CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H9011 UNITED HEALTHCARE OF FLORIDA INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:02/28/2007

MCO Response Due Date: 01/29/2007

Requirement:

Organization Determinations and Reconsiderations Not Categorized as Grievances - The MAO must correctly distinguish between organization determinations, reconsiderations, and grievances and process them through the appropriate mechanisms.

Deficiencies:

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Corrective Action Required:

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4106 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3659 UNITED HEALTHCARE OF OHIO, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3379 UNITED HEALTHCARE OF NEW YORK, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0624 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3456 UNITED HEALTHCARE OF NORTH CAROLINA

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4604 UNITED HEALTHCARE OF UTAH

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1111 UNITED HEALTHCARE OF GEORGIA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2803 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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Exit Conference Date: 11/16/2006

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5008 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4514 EVERCARE OF TEXAS, LLC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4406 UNITED HEALTHCARE OF TENNESSEE, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2802 UNITED HEALTHCARE OF THE MIDLANDS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0401 UNITEDHEALTHCARE OF ARKANSAS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5253 UNITED HEALTHCARE OF WISCONSIN, INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

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Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0151 UNITED HEALTHCARE OF ALABAMA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1080 UNITED HEALTHCARE OF FL, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2654 UNITED HEALTHCARE OF THE MIDWEST, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:02/28/2007

MCO Response Due Date: 01/29/2007

Requirement:

Organization Determinations and Reconsiderations Not Categorized as Grievances - The MAO must correctly distinguish between organization determinations, reconsiderations, and grievances and process them through the appropriate mechanisms.

Deficiencies:

Although United has met the element for the grievances that they process, both of the delegated entities selected (Safeguard and MDX) do not meet this element. For MDX, four of the nine cases reviewed were not categorized correctly. Three were actually a request for an organization determination and one was a Medicare appeal. For Safeguard, one of the five cases reviewed was a Medicare appeal.

Corrective Action Required:

United must improve oversight controls for delegated entities to ensure compliance with CMS requirements. United must submit a strategy to CMS detailing the specific improvements that will be utilized to ensure compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0316 UNITEDHEALTHCARE OF ARIZONA INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:02/28/2007

MCO Response Due Date: 01/29/2007

Requirement:

Organization Determinations and Reconsiderations Not Categorized as Grievances - The MAO must correctly distinguish between organization determinations, reconsiderations, and grievances and process them through the appropriate mechanisms.

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5440 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:02/28/2007

MCO Response Due Date: 01/29/2007

Requirement:

Organization Determinations and Reconsiderations Not Categorized as Grievances - The MAO must correctly distinguish between organization determinations, reconsiderations, and grievances and process them through the appropriate mechanisms.

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Although United has met the element for the grievances that they process, both of the delegated entities selected (Safeguard and MDX) do not meet this element. For MDX, four of the nine cases reviewed were not categorized correctly. Three were actually a request for an organization determination and one was a Medicare appeal. For Safeguard, one of the five cases reviewed was a Medicare appeal.

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4102 UNITEDHEALTHCARE OF NEW ENGLAND, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: GV01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:02/28/2007

MCO Response Due Date: 01/29/2007

Requirement:

Organization Determinations and Reconsiderations Not Categorized as Grievances - The MAO must correctly distinguish between organization determinations, reconsiderations, and grievances and process them through the appropriate mechanisms.

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Although United has met the element for the grievances that they process, both of the delegated entities selected (Safeguard and MDX) do not meet this element. For MDX, four of the nine cases reviewed were not categorized correctly. Three were actually a request for an organization determination and one was a Medicare appeal. For Safeguard, one of the five cases reviewed was a Medicare appeal.

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H9011 UNITED HEALTHCARE OF FLORIDA INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

Appropriate Submission and Distribution of Marketing Materials -The MAO follows the requirements contained in the regulations and the Medicare Guidelines for submission and distribution of marketing materials, including appropriate timelines and content of model, non-model, and File & Use materials.

Deficiencies:

United did not mail the 2007 Annual Notice of Change (ANOC) and Summary of Benefits (SB) to its members as required by the October 31, 2006 CMS required deadline.

Corrective Action Required:

United must design and implement a comprehensive process improvement to assure 2008 ANOCs are not late.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3659 UNITED HEALTHCARE OF OHIO, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

---

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4604 UNITED HEALTHCARE OF UTAH

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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CAP Accepted Date:03/05/2007

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1111 UNITED HEALTHCARE OF GEORGIA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

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Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2803 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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Element Projected Completion Date:06/30/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4102 UNITEDHEALTHCARE OF NEW ENGLAND, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5440 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

Appropriate Submission and Distribution of Marketing Materials -The MAO follows the requirements contained in the regulations and the Medicare Guidelines for submission and distribution of marketing materials, including appropriate timelines and content of model, non-model, and File & Use materials.

Deficiencies:

United did not mail the 2007 Annual Notice of Change (ANOC) and Summary of Benefits (SB) to its members as required by the October 31, 2006 CMS required deadline.

Corrective Action Required:

United must design and implement a comprehensive process improvement to assure 2008 ANOCs are not late.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4106 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

Appropriate Submission and Distribution of Marketing Materials -The MAO follows the requirements contained in the regulations and the Medicare Guidelines for submission and distribution of marketing materials, including appropriate timelines and content of model, non-model, and File & Use materials.

Deficiencies:

United did not mail the 2007 Annual Notice of Change (ANOC) and Summary of Benefits (SB) to its members as required by the October 31, 2006 CMS required deadline.

Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0624 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5008 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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Element Projected Completion Date:06/30/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3379 UNITED HEALTHCARE OF NEW YORK, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4406 UNITED HEALTHCARE OF TENNESSEE, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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CAP Accepted Date:03/05/2007

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET
Region: 05 Chicago
MRT Number / Name: M0011 MRT United Healthcare
Contract Number / Name: H4514 EVERCARE OF TEXAS, LLC

Review ID: 7378

Auditing Guide Version: MA Audit Review Guide, Version 4
Auditing Element: MR01
Review Type: Routine
Review Status: Confirmed
MCO Response Received Date:01/29/2007
Element Accepted Date: 03/02/2007
Element Release Date: 01/08/2008
CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006
Exit Conference Date: 11/16/2006
Date Report Issued: 12/15/2006
Date Report Due: 12/31/2006
CAP Accepted Date:03/05/2007
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Element Projected Completion Date:06/30/2007
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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2802 UNITED HEALTHCARE OF THE MIDLANDS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

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Element Projected Completion Date: 06/30/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0401 UNITEDHEALTHCARE OF ARKANSAS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

Appropriate Submission and Distribution of Marketing Materials -The MAO follows the requirements contained in the regulations and the Medicare Guidelines for submission and distribution of marketing materials, including appropriate timelines and content of model, non-model, and File & Use materials.

Deficiencies:

United did not mail the 2007 Annual Notice of Change (ANOC) and Summary of Benefits (SB) to its members as required by the October 31, 2006 CMS required deadline.

Corrective Action Required:

United must design and implement a comprehensive process improvement to assure 2008 ANOCs are not late.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5253 UNITED HEALTHCARE OF WISCONSIN, INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

Appropriate Submission and Distribution of Marketing Materials -The MAO follows the requirements contained in the regulations and the Medicare Guidelines for submission and distribution of marketing materials, including appropriate timelines and content of model, non-model, and File & Use materials.

Deficiencies:

United did not mail the 2007 Annual Notice of Change (ANOC) and Summary of Benefits (SB) to its members as required by the October 31, 2006 CMS required deadline.

Corrective Action Required:

United must design and implement a comprehensive process improvement to assure 2008 ANOCs are not late.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0151 UNITED HEALTHCARE OF ALABAMA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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Appropriate Submission and Distribution of Marketing Materials -The MAO follows the requirements contained in the regulations and the Medicare Guidelines for submission and distribution of marketing materials, including appropriate timelines and content of model, non-model, and File & Use materials.

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1080 UNITED HEALTHCARE OF FL, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2654 UNITED HEALTHCARE OF THE MIDWEST, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 06/30/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0316 UNITEDHEALTHCARE OF ARIZONA INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

Appropriate Submission and Distribution of Marketing Materials -The MAO follows the requirements contained in the regulations and the Medicare Guidelines for submission and distribution of marketing materials, including appropriate timelines and content of model, non-model, and File & Use materials.

Deficiencies:

United did not mail the 2007 Annual Notice of Change (ANOC) and Summary of Benefits (SB) to its members as required by the October 31, 2006 CMS required deadline.

Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3456 UNITED HEALTHCARE OF NORTH CAROLINA

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 06/30/2007

MCO Response Due Date: 01/29/2007

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Appropriate Submission and Distribution of Marketing Materials -The MAO follows the requirements contained in the regulations and the Medicare Guidelines for submission and distribution of marketing materials, including appropriate timelines and content of model, non-model, and File & Use materials.

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0401 UNITEDHEALTHCARE OF ARKANSAS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

Deficiencies:

United does not have an effective program for the oversight of all individuals who sell the MA plans, including marketing representatives, agents and brokers. Review of the marketing representative files indicated the following: there was no standardized process in place to track licensure, there was limited documentation, if any, on rapid disenrollment rates as well as feedback or disciplinary action on the agents.

Corrective Action Required:

Although United does have an excellent web-based training for the sales force that includes testing modules, there needs to be a more thorough tracking system developed and implemented on what training is available, when the sales force is required to take the training, what scores are achieved on the testing modules and internal controls to better monitor the overall training of the sales force. United must implement a mechanism to track licensure. United must revise internal policies and procedures that address marketing representatives files to ensure that documentation is maintained. United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve the oversight control of the sales force to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance with CMS requirements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0316 UNITEDHEALTHCARE OF ARIZONA INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

Deficiencies:

United does not have an effective program for the oversight of all individuals who sell the MA plans, including marketing representatives, agents and brokers. Review of the marketing representative files indicated the following: there was no standardized process in place to track licensure, there was limited documentation, if any, on rapid disenrollment rates as well as feedback or disciplinary action on the agents.

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4406 UNITED HEALTHCARE OF TENNESSEE, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

Deficiencies:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H9011 UNITED HEALTHCARE OF FLORIDA INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2802 UNITED HEALTHCARE OF THE MIDLANDS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

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Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4604 UNITED HEALTHCARE OF UTAH

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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CMS Medicare Managed Care Auditing Report

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1111 UNITED HEALTHCARE OF GEORGIA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

Deficiencies:

United does not have an effective program for the oversight of all individuals who sell the MA plans, including marketing representatives, agents and brokers. Review of the marketing representative files indicated the following: there was no standardized process in place to track licensure, there was limited documentation, if any, on rapid disenrollment rates as well as feedback or disciplinary action on the agents.

Corrective Action Required:

Although United does have an excellent web-based training for the sales force that includes testing modules, there needs to be a more thorough tracking system developed and implemented on what training is available, when the sales force is required to take the training, what scores are achieved on the testing modules and internal controls to better monitor the overall training of the sales force. United must implement a mechanism to track licensure. United must revise internal policies and procedures that address marketing representatives files to ensure that documentation is maintained. United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve the oversight control of the sales force to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance with CMS requirements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3456 UNITED HEALTHCARE OF NORTH CAROLINA

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

Deficiencies:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2803 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0624 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

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Deficiencies:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5253 UNITED HEALTHCARE OF WISCONSIN, INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5008 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

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Deficiencies:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3659 UNITED HEALTHCARE OF OHIO, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0151 UNITED HEALTHCARE OF ALABAMA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5440 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1080 UNITED HEALTHCARE OF FL, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

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MCO Response Due Date: 01/29/2007

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No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

Deficiencies:

United does not have an effective program for the oversight of all individuals who sell the MA plans, including marketing representatives, agents and brokers. Review of the marketing representative files indicated the following: there was no standardized process in place to track licensure, there was limited documentation, if any, on rapid disenrollment rates as well as feedback or disciplinary action on the agents.

Corrective Action Required:

Although United does have an excellent web-based training for the sales force that includes testing modules, there needs to be a more thorough tracking system developed and implemented on what training is available, when the sales force is required to take the training, what scores are achieved on the testing modules and internal controls to better monitor the overall training of the sales force. United must implement a mechanism to track licensure. United must revise internal policies and procedures that address marketing representatives files to ensure that documentation is maintained. United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve the oversight control of the sales force to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance with CMS requirements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4102 UNITEDHEALTHCARE OF NEW ENGLAND, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

Deficiencies:

United does not have an effective program for the oversight of all individuals who sell the MA plans, including marketing representatives, agents and brokers. Review of the marketing representative files indicated the following: there was no standardized process in place to track licensure, there was limited documentation, if any, on rapid disenrollment rates as well as feedback or disciplinary action on the agents.

Corrective Action Required:

Although United does have an excellent web-based training for the sales force that includes testing modules, there needs to be a more thorough tracking system developed and implemented on what training is available, when the sales force is required to take the training, what scores are achieved on the testing modules and internal controls to better monitor the overall training of the sales force. United must implement a mechanism to track licensure. United must revise internal policies and procedures that address marketing representatives files to ensure that documentation is maintained. United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve the oversight control of the sales force to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance with CMS requirements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3379 UNITED HEALTHCARE OF NEW YORK, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

No Engagement in Activities which Mislead, Confuse or Misrepresent the MAO - The MAO does not engage in activities which materially mislead, confuse, or misrepresent the MAO. The MAO may not: Claim recommendation or endorsement by CMS or Medicare or the Department of Health and Human Services, or that CMS, Medicare, or the Department of Health and Human Services recommend that beneficiaries enroll in the plan; · Make erroneous written or oral statements including any statement, claim, or promise that conflicts with, materially alters, or erroneously expands upon the information contained in CMS-approved materials; · Use providers or provider groups to distribute printed information comparing benefits of different health plans, unless the materials have the concurrence of all MAO's involved and unless the materials have received prior approval from CMS; · Accept plan applications in provider offices or other places where health care is delivered;· Employ MA plan names which suggest that a plan is not available to all Medicare beneficiaries (Does not apply to plan names in effect on or before July 31, 2000);· Offer gifts or payment as an inducement to enroll in the organization;·Engage in any discriminatory marketing practice, such as attempting to enroll individuals from higher income areas, without a similar effort in lower income areas; or · Conduct door-to-door solicitation of Medicare beneficiaries.

Deficiencies:

United does not have an effective program for the oversight of all individuals who sell the MA plans, including marketing representatives, agents and brokers. Review of the marketing representative files indicated the following: there was no standardized process in place to track licensure, there was limited documentation, if any, on rapid disenrollment rates as well as feedback or disciplinary action on the agents.

Corrective Action Required:

Although United does have an excellent web-based training for the sales force that includes testing modules, there needs to be a more thorough tracking system developed and implemented on what training is available, when the sales force is required to take the training, what scores are achieved on the testing modules and internal controls to better monitor the overall training of the sales force. United must implement a mechanism to track licensure. United must revise internal policies and procedures that address marketing representatives files to ensure that documentation is maintained. United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve the oversight control of the sales force to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance with CMS requirements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2654 UNITED HEALTHCARE OF THE MIDWEST, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4106 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4514 EVERCARE OF TEXAS, LLC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: MR08

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4604 UNITED HEALTHCARE OF UTAH

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

In seven of the 30 files reviewed, there was no indication in the file that an EOB with member appeal rights was generated to the member. Three of these files indicated that they were denied to provider with no member liability. In addition, on these files the provider was notified that in order to bill the member they were required to have provided the member with an Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0316 UNITEDHEALTHCARE OF ARIZONA INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

In seven of the 30 files reviewed, there was no indication in the file that an EOB with member appeal rights was generated to the member. Three of these files indicated that they were denied to provider with no member liability. In addition, on these files the provider was notified that in order to bill the member they were required to have provided the member with an Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4106 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

In seven of the 30 files reviewed, there was no indication in the file that an EOB with member appeal rights was generated to the member. Three of these files indicated that they were denied to provider with no member liability. In addition, on these files the provider was notified that in order to bill the member they were required to have provided the member with an Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3659 UNITED HEALTHCARE OF OHIO, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

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Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5008 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

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Element Projected Completion Date:03/31/2007

MCO Response Due Date: 01/29/2007

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Deficiencies:

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Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0624 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

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Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2803 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

In seven of the 30 files reviewed, there was no indication in the file that an EOB with member appeal rights was generated to the member. Three of these files indicated that they were denied to provider with no member liability. In addition, on these files the provider was notified that in order to bill the member they were required to have provided the member with an Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3379 UNITED HEALTHCARE OF NEW YORK, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

In seven of the 30 files reviewed, there was no indication in the file that an EOB with member appeal rights was generated to the member. Three of these files indicated that they were denied to provider with no member liability. In addition, on these files the provider was notified that in order to bill the member they were required to have provided the member with an Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5440 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

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Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1111 UNITED HEALTHCARE OF GEORGIA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

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Audit Closed Date: 01/08/2008

Element Projected Completion Date:03/31/2007

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Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3456 UNITED HEALTHCARE OF NORTH CAROLINA

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

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Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4406 UNITED HEALTHCARE OF TENNESSEE, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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Audit Closed Date: 01/08/2008

Element Projected Completion Date: 03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0401 UNITEDHEALTHCARE OF ARKANSAS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

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Audit Closed Date: 01/08/2008

Element Projected Completion Date: 03/31/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4514 EVERCARE OF TEXAS, LLC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1080 UNITED HEALTHCARE OF FL, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5253 UNITED HEALTHCARE OF WISCONSIN, INC

Auditing Guide Version: MA Audit Review Guide, Version 4
Auditing Element: OC06
Review Type: Routine
Review Status: Confirmed
MCO Response Received Date:01/29/2007
Element Accepted Date: 03/02/2007
Element Release Date: 01/08/2008
CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006
Exit Conference Date: 11/16/2006
Date Report Issued: 12/15/2006
Date Report Due: 12/31/2006
CAP Accepted Date:03/05/2007
Audit Closed Date: 01/08/2008
Element Projected Completion Date:03/31/2007
MCO Response Due Date: 01/29/2007

Requirement:

Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

In seven of the 30 files reviewed, there was no indication in the file that an EOB with member appeal rights was generated to the member. Three of these files indicated that they were denied to provider with no member liability. In addition, on these files the provider was notified that in order to bill the member they were required to have provided the member with an Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2654 UNITED HEALTHCARE OF THE MIDWEST, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 03/31/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0151 UNITED HEALTHCARE OF ALABAMA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2802 UNITED HEALTHCARE OF THE MIDLANDS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4102 UNITEDHEALTHCARE OF NEW ENGLAND, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

In seven of the 30 files reviewed, there was no indication in the file that an EOB with member appeal rights was generated to the member. Three of these files indicated that they were denied to provider with no member liability. In addition, on these files the provider was notified that in order to bill the member they were required to have provided the member with an Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H9011 UNITED HEALTHCARE OF FLORIDA INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC06

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:03/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Claim Denials (Notice Content) - If an MAO denies payment, the written denial notice (CMS-10003-Notice of Denial of Payment (NDP)), or an RO-approved modification of the NDP, must be sent to the member. The written denial must clearly state the service denied and the denial reason.

Deficiencies:

In seven of the 30 files reviewed, there was no indication in the file that an EOB with member appeal rights was generated to the member. Three of these files indicated that they were denied to provider with no member liability. In addition, on these files the provider was notified that in order to bill the member they were required to have provided the member with an Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must provide documentation to CMS that ensures that EOBs with appeal rights are correctly generated for all denied services. In addition, because the Medicare Advantage program has not implemented any requirements for ABNs, United must remove all language referring to ABNs from its EOBs. United must implement oversight controls to ensure CMS compliance. United must provide to CMS a strategy which describes the type of oversight activities it will implement in order to maintain compliance.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1111 UNITED HEALTHCARE OF GEORGIA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0316 UNITEDHEALTHCARE OF ARIZONA INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H9011 UNITED HEALTHCARE OF FLORIDA INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0624 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2803 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3379 UNITED HEALTHCARE OF NEW YORK, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5008 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3659 UNITED HEALTHCARE OF OHIO, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4106 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3456 UNITED HEALTHCARE OF NORTH CAROLINA

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4406 UNITED HEALTHCARE OF TENNESSEE, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0401 UNITEDHEALTHCARE OF ARKANSAS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET
Region: 05 Chicago
MRT Number / Name: M0011 MRT United Healthcare
Contract Number / Name: H4514 EVERCARE OF TEXAS, LLC

Review ID: 7378

Auditing Guide Version: MA Audit Review Guide, Version 4
Auditing Element: OP01
Review Type: Routine
Review Status: Confirmed
MCO Response Received Date:01/29/2007
Element Accepted Date: 03/02/2007
Element Release Date: 01/08/2008
CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006
Exit Conference Date: 11/16/2006
Date Report Issued: 12/15/2006
Date Report Due: 12/31/2006
CAP Accepted Date:03/05/2007
Audit Closed Date: 01/08/2008
Element Projected Completion Date:01/31/2007
MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

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Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1080 UNITED HEALTHCARE OF FL, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

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In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5253 UNITED HEALTHCARE OF WISCONSIN, INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2654 UNITED HEALTHCARE OF THE MIDWEST, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Standard Pre-Service Denials (Timeliness) - If the MAO makes an adverse standard pre-service organization determination, it must notify the member in writing using the CMS-10003-NDMC (Notice of Denial of Medical Coverage), or an RO-approved modification of the NDMC, of its decision as expeditiously as the member's health condition requires, but no later than 14 calendar days after receiving the request (or an additional 14 days if an extension is justified).

Deficiencies:

In one of the ten files reviewed, the denial notice was not issued timely.

Corrective Action Required:

United must provide documentation to CMS that ensures that Pre-service denials are issued in a timely manner. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

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Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0151 UNITED HEALTHCARE OF ALABAMA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2802 UNITED HEALTHCARE OF THE MIDLANDS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5440 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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Element Projected Completion Date: 01/31/2007

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4102 UNITEDHEALTHCARE OF NEW ENGLAND, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4604 UNITED HEALTHCARE OF UTAH

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP01

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4406 UNITED HEALTHCARE OF TENNESSEE, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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Requests for Expedited Organization Determinations (Timeliness) - The MAO must promptly decide whether to expedite an organization determination based on regulatory requirements. If the MAO decides not to expedite an organization determination, it must automatically transfer the request to the standard timeframe, provide oral notice to the member of the decision not to expedite within 72 hours of receipt of the request for an expedited organization determination, and provide written notice within 3 calendar days of the oral notice. If the MAO makes an expedited organization determination (favorable or adverse), it must notify the member in writing as expeditiously as the member's health requires, but no later than 72 hours after receiving the request (or an additional 14 calendar days if an extension is justified). If the MAO first notifies the member of its expedited determination orally, it must mail written confirmation to the member within 3 calendar days of the oral notification.

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Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4102 UNITEDHEALTHCARE OF NEW ENGLAND, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H9011 UNITED HEALTHCARE OF FLORIDA INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5440 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2802 UNITED HEALTHCARE OF THE MIDLANDS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3659 UNITED HEALTHCARE OF OHIO, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0401 UNITEDHEALTHCARE OF ARKANSAS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3456 UNITED HEALTHCARE OF NORTH CAROLINA

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1080 UNITED HEALTHCARE OF FL, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Requests for Expedited Organization Determinations (Timeliness) - The MAO must promptly decide whether to expedite an organization determination based on regulatory requirements. If the MAO decides not to expedite an organization determination, it must automatically transfer the request to the standard timeframe, provide oral notice to the member of the decision not to expedite within 72 hours of receipt of the request for an expedited organization determination, and provide written notice within 3 calendar days of the oral notice. If the MAO makes an expedited organization determination (favorable or adverse), it must notify the member in writing as expeditiously as the member's health requires, but no later than 72 hours after receiving the request (or an additional 14 calendar days if an extension is justified). If the MAO first notifies the member of its expedited determination orally, it must mail written confirmation to the member within 3 calendar days of the oral notification.

Deficiencies:

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Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4604 UNITED HEALTHCARE OF UTAH

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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CAP Accepted Date:03/05/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5253 UNITED HEALTHCARE OF WISCONSIN, INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1111 UNITED HEALTHCARE OF GEORGIA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2654 UNITED HEALTHCARE OF THE MIDWEST, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2803 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0151 UNITED HEALTHCARE OF ALABAMA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0624 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date: 01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5008 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

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Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4106 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3379 UNITED HEALTHCARE OF NEW YORK, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date: 03/05/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0316 UNITEDHEALTHCARE OF ARIZONA INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4514 EVERCARE OF TEXAS, LLC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP04

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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In seven of the nine files reviewed, there is no indication in the file that the member was notified either verbally or in writing of the approval.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that members are notified both orally and in writing per CMS requirements. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements.

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4406 UNITED HEALTHCARE OF TENNESSEE, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Detailed Explanation of Non-Coverage of Provider Services (Timeliness) -- The MAO (upon notification by the QIO that an enrollee has filed a request for a fast-track appeal) must send a detailed notice to the enrollee by the close of business of the day the QIO notification is received.

Deficiencies:

In one of the eight files reviewed the detailed notice of explanation was not issued timely.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4102 UNITEDHEALTHCARE OF NEW ENGLAND, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

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Requirement:

Detailed Explanation of Non-Coverage of Provider Services (Timeliness) -- The MAO (upon notification by the QIO that an enrollee has filed a request for a fast-track appeal) must send a detailed notice to the enrollee by the close of business of the day the QIO notification is received.

Deficiencies:

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Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2802 UNITED HEALTHCARE OF THE MIDLANDS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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Requirement:

Detailed Explanation of Non-Coverage of Provider Services (Timeliness) -- The MAO (upon notification by the QIO that an enrollee has filed a request for a fast-track appeal) must send a detailed notice to the enrollee by the close of business of the day the QIO notification is received.

Deficiencies:

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Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0401 UNITEDHEALTHCARE OF ARKANSAS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

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Detailed Explanation of Non-Coverage of Provider Services (Timeliness) -- The MAO (upon notification by the QIO that an enrollee has filed a request for a fast-track appeal) must send a detailed notice to the enrollee by the close of business of the day the QIO notification is received.

Deficiencies:

In one of the eight files reviewed the detailed notice of explanation was not issued timely.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5253 UNITED HEALTHCARE OF WISCONSIN, INC

Auditing Guide Version: MA Audit Review Guide, Version 4
Auditing Element: OP12
Review Type: Routine
Review Status: Confirmed
MCO Response Received Date:01/29/2007
Element Accepted Date: 03/02/2007
Element Release Date: 01/08/2008
CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006
Exit Conference Date: 11/16/2006
Date Report Issued: 12/15/2006
Date Report Due: 12/31/2006
CAP Accepted Date:03/05/2007
Audit Closed Date: 01/08/2008
Element Projected Completion Date:01/31/2007
MCO Response Due Date: 01/29/2007

Requirement:

Detailed Explanation of Non-Coverage of Provider Services (Timeliness) -- The MAO (upon notification by the QIO that an enrollee has filed a request for a fast-track appeal) must send a detailed notice to the enrollee by the close of business of the day the QIO notification is received.

Deficiencies:

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Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0151 UNITED HEALTHCARE OF ALABAMA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

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Deficiencies:

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Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1080 UNITED HEALTHCARE OF FL, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

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Requirement:

Detailed Explanation of Non-Coverage of Provider Services (Timeliness) -- The MAO (upon notification by the QIO that an enrollee has filed a request for a fast-track appeal) must send a detailed notice to the enrollee by the close of business of the day the QIO notification is received.

Deficiencies:

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Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2654 UNITED HEALTHCARE OF THE MIDWEST, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

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Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H9011 UNITED HEALTHCARE OF FLORIDA INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

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Requirement:

Detailed Explanation of Non-Coverage of Provider Services (Timeliness) -- The MAO (upon notification by the QIO that an enrollee has filed a request for a fast-track appeal) must send a detailed notice to the enrollee by the close of business of the day the QIO notification is received.

Deficiencies:

In one of the eight files reviewed the detailed notice of explanation was not issued timely.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5440 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

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Requirement:

Detailed Explanation of Non-Coverage of Provider Services (Timeliness) -- The MAO (upon notification by the QIO that an enrollee has filed a request for a fast-track appeal) must send a detailed notice to the enrollee by the close of business of the day the QIO notification is received.

Deficiencies:

In one of the eight files reviewed the detailed notice of explanation was not issued timely.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3659 UNITED HEALTHCARE OF OHIO, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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Requirement:

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Deficiencies:

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Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3456 UNITED HEALTHCARE OF NORTH CAROLINA

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

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Deficiencies:

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Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

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Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4604 UNITED HEALTHCARE OF UTAH

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1111 UNITED HEALTHCARE OF GEORGIA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

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Element Projected Completion Date:01/31/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2803 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

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Requirement:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0624 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

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Date Report Due: 12/31/2006

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Element Projected Completion Date:01/31/2007

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United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5008 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Detailed Explanation of Non-Coverage of Provider Services (Timeliness) -- The MAO (upon notification by the QIO that an enrollee has filed a request for a fast-track appeal) must send a detailed notice to the enrollee by the close of business of the day the QIO notification is received.

Deficiencies:

In one of the eight files reviewed the detailed notice of explanation was not issued timely.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is issued timely. In addition, United must conduct training of appropriate staff on these policies and procedures and submit documentation to the regional office that details the nature of this training including: the materials used in the training, the individuals conducting the training and individuals being trained. United must improve oversight controls to ensure CMS compliance. United should submit a strategy to CMS detailing the specific improvements

CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3379 UNITED HEALTHCARE OF NEW YORK, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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CAP Accepted Date:03/05/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0316 UNITEDHEALTHCARE OF ARIZONA INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4106 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

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Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4514 EVERCARE OF TEXAS, LLC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP12

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

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Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0401 UNITEDHEALTHCARE OF ARKANSAS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

Credentialing Requirements for Physicians and Other Health Care Professionals - The MAO must follow a documented process for physicians and other health care professionals regarding initial credentialing and recredentialing.

Deficiencies:

Three of the 45 sample files requested were not provided. The balance of the files reviewed did not meet CMS requirements. All of the files were missing at least one if not more of the CMS required documentation elements (e.g., correctly completed application, license, board certification, DEA certificate, etc.). In addition, many of the files did not contain any quality of care information. 32 files (not including the missing files) did not contain documentation regarding review of the sanction list and 41 files (not including the missing files) did not contain documentation for verification of the opt-out list.

Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4102 UNITEDHEALTHCARE OF NEW ENGLAND, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

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CAP Accepted Date:03/05/2007

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4406 UNITED HEALTHCARE OF TENNESSEE, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

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Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2802 UNITED HEALTHCARE OF THE MIDLANDS, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

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Element Projected Completion Date:06/30/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5253 UNITED HEALTHCARE OF WISCONSIN, INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0151 UNITED HEALTHCARE OF ALABAMA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1080 UNITED HEALTHCARE OF FL, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2654 UNITED HEALTHCARE OF THE MIDWEST, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date: 01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date: 01/08/2008

Visit Start Date: 06/27/2006

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Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H9011 UNITED HEALTHCARE OF FLORIDA INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5440 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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MCO Response Due Date: 01/29/2007

Requirement:

Credentialing Requirements for Physicians and Other Health Care Professionals - The MAO must follow a documented process for physicians and other health care professionals regarding initial credentialing and recredentialing.

Deficiencies:

Three of the 45 sample files requested were not provided. The balance of the files reviewed did not meet CMS requirements. All of the files were missing at least one if not more of the CMS required documentation elements (e.g., correctly completed application, license, board certification, DEA certificate, etc.). In addition, many of the files did not contain any quality of care information. 32 files (not including the missing files) did not contain documentation regarding review of the sanction list and 41 files (not including the missing files) did not contain documentation for verification of the opt-out list.

Corrective Action Required:

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4604 UNITED HEALTHCARE OF UTAH

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

Exit Conference Date: 11/16/2006

Date Report Issued: 12/15/2006

Date Report Due: 12/31/2006

CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

Requirement:

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Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1111 UNITED HEALTHCARE OF GEORGIA, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

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Element Projected Completion Date:06/30/2007

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Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3456 UNITED HEALTHCARE OF NORTH CAROLINA

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2803 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0624 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

Visit Start Date: 06/27/2006

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Element Projected Completion Date:06/30/2007

MCO Response Due Date: 01/29/2007

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5008 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3379 UNITED HEALTHCARE OF NEW YORK, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4106 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3659 UNITED HEALTHCARE OF OHIO, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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CMS Medicare Managed Care Auditing Report

Auditing Review Results (Initial Report)-Public Website Version

Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0316 UNITEDHEALTHCARE OF ARIZONA INC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

CAP Released Date:01/08/2008

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Date Report Generated: 9/30/2008

MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7378

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4514 EVERCARE OF TEXAS, LLC

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: PR03

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

Element Release Date: 01/08/2008

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