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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5527 UNITED HEALTHCARE INS. COMPANY, 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.

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0710 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5532 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3912 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3812 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5516 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5507 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4522 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5417 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2111 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

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Auditing Review Results (Initial Report)-Public Website Version

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5518 UNITED HEALTHCARE INS. COMPANY, 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2406 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5500 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3209 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

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Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1108 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0319 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

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Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0620 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

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Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1303 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

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Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1509 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2228 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.

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2003 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2001 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

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1717 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5424 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

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Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3921 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

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Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2003 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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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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5527 UNITED HEALTHCARE INS. COMPANY, 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

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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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2228 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5518 UNITED HEALTHCARE INS. COMPANY, 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4522 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

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2406 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

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Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5500 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5507 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1509 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

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MCO Response Due Date: 01/29/2007

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0620 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

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Audit Closed Date: 01/08/2008

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MCO Response Due Date: 01/29/2007

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0319 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

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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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1108 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3812 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2111 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2001 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3209 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1717 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.

Deficiencies:

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3912 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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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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1303 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0710 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

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Date Report Issued: 12/15/2006

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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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3921 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

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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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5424 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5516 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5532 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5417 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

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Date Report Due: 12/31/2006

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2111 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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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:

Correct Claim Determinations - The MAO must make correct claim determinations, which include developing the claim for additional information when necessary, for: Services obtained from a non-contracting provider when the services were authorized by a contracted provider or the MAO, Ambulance services dispatched through 911, Emergency services, Urgently needed services, Post-stabilization care services; and Renal dialysis services that Medicare members obtain while temporarily out of the service area.

Deficiencies:

In eight of the 30 files reviewed, the denial was not proper. The claim was either denied for no prior notification (notification not necessary since this is a PPO plan) or non-Medicare covered service (Medicare does cover the service).

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1303 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3912 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3921 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5527 UNITED HEALTHCARE INS. COMPANY, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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 Generated: 9/30/2008

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5417 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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

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

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5518 UNITED HEALTHCARE INS. COMPANY, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4522 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5500 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5507 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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Element Projected Completion Date: 01/31/2007

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3812 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2406 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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:01/31/2007

MCO Response Due Date: 01/29/2007

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5532 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5424 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1717 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2001 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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:

Correct Claim Determinations - The MAO must make correct claim determinations, which include developing the claim for additional information when necessary, for: Services obtained from a non-contracting provider when the services were authorized by a contracted provider or the MAO, Ambulance services dispatched through 911, Emergency services, Urgently needed services, Post-stabilization care services; and Renal dialysis services that Medicare members obtain while temporarily out of the service area.

Deficiencies:

In eight of the 30 files reviewed, the denial was not proper. The claim was either denied for no prior notification (notification not necessary since this is a PPO plan) or non-Medicare covered service (Medicare does cover the service).

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the United makes correct claims determinations for the product. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2003 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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:

Correct Claim Determinations - The MAO must make correct claim determinations, which include developing the claim for additional information when necessary, for: Services obtained from a non-contracting provider when the services were authorized by a contracted provider or the MAO, Ambulance services dispatched through 911, Emergency services, Urgently needed services, Post-stabilization care services; and Renal dialysis services that Medicare members obtain while temporarily out of the service area.

Deficiencies:

In eight of the 30 files reviewed, the denial was not proper. The claim was either denied for no prior notification (notification not necessary since this is a PPO plan) or non-Medicare covered service (Medicare does cover the service).

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the United makes correct claims determinations for the product. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2228 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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:

Correct Claim Determinations - The MAO must make correct claim determinations, which include developing the claim for additional information when necessary, for: Services obtained from a non-contracting provider when the services were authorized by a contracted provider or the MAO, Ambulance services dispatched through 911, Emergency services, Urgently needed services, Post-stabilization care services; and Renal dialysis services that Medicare members obtain while temporarily out of the service area.

Deficiencies:

In eight of the 30 files reviewed, the denial was not proper. The claim was either denied for no prior notification (notification not necessary since this is a PPO plan) or non-Medicare covered service (Medicare does cover the service).

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the United makes correct claims determinations for the product. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5516 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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:

Correct Claim Determinations - The MAO must make correct claim determinations, which include developing the claim for additional information when necessary, for: Services obtained from a non-contracting provider when the services were authorized by a contracted provider or the MAO, Ambulance services dispatched through 911, Emergency services, Urgently needed services, Post-stabilization care services; and Renal dialysis services that Medicare members obtain while temporarily out of the service area.

Deficiencies:

In eight of the 30 files reviewed, the denial was not proper. The claim was either denied for no prior notification (notification not necessary since this is a PPO plan) or non-Medicare covered service (Medicare does cover the service).

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the United makes correct claims determinations for the product. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1509 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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Audit Closed Date: 01/08/2008

Element Projected Completion Date: 01/31/2007

MCO Response Due Date: 01/29/2007

Requirement:

Correct Claim Determinations - The MAO must make correct claim determinations, which include developing the claim for additional information when necessary, for: Services obtained from a non-contracting provider when the services were authorized by a contracted provider or the MAO, Ambulance services dispatched through 911, Emergency services, Urgently needed services, Post-stabilization care services; and Renal dialysis services that Medicare members obtain while temporarily out of the service area.

Deficiencies:

In eight of the 30 files reviewed, the denial was not proper. The claim was either denied for no prior notification (notification not necessary since this is a PPO plan) or non-Medicare covered service (Medicare does cover the service).

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the United makes correct claims determinations for the product. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0620 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0319 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0710 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1108 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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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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Deficiencies:

In eight of the 30 files reviewed, the denial was not proper. The claim was either denied for no prior notification (notification not necessary since this is a PPO plan) or non-Medicare covered service (Medicare does cover the service).

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3209 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OC01

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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MCO Response Due Date: 01/29/2007

Requirement:

Correct Claim Determinations - The MAO must make correct claim determinations, which include developing the claim for additional information when necessary, for: Services obtained from a non-contracting provider when the services were authorized by a contracted provider or the MAO, Ambulance services dispatched through 911, Emergency services, Urgently needed services, Post-stabilization care services; and Renal dialysis services that Medicare members obtain while temporarily out of the service area.

Deficiencies:

In eight of the 30 files reviewed, the denial was not proper. The claim was either denied for no prior notification (notification not necessary since this is a PPO plan) or non-Medicare covered service (Medicare does cover the service).

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the United makes correct claims determinations for the product. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2111 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:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that free-form language in the standardized denial notice meets CMS requirements (clearly state the service denied and the reason). United must remove any reference to an ABN. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1303 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

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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: 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:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that free-form language in the standardized denial notice meets CMS requirements (clearly state the service denied and the reason). United must remove any reference to an ABN. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3912 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

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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: 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:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that free-form language in the standardized denial notice meets CMS requirements (clearly state the service denied and the reason). United must remove any reference to an ABN. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3921 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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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:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that free-form language in the standardized denial notice meets CMS requirements (clearly state the service denied and the reason). United must remove any reference to an ABN. 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

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Date Report Generated: 9/30/2008

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Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5527 UNITED HEALTHCARE INS. COMPANY, 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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Deficiencies:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5532 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:

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5417 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5518 UNITED HEALTHCARE INS. COMPANY, 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4522 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2406 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5507 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5500 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3812 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5424 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1717 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2001 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2003 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2228 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5516 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1509 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0620 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:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that free-form language in the standardized denial notice meets CMS requirements (clearly state the service denied and the reason). United must remove any reference to an ABN. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0319 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:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that free-form language in the standardized denial notice meets CMS requirements (clearly state the service denied and the reason). United must remove any reference to an ABN. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0710 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:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that free-form language in the standardized denial notice meets CMS requirements (clearly state the service denied and the reason). United must remove any reference to an ABN. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1108 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:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that free-form language in the standardized denial notice meets CMS requirements (clearly state the service denied and the reason). United must remove any reference to an ABN. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3209 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:

21 of the 30 files reviewed did not have compliant denial notices. The notices indicated there was no member liability when there was member liability. There were files where there is not enough information in the denial reason (vague language). There is language regarding the Advanced Beneficiary Notice (ABN). The Medicare Advantage Program has not incorporated requirements for ABNs.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that free-form language in the standardized denial notice meets CMS requirements (clearly state the service denied and the reason). United must remove any reference to an ABN. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5516 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2001 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:

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5500 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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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.

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0319 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

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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 two of the two files reviewed the detailed notice of explanation was not issued timely.

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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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0620 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1303 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5507 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3812 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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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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4522 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5417 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

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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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1509 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2111 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3209 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3912 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3921 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5518 UNITED HEALTHCARE INS. COMPANY, 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 two of the two 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 in a timely manner 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2406 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

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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.

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5532 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

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CAP Accepted Date:03/05/2007

Audit Closed Date: 01/08/2008

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5527 UNITED HEALTHCARE INS. COMPANY, 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5424 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2228 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1717 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2003 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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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.

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0710 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.

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1108 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:

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5516 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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 Notice of Non-Coverage of Provider Services (Notice Content) - The MAO must include in the Detailed Notice of Non-Coverage of Provider Services an explanation as to why the provider services are no longer reasonable or necessary, or are no longer covered; the applicable Medicare rule, instruction or policy including citations, and how the enrollee may obtain copies of such documents; and other facts or information relevant to the non-coverage decision.

Deficiencies:

In two of the two files reviewed the detailed notice of explanation was not complete.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that the detailed notice of explanation is completed per CMS requirements when issued. 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0710 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1108 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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 Notice of Non-Coverage of Provider Services (Notice Content) - The MAO must include in the Detailed Notice of Non-Coverage of Provider Services an explanation as to why the provider services are no longer reasonable or necessary, or are no longer covered; the applicable Medicare rule, instruction or policy including citations, and how the enrollee may obtain copies of such documents; and other facts or information relevant to the non-coverage decision.

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0319 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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: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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0620 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1303 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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 Generated: 9/30/2008

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3812 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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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Date Report Due: 12/31/2006

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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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5507 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2406 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4522 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5518 UNITED HEALTHCARE INS. COMPANY, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5417 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2111 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3209 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3912 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

Element Accepted Date: 03/02/2007

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

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3921 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

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Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5424 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

Review Type: Routine

Review Status: Confirmed

MCO Response Received Date:01/29/2007

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Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5500 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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 Notice of Non-Coverage of Provider Services (Notice Content) - The MAO must include in the Detailed Notice of Non-Coverage of Provider Services an explanation as to why the provider services are no longer reasonable or necessary, or are no longer covered; the applicable Medicare rule, instruction or policy including citations, and how the enrollee may obtain copies of such documents; and other facts or information relevant to the non-coverage decision.

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5532 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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: 01/31/2007

MCO Response Due Date: 01/29/2007

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5527 UNITED HEALTHCARE INS. COMPANY, INC.

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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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Element Projected Completion Date:01/31/2007

MCO Response Due Date: 01/29/2007

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1509 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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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Element Projected Completion Date:01/31/2007

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2228 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2003 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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:01/31/2007

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2001 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1717 UNITED HEALTHCARE INSURANCE COMPANY

Auditing Guide Version: MA Audit Review Guide, Version 4

Auditing Element: OP13

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

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1717 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

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

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:

Of the 20 files reviewed, 19 files did not meet CMS requirements. All of the 19 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. 14 files did not contain documentation regarding review of the sanction list and 17 files did not contain documentation for verification of the opt-out list.

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0710 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2003 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2228 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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MRT Number: M0011, Contract Number: All, Category: All, Element: All, Finding:NOT MET, Reviewer:All

Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1509 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5527 UNITED HEALTHCARE INS. COMPANY, 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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1303 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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Findings: NOT MET

Review ID: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3812 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

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:

Of the 20 files reviewed, 19 files did not meet CMS requirements. All of the 19 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. 14 files did not contain documentation regarding review of the sanction list and 17 files did not contain documentation for verification of the opt-out list.

Corrective Action Required:

United must revise and provide to CMS internal policies and procedures to ensure that credentialing files meet 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0620 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

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:

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5424 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

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:

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.

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H0319 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3921 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3912 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H3209 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H1108 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2111 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

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5417 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

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5518 UNITED HEALTHCARE INS. COMPANY, 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

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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H4522 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2406 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5507 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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5500 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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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5516 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

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:

Of the 20 files reviewed, 19 files did not meet CMS requirements. All of the 19 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. 14 files did not contain documentation regarding review of the sanction list and 17 files did not contain documentation for verification of the opt-out list.

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H5532 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

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

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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: 7377

Region: 05 Chicago

MRT Number / Name: M0011 MRT United Healthcare

Contract Number / Name: H2001 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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