

Regulation of the  
**Insurance Department**

Concerning

**Utilization Review, Grievances, and External Review**

Regulations adopted after July 1, 2013, become effective upon posting to the Connecticut eRegulations System, or at a later date if specified within the regulation.

Posted to the Connecticut eRegulations System on **March 2, 2016**

EFFECTIVE DATE

**March 2, 2016**

Approved by the Attorney General on

**December 10, 2015**

Approved by the Legislation Regulation Review Committee on

**February 23, 2016**

Electronic copy with agency head certification statement electronically submitted to and received by the Office of the Secretary of the State on

**February 25, 2016**

The text of this approved regulation will be published in the Connecticut Law Journal

**Purpose and Legal Disclaimer:** This form was designed to facilitate submission of the “statement from the department head” required by CGS 4-172(a) as amended by PA 12-92, Section 6. This form does not constitute legal advice. The Office of the Secretary of the State (SOTS) is not authorized to provide legal advice to state agencies. Consult with your agency’s legal counsel before completing and submitting this form for filing.

**Instructions:** (1) Save a copy of this document to your computer; (2) To enter data, use the Tab key to move between fields, or click-and-highlight an entire <text field>; (3) When complete, submit to your agency’s legal counsel for review and approval; (4) After approval by counsel, PRINT and submit to your agency head for his/her original signature; (5) Scan the originally-signed form and submit it as an email attachment, along with the electronic copy of the regulation that the statement certifies, to [regulations.sots@ct.gov](mailto:regulations.sots@ct.gov); (6) retain the originally-signed copy for your agency’s regulation-making record.

**Submit the electronic copy and its certification statement to the Secretary of the State at [regulations.sots@ct.gov](mailto:regulations.sots@ct.gov) concurrently with the paper copy of the original regulation, as required by CGS Section 4-172 as amended.**

## Electronic Copy Certification Statement

I, **Katharine L. Wade, Commissioner of the Connecticut Insurance Department**, in accordance with the provisions of Section 4-172 of the *General Statutes of the State of Connecticut*, do hereby certify:

That the electronic copy of a regulation concerning **Utilization Review License Application**, which was approved by the Legislative Regulation Review Committee on **February 23, 2016**, and which shall be submitted electronically for filing to the Secretary of the State by **Kristin Campanelli** of this agency on **February 25, 2016**, is a true and accurate copy of the original regulation approved in accordance with Sections 4-169 and 4-170 of the *General Statutes of the State of Connecticut*.

In testimony whereof, I have hereunto set my hand on **February 25, 2016**.



(Signature of agency head)

State of Connecticut  
Regulation of  
Insurance Department  
Concerning  
**Utilization Review, Grievances, and External Review**

38a-591-1 of the Regulations of Connecticut State Agencies is amended to read as follows:

**Sec. 38a-591-1. Utilization review company licenses**

(a) No utilization review company shall conduct utilization review in this state unless it has been licensed by the commissioner in accordance with section 38a-591j of the Connecticut General Statutes. All requests for licensure shall be made in a manner and on a form prescribed annually by the commissioner.

(b) Applications for licensure [~~will~~] shall not be considered complete and eligible for processing until all required information is provided.

(c) The annual license fee shall be submitted in check form made payable to the “Treasurer – State of Connecticut”.

(d) All licenses shall be renewed no later than [~~October~~] January 1 annually.

(e) The annual license fee [~~will~~] shall not be pro-rated if issued for a period less than a full year.

**Statement of Purpose**

The purpose of this proposed regulation is to move the utilization review licensure date from October 1 annually to January 1 annually. This will relieve some burden on the Department during this time period, as forms and rates for health insurance products are all due during this time period, open enrollment for the exchange begins, and the consumer report card is finalized and published. All of this is done by the Department's Life and Health Division, which also does the utilization review licensure. No other laws or regulations will be affected and the change will have no cost to the state or the Department, as all licensure fees will still be collected during the same fiscal year. As required by Conn. Gen. Stat. § 4-168a, the Insurance Department considered the impact of the proposed amended regulations on small business, and in doing so, determined that the preparation of a regulatory flexibility analysis, as contemplated by this statute, was not needed. The amendments reflect activities to be undertaken by insurance companies offering health products which are not small businesses.

**IMPORTANT NOTICE FOR CONNECTICUT STATE AGENCIES**  
This form is to be used for proposed permanent and technical amendment regulations only and must be completed in full.

### AGENCY CERTIFICATION

#### Connecticut Insurance Department

Proposed Regulation Concerning

#### A Date Change for the Utilization Review License Application

eRegulations System Tracking Number PR2015-161

**I hereby certify the following:**

(1) The above-referenced **regulation** is proposed pursuant to the following statutory authority or authorities: **38a-591i**

*For technical amendment regulations proposed without a comment period, complete #2 below, then skip to #8.*

(2) As permitted by Section 4-168(h) of the *Connecticut General Statutes*, the agency elected to proceed without prior notice or hearing and posted the text of the proposed technical amendment regulation on eRegulations System website on **<<select and enter the date of posting>>**.

*For all other non-emergency proposed regulations, complete #3 - #7 below, then complete #8)*

(3) The agency posted notice of intent with a specified comment period of not less than 30 days to the eRegulations System website on **October 23, 2015**.

(4) *(Complete one)*  No public hearing held or was required to be held. **OR**  One or more public hearings were held on: **<<select and enter dates>>**.

(5) The agency posted notice of decision to move forward with the proposed regulation to the eRegulations System website on **November 30, 2015**.

(6) *(Complete one)*  No comments were received. **OR**  Comments were received and the agency posted the statements specified in subdivisions (2) and (3) of CGS Section 4-168(e) to the eRegulations System website on **<<select and enter date>>**.

(7) The final wording of the proposed regulation was posted to the eRegulations System website on **October 23, 2015**.

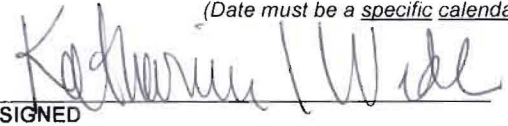
(8) Subsequent to approval for legal sufficiency by the Attorney General and approval by the Legislative Regulation Review Committee, **the final regulation shall be effective**

*(Check one and complete as applicable)*

When posted to the eRegulations System website by the Secretary of the State.

**OR**  On \_\_\_\_\_

*(Date must be a specific calendar date not less than 11 days after submission to the Secretary of the State)*



Commissioner

12/2/15

**SIGNED**

OFFICIAL TITLE

DATE

*(Head of Board, Agency or Commission,  
or duly authorized deputy)*


**OFFICE OF THE ATTORNEY GENERAL  
REGULATION CERTIFICATION**

**Agency Insurance Department**

***REGULATION NUMBER PR2015-161***

**This Regulation is hereby APPROVED by the Attorney General as to legal sufficiency in accordance with Connecticut General Statutes Section 4-169.**

**DATE: 12/10/2015**

**Signed:  \_\_\_\_\_  
*Joseph Rubin, Associate Attorney General  
Duly Authorized***

# The Connecticut General Assembly

## Legislative Regulation Review Committee

Senator Clark Chapin  
Senate Chair



Representative Brian Becker  
House Chair

### Official Record of Committee Action

February 23, 2016

Agency: Insurance Department  
Description: Utilization Review License Application Date Change  
LRRC Regulation Number: 2015-029  
eRegulation Tracking Number: PR2015-161

The above-referenced regulation has been

### **Approved with Technical Corrections**

by the Legislative Regulation Review Committee in accordance  
with CGS Section 4-170.

Kirstin L. Breiner  
Committee Administrator



State of Connecticut  
Office of the Secretary of the State

**Confirmation of Electronic Submission**

Re: Regulation of the Insurance Department concerning Utilization Review,  
Grievances, and External Review  
eRegulations System Tracking Number PR2015-161  
Legislative Regulation Review Committee Docket Number 2015-029

The above-referenced regulation was electronically submitted to the Office of the Secretary of the State in accordance with Connecticut General Statutes Section 4-172 on February 25, 2016.

Said regulation is assigned Secretary of the State File Number 6208.

The effective date of this regulation is March 2, 2016.

A handwritten signature in black ink that reads "Denise W. Merrill".

Denise W. Merrill  
Secretary of the State  
March 2, 2016

By:

A handwritten signature in black ink that reads "Kristin M. Karr".

Kristin M. Karr  
Administrative Law  
Information Systems Manager