URA application for license types that are not related to the URA. These submissions will be rejected.

# TDI | Name changes

Include the following, and make sure each document lists the URA's new name in full, including the DBA, LLC, etc.:

- A "certificate of fact-status" or "certificate of status" letter from the Texas Secretary of State (SOS), showing you've filed the appropriate paperwork to conduct business in Texas under the EIN and name as listed in the URA application.
- A letter of good standing ("Franchise Tax Account Status") from the Texas Comptroller of Public Accounts. The "letter (or certificate) of good standing" is also referred to as a "certificate of account status" (not to be confused with the SOS "certificate of status").
- Follow your TDI analyst's guidance, as additional documentation may be required based on the specific application.

# **TDI** | Reporting officer and director changes

- Include a biographical affidavit for each officer and director.
- Biographical affidavit forms can be found on our website.
- Make sure that the URA name is listed exactly as it is licensed with TDI.
- Biographical affidavits listed under a different company name, even if it is a parent or affiliate company, won't be accepted.
- Incomplete biographical affidavits won't be accepted.

# **TDI** | Fingerprint requirements

- Fingerprint receipts required for each officer and director.
- Send the receipts to MCQA, even if you've submitted them to TDI before. We must account for the receipts within our systems.
- Don't include the hard copy fingerprint cards with the fingerprint. These will be securely destroyed if we receive them.

# TDI | Before you apply

- Only a certified URA must pay an application fee. Registered URAs don't require a fee.
- A certified URA may conduct a review for a health benefit plan or health insurance policy, a payor, or a third-party administrator.
- A registered URA may only perform a review for its own insureds or enrollees.
- Registered URAs are required to comply with state law as a condition of licensure.

# **TDI** | Original application applicability and fee

- The application fee listed in 28 TAC 19.802(b)(16)(A) is non-refundable per 28 TAC 19.1704(f) and 28 TAC 19.2004(f).
- To see if a URA license is necessary, review applicable sections of:
  - TIC Chapter 4201, Subchapter B.
  - 28 TAC 19.1702.
  - 28 TAC 19.2002.

# TDI | URA original application guidance

- Submission instructions are [online](#).
- Read applicable laws and rules and all instructions.
- Fees must be mailed to TDI.
- [Email the application](#) with the required exhibits with the subject line: “URA Original Application for [insert company name on application]”.
- Naming convention for the documents.

# TDI | Original application file names

## Documents

## File names

Exhibit 1:  
Summary of the Utilization Review Plan

1 UR plan p&p

Attachment A:  
General Standards of UR

1A UR standards p&p

Attachment B:  
Mental process & progress notes

1B Mental health p&p

Attachment C:  
Notice of determinations made in utilization review

1C AD p&p

Notice of adverse determination letter

1C AD letter

# TDI | Personnel list

For all qualification types (health, specialty health, and workers' compensation network and non-network):

- Send to TDI:
  - Full name.
  - License type.
  - License number.
  - Licensing state.
  - Qualifications of the personnel either employed or under contract to perform the UR with an original or renewal application.

# TDI | Personnel list example entries

Full name	License type	License number	Licensure state	Qualifications
John Doe, MD	Physician	123456	TX	Pediatrics
Jane Smith, MD	Physician	245678	GA	OB-GYN
Walter Miller, DC	Chiropractor	697432	MD	Rehabilitation, Internist

# TDI | Personnel list

- Pending licenses and contracts won't be accepted.
- All personnel must be fully licensed in accordance with state law.
  - Health TIC 4201 Subchapter F, 28 TAC 19.1706
  - Workers' compensation [28 TAC 19.2006](#)
- Delegation is allowed under TIC 4201.251.
- If delegated UR personnel will be used, include them in the personnel list and specify that they are delegated.
- Personnel list for a worker's compensation URA must be comprised of Texas-licensed providers.

# TDI | Personnel list

- Provide a copy of the Texas license and a statement specifying the name of the Texas licensed physician who will oversee UR.
- Include that person on the personnel list.
  - Health [28 TAC 19.1705\(a\)](#)
  - Specialty health [28 TAC 19.1716\(b\)](#)
  - Workers' compensation [28 TAC 19.2006\(e\)](#)

# TDI | Acquired brain injury training

- For health and specialty health qualifications, [you must](#) provide evidence of acquired brain injury (ABI) training, even if you don't intend to perform UR related to ABI in practice.
- See [28 TAC 21.3104](#) for more details on ABI training.

# **TDI** | Avoid processing delays with originals

- Follow submission instructions exactly and contact us if you've any questions.
- Full submission instructions for URA applications are [online](#).
- Your application isn't complete until:
  - All required exhibits and attachments are received.
  - Application fee is received.
- Once your application is complete, we will perform a comprehensive application review to compare the application to Texas requirements.
- TDI will issue or deny a complete application within 60 days of receipt.

# TDI | URA application for originals

## TDI Form [LHL005](#)

- Complete the form entirely. Enter N/A if something is not applicable.
- Make sure you enter your business hours in the Central and Mountain time zones.
- For the “Agent for Service of Process in Texas” section, if your company is not domiciled in Texas, don't forget to include a completed “Uniform Consent to Service of Process” form. Refer to the application form for instructions.
- Complete the certification and notary section with notary seal.
- Don't alter the preexisting language within the certification section on page two.

# TDI | Original Application exhibits

- If a requirement links to another requirement, include the requirements within the link within your policies and procedures for that specific section.
- Don't cross reference other areas within the application for content.
- Submit evidence of all exhibit and attachment sections and the related requirements, even if you don't intend to perform that specific function in practical application.
- Avoid summarizing requirements.
- Include requirements in correct order as listed in the rules and laws. Excessive content summarizing and organization issues can lead to loss of context, which will result in revisions.
- Don't just cite Texas UR rules or laws within application documentation to replace explanation of requirements. Instead, include the full details of each requirement.

# TDI | Original Application exhibits

- Applicants must abide by federal, state, and accreditation requirements.
- To avoid possible conflicts in your content, it may be easier to create Texas-specific policies or a Texas-specific addendum to your main policies, with a disclaimer stating that the Texas addendum prevails in a policy conflict.
- Definitions for terms aren't required as part of your URA application.
- If you include definitions for TDI-defined terms, they must match TDI's definitions exactly.
- Don't use alternative terms. TDI-defined terms have distinct meanings. Using alternative terms changes the context and revisions will be required.
- Review the entire application to make sure you've revised all incorrect language.

# TDI | Original Application exhibit reminders

- Make sure content doesn't conflict.
- Include required attachments.
- [Check online](#) to make sure you're using the current version of any TDI form.
- Check current laws and rules to make sure you're capturing adverse determination letter requirements correctly. Sample letters are included online, but they are only examples.

# TDI | Communicating with the team

- [URA webpage](#) includes forms and requirements.
- For general URA questions, email [URAGrp@tdi.texas.gov](mailto:URAGrp@tdi.texas.gov). A subject matter expert will respond to you within one business day.
- If you have a question regarding a specific application you've filed, email your questions to the analyst assigned to the application.
- Call us at 512-676-6400 or 866-554-4926.
- TDI staff can't make assumptions about application content, answer hypothetical questions or provide business or legal advice, but we'll do our best to guide you to the applicable requirements based on the information available in your inquiry or documentation.

# TDI | Online application submission tips

- Online is best.
- The online email receiver is a secure method but can't receive encrypted or password protected emails. If you must send securely, send to our general URA mailbox, which will be provided at the end of the webinar.
- You won't receive a submission confirmation. Once an application is assigned, your analyst will provide feedback.
- It's dedicated to applications only.

# TDI | Alternate application submission tips

If you mail your application...

- Don't:
  - Use different addresses.
  - Alter the address.
  - Mark to the attention of someone.
- Send fees with the application. If you must send the fee separately, include a cover letter with:
  - URA name and license number.
  - What the fee is for.
  - Date the application exhibits were sent.

- General URA questions:
  - Email [URAGrp@tdi.texas.gov](mailto:URAGrp@tdi.texas.gov). A subject matter expert will respond to you within one business day.
- Call us at 512-676-6400 or toll-free at 866-554-4926.
- Applications email receiver: [iruiapro@tdi.texas.gov](mailto:iruiapro@tdi.texas.gov)
- URA forms: [tdi.texas.gov/forms/form9ura.html](http://tdi.texas.gov/forms/form9ura.html)
- URA webpage: [Utilization Review Agents \(URA\) \(texas.gov\)](http://Utilization%20Review%20Agents%20(URA)%20(texas.gov))
- Mailing address:  
Texas Department of Insurance  
Managed Care Quality Assurance (MCQA) Office, Mail Code LH-MCQA  
P.O. Box 12030  
Austin, TX, 78711-2030