

**Anthem Deficiencies**

Date	Amount	Description	CAP	Resolution
<b>Sanctions – General</b>				
1/10/20	None	The SFY 2019 Prenatal Smoking Performance Improvement conducted by IPRO found deficiencies within the PIP Review.	Yes	Submitted CAP and execution is in process.
12/9/19	None	Anthem’s appeals team provided incorrect information to callers on how to submit an appeal request that may have affected other providers.	Yes	Submitted and executed CAP to resolve deficiencies.
11/8/19	None	Provider Manual did not include prepayment process language.	Yes	Submitted and executed CAP to resolve deficiencies.
9/19/19	None	The urine drug screening frequency change order completed in June and implemented on July 1, 2019 was not configured correctly causing incorrect claims denials.	Yes	Submitted and executed CAP to resolve deficiencies.
9/9/19	None	The SFY 2019 Medicaid Compliance Review conducted by IPRO found areas in which Anthem was Non-Compliant	Yes	Submitted and executed CAP to resolve deficiencies.
8/7/19	None	Provider Pre-payment Notification Letter did not include the specific reason for review, grievance and appeals rights, or information on how the Provider may request removal of prepayment review.	Yes	Submitted and executed CAP to resolve deficiencies.
6/19/19	None	Dental vendor did not properly implement a requirement and was calculating copayments incorrectly.	Yes	Submitted and executed CAP to resolve deficiencies.
6/19/19	3,000	Late response to a request for an update on a provider complaint.	No	Paid monetary sanction.
6/4/19	3,000	Late response to a request for an update on a provider complaint.	No	Paid monetary sanction.
6/4/19	4,500	Late response to a request for an update on a provider complaint.	No	Paid monetary sanction.
10/30/18	None	Vision vendor did not load member eligibility file correctly, affecting the member access to services.	Yes	Submitted and executed CAP to resolve deficiencies.
6/8/18	10,500	Provider request for an external independent review not submitted to the state within the required five days.	No	Paid monetary sanction.
12/20/17	None	Untimely notification to the state of a provider's request for an external independent review and did not appropriately notify the provider of appeal rights.	Yes	Submitted and executed CAP to resolve deficiencies.
12/15/17	238,620	April 2017 program integrity report submitted late or incomplete and performance deficiencies in prior authorization and claims processing.	No	Paid monetary sanction.
12/7/17	None	Incomplete application package submitted to the state for three providers.	Yes	Submitted and executed CAP to resolve deficiencies.
10/4/17	None	Pharmacy vendor uploaded provider files weekly, rather than daily, resulting in pharmacy complaints.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	Amount	Description	CAP	Resolution
9/20/17	None	Did not adequately address prior CAP within required timeframe.	Yes	Submitted and executed CAP to resolve deficiencies.
9/20/17	107,822	Withhold of capitation payment due to non-compliance with several contract requirements.	No	Paid monetary sanction.
5/17/17	None	Letter to a provider incorrectly mentioned second level appeals that MCOs are no longer to require.	Yes	Submitted and executed CAP to resolve deficiencies.
5/17/17	57,822	Forfeiture of withhold for failure to comply with CAP after three months of state acceptance.	No	Paid monetary sanction.
9/8/16	None	Provider complaint regarding untimely encounter void.	Yes	Submitted and executed CAP to resolve deficiencies.
9/1/16	165,644	Non-compliance with contract monitoring requirements.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/29/16	None	Self-disclosed that a TPL subcontractor, CAQH, was not submitted for approval prior to execution of the agreement.	Yes	Submitted and executed CAP to resolve deficiencies.
8/5/16	500	Untimely response to Letter of Concern.	No	Paid monetary sanction.
8/5/16	500	Response to Letter of Concern submitted one day late.	No	Paid monetary sanction.
7/26/16	None	Failure to cover oral pathology services under an administrative regulation effective 2/5/2016.	Yes	Submitted and executed CAP to resolve deficiencies.
7/15/16	None	Letter of Concern sent to all MCOs for failure to provide complete and detailed information to prior inquiry.	No	Took action to prevent a recurrence.
6/9/16	None	February 2016 IPRO Access and Availability Dental Survey showed deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
5/31/16	None	Provider sought assistance with encounter voids and did not receive timely feedback.	Yes	Submitted and executed CAP to resolve deficiencies.
5/31/16	None	Failure to provide complete information to an inquiry.	Yes	Submitted and executed CAP to resolve deficiencies.
5/16/16	None	Pharmacy vendor terminated a pharmacy earlier than the date on the state provider master file.	Yes	Submitted and executed CAP to resolve deficiencies.
5/6/16	None	Failure to include provider terminations on Provider Termination Activity report.	Yes	Submitted and executed CAP to resolve deficiencies.
5/5/16	None	Failure to communicate root cause of pharmacy vendor outage to the state.	Yes	Submitted and executed CAP to resolve deficiencies.
4/4/16	None	Member appeal not resolved within 30 days.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	Amount	Description	CAP	Resolution
3/25/16	None	There was a 2-day lag where the Interim Dental Director was not licensed in Kentucky after the current director resigned.	Yes	Submitted and executed CAP to resolve deficiencies.
3/25/16	None	Duplicate submission of Level of Care file.	Yes	Submitted and executed CAP to resolve deficiencies.
3/21/16	None	Unable to properly pay claims for public health agencies.	Yes	Submitted and executed CAP to resolve deficiencies.
3/14/16	None	Claims for targeted case management inappropriately denied.	Yes	Submitted and executed CAP to resolve deficiencies.
3/4/16	None	Failure to follow correct procedures for third party resource recoveries.	Yes	Submitted and executed CAP to resolve deficiencies.
2/25/16	None	Untimely response to requests for information.	Yes	Submitted and executed CAP to resolve deficiencies.
2/19/16	None	Letter of Concern related to non-payment of vaccines and administration codes for non-VFC (vaccines for children) providers.	Yes	Submitted and executed CAP to resolve deficiencies.
1/26/16	None	Health plan is not conducting ongoing Quality and Member Access Committee meetings.	Yes	Submitted and executed CAP to resolve deficiencies.
1/26/16	None	Health plan is required to have a separate behavioral health crisis hotline.	Yes	Submitted and executed CAP to resolve deficiencies.
12/17/15	9,000	Late follow-up response to two CAP requests.	No	Paid monetary sanction.
12/10/15	None	Two provider grievances not resolved within 30 calendar days.	Yes	Submitted and executed CAP to resolve deficiencies.
12/4/15	None	Health plan erroneously sent members to the state to update TPL information.	Yes	Submitted and executed CAP to resolve deficiencies.
11/23/15	None	Did not credential licensed art therapists timely.	Yes	Submitted and executed CAP to resolve deficiencies.
11/23/15	None	FY 2014 EQRO onsite in March 2015 found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
11/12/15	None	IPRO survey failed to meet PCP access and availability standards - Aug 2015.	Yes	Submitted and executed CAP to resolve deficiencies.
9/21/15	None	Deficiencies found in provider program capacity.	Yes	Submitted and executed CAP to resolve deficiencies.
9/21/15	None	Did not appropriately monitor subcontractor who failed to send UM decision letters to members.	Yes	Submitted and executed CAP to resolve deficiencies.
6/16/15	None	Untimely reporting of security breach.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	Amount	Description	CAP	Resolution
6/16/15	None	Did not provide regular updates on Anthem, Inc. cyber attack.	Yes	Submitted and executed CAP to resolve deficiencies.
3/24/15	None	Inadequate provider network for pharmacies, DME providers, and dermatologists.	Yes	Submitted and executed CAP to resolve deficiencies.
7/22/14	None	Quarterly report submitted without required supporting documentation.	Yes	Submitted and executed CAP to resolve deficiencies.
3/11/14	None	Network deficiency for urban hospitals, dermatologists, psychiatrists, and cardiologists.	Yes	Submitted and executed CAP to resolve deficiencies.
<b>Sanctions – Encounters</b>				
1/22/19	67,063	Did not meet encounter for timeliness and accuracy performance measures for December 2019.	No	Payment in process.
12/19/19	42,484	Did not meet encounter for timeliness and accuracy performance measures for November 2019.	No	Paid monetary sanction.
11/15/19	234,342	Did not meet encounter for timeliness and accuracy performance measures for October 2019.	No	Paid monetary sanction.
10/21/19	35,705	Did not meet encounter for timeliness and accuracy performance measures for September 2019.	No	Paid monetary sanction.
9/19/19	90,847	Did not meet encounter for timeliness and accuracy performance measures for August 2019.	No	Paid monetary sanction.
8/16/19	166,985	Did not meet encounter for timeliness and accuracy performance measures for July 2019.	No	Paid monetary sanction.
7/19/19	55,036	Did not meet encounter for timeliness and accuracy performance measures for June 2019.	No	Paid monetary sanction.
6/19/19	69,552	Did not meet encounter for timeliness and accuracy performance measures for May 2019.	No	Paid monetary sanction.
5/20/19	67,047	Did not meet encounter for timeliness and accuracy performance measures for April 2019.	No	Paid monetary sanction.
4/19/19	217,597	Did not meet encounter timeliness and accuracy performance measures for March 2019.	No	Paid monetary sanction.
3/15/19	221,194	Did not meet encounters timeliness and accuracy performance measures for February 2019.	No	Paid monetary sanction.
2/20/19	215,281	Did not meet timeliness and accuracy performance measures for encounters submitted for January 2019.	No	Paid monetary sanction.
1/18/19	278,490	Did not meet encounter performance measures for December 2018.	No	Paid monetary sanction.
12/21/18	222,882	Did not meet encounter performance measures for November 2018.	No	Paid monetary sanction.

Date	Amount	Description	CAP	Resolution
11/16/18	199,956	Did not meet encounter performance measures for October 2018.	No	Paid monetary sanction.
10/19/18	254,521	Did not meet encounter timeliness and accuracy measures for September 2018.	No	Paid monetary sanction.
9/14/18	383,367	Did not meet encounter performance measures for August 2018.	No	Paid monetary sanction.
8/18/18	200,135	Did not meet encounter performance measures for July 2018.	No	Paid monetary sanction.
7/25/18	9,655	Did not meet encounter accuracy measures for June 2018.	No	Paid monetary sanction.
6/15/18	208,511	Did not meet encounter timeliness and accuracy measures for May 2018.	No	Paid monetary sanction.
5/18/18	201,292	Did not meet encounter timeliness and accuracy measures for April 2018.	No	Paid monetary sanction.
4/20/18	201,209	Did not meet encounter timeliness and accuracy measures for March 2018.	No	Paid monetary sanction.
3/16/18	206,095	Did not meet encounter timeliness and accuracy measures for February 2018.	No	Paid monetary sanction.
2/16/18	212,923	Did not meet encounter timeliness and accuracy measures for January 2018.	No	Paid monetary sanction.
11/17/17	206,112	October 2017 encounters did not meet timeliness and accuracy standards.	No	Paid monetary sanction.
10/20/17	212,293	September 2017 encounters did not meet timeliness and accuracy standards.	No	Paid monetary sanction.
9/18/17	215,564	August 2017 encounters did not meet timeliness and accuracy standards.	No	Paid monetary sanction.
8/16/17	216,101	July 2017 encounters did not meet timeliness and accuracy standards.	No	Paid monetary sanction.
7/21/17	288,897	June 2017 encounters did not meet timeliness and accuracy standards.	No	Paid monetary sanction.
6/26/17	193,511	May 2017 encounters did not meet timeliness and accuracy standards.	No	Paid monetary sanction.
5/22/17	195,193	April 2017 deficiencies in timely and accurate encounter data.	No	Paid monetary sanction.
4/17/17	184,591	March 2017 deficiencies in timely and accurate encounter data.	No	Paid monetary sanction.
3/15/17	184,306	February 2017 deficiencies in timely and accurate encounter data.	No	Paid monetary sanction.
2/22/17	178,408	January 2017 deficiencies in timely and accurate encounter data.	No	Paid monetary sanction.
11/28/16	168,970	Did not meet standards for timely submission of encounters after adjudication date.	No	Paid monetary sanction.
9/20/16	9,639	Encounter submission in August 2016 did not meet standards.	No	Paid monetary sanction.
8/29/16	None	Failure to void encounters in a timely manner.	Yes	Submitted and executed CAP to resolve deficiencies.
3/14/16	222,445	Encounter file submissions in February 2016 did not meet standards in timeliness, threshold errors, and submission rejections.	No	Paid monetary sanction.
2/19/16	None	Encounter file submission used an incorrect provider type.	Yes	Submitted and executed CAP to resolve deficiencies.
1/21/16	None	Encounter submission in December 2015 did not meet standards.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	Amount	Description	CAP	Resolution
10/15/15	171,095	Sept 2015 failure to submit encounters in accordance with contract.	No	Paid monetary sanction.
3/16/15	3,500	Failure to submit encounters in accordance with contract.	No	Paid monetary sanction.
2/18/15	13,500	Encounter data was not timely and above the threshold error percentage.	No	Paid monetary sanction.

### Medicaid Affiliate Deficiencies

Date	State	Amount	Description	CAP	Resolution
1/15/20	TN	1,500	Did not comply with approval and scheduling requirements.	No	Paid monetary sanction.
1/10/20	LA	50,000	Did not demonstrate a two-point improvement from the prior period on the 2019 Q3 Provider Directory audit.	No	Paid monetary sanction.
1/7/20	IN	300	Untimely response to an internet quorum (complaint received by the state).	No	Paid monetary sanction.
1/3/20	TN	1,500	Transportation vendor did not comply with urgent trip requirements for one member.	No	Paid monetary sanction.
1/3/20	TN	1,000	Did not comply with transportation approval and scheduling requirements for two members.	No	Paid monetary sanction.
12/30/19	IN	950	Did not obtain state approval for 1 document posted on the member website.	No	Paid monetary sanction.
12/30/19	LA	1,186,420	Did not improve on 2 of 16 measures in quality performance measure withhold program for 2018.	No	Paid monetary sanction.
12/20/19	FL	2,500	In September 2019, did not send notices of denial/reduction within the required timeframes.	No	Paid monetary sanction.
12/20/19	FL	11,000	July/August 2019 - did not meet network adequacy standards for specific specialties in specific regions.	No	Paid monetary sanction.
12/20/19	FL	8,000	Did not update printable provider directory monthly.	No	Paid monetary sanction.
12/20/19	FL	1,000	August 2019 report was not completed properly on the report template.	No	Paid monetary sanction.
12/19/19	FL	500	Untimely notification to the state of a HIPPA disclosure.	No	Paid monetary sanction.
12/19/19	FL	24,000	State review of long-term care case records found some to be non-compliant with contract requirements related to documenting all activities and interactions.	No	Paid monetary sanction.
12/19/19	FL	15,000	In August, September, and October 2019, nursing facility and hospice claims paid within 10 days did not meet standard.	No	Paid monetary sanction.
12/19/19	TN	500	Transportation vendor did not comply with police report requirements after an accident.	No	Paid monetary sanction.
12/19/19	TN	1,500	Did not comply with transportation approval and scheduling requirements for one member.	No	Paid monetary sanction.
12/19/19	TN	700	Late submission of November 2019 PCMH payment report.	No	Paid monetary sanction.
12/19/19	TN	None	December 2019 HCBS claims did not meet 14-day and 21-day processing metrics.	No	Took action to prevent a recurrence.
12/18/19	FL	5,000	Encounter data submitted more than 7 days after the adjudication date.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
12/17/19	TX	None	SFY 2017 - did not meet EPSDT timely check-up requirement.	Yes	Submitted and executed CAP to resolve deficiencies.
12/16/19	FL	53,000	Secret shopper calls found discrepancies with provider location data listed in the online directory.	No	Paid monetary sanction.
12/16/19	TN	10,000	For Q3 2019, did not achieve required accuracy rates for provider telephone numbers and addresses on the provider enrollment file.	No	Paid monetary sanction.
12/13/19	TX	None	Claims project created to address reimbursement issues for a single provider was not completed within 60 days of project initiation.	Yes	Submitted and executed CAP to resolve deficiencies.
12/11/19	CA	7,500	A member's claim was denied in error, therefore not paid within the 45-day requirement.	No	Paid monetary sanction.
12/11/19	TN	500	Did not comply with transportation pickup and delivery standards for one member.	No	Paid monetary sanction.
12/11/19	TN	200	Late submission of Q3 2019 provider report.	No	Paid monetary sanction.
12/9/19	TN	200	Late submission of Q3 2019 provider report.	No	Paid monetary sanction.
12/6/19	FL	39,400	Did not provide coverage for certain brand-name drugs on the state's Preferred Drug List.	No	Paid monetary sanction.
12/4/19	TN	500	Did not comply with transportation approval and scheduling requirements for one member.	No	Paid monetary sanction.
12/3/19	TN	500	Did not comply with transportation pickup and delivery standards for one member.	No	Paid monetary sanction.
12/3/19	TX	None	OIG audit identified three areas: providing required face-to-face visits, timely follow-up on member receipt of approved services, and timely assessment of members after NF admission.	Yes	Submitted and executed CAP to resolve deficiencies.
12/2/19	TN	7,500	Did not meet transportation approval and scheduling requirements (11 instances).	No	Paid monetary sanction.
12/2/19	TN	3,000	Did not comply with transportation pickup and delivery standards (5 instances).	No	Paid monetary sanction.
12/2/19	TN	3,000	Did not comply with transportation urgent trip requirements for one member.	No	Paid monetary sanction.
11/26/19	TN	None	October 2019 claims payment accuracy for nursing facility claims was 1 point away from the standard.	Yes	Submitted and executed CAP to resolve deficiencies.
11/25/19	IN	5,500	Q3 2019 member and provider call center metrics for calls answered by a live person within 30 seconds not met.	No	Paid monetary sanction.
11/25/19	IN	1,375	Percent of after hours member calls returned within 1 business day not met in Q3 2019.	No	Paid monetary sanction.
11/25/19	IN	7,400	Q3 2019 member grievances and appeals not resolved within timeframe requirements.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
11/20/19	TN	2,000	Did not comply with transportation approval and scheduling requirements (4 instances).	No	Paid monetary sanction.
11/20/19	TN	1,000	Did not comply with transportation pickup and delivery standards for two members.	No	Paid monetary sanction.
11/19/19	TX	750	Late submission of Financial Statistical Reports.	No	Paid monetary sanction.
11/19/19	TX	157,800	Did not respond timely or in the requested format to information requests from the Office of Inspector General.	No	Paid monetary sanction.
11/19/19	TX	15,000	EPSDT annual report not submitted timely and accurately.	No	Paid monetary sanction.
11/12/19	TN	1,000	Did not comply with transportation pickup and delivery standards for two members.	No	Paid monetary sanction.
11/12/19	TN	1,000	Did not comply with transportation approval and scheduling requirements for one member.	No	Paid monetary sanction.
11/12/19	TX	925,000	Did not correct nursing facility claims issues by the CAP due date. Remediation occurred beyond the original target date.	No	Paid monetary sanction.
11/12/19	TX	875,000	Did not correct identified field level issues with encounter data by the CAP due date. Remediation occurred beyond the originally reported target date.	No	Paid monetary sanction.
11/12/19	TX	620	Late submission of Financial Statistical Report and Form B Registration Statement.	No	Paid monetary sanction.
11/12/19	TX	60,000	Pharmacy encounters not submitted timely.	No	Paid monetary sanction.
11/12/19	TX	1,250	February 2018 - missed appealed claims timeliness metric by one point.	No	Paid monetary sanction.
11/12/19	TX	422,400	Response to requests for information from OIG were untimely and inaccurate.	No	Paid monetary sanction.
11/8/19	FL	500	A review found long term care case records that were not compliant with contract requirements.	No	Paid monetary sanction.
11/8/19	TX	None	State Financial Reporting and Audit Coordination review of FY15 and FY16 found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
11/7/19	TN	None	27 rejected encounters not re-submitted within 45 days of rejection.	No	Took action to prevent a recurrence.
11/7/19	TN	2,500	Did not comply with transportation approval and scheduling requirements for three members.	No	Paid monetary sanction.
11/6/19	TN	1,500	Did not comply with transportation approval and scheduling requirements for three members.	No	Paid monetary sanction.
11/5/19	FL	2,500	In March 2019, did not send a notice of adverse benefit determination to one member.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
11/5/19	TN	None	August 2019 - some claims were affected by a system error and did not reprocess correctly.	Yes	Submitted and executed CAP to resolve deficiencies.
10/29/19	IA	1,884	Q3 & Q4 SFY 2019 member grievance and appeal turn around times did not meet standard.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
10/29/19	IA	1,890	Inaccuracies found in six Q3 SFY 2019 reports.	No	Paid monetary sanction.
10/29/19	IA	1,084	Two occurrences where prior authorizations did not meet standards.	No	Paid monetary sanction.
10/29/19	IA	630	Untimely completion of two care plans.	No	Paid monetary sanction.
10/28/19	MD	None	Online provider directory must include ADA accommodations and provider staff responses regarding accepting new Medicaid patients needs to align with information in the online provider directory.	Yes	Submitted and executed CAP to resolve deficiencies.
10/28/19	TN	None	For August 2019, member services, provider services, and utilization management phone lines did not meet the standard for calls answered within 30 seconds.	Yes	Submitted and executed CAP to resolve deficiencies.
10/24/19	TN	500	Did not comply with transportation drug and alcohol requirement after an accident/incident.	No	Paid monetary sanction.
10/24/19	TN	20,000	June 2019 claims payment accuracy for HCBS was below the standard.	No	Paid monetary sanction.
10/22/19	TN	500	Did not submit information about transportation accident/incident within five business days	No	Paid monetary sanction.
10/18/19	FL	17,500	For April - July 2019, did not meet 10-business day requirement for nursing facility and hospice claims.	No	Paid monetary sanction.
10/14/19	TN	None	For Q3 2019, did not achieve required accuracy rates for provider telephone numbers and addresses on the provider enrollment file.	Yes	Submitted and executed CAP to resolve deficiencies.
10/10/19	IA	315	Inaccuracies found in a July 2019 report.	No	Paid monetary sanction.
10/9/19	CA	None	Late notification to the state of a provider termination and did not notify members.	Yes	Submitted and executed CAP to resolve deficiencies.
10/9/19	FL	250	Provider network file was submitted on time, but failed to import successfully.	No	Paid monetary sanction.
10/9/19	TX	None	Operational review identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
10/1/19	TN	500	Transportation vendor did not comply with the drug and alcohol requirement after an accident/incident.	No	Paid monetary sanction.
10/1/19	TN	3,300	Q2 2019 - incorrect provider reports needed to be replaced on the provider portal.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
9/24/19	FL	250	Late submission of a weekly file.	No	Paid monetary sanction.
9/23/19	DC	93,960	Missed 80% participation rate for EPSDT services in FY2018.	No	Paid monetary sanction.
9/23/19	TN	2,000	Did not comply with transportation approval and scheduling requirements for three members.	No	Paid monetary sanction.
9/23/19	TN	5,000	Did not comply with transportation pickup and delivery standards for seven members.	No	Paid monetary sanction.
9/23/19	TN	500	Q2 2019 THL Provider Report was incomplete.	No	Paid monetary sanction.
9/23/19	TN	5,000	Did not achieve 90% accuracy rates for telephone numbers and prenatal services on the provider enrollment file for Q2 2019.	No	Paid monetary sanction.
9/20/19	TN	1,000	Did not comply with transportation approval and scheduling requirements for one member.	No	Paid monetary sanction.
9/20/19	TN	1,000	Did not comply with transportation pick up and delivery standards for two members.	No	Paid monetary sanction.
9/11/19	VA	None	Report submitted with formatting errors.	No	Took action to prevent a recurrence.
9/11/19	VA	None	Did not meet call center standard to answer 95% of incoming calls for June 2019.	No	Took action to prevent a recurrence.
9/9/19	FL	250	Late submission of a weekly provider network file.	No	Paid monetary sanction.
9/5/19	LA	50,000	Q2 2019 IRPO audit compliance score was below minimum requirement.	No	Paid monetary sanction.
9/4/19	TN	1,500	Did not comply with approval and scheduling requirements (3 members).	No	Paid monetary sanction.
9/4/19	TN	1,000	Did not comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
9/3/19	TX	2,790,400	Did not correct identified field level issues with encounter data by the CAP due date. Remediation occurred beyond the originally reported target date.	No	Paid monetary sanction.
9/3/19	TX	910,000	Did not correct NF and non-NF duplicate claims issues by the CAP due date. Remediation occurred beyond the original target date.	No	Paid monetary sanction.
9/3/19	TX	4,500	Health plan did not timely address OB/GYN providers identified in a prenatal appointment availability study in accordance with CAP.	No	Paid monetary sanction.
9/3/19	TX	1,250	Untimely submission of a CAP to address providers non-compliant with appointment availability standards.	No	Paid monetary sanction.
9/3/19	TX	750	Did not meet abandonment rate for the behavioral health crisis line.	No	Paid monetary sanction.
9/3/19	TX	60,000	Pharmacy encounters not submitted timely.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
9/3/19	TX	14,850	Delay in response to several requests for information from the Texas Office of Inspector General and some data and information required resubmission due to format or accuracy.	No	Paid monetary sanction.
8/23/19	IN	4,400	100% of member appeals not resolved within time period during Q2 2019.	No	Paid monetary sanction.
8/23/19	IN	5,750	Prior authorizations processed within 7 days was 96.93% for Q2 2019, just missing the 97% metric.	No	Paid monetary sanction.
8/23/19	IN	49,200	For Q1 2019, did not meet 98% threshold for encounter data completion and accuracy.	No	Paid monetary sanction.
8/22/19	TN	1,500	Did not comply with transportation pickup and delivery standards for three members.	No	Paid monetary sanction.
8/22/19	TN	1,500	Semi-annual Heat Maps report had missing information.	No	Paid monetary sanction.
8/21/19	TN	500	Did not comply with pickup and delivery standards for one member.	No	Paid monetary sanction.
8/21/19	TN	2,500	Did not comply with approval and scheduling requirements for five members.	No	Paid monetary sanction.
8/21/19	TN	500	Did not comply with drug and alcohol requirement after an accident/incident.	No	Paid monetary sanction.
8/21/19	TN	200	Q2 2019 Health Link Provider sample report had missing information.	No	Paid monetary sanction.
8/15/19	FL	250	Late submission of a provider network file.	No	Paid monetary sanction.
8/6/19	VA	None	Report submitted with formatting errors.	No	Took action to prevent a recurrence.
8/2/19	TN	None	Deficiencies in semi-annual heat map report.	Yes	Submitted and executed CAP to resolve deficiencies.
7/31/19	FL	1,000	Two disclosures of PHI were submitted to the state 5 days late.	No	Paid monetary sanction.
7/30/19	FL	500	LTC record review showed instances where timeframes for developing and approving a plan of care were not met.	No	Paid monetary sanction.
7/30/19	MD	None	Enrollee to PCP ratio exceeds the standard in four FQHC locations.	Yes	Submitted and executed CAP to resolve deficiencies.
7/25/19	FL	3,000	May network file submission showed 3 instances (specific specialty and region) where network standards were not met.	No	Paid monetary sanction.
7/24/19	LA	255,000	The PBM made outbound calls to members in a manner that is prohibited.	No	Paid monetary sanction.
7/24/19	TN	None	June 2019 claims payment accuracy for HCBS was less than the 97% standard.	Yes	Submitted and executed CAP to resolve deficiencies.
7/16/19	TX	None	In the 2018 Appointment and Availability Study for PCPs, did not meet the standard of 99% within 90 days for the LTSS program.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
7/15/19	TN	1,000	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
7/11/19	IN	2,200	Member appeals resolution metric not met for Q1 2019.	No	Paid monetary sanction.
7/11/19	IN	1,350	Q1 2019 - 100% of provider after hours calls not returned within 1 business day.	No	Paid monetary sanction.
7/11/19	IN	17,250	Q1 2019 prior authorizations timeliness metric not met.	No	Paid monetary sanction.
7/11/19	TN	None	Q2 2019 provider data file did not meet accuracy requirement for telephone numbers and addresses.	Yes	Submitted and executed CAP to resolve deficiencies.
7/8/19	FL	40,000	Standard for nursing facility claims paid in 10 business days not met for Dec 2018 and Jan - March 2019.	No	Paid monetary sanction.
7/1/19	CA	450,000	Subcontractor failed to meet contractual obligations related to utilization management.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/1/19	TN	25,000	March 2019 claims payment accuracy for nursing facilities was below the 97% standard.	No	Paid monetary sanction.
7/1/19	TN	25,000	August 2018 - Vision provider missed metric for calls answered within 30 seconds by 1 point.	No	Paid monetary sanction.
6/27/19	CO	None	Website is not readily accessible per Section 508 guidelines (2 regions).	Yes	Submitted and executed CAP to resolve deficiencies.
6/27/19	CO	None	Need to enhance provider communication regarding requirements for providing EPSDT-related behavioral health services and update EPSDT medical necessity criteria to align with updated definition (2 regions).	Yes	Submitted and executed CAP to resolve deficiencies.
6/25/19	TN	1,000	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
6/20/19	NJ	26,676	Low EPSDT screening rate in 2017.	No	Paid monetary sanction.
6/7/19	MD	None	During a System Performance Review, did not meet elements related to subcontractor oversight.	Yes	Submitted and executed CAP to resolve deficiencies.
6/7/19	MD	None	During a System Performance Review, did not meet elements related to member materials/enrollee rights.	Yes	Submitted and executed CAP to resolve deficiencies.
6/7/19	MD	None	During a System Performance Review, did not meet elements related to availability and accessibility (including call center).	Yes	Submitted and executed CAP to resolve deficiencies.
6/7/19	MD	None	During a System Performance Review, did not meet elements related to utilization review.	Yes	Submitted and executed CAP to resolve deficiencies.
6/7/19	MD	None	During a System Performance Review, did not meet elements related to fraud and abuse.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
6/5/19	TN	500	Failure to comply with pickup and delivery standards for 1 member.	No	Paid monetary sanction.
6/5/19	TN	500	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
5/29/19	TN	500	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
5/29/19	TN	1,500	Failure to comply with urgent trip requirements.	No	Paid monetary sanction.
5/21/19	FL	6,000	Provider network file identifies deficiencies in specific specialties and specific regions.	No	Paid monetary sanction.
5/21/19	TN	15,000	Daily data file sent to the state did not include the required PCP field for some records.	No	Paid monetary sanction.
5/21/19	TN	10,000	October 2018 claims payment accuracy for nursing facilities in one region were below standard.	No	Paid monetary sanction.
5/20/19	TN	None	Annual Quality Study found that performance metric was missed for credentialing and UM notice of action letters.	Yes	Submitted and executed CAP to resolve deficiencies.
5/17/19	TX	None	Did not meet the 100% threshold for clinician administered drugs for Q3 SFY 18.	Yes	Submitted and executed CAP to resolve deficiencies.
5/16/19	FL	5,000	An unapproved webpage was used to provide information on a health plan name change.	No	Paid monetary sanction.
5/16/19	FL	7,500	Distribution of unapproved materials at three marketing events.	No	Paid monetary sanction.
5/7/19	FL	1,000	Care Coordinator failed to attend a scheduled multidisciplinary team meeting.	No	Paid monetary sanction.
4/29/19	CA	1,698,400	Distributed an incorrect "Your Rights" document to members, providers, and facilities. The penalty has been appealed.	No	Paid monetary sanction.
4/26/19	TN	None	March 2019 claims payment accuracy for nursing facilities was below standard.	Yes	Submitted and executed CAP to resolve deficiencies.
4/22/19	TN	None	January 2019 Focused Claims - claims were affected by a system error and did not reprocess correctly for 1 region.	Yes	Submitted and executed CAP to resolve deficiencies.
4/19/19	NY	None	Did not meet encounter data quality measures.	Yes	Submitted and executed CAP to resolve deficiencies.
4/17/19	FL	500	Untimely notification of a security incident that occurred with a subcontractor.	No	Paid monetary sanction.
4/12/19	DC	None	For 2018, did not meet the required 85% MLR, resulting in a required audit.	No	Took action to prevent a recurrence.
4/12/19	TN	500	Failure to comply with pickup and delivery standards for 1 member.	No	Paid monetary sanction.
4/12/19	TN	10,000	February 2019 claims payment accuracy for nursing facilities was below standard.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
4/11/19	TN	None	Q1 2019 - did not achieve accuracy rate for telephone numbers on the provider enrollment file.	Yes	Submitted and executed CAP to resolve deficiencies.
4/2/19	LA	5,000	Transportation vendor did not meet prompt pay metrics for February 2019.	No	Paid monetary sanction.
4/1/19	TN	20,000	Did not meet January 2019 prompt pay requirements for HCBS claims.	No	Paid monetary sanction.
3/26/19	TN	None	February 2019 claims accuracy for nursing facilities was below standard.	Yes	Submitted and executed CAP to resolve deficiencies.
3/25/19	TN	None	December 2018 Focused Claims - claims were affected by a system error and did not reprocess correctly for 1 region.	Yes	Submitted and executed CAP to resolve deficiencies.
3/22/19	TN	10,000	Q4 2018 - did not achieve accuracy rate for telephone numbers on the provider enrollment file.	No	Paid monetary sanction.
3/19/19	TN	500	Failure to comply with pickup and delivery standards for 1 member.	No	Paid monetary sanction.
3/19/19	TN	5,843	Missed private duty nursing shifts for one member from July 10, 2018 to November 28, 2018.	No	Paid monetary sanction.
3/14/19	NJ	None	Did not close out all outstanding assessments within the required timeframe.	Yes	Submitted and executed CAP to resolve deficiencies.
3/13/19	FL	1,000	Transportation vendor was late for member pick up.	No	Paid monetary sanction.
3/13/19	IA	1,260	Inaccurate or incomplete submission of four reports.	No	Paid monetary sanction.
3/13/19	IA	785	Appeals processing did not meet timeliness standards.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/13/19	IA	796	Member call center had 98% of calls answered, missing the 99% metric.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/12/19	TX	920,000	Q4 SFY 2017 - did not correct duplicate claims issues by the due date.	No	Paid monetary sanction.
3/12/19	TX	4,105,000	Q4 SFY 2017 - did not correct encounter issues by the due date.	No	Paid monetary sanction.
3/12/19	TX	12,500	Q4 SFY 2017 - untimely processing of CHIP vision claims in 1 service area.	No	Paid monetary sanction.
3/12/19	TX	83,000	Q4 SFY 2017 - submission of late and/or inaccurate financial statistical reports.	No	Paid monetary sanction.
3/12/19	TX	1,500	Q4 SFY 2017 - did not comply with the requirements of the state-approved FWA compliance plan.	No	Paid monetary sanction.
3/12/19	TX	108,500	Q4 SFY 2017 did not respond correctly to Inspector General request for information.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/11/19	CA	100,000	Health plan's UM vendor did not make timely authorization decisions in accordance with contract requirements.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/11/19	IN	11,300	2018 Q4 did not meet the timeliness standards for processing paper claims.	No	Paid monetary sanction.
3/11/19	IN	9,300	2018 Q4 missed metric for new member health screenings.	No	Paid monetary sanction.
3/7/19	TX	None	The state's 2018 appointment and availability study found that the vision vendor missed the vision appointment standard for one population group.	Yes	Submitted and executed CAP to resolve deficiencies.
3/6/19	TN	1,500	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
3/1/19	DC	4,237,036	Did not receive the 2% incentive payment (withheld from capitation rates) due to not meeting one of the three pay for performance measures.	No	Paid monetary sanction.
3/1/19	TX	None	A 2018 audit of state fiscal year 2016 had findings related to the allocation of medical expenses and administrative costs.	Yes	Submitted and executed CAP to resolve deficiencies.
3/1/19	WV	None	Did not meet contract requirement to allow Physician Assistants to enroll/bill as PCPs.	Yes	Submitted and executed CAP to resolve deficiencies.
2/27/19	NJ	None	During Q3 2018, exceeded 5% threshold of assessment outcomes of Not Authorized overturned after agency reassessment.	Yes	Submitted and executed CAP to resolve deficiencies.
2/25/19	FL	14,000	Multiple occurrences between September and December 2018 of member complaints related to late transportation pick ups and drop offs.	No	Paid monetary sanction.
2/25/19	TN	500	Failure to comply with pickup and delivery standards for 1 member.	No	Paid monetary sanction.
2/25/19	TN	None	Did not achieve 100% compliance with 2018 Abortion, Sterilization and Hysterectomy Claims Payment Audit.	Yes	Submitted and executed CAP to resolve deficiencies.
2/22/19	NJ	None	Plan was using an unapproved adjunct assessment tool to authorize/deny medical day care services.	Yes	Submitted and executed CAP to resolve deficiencies.
2/22/19	NJ	None	Use of an unauthorized tool for medical day care determinations.	Yes	Submitted and executed CAP to resolve deficiencies.
2/21/19	TN	500	Failure to comply with the approval and scheduling requirements for 1 member.	No	Paid monetary sanction.
2/21/19	TN	500	Failure to comply with pickup and delivery standards for 1 member.	No	Paid monetary sanction.
2/21/19	TN	None	Did not meet January 2019 prompt pay requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
2/19/19	TN	500	Failure to comply with pickup and delivery standards for 1 member.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
2/18/19	FL	1,000	Encounter data not submitted within 7 days of adjudication for 1 week in November.	No	Paid monetary sanction.
2/18/19	FL	2,000	Encounter data not submitted within 7 days of adjudication for 1 week in October and 1 week in November.	No	Paid monetary sanction.
2/18/19	FL	500	Did not meet timely notice of appeal resolution for 2 members.	No	Paid monetary sanction.
2/15/19	FL	11,000	Suspected fraud and abuse was not reported within the required number of days.	No	Paid monetary sanction.
2/15/19	LA	None	Secret shopper survey for Q4 2018 found that provider directory information accuracy did not meet the 90% standard.	No	Took action to prevent a recurrence.
2/15/19	TN	1,100	Untimely response to state request for information.	No	Paid monetary sanction.
2/15/19	TX	None	Benefit for overhead lifts inappropriately denied for some members.	Yes	Submitted and executed CAP to resolve deficiencies.
2/1/19	TX	None	Participation rates for members birth through age 20 receiving timely checkups fell below 50% for certain service delivery areas in SFY 2016.	Yes	Submitted and executed CAP to resolve deficiencies.
1/23/19	TN	None	Did not meet December 2018 prompt pay requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
1/14/19	IA	16,200	Claims non-compliance included pharmacy vendor pricing issues and not collecting the correct client participation amount.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/14/19	TX	None	The state's 2018 appointment and availability study found that OBGYN providers were not meeting appointment wait time standards for high risk pregnancies.	Yes	Submitted and executed CAP to resolve deficiencies.
1/10/19	TN	None	Q4 2018 - did not achieve accuracy rate for telephone numbers on the provider enrollment file.	Yes	Submitted and executed CAP to resolve deficiencies.
12/28/18	CA	None	Deficiencies found in provider data quality.	Yes	Submitted and executed CAP to resolve deficiencies.
12/28/18	FL	16,000	Review of long term care case records revealed incidents of noncompliance with contract requirements.	No	Paid monetary sanction.
12/20/18	TN	500	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
12/20/18	WV	5,000	Failure to promptly notify providers of a change.	No	Paid monetary sanction.
12/12/18	TX	None	During an SFY2017 information controls and security audit, did not provide requested information timely and monitoring of data center badge access did not comply with state guidelines.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
12/11/18	IN	1,350	Did not return 100% of after hours member calls within 1 business day in Q3 2018.	No	Paid monetary sanction.
12/11/18	IN	9,300	Did not meet metric to provide health needs screen to new members within 90 days of enrollment in Q3 2018.	No	Paid monetary sanction.
12/7/18	TN	1,500	Late submission of requested ad hoc report.	No	Paid monetary sanction.
12/6/18	NY	None	Q3 2018 encounter data completeness percent change was greater than 10% quarter over quarter.	Yes	Submitted and executed CAP to resolve deficiencies.
12/5/18	TX	None	For Q4 SFY 2018, network adequacy for time and distance did not meet the threshold for several provider types in some contracted counties and service areas.	Yes	Submitted and executed CAP to resolve deficiencies.
12/4/18	LA	500,000	Two performance measures for 2017 fell below benchmarks: cesarean rate for low-risk first birth women and ambulatory care ED visits. For the ED measure, all 5 MCOs missed the target by a considerable margin.	No	Paid monetary sanction.
12/4/18	NY	None	Of 150 providers called, 40 did not meet compliance measure. The rate of 73.3% is below the state's 75% threshold.	Yes	Submitted and executed CAP to resolve deficiencies.
12/4/18	NY	None	Out of 105 providers called, 29 providers failed the after hours access requirement. Failure reasons included told to leave a message and timeframe not specified, no answering service, and no live voice at second number.	Yes	Submitted and executed CAP to resolve deficiencies.
12/4/18	TN	1,500	Failure to comply with transportation urgent trips requirement for one member.	No	Paid monetary sanction.
12/4/18	TX	None	Participation rate for members (birth through age 20) receiving timely EPSDT checkups fell below 50% in some service areas for SFY 2016.	Yes	Submitted and executed CAP to resolve deficiencies.
11/30/18	IN	98,400	98% encounter completion and accuracy rate not met in Q1 2018.	No	Paid monetary sanction.
11/30/18	TN	None	September 2018 focused claims audit found claims denied incorrectly due to a system error that did not route claims appropriately for adjudication.	Yes	Submitted and executed CAP to resolve deficiencies.
11/28/18	IN	5,700	Did not meet the required 98% threshold for institutional paper claims processed within 30 days (rate was 97%).	No	Paid monetary sanction.
11/28/18	IN	4,050	In Q1 2018, 100% of after-hours member calls not returned within 1 business day.	No	Paid monetary sanction.
11/28/18	IN	17,250	Did not meet the prior authorization timeliness threshold in Q1 2018.	No	Paid monetary sanction.
11/28/18	IN	9,300	For Q1 2018, did not meet metric to provide health needs screen to new members within 90 days of enrollment.	No	Paid monetary sanction.
11/28/18	IN	5,400	In Q1 2018, 100% of after-hours provider and member calls not returned within 1 business day.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
11/28/18	IN	9,300	For Q2 2018, did not meet metric to provide health needs screen to new members within 90 days of enrollment.	No	Paid monetary sanction.
11/26/18	TN	4,500	Did not comply with transportation pick up and delivery standards for eight members.	No	Paid monetary sanction.
11/26/18	TN	3,000	Failure to comply with transportation urgent trips requirement for two members.	No	Paid monetary sanction.
11/26/18	TN	None	October 2018 payment accuracy for nursing facilities in one region were below standard due, primarily, to manual processing errors.	Yes	Submitted and executed CAP to resolve deficiencies.
11/9/18	IA	8,130	Prior authorizations did not meet contractual standards in Q4 SFY 2018.	No	Paid monetary sanction.
11/7/18	FL	2,084,600	Did not meet the minimum standards for some HEDIS performance measures in 2017.	No	Paid monetary sanction.
11/7/18	FL	30,000	Review of submitted continuity of care data found deficiencies.	No	Paid monetary sanction.
11/2/18	TN	None	August 2018 focused claims audit found claims not processed appropriately due to a file not being loaded timely.	Yes	Submitted and executed CAP to resolve deficiencies.
10/30/18	IN	147,600	Did not meet the encounter data completeness threshold in Q3 2017.	No	Paid monetary sanction.
10/26/18	TN	2,000	Did not comply with transportation pickup and delivery standards for four members.	No	Paid monetary sanction.
10/11/18	TN	None	Q3 2018 provider data did not meet accuracy rate for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
10/10/18	DC	232,211	Did not fulfill subcontracting requirements for small and local businesses.	No	Paid monetary sanction.
10/3/18	CA	9,710,200	Distributed an incorrect "Your Rights" document to members, providers, and facilities.	No	Paid monetary sanction.
10/2/18	TN	1,500	Did not comply with transportation pickup and delivery standards for three members.	No	Paid monetary sanction.
10/1/18	FL	55,000	Did not meet provider network standards specified in the Contract.	No	Paid monetary sanction.
10/1/18	NY	None	Health plan entered into an agreement without prior review and approval.	No	Took action to prevent a recurrence.
10/1/18	NY	None	Delegated claims payment and UR functions without state approval.	No	Took action to prevent a recurrence.
9/28/18	FL	100,000	Between February 2016 and September 2017, there were instances where hospice claims were erroneously denied or payed incorrectly.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
9/27/18	TN	None	August 2018 payment accuracy for nursing facility claims did not meet the 97% threshold in one region.	Yes	Submitted and executed CAP to resolve deficiencies.
9/25/18	FL	500	Failure to timely comply with enrollee resolution requirements.	No	Paid monetary sanction.
9/25/18	FL	17,500	Did not provide transportation services as described in the Contract.	No	Paid monetary sanction.
9/25/18	FL	250	One expedited appeal was not resolved within 72-hour timeframe.	No	Paid monetary sanction.
9/21/18	NJ	26,650	2016 dental screening rate did not meet the standard.	No	Paid monetary sanction.
9/19/18	FL	9,500	Did not provide transportation services as described in the Contract.	No	Paid monetary sanction.
9/14/18	TN	5,000	Q2 2018 provider data file did not meet accuracy requirement for telephone numbers.	No	Paid monetary sanction.
9/14/18	TN	1,000	Transportation vendor was two days late with notification of an accident.	No	Paid monetary sanction.
9/7/18	TN	100	Semi-annual report was late.	No	Paid monetary sanction.
8/27/18	NY	None	Did not submit encounter data for Q2 2018 in accordance with contract requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
8/24/18	TN	100	Response to ad hoc report was not the information the requested asked for.	No	Paid monetary sanction.
8/22/18	TN	None	May 2018 focused claims found errors related to a CMS locality change not updated in the claims processing system.	Yes	Submitted and executed CAP to resolve deficiencies.
8/20/18	NY	None	2018 Operational Survey found deficiencies in provider notifications. Did not notify provider 60 days prior to potential contract termination and did not provide evidence of provider phone notification of adverse determination in 3 of 24 cases.	No	Took action to prevent a recurrence.
8/20/18	NY	None	2018 Operational Survey found that did not provide approval letters to the state for all contracts.	No	Took action to prevent a recurrence.
8/20/18	NY	None	2018 Operational Survey found one provider in the 4th quarter submission that was no longer participating.	No	Took action to prevent a recurrence.
8/20/18	NY	None	2018 Operational Survey found that a vendor did not ensure that clinical rationale was member specific and did not send written notice of determination to enrollees' providers.	No	Took action to prevent a recurrence.
8/20/18	NY	None	2018 Operational Survey found that notices to members did not contain the correct fair hearing information and did not fully comply with Managed Care Action Taken requirements in all cases.	No	Took action to prevent a recurrence.
8/10/18	TX	None	Did not meet the performance standard for timely submission of pharmacy encounters.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
8/1/18	NY	None	LTC member services department provided incorrect answers on 2 questions.	Yes	Submitted and executed CAP to resolve deficiencies.
8/1/18	TN	7,000	Untimely response to prior authorization request.	No	Paid monetary sanction.
7/31/18	IA	1,575	Five reports submitted late, inaccurate, or incomplete.	No	Paid monetary sanction.
7/31/18	IA	None	Member pharmacy call center performance did not meet performance standards.	Yes	Submitted and executed CAP to resolve deficiencies.
7/25/18	KS	7,923,509	As part of the 2016 Pay For Performance program, the health plan earned 60.6% of the amount at risk. Unmet metrics included HEDIS measures, behavior health national outcomes measures, and operational (claims/encounters) measures.	No	Paid monetary sanction.
7/24/18	TN	None	File submission included only 1 record.	Yes	Submitted and executed CAP to resolve deficiencies.
7/19/18	TN	500	Failure to comply with pickup and delivery standards for one member.	No	Paid monetary sanction.
7/19/18	TN	None	Vision vendor did not meet prompt pay benchmark to pay 100% of claims within 60 days, paying 33 claims late.	Yes	Submitted and executed CAP to resolve deficiencies.
7/17/18	TN	1,500	Failure to comply with pickup and delivery standards (2 instances).	No	Paid monetary sanction.
7/16/18	TN	None	SIU investigators conducted an onsite visit of a provider without obtaining written permission from the state.	Yes	Submitted and executed CAP to resolve deficiencies.
7/16/18	TN	None	Q2 2018 provider data file did not meet accuracy requirement for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
7/10/18	TN	None	In fall 2017 audit (Aug 2016 - July 2017), health plan fell below the compliance threshold in risk assessment and caregiver assessment.	Yes	Submitted and executed CAP to resolve deficiencies.
7/9/18	CA	None	Network data did not reflect adequate access for various provider types in some zip codes.	Yes	Submitted and executed CAP to resolve deficiencies.
7/3/18	TN	3,500	Failure to comply with pickup and delivery standards (four instances).	No	Paid monetary sanction.
6/25/18	LA	50,000	Secret shopper survey identified inaccuracies in provider directory information.	No	Paid monetary sanction.
6/22/18	FL	500	Did not respond timely to an ad hoc request for submission of policies and procedures.	No	Paid monetary sanction.
6/21/18	FL	17,000	Did not meet provider network standards.	No	Paid monetary sanction.
6/20/18	FL	18,000	Encounter data submitted more than 7 days after the adjudication date.	No	Paid monetary sanction.
6/18/18	FL	29,500	Did not provide transportation services as described in the contract.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
6/12/18	TX	None	A review of certain quarterly reports by a state-contracted third party identified four recommendations to improve the documentation of reported data.	Yes	Submitted and executed CAP to resolve deficiencies.
6/11/18	TX	None	2016 BH appointment availability study findings show availability standards.	Yes	Submitted and executed CAP to resolve deficiencies.
6/8/18	FL	1,500	Deficient submission of long term care case records.	No	Paid monetary sanction.
6/4/18	TX	None	Failed to timely update a provider's agreement to include a fee schedule so provider could be reimbursed at an LTSS benefit level for a service provided as acute care service and LTSS.	Yes	Submitted and executed CAP to resolve deficiencies.
5/24/18	NY	None	Q1 2018 pharmacy encounter data did not meet performance measures.	Yes	Submitted and executed CAP to resolve deficiencies.
5/24/18	NY	None	Q1 2018 failed to submit encounter data in accordance with contract requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
5/24/18	TX	5,095,000	Failure to correct encounter issues by the due date.	No	Paid monetary sanction.
5/24/18	TX	25,000	Appealed claims processing did not meet 98% adjudicated within 30 days.	No	Paid monetary sanction.
5/24/18	TX	75,000	Claims processing did not meet 98% adjudicated within 10 days for nursing facility clean claims.	No	Paid monetary sanction.
5/24/18	TX	55,000	Pharmacy encounter data submitted late.	No	Paid monetary sanction.
5/24/18	TX	3,100	Financial Statistical Report submitted inaccurately.	No	Paid monetary sanction.
5/24/18	TX	3,100	Claims Lag Reports submitted inaccurately.	No	Paid monetary sanction.
5/24/18	TX	7,200	Did not respond accurately to Inspector General request for information.	No	Paid monetary sanction.
5/24/18	TX	23,500	Medical necessity level of care assessment not submitted within 45 days.	No	Paid monetary sanction.
5/24/18	TX	7,600	EPSDT annual report not submitted timely and accurately.	No	Paid monetary sanction.
5/24/18	TX	311,250	Did not timely provide an administrative service.	No	Paid monetary sanction.
5/24/18	TX	34,000	Vision subcontractor did not process 98% of clean claims within 30 days.	No	Paid monetary sanction.
5/24/18	TX	1,578,500	Did not timely provide a covered service.	No	Paid monetary sanction.
5/22/18	TN	None	Annual Quality Study identified areas of non-compliance.	Yes	Submitted and executed CAP to resolve deficiencies.
5/4/18	FL	250	Weekly provider network file uploaded incorrectly.	No	Paid monetary sanction.
5/4/18	FL	4,000	Encounter data submitted more than 7 days after the adjudication date.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
5/2/18	TX	None	For SFY17 Q4, submitted encounters for clinician administered drugs with invalid NDC's.	Yes	Submitted and executed CAP to resolve deficiencies.
4/30/18	FL	4,000	Did not meet the provider network standards for ENT (1 region), pediatric nephrology (2 regions), and rheumatology (1 region).	No	Paid monetary sanction.
4/30/18	VA	10,000	Missing NDC code problem in the March 2018 encounters not cleared within 30 days.	No	Paid monetary sanction.
4/30/18	VA	10,000	Encounter submission schedule was not followed, resulting in a lag day violation for backlogged encounters in March 2018.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/23/18	FL	18,000	Review of behavioral health inpatient case records showed non-compliance with contract requirements.	No	Paid monetary sanction.
4/20/18	FL	2,500	Did not submit a report indicating changes in event schedule start/end time.	No	Paid monetary sanction.
4/20/18	FL	3,000	Inaccurate long-term care reports submitted in November 2017, December 2017, and January 2018.	No	Paid monetary sanction.
4/20/18	TN	3,500	Did not provide an acceptable corrective action plan.	No	Paid monetary sanction.
4/20/18	TN	100	Report submitted 1 day late.	No	Paid monetary sanction.
4/19/18	TN	None	2017 EPSDT screening rates were deficient.	Yes	Submitted and executed CAP to resolve deficiencies.
4/18/18	TN	2,000	Failure to comply with the approval and scheduling requirements for two members.	No	Paid monetary sanction.
4/18/18	TN	1,500	Failure to comply with the urgent trips requirements.	No	Paid monetary sanction.
4/17/18	AR	10,000	A provider misrepresented member assignment and provided un-approved information to the member on how to change assignment.	No	Paid monetary sanction.
4/13/18	FL	8,000	Q4 2017 Provider Complaint Report identified non-compliance issues.	No	Paid monetary sanction.
4/13/18	FL	11,250	Review of provider hospital contracts identified instances where it did not meet requirements.	No	Paid monetary sanction.
4/13/18	TN	11,401	Missed home health aide shifts for a member between December 9, 2017 and January 12, 2017.	No	Paid monetary sanction.
4/12/18	TN	None	Q1 2018 provider data file did not meet accuracy requirement for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
4/11/18	IA	945	Submission of three untimely, inaccurate, or incomplete reports.	No	Paid monetary sanction.
4/10/18	CA	325,500	Between 2014 and 2017, failure to identify, timely process, and resolve grievances.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
4/10/18	FL	4,000	Did not include data in two required fields of the provider network file in April 2018.	No	Paid monetary sanction.
4/10/18	IN	8,000	For Q4 2017, did not respond to 100% of member grievances within the required timeframe.	No	Paid monetary sanction.
4/10/18	IN	6,600	For Q4 2017, did not resolve to 100% of member appeals within the required timeframe.	No	Paid monetary sanction.
4/10/18	IN	17,800	For Q4 2017, did not meet prior authorization metric.	No	Paid monetary sanction.
4/10/18	IN	2,700	For Q4 2017, did not return all after hours helpline calls within 1 business day.	No	Paid monetary sanction.
4/10/18	IN	9,300	For Q4 2017, did not meet health needs screen requirements for newly enrolled members.	No	Paid monetary sanction.
4/9/18	IA	785	Did not meet contractual standards for grievances and appeals.	No	Paid monetary sanction.
4/9/18	IA	542	Did not meet contractual standards for prior authorizations.	No	Paid monetary sanction.
4/5/18	FL	26,000	Did not meet provider network standards specified in the Contract.	No	Paid monetary sanction.
4/5/18	VA	10,000	Q4 2017 financial report submitted 7 days late.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/5/18	VA	5,000	Missing NDC code problem in February 2018 encounter file not cleared timely.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/3/18	NY	None	Did not renew management services agreement with vendor prior to expiration.	No	Took action to prevent a recurrence.
4/3/18	TX	None	For SFY 2017, PCP Network did not meet thresholds for appointment wait times.	Yes	Submitted and executed CAP to resolve deficiencies.
3/16/18	FL	2,000	Noncompliance issues found in the Enrollee Complaints, Grievances, and Appeals report.	No	Paid monetary sanction.
3/16/18	TN	None	Abortion, Sterilization and Hysterectomy Claims Payment Audit did not achieve 100% compliance for one region.	Yes	Submitted and executed CAP to resolve deficiencies.
3/15/18	FL	6,000	Did not meet provider network standards specified. Examples include nephrology, rheumatology, and otolaryngology.	No	Paid monetary sanction.
3/15/18	FL	4,000	Review identified discrepancies between the provider network verification file and the online provider directory.	No	Paid monetary sanction.
3/15/18	TN	5,000	Q4 2017 provider data file did not meet accuracy requirement for telephone numbers.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/13/18	FL	1,000	January 2018, week 1, Encounter data submitted more than 7 days after the adjudication date.	No	Paid monetary sanction.
3/9/18	FL	8,000	Encounter data submitted more than 7 days after the adjudication date.	No	Paid monetary sanction.
3/9/18	FL	9,500	Did not provide transportation services as described in the contract.	No	Paid monetary sanction.
3/6/18	FL	20,500	Did not provide transportation services as described in the Contract.	No	Paid monetary sanction.
3/5/18	TN	None	Semi-annual audit found that critical incidents were not reported timely and untimely initiation of HCBS to members.	Yes	Submitted and executed CAP to resolve deficiencies.
3/1/18	FL	5,000	Transportation vendor used non-credentialed providers.	No	Paid monetary sanction.
2/27/18	MD	None	Inaccuracies found in the online provider directory.	Yes	Submitted and executed CAP to resolve deficiencies.
2/16/18	TN	500	Failure to comply with pickup and delivery standards for one member.	No	Paid monetary sanction.
2/12/18	FL	10,000	For Q3 of 2017, did not meet standards for timely processing of nursing facility and hospice claims.	No	Paid monetary sanction.
2/7/18	TX	None	For SFY17 Q4, did not meet the 75% geo access threshold for Cardiovascular Disease, ENT, Prenatal Care, and Psychiatrist provider types.	Yes	Submitted and executed CAP to resolve deficiencies.
2/7/18	TX	None	For SFY 2017, audit found insufficient internal controls and quality assurance processes related to the management and timely provision of long term services and supports.	Yes	Submitted and executed CAP to resolve deficiencies.
2/6/18	FL	33,000	Did not meet provider network standards specified. Examples include nephrology, rheumatology, and ophthalmology.	No	Paid monetary sanction.
2/5/18	TN	500	Failure to comply with pickup and delivery standards for one member.	No	Paid monetary sanction.
2/2/18	FL	11,500	Deficient submission of requested long term care case records to the state.	No	Paid monetary sanction.
1/30/18	TN	6,969	Private duty shifts were missed for a member.	No	Paid monetary sanction.
1/26/18	FL	4,000	Inaccurate August 2017 submission of enrollee complaints, grievances, and appeals report.	No	Paid monetary sanction.
1/26/18	FL	1,000	Inaccurate submission of ad hoc report request.	No	Paid monetary sanction.
1/23/18	IN	147,600	In Q2 2017, did not meet the encounter reconciliation completeness metric.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/19/18	FL	1,000	Incomplete submission of provider complaint report.	No	Paid monetary sanction.
1/19/18	FL	20,000	Incorrect denial of Medicare crossover claims for timely filing.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
1/19/18	NY	None	Did not provide evidence that: at least 20% of board members are enrollees; a member advisory council has been established; or board approval of the quality plan.	No	Took action to prevent a recurrence.
1/19/18	NY	None	Did not provide evidence of providing annual notice to enrollees.	No	Took action to prevent a recurrence.
1/19/18	NY	None	Did not consistently assess non-dual enrollees as eligible for nursing facility level of care.	No	Took action to prevent a recurrence.
1/19/18	NY	None	Did not consistently advise enrollees of the voluntary benefit of CDPAS upon enrollment or notify them in writing of the patient centered services plan.	No	Took action to prevent a recurrence.
1/19/18	NY	None	Did not routinely provide universal assessments within the required timeframes.	No	Took action to prevent a recurrence.
1/19/18	NY	None	Some patient centered services plans lacked sufficient detail and did not provide a back-up plan in the event that regular services are unavailable.	No	Took action to prevent a recurrence.
1/19/18	NY	None	Did not routinely send written acknowledgement or determination notices to enrollees.	No	Took action to prevent a recurrence.
1/19/18	TN	500	Failure to comply with pickup and delivery standards for one member.	No	Paid monetary sanction.
1/18/18	TN	None	Q4 2017 provider data file did not meet accuracy requirement for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
1/17/18	IN	32,300	In Q1 and Q2 2017, did not meet the metric for timely processing of prior authorization requests.	No	Paid monetary sanction.
1/17/18	IN	None	In Q1 2017, did not meet the metric for performing a health needs screening on new members.	No	Took action to prevent a recurrence.
1/17/18	IN	6,758	Did not meet the average speed of answer metric for some programs in Q1 and Q2 2017.	No	Paid monetary sanction.
1/17/18	IN	2,700	For Q1 2017, did not meet the call abandonment metric of 5%.	No	Paid monetary sanction.
1/17/18	IN	None	Did not meet the 100% metric for resolving member appeals within 30 days in one program during Q1 and Q2 2017.	No	Took action to prevent a recurrence.
1/17/18	IN	None	In Q1 2017, did not meet the metric for returning 100% of provider calls received after hours within 1 business day.	No	Took action to prevent a recurrence.
1/16/18	TN	1,000	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
1/12/18	FL	60,000	Manual processing error caused claims to deny for no authorization when an authorization was present.	No	Paid monetary sanction.
1/10/18	TN	1,400	Rejected encounters not resubmitted within 45 days.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
1/9/18	TN	1,600	12/31/17 reporting period - rejected encounters not resubmitted within 45 days.	No	Paid monetary sanction.
1/9/18	TN	25,800	10/31/17 reporting period - rejected encounters not resubmitted within 45 days.	No	Paid monetary sanction.
1/9/18	TN	100	11/30/17 reporting period - rejected encounters not resubmitted within 45 days.	No	Paid monetary sanction.
1/5/18	TN	31,146	Private duty shifts were missed for a member.	No	Paid monetary sanction.
1/5/18	TX	None	Vision vendor did not process 98% of clean claims within 30 days.	Yes	Submitted and executed CAP to resolve deficiencies.
1/4/18	FL	1,000	Did not update the online provider directory for adult psychiatrists in 1 region.	No	Paid monetary sanction.
1/4/18	IN	9,000	Did not meet the 100% metric for resolving member grievances within 20 business days, resolving 98.27%.	No	Paid monetary sanction.
1/4/18	IN	6,600	For Q3 2017, did not meet the 100% metric for resolving member appeals within 20 business days.	No	Paid monetary sanction.
1/4/18	IN	11,500	Did not meet the timely processing of prior authorization requests in Q3 2017.	No	Paid monetary sanction.
1/4/18	IN	4,650	In Q1 2017, did not meet the metric for performing a health needs screening on new members.	No	Paid monetary sanction.
1/4/18	IN	5,750	For Q3 2017, did not meet the meet the 97% timely processing metric for prior authorizations.	No	Paid monetary sanction.
1/3/18	IN	300	Late response to a request from the state for information.	No	Paid monetary sanction.
12/21/17	TN	1,000	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
12/20/17	TN	1,000	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
12/19/17	TN	1,500	Failure to comply with urgent trip requirements.	No	Paid monetary sanction.
12/19/17	TN	500	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
12/18/17	CA	25,000	Failure to authorize prescription drug.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
12/12/17	TN	5,000	Q3 2017 provider data file did not meet accuracy requirement for telephone numbers.	No	Paid monetary sanction.
12/11/17	FL	5,000	Weekly average timeliness for encounter data was more than 7 days after the date of adjudication in November 2017.	No	Paid monetary sanction.
12/8/17	FL	2,112,300	Did not meet 2016 HEDIS measures for child health check up and preventive dental services.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
12/8/17	FL	81,500	2016 LTC performance measures did not meet standards for documentation, face-to-face encounters, case manager training, and timeliness of services.	No	Paid monetary sanction.
12/8/17	FL	134,325	2016 call answer timeliness did not meet standard.	No	Paid monetary sanction.
12/4/17	FL	4,000	Weekly average timeliness for encounter data was more than 7 days after the date of adjudication in October 2017.	No	Paid monetary sanction.
12/1/17	FL	4,000	Inaccurate submission of the Achieved Savings Rebate report.	No	Paid monetary sanction.
12/1/17	FL	1,000	Untimely reporting of accidental disclosure of protected health information (letter intended for another individual).	No	Paid monetary sanction.
12/1/17	FL	2,000	Did not update the online provider directory for adult psychiatrists in 1 region.	No	Paid monetary sanction.
11/30/17	IA	6,681	Q1 SFY 2018 reports submitted late, inaccurate, or incomplete.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
11/30/17	VA	10,000	Returned ID card report submitted 1 day late.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
11/29/17	IN	13,950	The revised financial quarterly report was not submitted timely.	No	Paid monetary sanction.
11/29/17	TN	5,000	September 2017 claims accuracy rate for nursing facilities in one region was 96% and did not meet the 97% standard.	No	Paid monetary sanction.
11/27/17	FL	250	Did not successfully import the provider network file on 1 day in November 2017.	No	Paid monetary sanction.
11/17/17	FL	7,500	Untimely reporting of unauthorized disclosure of protected health information.	No	Paid monetary sanction.
11/17/17	TN	1,000	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
11/17/17	TN	2,000	Failure to comply with approval and scheduling requirements for two members.	No	Paid monetary sanction.
11/13/17	FL	2,500	Claims incorrectly paid to provider ineligible to participate in Medicaid.	No	Paid monetary sanction.
11/13/17	TX	None	Secret shopper appointment availability study findings showed failure to meet availability standards in OB/GYN and vision.	Yes	Submitted and executed CAP to resolve deficiencies.
11/13/17	TX	None	Investigation of encounters found that paying a provider for a service that is not separately reimbursable.	Yes	Submitted and executed CAP to resolve deficiencies.
11/13/17	TX	3,375,000	Failure to correct encounter issues by the due date.	No	Paid monetary sanction.
11/13/17	TX	32,300	Submitted Provider Termination report on the incorrect template in Q2 of SFY 2017.	No	Paid monetary sanction.
11/13/17	TX	2,000	Submitted Provider Network and Capacity report on the incorrect template.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
11/13/17	TX	400	Q2 SFY 17 - Submitted GEO Mapping report on the incorrect template.	No	Paid monetary sanction.
11/13/17	TX	35,000	Appealed claims processing did not meet 98% adjudicated within 30 days.	No	Paid monetary sanction.
11/13/17	TX	None	Submission of inaccurate Third Party Recovery report.	Yes	Submitted and executed CAP to resolve deficiencies.
11/13/17	TX	25,000	Claims processing did not meet 98% adjudicated within 10 days for nursing facility clean claims.	No	Paid monetary sanction.
11/13/17	TX	45,000	Did not meet pharmacy encounter performance standard.	No	Paid monetary sanction.
11/13/17	TX	7,000	Late submission of BH claims summary report.	No	Paid monetary sanction.
11/13/17	TX	8,000	Inaccurate submission of acute claims summary report.	No	Paid monetary sanction.
11/1/17	NY	None	Telephone survey of randomly chosen providers in the provider directory failed to confirm participation at a rate lower than required.	No	Took action to prevent a recurrence.
11/1/17	NY	None	Inaccuracies found in provider directory related to telephone number and address. Directory did not list providers by the pedodontist specialty type.	No	Took action to prevent a recurrence.
10/31/17	VA	10,000	Outstanding pharmacy rebate errors from May/June 2017 still evident.	No	Paid monetary sanction.
10/31/17	VA	10,000	Two claims from June were paid beyond 365 days, violating prompt pay requirements.	No	Paid monetary sanction.
10/30/17	IN	98,400	Did not meet 98% completeness threshold for encounters.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
10/26/17	FL	32,500	Claims system was inappropriately denying anesthesia claims.	No	Paid monetary sanction.
10/26/17	TN	15,000	July 2017 claims payment accuracy rate for LTC NF HCBS did not meet standard.	No	Paid monetary sanction.
10/26/17	TN	None	September 2017 accuracy rate for nursing facilities in one region was 96% and did not meet the 97% standard.	Yes	Submitted and executed CAP to resolve deficiencies.
10/26/17	TN	None	September 2017 claims payment accuracy was 96%, missing the 97% performance standard.	Yes	Submitted and executed CAP to resolve deficiencies.
10/25/17	FL	4,000	Did not update the online provider directory for adult psychiatrists in 1 region.	No	Paid monetary sanction.
10/20/17	FL	10,000	Q2 2017 did not comply with the 10-day standard for payment of nursing facility and hospice clean claims.	No	Paid monetary sanction.
10/20/17	TX	None	Did not meet the minimum threshold for timely EPSDT medical checkups for the SFY 2015 reporting period.	Yes	Submitted and executed CAP to resolve deficiencies.
10/16/17	TN	4,500	Failure to comply with pickup and delivery standards for five members.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
10/11/17	FL	5,000	Weekly average timeliness for encounter data was more than 7 days after the date of adjudication in August 2017.	No	Paid monetary sanction.
10/10/17	TN	None	Q3 2017 provider data file did not meet accuracy requirement for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
9/29/17	VA	10,000	August 2017 newborn reconciliation report contained format errors.	No	Paid monetary sanction.
9/29/17	VA	5,000	July 2017 claims report submitted with errors.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/29/17	VA	10,000	May, June, and July encounter submissions contained pharmacy rebate errors.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/14/17	TN	5,000	Q2 2017 provider data file did not meet accuracy requirement for telephone numbers.	No	Paid monetary sanction.
9/12/17	TN	1,500	Failure to comply with urgent trip requirements.	No	Paid monetary sanction.
9/12/17	TN	1,500	Failure to comply with pick up and delivery standards for two members.	No	Paid monetary sanction.
9/5/17	TN	1,000	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
8/30/17	VA	5,000	July 2017 claims report submitted late.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/30/17	VA	10,000	Report submitted 1 day late.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/30/17	VA	5,000	May 2017 dashboard showed 1 claim paid after 365 days of receipt.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/30/17	VA	5,000	July 2017 encounter submission contained pharmacy rebate issues.	No	Paid monetary sanction.
8/30/17	VA	5,000	June 2017 encounter submission contained pharmacy rebate issues.	No	Paid monetary sanction.
8/29/17	VA	10,000	Did not follow established encounter submission schedule in August.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/28/17	NY	None	Encounter files did not meet accuracy and completeness measures.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
8/25/17	IA	315	June 2017 ED report submitted late or incomplete and performance did not meet standards in several areas.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/25/17	IA	None	Q4 SFY 2017: 2 reports submitted late and performance did not meet standards in several areas.	Yes	Submitted and executed CAP to resolve deficiencies.
8/25/17	IA	None	June 2017 pharmacy member call center did not meet standards.	Yes	Submitted and executed CAP to resolve deficiencies.
8/23/17	IN	None	For Q1 2017, timeliness of institutional paper claims was 97.79%, missing the 98% standard.	No	Took action to prevent a recurrence.
8/23/17	IN	2,000	For Q2 2017, 99% of grievances were processed within 20 days, not meeting the 100% standard.	No	Paid monetary sanction.
8/22/17	TN	1,000	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
8/22/17	TN	500	Failure to comply with pick up and delivery standards.	No	Paid monetary sanction.
8/18/17	TN	None	Did not meet July 2017 prompt pay benchmark for LTSS clean claims.	Yes	Submitted and executed CAP to resolve deficiencies.
8/17/17	TN	None	July 2017 claims payment accuracy rate for LTC NF HCBS did not meet standard. Deficiencies mainly due to provider incorrect pricing agreement assignment.	Yes	Submitted and executed CAP to resolve deficiencies.
8/15/17	TN	11,497	Private duty shifts were missed for a member.	No	Paid monetary sanction.
8/11/17	FL	8,000	Weekly average timeliness for encounter data was more than 7 days after the date of adjudication in July 2017.	No	Paid monetary sanction.
8/11/17	FL	2,500	Did not ensure that private duty nursing services were provided to 1 enrollee with reasonable promptness.	No	Paid monetary sanction.
8/11/17	FL	2,500	Handed out an approved marketing brochure at a public event where distribution was not permitted.	No	Paid monetary sanction.
8/11/17	TN	8,000	July 2017 LTC semi-annual audit found late reporting of critical incidents in August 2016.	No	Paid monetary sanction.
8/10/17	TN	None	July 2017 LTC semi-annual audit found deficiencies in face-to-face visits, critical incident reporting, and timely reporting to the pre-admission evaluation system.	Yes	Submitted and executed CAP to resolve deficiencies.
8/8/17	IN	None	Did not meet claims timeliness standard for Q2 2017.	No	Took action to prevent a recurrence.
8/7/17	TN	None	May 2017 focused claims found an incorrect ID loaded for a provider.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
7/31/17	TN	500	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
7/31/17	VA	5,000	May 2017 encounter data submission had several pharmacy rebate issues.	No	Paid monetary sanction.
7/28/17	TN	5,000	Q2 2017 member newsletters mailed 1 day late and did not comply with required mailing timeframe.	No	Paid monetary sanction.
7/27/17	TN	500	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
7/24/17	IA	None	May 2017 NEMT report submitted late or incomplete and claims performance did not meet standards.	Yes	Submitted and executed CAP to resolve deficiencies.
7/20/17	TN	None	Did not meet June 2017 prompt pay benchmark for LTSS clean claims.	Yes	Submitted and executed CAP to resolve deficiencies.
7/20/17	TX	2,555,000	Failure to correct encounter issues by the due date.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/20/17	TX	68,250	Inaccurate submission of Out-Of-Network report.	No	Paid monetary sanction.
7/20/17	TX	181,250	Late submission of provider files for the quarter.	No	Paid monetary sanction.
7/20/17	TX	27,000	Submitted Provider Termination report on the incorrect template.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/20/17	TX	19,000	Member hotline did not meet 80% of calls answered within 30 seconds.	No	Paid monetary sanction.
7/20/17	TX	8,500	Behavioral health hotline did not meet 80% of calls answered within 30 seconds.	No	Paid monetary sanction.
7/20/17	TX	45,000	Pharmacy encounter data submitted late.	No	Paid monetary sanction.
7/20/17	TX	25,000	Claims processing did not meet 98% adjudicated within 10 days - nursing facility clean claims.	No	Paid monetary sanction.
7/20/17	TX	88,000	Submitted inaccurate Claims Summary Reports for pharmacy claims.	No	Paid monetary sanction.
7/18/17	NY	None	Low encounter submission records in January 2017.	Yes	Submitted and executed CAP to resolve deficiencies.
7/18/17	NY	None	2016 IPRO access and availability survey found regions where the combined results from each call type did not meet the standard.	No	Took action to prevent a recurrence.
7/17/17	NY	None	2016 annual access and availability study identified three appointment time measures that did not meet requirements.	No	Took action to prevent a recurrence.
7/13/17	TN	None	April 2017 - focused claims found manual processing errors on three claims.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
7/11/17	TN	None	Q2 2017 provider data file did not meet accuracy requirement for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
7/10/17	NJ	27,485	Low CY 2015 EPSDT dental screening rate.	No	Paid monetary sanction.
7/10/17	NY	None	May 2017 onsite operational survey documented findings and deficiencies related to adverse determination notification, appeal process, and notifications to social services.	No	Took action to prevent a recurrence.
7/5/17	WA	None	2017 contract monitoring site review found several areas that did not meet or only partially met requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
6/30/17	VA	5,000	April 2017 encounter data submission had several pharmacy rebate issues.	No	Paid monetary sanction.
6/29/17	TN	9,993	Missed private duty skilled nursing shifts for a member between January 8, 2017 and March 18, 2017.	No	Paid monetary sanction.
6/28/17	FL	1,000	Untimely reporting of medical director and chief financial officer to the state.	No	Paid monetary sanction.
6/26/17	NY	None	Did not provide a copy of the member handbook after verbal request through a state telephone survey.	No	Took action to prevent a recurrence.
6/19/17	TN	500	Failure to comply with pickup and delivery standards for 1 member.	No	Paid monetary sanction.
6/12/17	NJ	None	March 2017 MLTSS nursing facility care manager peer review audit identified recommendations for several elements.	Yes	Submitted and executed CAP to resolve deficiencies.
6/8/17	TN	5,000	Q2 2017 provider data file did not meet accuracy requirement for telephone numbers.	No	Paid monetary sanction.
6/7/17	WA	None	Did not timely coordinate third party liability with member's primary insurance.	Yes	Submitted and executed CAP to resolve deficiencies.
6/6/17	NY	None	Q4 2016 did not submit encounter data in accordance with contract requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
6/6/17	TN	1,000	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
6/6/17	TN	1,500	Failure to comply with urgent trip requirements.	No	Paid monetary sanction.
6/6/17	TN	3,000	Failure to comply with approval and scheduling requirements (2 instances).	No	Paid monetary sanction.
6/1/17	TN	None	March 2017 focused claims audit found a manually processed claim error.	Yes	Submitted and executed CAP to resolve deficiencies.
5/25/17	FL	1,000	Untimely encounter submission.	No	Paid monetary sanction.
5/25/17	IA	630	Q1 2017 reports showed deficiencies in several metrics.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
5/25/17	IA	1,099	Untimely grievance and appeal resolution in Q3 SFY 2017 (Jan - March).	No	Paid monetary sanction.
5/25/17	IA	630	Untimely assessments for two waiver members in Q3 SFY 2017 (Jan - March)>	No	Paid monetary sanction.
5/24/17	IA	None	March 2017 deficiencies in prior authorization and claims processing.	No	Took action to prevent a recurrence.
5/24/17	VA	5,000	March 2017 encounter data submission had several pharmacy rebate issues.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
5/19/17	TN	500	Failure to comply with drug and alcohol requirement after an accident.	No	Paid monetary sanction.
5/18/17	TN	None	Vendor failed to meet claims prompt pay requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
5/8/17	TN	2,000	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
5/8/17	TN	1,000	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
5/4/17	TN	500	Failure to comply with pickup and delivery standards for three members.	No	Paid monetary sanction.
5/4/17	TN	1,500	Failure to comply with urgent trip requirements.	No	Paid monetary sanction.
5/4/17	TN	4,000	Did not comply with approval and scheduling requirements.	No	Paid monetary sanction.
4/27/17	NJ	None	2016 annual peer review assessment identified deficiencies in several areas.	Yes	Submitted and executed CAP to resolve deficiencies.
4/25/17	IA	None	February 2017 monthly reports showed deficiencies in several metrics.	Yes	Submitted and executed CAP to resolve deficiencies.
4/24/17	NY	None	Failure to provide a contract approval letter for a specific hospital.	No	Took action to prevent a recurrence.
4/24/17	NY	None	Dental vendor was issuing a deficient initial adverse determination letter.	No	Took action to prevent a recurrence.
4/24/17	NY	None	Vendor was not using the current version of a form.	No	Took action to prevent a recurrence.
4/20/17	FL	2,500	Transportation vendor failed to pick up enrollee within the established window.	No	Paid monetary sanction.
4/20/17	FL	3,000	Untimely encounter submission.	No	Paid monetary sanction.
4/20/17	VA	None	February 2017 encounter data submission had several pharmacy rebate issues.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
4/20/17	VA	None	Health plan failed to attend a Program Integrity Collaborative as required.	Yes	Submitted and executed CAP to resolve deficiencies.
4/12/17	TN	None	Q1 2017 provider data file did not meet accuracy requirement for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
4/10/17	TN	None	Annual Quality Study identified areas of non-compliance.	Yes	Submitted and executed CAP to resolve deficiencies.
4/6/17	TN	1,000	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
4/5/17	IA	None	January 2017 monthly reports showed deficiencies in several metrics.	No	Took action to prevent a recurrence.
4/5/17	TN	230,000	Did not achieve 80% compliance rate in delivery of child screenings in three regions.	No	Paid monetary sanction.
4/5/17	TN	50,000	Did not achieve 75% rate in overall statewide screenings.	No	Paid monetary sanction.
3/31/17	FL	4,000	Inaccuracies on two nursing facility reports.	No	Paid monetary sanction.
3/30/17	TN	5,000	Failure to comply with approval and scheduling requirements for 3 members.	No	Paid monetary sanction.
3/30/17	TN	500	Untimely member level of care assessment.	No	Paid monetary sanction.
3/27/17	TX	2,100,000	Untimely submission of medical encounters for August 2016.	No	Paid monetary sanction.
3/27/17	TX	75,000	Medical encounters did not reconcile to the 2% variance threshold for Q4 SFY 2016.	No	Paid monetary sanction.
3/27/17	TX	45,000	Late submission of pharmacy encounters.	No	Paid monetary sanction.
3/27/17	TX	40,000	Did not process 98% of appealed claims within 30 days.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/23/17	IN	49,192	98% completeness threshold for encounters not met.	No	Paid monetary sanction.
3/22/17	TN	None	Vision vendor did not meet claims prompt pay requirements in February 2017.	Yes	Submitted and executed CAP to resolve deficiencies.
3/20/17	KS	8,608,922	The 2015 pay for performance program resulted in a recoupment due to unmet performance measures in the categories of physical health, behavioral health, home and community based services, long term services and supports and operations.	No	Paid monetary sanction.
3/13/17	FL	500	Critical incident report filed 1 day late.	No	Paid monetary sanction.
3/13/17	TN	5,000	Q4 2016 provider data file did not meet accuracy requirement for telephone numbers.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/9/17	FL	2,000	Untimely encounter submission.	No	Paid monetary sanction.
3/8/17	IA	315	December 2016 monthly reports showed deficiencies in several metrics.	No	Paid monetary sanction.
3/8/17	IA	7,075	Q4 2016 reports showed deficiencies in several metrics.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/4/17	VA	None	January 2016 encounter submissions included missing or invalid values.	No	Took action to prevent a recurrence.
3/1/17	FL	5,000	Untimely encounter submission.	No	Paid monetary sanction.
2/27/17	TN	None	State review identified 46 members that did not receive services 30 days or more after enrollment.	Yes	Submitted and executed CAP to resolve deficiencies.
2/27/17	TN	None	Semi-annual audit found that critical incidents were not reported timely in three regions.	Yes	Submitted and executed CAP to resolve deficiencies.
2/23/17	FL	1,000	Late encounter submission.	No	Paid monetary sanction.
2/23/17	FL	20,600	Pharmacy system error inadvertently caused pharmacy prior authorization requirements to be more restrictive than protocol.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
2/22/17	IN	8,292	Member grievance and appeals resolution did not meet timeliness standard.	No	Paid monetary sanction.
2/22/17	IN	10,995	Q4 2016 paper claims processing did not meet timeliness standard.	No	Paid monetary sanction.
2/22/17	IN	9,274	Metric for new member health needs screening not met.	No	Paid monetary sanction.
2/21/17	TN	None	Vision vendor did not meet claims prompt pay requirements in January 2017.	Yes	Submitted and executed CAP to resolve deficiencies.
2/16/17	TN	15,000	November 2016 claims accuracy standard deficiency.	No	Paid monetary sanction.
2/14/17	IA	None	November 2016 monthly reports showed deficiencies in several metrics.	Yes	Submitted and executed CAP to resolve deficiencies.
2/14/17	TX	None	Participation rates for members (birth through age 20) receiving timely checkups fell below 50% in some service delivery areas for SFY 2014.	Yes	Submitted and executed CAP to resolve deficiencies.
2/7/17	NY	None	Q2 2016 encounters data timeliness and acceptance measure deficiencies.	No	Took action to prevent a recurrence.
2/7/17	NY	None	Did not meet one or more encounter data quality performance measures.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
2/7/17	TN	None	Did not achieve 100% compliance with Abortion, Sterilization and Hysterectomy Claims Payment Audit.	Yes	Submitted and executed CAP to resolve deficiencies.
2/1/17	FL	500	Untimely notice of an appeal decision.	No	Paid monetary sanction.
2/1/17	TN	None	Focused claims testing in November 2016 found a configuration error.	Yes	Submitted and executed CAP to resolve deficiencies.
1/31/17	IA	315	October 2016 monthly reports showed deficiencies in several metrics.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/31/17	TN	500	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
1/31/17	TN	500	After an accident, transportation vendor did execute drug and alcohol testing within time requirement.	No	Paid monetary sanction.
1/26/17	TN	None	Vision vendor did not meet claims prompt pay requirements in December 2016.	Yes	Submitted and executed CAP to resolve deficiencies.
1/18/17	VA	None	Late submission of the Returned ID Card report.	Yes	Submitted and executed CAP to resolve deficiencies.
1/13/17	FL	2,500	Transportation vendor did not transport enrollee within established pick-up windows	No	Paid monetary sanction.
1/13/17	FL	5,000	Review found deficiencies in long term care case records.	No	Paid monetary sanction.
1/13/17	FL	1,000	Untimely encounter submission.	No	Paid monetary sanction.
1/12/17	TN	None	Q4 2016 provider data file did not meet accuracy requirement for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
1/11/17	TN	13,000	Untimely member level of care assessment.	No	Paid monetary sanction.
1/11/17	TN	120,000	November 2016 claims accuracy standard deficiency in 2 regions.	No	Paid monetary sanction.
1/11/17	TN	3,927	There were missed member personal care shifts.	No	Paid monetary sanction.
12/28/16	TN	None	November 2016 claims payment accuracy rate for NF and HCBS below standard.	Yes	Submitted and executed CAP to resolve deficiencies.
12/27/16	FL	5,000	Encounter data not submitted within 7 days of adjudication.	No	Paid monetary sanction.
12/22/16	NY	None	1/2016 - 6/2016 - Did not meet timely assessment metric.	No	Took action to prevent a recurrence.
12/22/16	TN	None	Vision vendor did not meet claims prompt pay requirements in November 2016.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
12/21/16	IA	24,517	Q3 SFY 2017 three untimely of incomplete reports and performance did not meet standards in three areas.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
12/12/16	TN	5,000	Failure to achieve 90% telephone accuracy rate in the provider file.	No	Paid monetary sanction.
12/2/16	TN	1,000	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
12/2/16	TN	2,000	Failure to comply with approval and scheduling requirements for two members.	No	Paid monetary sanction.
11/30/16	IN	4,273	Q3 2016 - Did not resolve 100% of member appeals within specified timeframe.	No	Paid monetary sanction.
11/30/16	IN	6,146	Q3 2016 - Did not resolve 100% of member grievances within specified timeframe.	No	Paid monetary sanction.
11/30/16	IN	27,590	Q3 2016 - Did not meet the performance metric for claims processing turnaround.	No	Paid monetary sanction.
11/30/16	IN	5,600	Q3 2016 - Did not meet target metric of health needs screenings within the specified timeframe.	No	Paid monetary sanction.
11/29/16	TX	50,000	Out of network ER utilization exceeded contract threshold.	No	Paid monetary sanction.
11/29/16	TX	35,000	Medical encounters not within 2% variance.	No	Paid monetary sanction.
11/29/16	TX	15,000	Pharmacy encounters not within 2% variance.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
11/29/16	TX	45,000	Pharmacy encounter data submitted late.	No	Paid monetary sanction.
11/29/16	TX	2,200	Report submitted on the incorrect template.	No	Paid monetary sanction.
11/23/16	TN	None	Vision vendor did not meet October 2016 prompt pay requirement.	Yes	Submitted and executed CAP to resolve deficiencies.
11/21/16	TN	None	2016 EPSDT Medical Record Review found deficiencies for the 7/2015 - 12/2015 time period.	Yes	Submitted and executed CAP to resolve deficiencies.
11/18/16	IA	None	Claims are being paid at the wrong rates.	Yes	Submitted and executed CAP to resolve deficiencies.
11/18/16	IA	None	Some family planning providers are not being reimbursed at the Medicaid floor rates as required.	Yes	Submitted and executed CAP to resolve deficiencies.
11/18/16	IA	None	Untimely response to requests of information from the state.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
11/17/16	NJ	None	Notice of Deficiency for payment issues for nursing facilities providing hospice services.	Yes	Submitted and executed CAP to resolve deficiencies.
11/16/16	TN	None	Did not meet standards for member services call center .	Yes	Submitted and executed CAP to resolve deficiencies.
11/15/16	FL	2,000	Evidence packet for a fair hearing not delivered to agency or delivered late.	No	Paid monetary sanction.
11/11/16	CA	45,000	Failure to identify, timely process, and resolve enrollee grievances.	No	Paid monetary sanction.
11/10/16	FL	1,000	Evidence packet for a fair hearing not delivered to agency or delivered late.	No	Paid monetary sanction.
11/3/16	TN	3,500	Failure to comply with pickup and delivery standards for six members.	No	Paid monetary sanction.
11/3/16	TN	500	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
11/2/16	TN	None	Did not provide member with nursing services.	Yes	Submitted and executed CAP to resolve deficiencies.
11/1/16	TN	None	Abortion, Sterilization and Hysterectomy Claims Payment Audit found 3 claims that were paid inappropriately.	Yes	Submitted and executed CAP to resolve deficiencies.
10/31/16	VA	None	September 2016 - claims paid beyond the 365-day requirement.	Yes	Submitted and executed CAP to resolve deficiencies.
10/27/16	IN	10,790	For Q2 2016, missed the electronic claims processing metric by 1 percentage point.	No	Paid monetary sanction.
10/27/16	IN	6,346	Did not resolve 100% of member grievances within the specified timeframe during Q2 2016.	No	Paid monetary sanction.
10/27/16	IN	9,274	Did not meet the target metric for health needs screenings within the specified timeframes during Q2 2016.	No	Paid monetary sanction.
10/25/16	TN	None	Health plan must ensure that all paid claim lines are submitted as encounter data.	Yes	Submitted and executed CAP to resolve deficiencies.
10/21/16	FL	2,500	Failure to attend a fair hearing.	No	Paid monetary sanction.
10/21/16	FL	2,500	Enrollee was not provided with written notice of action for a service authorization.	No	Paid monetary sanction.
10/21/16	TN	None	Vision vendor did not meet prompt pay requirements for September 2016.	Yes	Submitted and executed CAP to resolve deficiencies.
10/20/16	TN	5,000	September 2016 nursing facility claims payment accuracy was 1 point below the threshold.	No	Paid monetary sanction.
10/17/16	FL	60,000	Self-disclosed failure to obtain approval of member mailing.	No	Paid monetary sanction.
10/14/16	FL	2,500	Transportation vendor failed to pick up enrollee for a scheduled appointment.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
10/11/16	NY	None	Low participation rate for provider directory participation survey.	No	Took action to prevent a recurrence.
10/11/16	NY	None	Discrepancies between the printed and online provider directories.	No	Took action to prevent a recurrence.
10/7/16	TN	None	Failure to achieve 90% telephone accuracy rate in the provider file.	Yes	Submitted and executed CAP to resolve deficiencies.
10/4/16	TN	None	The Fall 2015 Enrollee Record Review Report received a compliance score of 73%.	Yes	Submitted and executed CAP to resolve deficiencies.
9/27/16	TN	None	Vision vendor did not meet prompt pay requirements for August 2016.	Yes	Submitted and executed CAP to resolve deficiencies.
9/19/16	TN	1,500	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
9/16/16	TN	500	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
9/15/16	TN	1,500	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
9/12/16	TN	5,000	Q2 2016 - did not meet accuracy rates for provider telephone numbers.	No	Paid monetary sanction.
9/9/16	TX	2,500	Emergency room out of network utilization for the quarter exceeded the threshold.	No	Paid monetary sanction.
9/9/16	TX	35,000	Medical encounters did not reconcile to the 2% variance threshold for Q2 2016.	No	Paid monetary sanction.
9/9/16	TX	200,000	Nursing facility claims did not meet performance metrics for Q1 2016.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/9/16	TX	15,000	Pharmacy encounters failed to reconcile to the 2% variance threshold.	No	Paid monetary sanction.
9/9/16	TX	45,000	Pharmacy encounter data submitted late.	No	Paid monetary sanction.
9/2/16	TN	None	April 2016 call center standards not met.	No	Took action to prevent a recurrence.
8/24/16	IA	1,260	Four reports were not complete and three reports identified performance that did not meet contract standards (June 2016 monthly reporting).	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/24/16	IA	1,260	Four reports were not complete and three reports identified performance that did not meet contract standards (July 2016 quarterly reporting).	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
8/24/16	IA	314	Submission of four incomplete reports and grievances and appeals did not meet performance standards (July reporting).	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/24/16	IA	314	Submission of four incomplete reports and grievances and appeals did not meet performance standards (July 2016 quarterly reporting).	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/24/16	TN	1,000	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
8/24/16	VA	None	July 2016 encounter submission incorrectly rounded transportation mileage.	Yes	Submitted and executed CAP to resolve deficiencies.
8/10/16	TN	1,000	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
8/9/16	NJ	22,815	July 2016 Number of duplicate encounters exceeded the allowable error rate.	No	Paid monetary sanction.
8/3/16	TN	None	Processed claim appeals outside of 60 days without giving the provider required notices and obtaining provider agreement.	Yes	Submitted and executed CAP to resolve deficiencies.
7/28/16	TN	1,000	Failure to comply with pickup and delivery standards for two members.	No	Paid monetary sanction.
7/28/16	TN	1,000	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
7/26/16	FL	7,000	Annual financial statement and annual NAIC health statement submitted 5 days late.	No	Paid monetary sanction.
7/26/16	TN	1,000	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
7/26/16	TN	500	Failure to comply with pickup and delivery standards.	No	Paid monetary sanction.
7/25/16	VA	None	June 2016 deviation from the established encounter submission schedule interfered with timeliness requirement.	Yes	Submitted and executed CAP to resolve deficiencies.
7/13/16	TN	10,000	May 2016 - missed prompt pay claims benchmark by .1%.	No	Paid monetary sanction.
7/12/16	TN	1,000	Failure to comply with approval and scheduling requirements.	No	Paid monetary sanction.
7/12/16	TN	None	Q2 2016 provider data file did not meet accuracy requirement for telephone numbers and addresses.	Yes	Submitted and executed CAP to resolve deficiencies.
7/6/16	TN	2,000	Failure to comply with approval and scheduling requirements for two members.	No	Paid monetary sanction.
7/6/16	TN	3,467	Failure to provide service related to nutritional supplement supplies.	No	Paid monetary sanction.
7/5/16	TX	250	PCP Network and Capacity Report submitted using the wrong template.	No	Paid monetary sanction.
7/5/16	TX	2,000	Quarterly third party recovery report submitted using the wrong template.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
7/5/16	TX	47,500	Medical encounters did not reconcile to the 2% variance threshold for the quarter.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/5/16	TX	7,500	Pharmacy encounters failed to reconcile to the 2% variance threshold.	No	Paid monetary sanction.
7/5/16	TX	45,000	Pharmacy encounter data not submitted timely for the quarter.	No	Paid monetary sanction.
7/5/16	TX	200,000	Nursing facility claims did not meet performance metrics for Q1 2016.	No	Paid monetary sanction.
6/28/16	WA	None	Deficiencies found during the annual contract monitoring site review.	Yes	Submitted and executed CAP to resolve deficiencies.
6/22/16	TN	500	After an accident, transportation vendor did execute drug and alcohol testing within time requirement.	No	Paid monetary sanction.
6/21/16	FL	1,000	Did not meet member appeal processing timeframes.	No	Paid monetary sanction.
6/21/16	FL	2,500	Secret shopper at a public event alleges distribution of unapproved materials.	No	Paid monetary sanction.
6/13/16	TN	5,000	Q1 2016 - did not meet accuracy rates for provider telephone numbers.	No	Paid monetary sanction.
6/9/16	IN	21,580	For Q1 2016, did not meet claims processing performance metrics.	No	Paid monetary sanction.
6/9/16	IN	2,073	For Q1 2016, did not meet metric target of 100% of member appeals resolved within the specified timeline.	No	Paid monetary sanction.
6/9/16	IN	4,073	For Q1 2016, did not meet metric target of 100% of member grievances resolved within the specified timeline.	No	Paid monetary sanction.
6/9/16	IN	1,354	For Q1 2016, did not meet member call center abandonment rate target of <5%.	No	Paid monetary sanction.
6/9/16	IN	1,354	For Q1 2016, did not meet member call center metric for calls answered by a live person within 30 seconds.	No	Paid monetary sanction.
6/9/16	IN	9,274	For Q1 2016, did not meet member health needs screenings metric.	No	Paid monetary sanction.
6/7/16	FL	40,000	Continuity of care for behavioral health services not provided for some members from July to December 2015.	No	Paid monetary sanction.
6/6/16	TN	25,000	January 2016 call center for vision vendor did not meet standards.	No	Paid monetary sanction.
6/2/16	TN	None	March 2016 - did not submit fully denied vision claims as encounter data.	Yes	Submitted and executed CAP to resolve deficiencies.
5/26/16	TN	None	Delay in claims payments due to application of a dollar threshold not mentioned in provider communications.	Yes	Submitted and executed CAP to resolve deficiencies.
5/20/16	WA	2,100	Did not timely renew insurance producer appointments for Medicare.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
5/12/16	TN	None	Annual Quality Study identified areas of non-compliance.	Yes	Submitted and executed CAP to resolve deficiencies.
5/12/16	VA	None	March 2016 encounter submissions included missing or invalid values.	No	Took action to prevent a recurrence.
5/10/16	TN	500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
5/3/16	FL	20,000	Notice of action letters were not provided to 8 members.	No	Paid monetary sanction.
4/29/16	TN	22,500	Approved private duty nursing services not provided.	No	Paid monetary sanction.
4/27/16	NY	None	Vendor used incorrect appeals form.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Failure to provide telephone notification to members regarding utilization review.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Initial adverse determination letter did not include the address of the utilization review agent.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Members were not consistently supplied with information on the external appeal process.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Complaint and grievance acknowledgement letters did not contain the address of where to respond.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Grievance notice did not include a specific timeframe to file an appeal.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Required standard clause inclusion language not included in hospital contract.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Member handbook did not include interpretation and how to access alternative formats.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Member was not mailed a member handbook in Chinese after request.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Vendor complaint acknowledgement letter did not contain the address of where to respond.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Initial adverse determination letter did not include the address of the utilization review agent or a specific timeframe for filing an appeal.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Process not followed regarding time limit on following up an oral appeal in writing.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
4/27/16	NY	None	Letter failed to specify the time an enrollee has to file an appeal.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Prompt oral notice not given to a member.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Failure to provide reasonable effort of oral notice to member and provider at time of determination.	No	Took action to prevent a recurrence.
4/27/16	NY	None	During an audit, failed to provide complete copies of the attachments to the grievance/appeal letters.	No	Took action to prevent a recurrence.
4/27/16	NY	None	Failure to provide necessary documentation to the state on each complaint, action appeal, and complaints appeal.	No	Took action to prevent a recurrence.
4/19/16	TN	6,160	Approved private duty nursing services not provided.	No	Paid monetary sanction.
4/19/16	VA	None	Test encounter files were delayed during change in transportation vendor in November 2015.	Yes	Submitted and executed CAP to resolve deficiencies.
4/15/16	IN	2,000	Q4 2015 grievance performance did not meet 100% target.	No	Paid monetary sanction.
4/14/16	IN	4,146	Q4 2015 member appeals performance did not meet 100% target.	No	Paid monetary sanction.
4/14/16	IN	4,146	Q4 2015 member grievance performance did not meet 100% target.	No	Paid monetary sanction.
4/14/16	IN	9,274	Q4 2015 health needs screening timeliness did not meet targets.	No	Paid monetary sanction.
4/14/16	IN	5,395	Q4 2015 claims processing timeliness benchmark not met for institutional paper claims.	No	Paid monetary sanction.
4/14/16	TX	15,000	Failure to attend fair hearing for three members.	No	Paid monetary sanction.
4/14/16	TX	21,500	Provider Complaint report submitted with inaccurate information.	No	Paid monetary sanction.
4/14/16	TX	276,000	Failure to be fully operational for nursing facility carve in on the operations start date.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/14/16	TX	1,800	Failure to meet pharmacy network access standards in 2 counties.	No	Paid monetary sanction.
4/14/16	TX	25	Did not resolve 98% of provider complaints within 30 days.	No	Paid monetary sanction.
4/14/16	TX	65,000	Pharmacy encounters failed to reconcile to the 2% variance threshold.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/14/16	TX	1,500	Appealed claims processing did not meet 98% of adjudicated within 30 days.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
4/14/16	TX	35,000	Medical encounters failed to reconcile to the 2% variance threshold	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/14/16	TX	15,000	Pharmacy encounter claims submitted late.	No	Paid monetary sanction.
4/14/16	TX	200,000	Did not process 98% of nursing facility claims with the required 10-day timeframe.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/12/16	TN	None	Claims processing allowed for application of authorizations beyond the number of units paid	Yes	Submitted and executed CAP to resolve deficiencies.
4/11/16	TN	None	Q1 2016 GeoAccess report identified areas of network deficiencies with nursing facilities.	Yes	Submitted and executed CAP to resolve deficiencies.
4/8/16	TN	2,000	Failure to comply with approval and scheduling timeframes.	No	Paid monetary sanction.
4/8/16	TN	None	Failure to meet provider enrollment file accuracy rates for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
4/7/16	VA	None	February 2016 encounter submissions included missing or invalid values.	No	Took action to prevent a recurrence.
4/6/16	KS	None	Failure of vendor to obtain disclosures of ownership for one provider credentialing file.	Yes	Submitted and executed CAP to resolve deficiencies.
4/6/16	TN	300	February 2016 Prompt Pay data file was considered late because it was inaccurate and incomplete.	No	Paid monetary sanction.
4/6/16	TN	10,000	Prompt pay benchmark for claims in Feb 2016 not met.	No	Paid monetary sanction.
3/24/16	TN	30,170	Approved private duty nursing services not provided.	No	Paid monetary sanction.
3/23/16	TN	None	Failure to meet prompt pay standard for February 2016.	Yes	Submitted and executed CAP to resolve deficiencies.
3/21/16	FL	9,000	Submitted inaccurate Q3 2015 quarterly pharmacy report.	No	Paid monetary sanction.
3/17/16	FL	2,500	Website contained content that did not have state approval.	No	Paid monetary sanction.
3/15/16	TN	1,000	Failure to comply with approval and scheduling timeframes.	No	Paid monetary sanction.
3/11/16	NY	None	Deficiencies found in the 2014 Access & Availability survey.	Yes	Submitted and executed CAP to resolve deficiencies.
3/11/16	TN	10,000	Prompt pay benchmark for claims in January 2015 not met.	No	Paid monetary sanction.
3/11/16	TN	22,457	Q2 2015 new member audit found failure to meet care management timelines for five members.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/4/16	TN	7,000	Failure to comply with approval and scheduling timeframes (7 instances).	No	Paid monetary sanction.
3/4/16	TN	1,500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
3/3/16	CA	15,000	Failure to timely acknowledge grievance, failure to provide clear explanation for decision, and failure to timely provide the state with requested information.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
2/23/16	TN	None	Prompt pay benchmark for claims in January 2015 not met.	Yes	Submitted and executed CAP to resolve deficiencies.
2/12/16	TX	None	Deficiencies in how the health plan interprets and utilizes utilization review outcomes for HCBS.	Yes	Submitted and executed CAP to resolve deficiencies.
2/11/16	IN	500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
2/11/16	KS	13,215,507	The 2014 pay for performance program resulted in a recoupment due to unmet performance measures in the categories of physical health, behavioral health, home and community based services, and long term services and supports.	No	Paid monetary sanction.
2/11/16	TN	1,000	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
2/9/16	TN	1,000	Failure to comply with approval and scheduling timeframes.	No	Paid monetary sanction.
2/8/16	FL	1,000	A Q3 2015 financial report had some costs in the incorrect category and was corrected and resubmitted.	No	Paid monetary sanction.
2/5/16	TN	1,000	Failure to comply with approval and scheduling timeframes.	No	Paid monetary sanction.
2/5/16	VA	None	December 2015 pharmacy encounter submission included missing or invalid values.	Yes	Submitted and executed CAP to resolve deficiencies.
1/26/16	TN	500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
1/25/16	TN	2,500	Transportation vendor failed to comply with pick up and delivery standards (2 instances).	No	Paid monetary sanction.
1/25/16	TN	1,000	Failure to comply with approval and scheduling timeframes.	No	Paid monetary sanction.
1/20/16	NY	None	Pharmacy vendor did not follow procedures when terminating contract for a retail pharmacy.	No	Took action to prevent a recurrence.
1/19/16	TN	4,000	Untimely member level of care assessments.	No	Paid monetary sanction.
1/15/16	TN	None	The state requested documentation of the retroactive eligibility process.	Yes	Submitted and executed CAP to resolve deficiencies.
1/12/16	TN	1,000	Failure to comply with approval and scheduling timeframes.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
1/12/16	TN	1,000	Transportation vendor failed to comply with pick up and delivery standards (2 instances).	No	Paid monetary sanction.
1/12/16	TN	None	Failure to meet provider enrollment file accuracy rates for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
1/12/16	VA	None	Late claims processing deliverable.	No	Took action to prevent a recurrence.
1/8/16	TN	None	Q4 2015 GeoAccess report identified areas of network deficiencies with 17 nursing facilities.	Yes	Submitted and executed CAP to resolve deficiencies.
1/6/16	TN	1,500	Transportation vendor failed to comply with urgent trip requirements.	No	Paid monetary sanction.
1/6/16	TN	4,000	Transportation vendor failed to comply with pick up and delivery standards (4 instances).	No	Paid monetary sanction.
12/15/15	TN	754	There was 1 missed skilled nursing shift for a member.	No	Paid monetary sanction.
12/15/15	TN	500	Failure to issue a denial notice and respond to a COB request.	No	Paid monetary sanction.
12/11/15	TN	500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
12/10/15	TN	1,000	Transportation vendor failed to comply with pick up and delivery standards (two instances).	No	Paid monetary sanction.
12/10/15	TN	5,000	Q3 2015 provider telephone numbers did not meet accuracy standard.	No	Paid monetary sanction.
12/9/15	FL	55,000	Transportation vendor failed to comply with pick up and delivery standards.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
12/9/15	FL	5,000	Failure to fully comply with transportation provisions.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
12/3/15	TN	295,000	Did not meet claims accuracy rate for long term care nursing facility claims in February 2015.	No	Paid monetary sanction.
12/3/15	TN	33,895	Q1 2015 new member audit found failure to meet care management timelines for five members.	No	Paid monetary sanction.
12/3/15	TN	1,000	NEMT utilization report submitted with data deficiencies.	No	Paid monetary sanction.
12/1/15	IN	3,856	Q3 2015 report submitted 4 days late.	No	Paid monetary sanction.
11/30/15	IN	35,751	Q3 2015 performance standards not met for health needs screenings, claims processing, and grievance and appeal timeliness.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
11/24/15	TN	4,352	There were missed member support shifts.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
11/24/15	VA	42,448	Two duplicate encounter files submitted, one in March 2015 and one in September 2015.	No	Paid monetary sanction.
11/23/15	TN	3,000	3Q 2015 physical health stratification report submitted late.	No	Paid monetary sanction.
11/18/15	VA	42,478	Duplicate encounter submissions for March and September 2015.	No	Paid monetary sanction.
11/10/15	NJ	None	Self-disclosed failure to comply with enrollment/ disenrollment file submission during 1Q 2015.	Yes	Submitted and executed CAP to resolve deficiencies.
11/10/15	TX	40,000	Deficiencies in letters were found in an audit for the period March 2011 - June 2014.	No	Paid monetary sanction.
11/9/15	FL	1,000	Provider directory data contained inaccuracies.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
11/9/15	FL	2,000	Online provider directory not updated with adult psychiatrists.	No	Paid monetary sanction.
11/6/15	TN	None	Audit of MFP for 2014 found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
10/30/15	NJ	None	During the care management audit, IRPO identified 3 areas with less than 85% compliance: initial outreach and face-to-face visits; initial plans of care; and ongoing care management.	Yes	Submitted and executed CAP to resolve deficiencies.
10/28/15	CA	5,000	Failure to comply with regulations regarding information submitted to the department.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
10/26/15	VA	None	The monthly claims report incorrectly listed four claims as exceeding the 365-day timeframe.	No	Took action to prevent a recurrence.
10/26/15	VA	None	Claims report inaccurately indicated that some claims were paid after 365 days, when they were actually paid timely.	Yes	Submitted and executed CAP to resolve deficiencies.
10/23/15	GA	None	SFY 16 ERQO audit draft result identified 16 findings for the Georgia Families program.	Yes	Submitted and executed CAP to resolve deficiencies.
10/23/15	GA	None	SFY 16 ERQO audit draft result identified 13 findings for the Georgia Families 360 program.	Yes	Submitted and executed CAP to resolve deficiencies.
10/20/15	NJ	None	Failure to appoint dental director.	Yes	Submitted and executed CAP to resolve deficiencies.
10/20/15	TX	5,000	Health plan did not attend a member Fair Hearing.	No	Paid monetary sanction.
10/20/15	TX	2,000	Failed to meet Geo-Mapping mileage standard for a child for ENT and urologist.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
10/20/15	TX	9,000	Failed to meet geo access standards.	No	Paid monetary sanction.
10/20/15	TX	2,500	Out of network ER utilization exceeded contract threshold.	No	Paid monetary sanction.
10/20/15	TX	None	Failed to meet member complaint timeliness for Q3 2015.	No	Took action to prevent a recurrence.
10/20/15	TX	12,250	Medical encounters not within 2% variance.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
10/20/15	TX	55,000	Pharmacy encounters not within 2% variance.	No	Paid monetary sanction.
10/20/15	TX	40,000	Did not process 98% of nursing facility claims with the required 10-day timeframe.	No	Paid monetary sanction.
10/20/15	TX	15,000	Untimely submission of pharmacy encounter data.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
10/20/15	TX	1,000	Acute clean claims processing did not meet 98% adjudicated within 30 days.	No	Paid monetary sanction.
10/20/15	TX	500	Appealed claims processing did not meet 98% adjudicated within 30 days.	No	Paid monetary sanction.
10/13/15	TN	1,500	Transportation vendor failed to comply with urgent trip requirements.	No	Paid monetary sanction.
10/12/15	TX	None	Secret shopper calls found inadequate answers.	Yes	Submitted and executed CAP to resolve deficiencies.
10/12/15	TX	None	Secret shopper calls found deficiencies with how calls were handled.	Yes	Submitted and executed CAP to resolve deficiencies.
10/9/15	TN	None	Transportation vendor did not submit complete and accurate encounters.	Yes	Submitted and executed CAP to resolve deficiencies.
10/9/15	TN	None	Q3 2015 network deficiencies identified.	Yes	Submitted and executed CAP to resolve deficiencies.
10/9/15	TN	None	Q3 2015 failure to achieve accuracy rates for data elements on the provider enrollment file.	Yes	Submitted and executed CAP to resolve deficiencies.
10/5/15	FL	2,500	Service denied for a member that should have been covered since the member was under the age of 21.	No	Paid monetary sanction.
10/1/15	VA	None	The call center statistics report was submitted with the total calls not equaling the number of abandoned calls plus the number of answered calls.	No	Took action to prevent a recurrence.
10/1/15	VA	None	Call center statistics report submitted after the due date.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
9/30/15	TN	11,798	There were missed member support shifts.	No	Paid monetary sanction.
9/30/15	TN	2,500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
9/22/15	TN	5,000	Q2 2015 provider data survey results did not meet the telephone number benchmark.	No	Paid monetary sanction.
9/16/15	TX	1,200	Inaccurate provider complaint report submission for Q2 2015.	No	Paid monetary sanction.
9/16/15	TX	None	Member appeals resolution did not meet timeliness standard.	No	Took action to prevent a recurrence.
9/16/15	TX	100,000	Pharmacy encounters not within 2% variance.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/16/15	TX	10,500	Untimely submission of pharmacy encounter data.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/16/15	TX	5,250	Medical encounters not within 2% variance.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/15/15	IN	21,580	Failed to meet claims payment timeliness benchmark for institutional and professional claims (paper and electronic) for Q2 2015.	No	Paid monetary sanction.
9/15/15	IN	9,274	Did not meet the performance metric for new member Health Needs Screenings performed within 90 days for Q2 2015.	No	Paid monetary sanction.
9/8/15	VA	None	Deviation from the established encounter submission schedule interfered with timeliness requirement.	Yes	Submitted and executed CAP to resolve deficiencies.
9/2/15	TN	25,000	Did not achieve accuracy rates for Q1 2015 provider enrollment file.	No	Paid monetary sanction.
8/28/15	FL	225,000	Q4 2014 failure to submit complete pharmacy encounters.	No	Paid monetary sanction.
8/27/15	TN	None	Transportation vendor did not submit complete encounters.	Yes	Submitted and executed CAP to resolve deficiencies.
8/26/15	NY	None	Several issues were identified within provider directory and provider network submission.	No	Took action to prevent a recurrence.
8/18/15	TN	10,000	Prompt pay benchmark for claims in June 2015 not met.	No	Paid monetary sanction.
8/17/15	TN	5,000	Claims payment accuracy for a region was below performance standards in June 2015.	No	Paid monetary sanction.
8/7/15	IN	29,586	The annual CAHPS survey was submitted 3 business days late.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
8/7/15	TN	None	Vision vendor did not submit complete encounter data in April 2015.	Yes	Submitted and executed CAP to resolve deficiencies.
8/6/15	NJ	None	2015 D-SNP annual assessment found non-compliant elements across several areas.	Yes	Submitted and executed CAP to resolve deficiencies.
8/6/15	TN	500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
8/1/15	TX	None	Timeliness and accuracy of nursing facility claims not meeting standards.	Yes	Submitted and executed CAP to resolve deficiencies.
7/31/15	TN	2,000	Failure to comply with approval and scheduling timeframes.	No	Paid monetary sanction.
7/31/15	TN	2,000	Q2 2015 care coordination did not meet timeliness measures.	No	Paid monetary sanction.
7/29/15	NJ	None	Non-compliant with MLTSS care management ratios.	Yes	Submitted and executed CAP to resolve deficiencies.
7/28/15	CA	25,000	Failure to provide clear and concise explanation of a denial.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/27/15	TN	None	Claims payment accuracy for a region was below performance standards in June 2015.	Yes	Submitted and executed CAP to resolve deficiencies.
7/22/15	TN	6,100	Inaccurate quarterly Population Health Report.	No	Paid monetary sanction.
7/20/15	TN	None	Prompt pay benchmark for claims in June 2015 not met.	Yes	Submitted and executed CAP to resolve deficiencies.
7/17/15	TN	500	Untimely member level of care assessment.	No	Paid monetary sanction.
7/13/15	NY	None	Did not provide a required contract attestation.	No	Took action to prevent a recurrence.
7/13/15	TN	None	Failed to achieve accuracy rates for Q2 2015 provider enrollment file.	Yes	Submitted and executed CAP to resolve deficiencies.
7/13/15	TN	None	March 2015 focused claims found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
7/10/15	TN	None	2Q 2015 review identified areas of network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
7/8/15	TN	4,000	Failure to submit complete and accurate money follows the person data for six members.	No	Paid monetary sanction.
7/7/15	TN	10,000	Claims payment accuracy for a region was below performance standards in May 2015.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
7/6/15	TN	500	Failures to provide needed supplies in a timely manner.	No	Paid monetary sanction.
7/2/15	TN	1,500	Transportation vendor failed to comply with pick up and delivery standards (two instances).	No	Paid monetary sanction.
7/2/15	TN	1,500	Transportation vendor failed to comply with pick up and delivery standards and approval and scheduling timeframes.	No	Paid monetary sanction.
6/29/15	IN	49,192	Did not meet the 2% target for the HIP Q4 2014 capitation rate calculation sheet.	No	Paid monetary sanction.
6/24/15	WA	None	Annual monitoring review found deficiencies in several areas.	Yes	Submitted and executed CAP to resolve deficiencies.
6/23/15	TN	None	Claims payment accuracy for a region was below performance standards in May 2015.	Yes	Submitted and executed CAP to resolve deficiencies.
6/22/15	TN	1,000	Untimely member level of care assessment.	No	Paid monetary sanction.
6/5/15	TN	2,500	Transportation vendor failed to comply with pick up and delivery standards (five instances).	No	Paid monetary sanction.
6/5/15	TN	2,000	Failure to comply with approval and scheduling timeframes (2 instances).	No	Paid monetary sanction.
5/28/15	TN	2,000	Insufficient documentation provided for member level of care assessment.	No	Paid monetary sanction.
5/20/15	TX	4,000	Q3 SFY 2014 - Incomplete quarterly EPSDT Medical Checkup Report submission.	No	Paid monetary sanction.
5/20/15	TX	3,000	Q3 SFY 2014 - Incomplete Quarterly FREW Monitoring Report submission.	No	Paid monetary sanction.
5/20/15	TX	3,750	Q4 SFY 2014 - Incomplete annual FREW Provider Training report submission.	No	Paid monetary sanction.
5/15/15	TN	5,000	Payment accuracy for March 2015 nursing facility claims did not meet performance standard.	No	Paid monetary sanction.
5/13/15	MD	None	Did not meet the minimum compliance level with the standards on credentialing and recredentialing, enrollee rights and utilization review	Yes	Submitted and executed CAP to resolve deficiencies.
5/13/15	TN	1,000	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
5/12/15	TN	1,000	Untimely member level of care assessment.	No	Paid monetary sanction.
5/12/15	TN	10,000	Prompt pay benchmark for claims in March 2015 not met for 1 region.	No	Paid monetary sanction.
5/7/15	FL	2,500	Untimely submission of a notice of action for a standard authorization decision.	No	Paid monetary sanction.
5/4/15	TN	4,467	There were missed member support shifts.	No	Paid monetary sanction.
4/30/15	TN	100	Ad hoc report submitted late.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
4/29/15	TN	1,500	Transportation vendor failed to comply with urgent trip requirements.	No	Paid monetary sanction.
4/28/15	TN	65,000	Claims payment accuracy for Jan 2015 did not meet performance standard.	No	Paid monetary sanction.
4/22/15	FL	500	Failure to submit Critical Incident Reporting within 24 hours of notification.	No	Paid monetary sanction.
4/22/15	TN	None	March 2015 claims payment accuracy for LTC NF in one region was below performance standards.	Yes	Submitted and executed CAP to resolve deficiencies.
4/20/15	TN	10,000	Prompt pay benchmark for claims in Feb 2015 not met.	No	Paid monetary sanction.
4/10/15	TN	None	1Q 2015 review identified areas of network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
4/9/15	TN	14,000	Untimely member level of care assessment.	No	Paid monetary sanction.
4/9/15	TN	None	Q1 2015 - failed to achieve accuracy rates for provider enrollment file.	Yes	Submitted and executed CAP to resolve deficiencies.
4/9/15	TN	None	Feb 2015 claims payment accuracy for LTC NF in two regions was below performance standards.	Yes	Submitted and executed CAP to resolve deficiencies.
4/7/15	FL	2,500	Failure to gain approval for appearance at marketing event.	No	Paid monetary sanction.
4/6/15	TN	5,000	Untimely member level of care assessment.	No	Paid monetary sanction.
3/30/15	TN	None	Did not meet prompt pay standard for March 2015.	Yes	Submitted and executed CAP to resolve deficiencies.
3/27/15	NV	None	Onsite audit found deficiencies in provider relations, credentialing, quality, and privacy.	Yes	Submitted and executed CAP to resolve deficiencies.
3/26/15	NJ	None	2014 CAHPS survey found enrollee dissatisfaction in some areas.	Yes	Submitted and executed CAP to resolve deficiencies.
3/25/15	TN	1,000	Transportation vendor failed to comply with pick up and delivery standards (two instances).	No	Paid monetary sanction.
3/25/15	TN	1,000	Failure to comply with approval and scheduling timeframes	No	Paid monetary sanction.
3/24/15	TN	1,000	Failure to comply with approval and scheduling timeframes	No	Paid monetary sanction.
3/24/15	TN	None	Prompt pay benchmark for claims in Feb 2015 not met.	Yes	Submitted and executed CAP to resolve deficiencies.
3/20/15	TN	500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
3/19/15	WV	None	Timely access standards not met.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
3/19/15	WV	None	Non-compliant with requirement for an on-site visit to the practitioner's office as part of the credentialing process.	Yes	Submitted and executed CAP to resolve deficiencies.
3/19/15	WV	None	Timely access standards not met. When a provider uses an answering machine, it must provide a process for reaching a provider.	Yes	Submitted and executed CAP to resolve deficiencies.
3/19/15	WV	None	Deficiencies with annual adult and child CAHPS survey process.	Yes	Submitted and executed CAP to resolve deficiencies.
3/19/15	WV	None	Notice of action letters did not use updated language.	Yes	Submitted and executed CAP to resolve deficiencies.
3/13/15	TX	None	Information (confidential) on current and past members was compromised and possibly stolen.	Yes	Submitted and executed CAP to resolve deficiencies.
3/4/15	TX	None	Benchmarks established for annual medical checkup participation not met.	Yes	Submitted and executed CAP to resolve deficiencies.
2/24/15	NJ	None	2014 IPRO Annual Assessment identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
2/23/15	TN	None	Payment accuracy for nursing facility claims did not meet standard in January 2015.	Yes	Submitted and executed CAP to resolve deficiencies.
2/19/15	TN	2,000	Two untimely member level of care assessment.	No	Paid monetary sanction.
2/9/15	TN	300	Late response to ad hoc report request.	No	Paid monetary sanction.
2/4/15	TN	1,500	Untimely member level of care assessment.	No	Paid monetary sanction.
1/30/15	TX	12,500	Q4 SFY14 pharmacy encounters not within variance threshold.	No	Paid monetary sanction.
1/30/15	TX	100	Report submitted using the wrong template.	No	Paid monetary sanction.
1/30/15	TX	None	Did not meet 30-day member complaint resolution percentage.	No	Took action to prevent a recurrence.
1/29/15	TN	2,000	Aug 2014 - Jan 2015 care coordination did not meet timeliness measures.	No	Paid monetary sanction.
1/29/15	TN	8,500	Untimely member level of care assessment (3 instances).	No	Paid monetary sanction.
1/27/15	FL	None	Failure to submit provider network file that meets specifications (specific to occupational therapy).	No	Took action to prevent a recurrence.
1/22/15	TN	1,500	Transportation vendor failed to comply with pick up and delivery standards (3 instances).	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
1/21/15	CA	2,500	Failure to provide the state with requested information that met criteria.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/21/15	TN	None	Failed to meet 2013 and 2014 transition benchmark.	Yes	Submitted and executed CAP to resolve deficiencies.
1/20/15	CA	None	Did not meet the quality and timeliness encounter metrics for inpatient encounters.	Yes	Submitted and executed CAP to resolve deficiencies.
1/20/15	TN	None	Data file submitted with incorrect data.	Yes	Submitted and executed CAP to resolve deficiencies.
1/16/15	FL	4,500	Failure to submit Critical Incident Reporting within 24 hours of notification.	No	Paid monetary sanction.
1/14/15	NY	None	Member Services Survey encountered Incorrect responses between 10-15-2014 and 10-20-2014.	No	Took action to prevent a recurrence.
1/12/15	TN	2,000	Insufficient documentation provided in transition request.	No	Paid monetary sanction.
1/12/15	TN	3,000	Transportation vendor failed to comply with urgent trip requirements.	No	Paid monetary sanction.
1/12/15	TN	None	4Q14 - failed to achieve accuracy rates for provider enrollment file.	Yes	Submitted and executed CAP to resolve deficiencies.
1/12/15	TX	2,000	Health plan missed a scheduled Fair Hearing for a member.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/12/15	TX	15,000	Did not authorize and provide adequate supports for two members.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/12/15	TX	500	Q3 SFY14 - inaccurate member appeals report submitted.	No	Paid monetary sanction.
1/12/15	TX	325	Q3 SFY14 - failed to meet the member complaint metric of 98% resolved within 30 days.	No	Paid monetary sanction.
1/12/15	TX	6,000	Q3 SFY 14 Pharmacy Encounters failed to reconcile to Financial Statistical Reports within the 2% variance threshold.	No	Paid monetary sanction.
1/12/15	TX	800	Inaccurate and incomplete Q3 SFY 2013 report.	No	Paid monetary sanction.
1/12/15	TX	None	Inaccurate and incomplete Q3 SFY 2013 report.	No	Took action to prevent a recurrence.
1/12/15	TX	2,100	Inaccurate and incomplete Q4 SFY 2013 provider training report.	No	Paid monetary sanction.
1/12/15	TX	1,400	Inaccurate and incomplete Q2 SFY 2014 report.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
1/9/15	FL	None	A therapy provider's billing practice does not enable easy alignment well with EPSDT requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
1/6/15	TN	2,500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
1/5/15	TN	1,250	Provider enrollment file did not meet specifications.	No	Paid monetary sanction.
12/19/14	GA	None	(SFY 2014) Annual External Quality Review (Compliance Audit) found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
12/19/14	NJ	None	Incorrect version of provider termination letter was mailed to members.	Yes	Submitted and executed CAP to resolve deficiencies.
12/18/14	NJ	None	The 2014 DSNP Annual Assessment found audit elements with a finding of "not met."	Yes	Submitted and executed CAP to resolve deficiencies.
12/12/14	KS	7,057,877	Portion of 2013 upfront capitation withhold not paid due to unmet operational Pay For Performance metrics related to claims, encounters, credentialing, grievance and appeals. Health plan earned back 65.3% of withhold due to positive performance.	No	Paid monetary sanction.
12/11/14	TN	500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
12/5/14	VA	None	State requested additional information about the existing and approved health assessment tool.	Yes	Submitted and executed CAP to resolve deficiencies.
12/4/14	LA	150,000	Encounter data file submission errors.	No	Paid monetary sanction.
12/1/14	TN	4,000	Documentation and process deficiencies identified in transition of care for member.	No	Paid monetary sanction.
11/17/14	IN	None	In Q3 2014, did not meet performance standards in three areas: new member health screenings, member grievance resolution timeliness; and claims payment timeliness for institutional claims.	Yes	Submitted and executed CAP to resolve deficiencies.
11/6/14	TN	2,000	Level of care documentation initially submitted for care transition was insufficient/incomplete.	No	Paid monetary sanction.
11/6/14	TN	6,000	Inaccurate functional assessment score submitted for member (3 instances).	No	Paid monetary sanction.
10/31/14	FL	60,000	Failure to comply with claims processing requirements.	No	Paid monetary sanction.
10/27/14	FL	40,000	Claims for assisted care services did not process correctly.	No	Paid monetary sanction.
10/24/14	TX	7,500	Failure to attend a scheduled Fair Hearing (multiple incidents).	No	Paid monetary sanction.
10/24/14	TX	37,500	Pharmacy encounters not within 2% variance.	No	Paid monetary sanction.
10/24/14	TX	86,100	Submission of late and inaccurate report.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
10/24/14	TX	105,000	Failure to timely notification of a privacy breach.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
10/24/14	TX	5,000	Untimely initiation of services after nursing facility discharge.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
10/23/14	TN	100	Ad hoc reports submitted one day late.	No	Paid monetary sanction.
10/20/14	WI	None	Encounters did not meet the quality and timeliness standards.	Yes	Submitted and executed CAP to resolve deficiencies.
10/15/14	LA	90,000	Non-compliance with encounter submission standards.	No	Paid monetary sanction.
10/13/14	TN	500	Transportation vendor was late for member drop off.	No	Paid monetary sanction.
9/25/14	TN	500	Transportation vendor failed to comply with pick up and delivery standards.	No	Paid monetary sanction.
9/23/14	FL	2,500	Review of records for two members identified continuity of care deficiencies.	No	Paid monetary sanction.
9/22/14	TX	None	Q3 SFY 2014 desk audit found deficiencies that resulted in untimely delivery of services for several members.	Yes	Submitted and executed CAP to resolve deficiencies.
9/17/14	NY	None	Q4 2013 provider network submission included sanctioned providers.	No	Took action to prevent a recurrence.
9/15/14	CA	50,000	Failure to follow member grievance process appropriately.	No	Paid monetary sanction.
9/15/14	NY	None	Failure to provide adequate adverse determination notices to members.	Yes	Submitted and executed CAP to resolve deficiencies.
9/11/14	FL	24,000	Failure to comply with network adequacy requirements.	No	Paid monetary sanction.
9/4/14	FL	2,000	Untimely report submission.	No	Paid monetary sanction.
8/25/14	FL	2,500	Use of unapproved banner at marketing event.	No	Paid monetary sanction.
8/25/14	NY	None	Deficiencies found in the 2013 Phase 2 Provider Directory Survey.	No	Took action to prevent a recurrence.
8/22/14	TN	18,500	Untimely member level of care assessment (6 instances).	No	Paid monetary sanction.
8/22/14	TN	6,000	Insufficient documentation provided in transition request (3 instances).	No	Paid monetary sanction.
8/22/14	TN	2,000	Insufficient documentation provided in transition request.	No	Paid monetary sanction.
8/21/14	NJ	None	Grievance and appeal non-compliance with 30-day resolution requirement.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
8/13/14	TN	1,000	Untimely member level of care assessment.	No	Paid monetary sanction.
8/7/14	NY	None	Member complaint investigation found failure to ensure member was reimbursed for financial liability after PCP referral.	No	Took action to prevent a recurrence.
8/7/14	NY	None	Member complaint investigation found failure to ensure member was reimbursed for financial liability after PCP referral.	No	Took action to prevent a recurrence.
8/5/14	FL	750	Untimely submission of provider network file.	No	Paid monetary sanction.
8/1/14	TN	1,000	Untimely member level of care assessment.	No	Paid monetary sanction.
7/29/14	FL	500	Ad hoc report submitted one day late.	No	Paid monetary sanction.
7/18/14	NJ	None	Failure to refer tort and casualty cases to the state.	Yes	Submitted and executed CAP to resolve deficiencies.
7/18/14	NY	None	Member Services Survey found Incorrect response given to member services questions.	No	Took action to prevent a recurrence.
7/8/14	TN	1,000	Incomplete response to a reconsideration of a denied service.	No	Paid monetary sanction.
7/7/14	NJ	None	Failure to appoint dental director.	Yes	Submitted and executed CAP to resolve deficiencies.
7/3/14	TN	None	Untimely member notification of a UM denial.	Yes	Submitted and executed CAP to resolve deficiencies.
6/30/14	TN	3,500	Submission of incorrect quarterly transportation report.	No	Paid monetary sanction.
6/30/14	TN	16,000	Insufficient information submitted for member reassessment and transition (8 instances).	No	Paid monetary sanction.
6/26/14	WA	None	Deficiencies found in multiple operational areas during 2014 site visit.	Yes	Submitted and executed CAP to resolve deficiencies.
6/16/14	NM	80,000	Financial sanction for "Indian Health Service issues" with no other explanation.	No	Paid monetary sanction.
6/5/14	TN	3,000	Failure to timely disenroll member.	No	Paid monetary sanction.
6/5/14	TN	2,500	Late submission of a level of care assessment.	No	Paid monetary sanction.
6/5/14	TN	2,000	Insufficient documentation provided in transition request.	No	Paid monetary sanction.
6/5/14	TN	3,500	Untimely forwarding of an appeal response.	No	Paid monetary sanction.
6/2/14	TX	62,250	Failure to reinstate services after Fair Hearing decision.	No	Paid monetary sanction.
6/2/14	TX	400	In Q1, submitted inaccurate member complaints report.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
6/2/14	TX	1,900	Member appeals processing failed to meet performance standard.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/2/14	TX	41,000	FY2013 Q2 claims processing did not meet 30-day performance standard.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/2/14	TX	1,000	Q2 encounter reconciliation fell outside of performance variance standard.	No	Paid monetary sanction.
6/2/14	TX	15,000	Q2 out of network utilization was higher than allowed for outpatient services.	No	Paid monetary sanction.
6/2/14	TX	5,000	Q3 encounter reconciliation outside of performance variance.	No	Paid monetary sanction.
6/2/14	TX	5,575	Q4 encounter reconciliation outside of performance variance.	No	Paid monetary sanction.
5/22/14	NJ	None	Plan D behavioral health co-payment error.	Yes	Submitted and executed CAP to resolve deficiencies.
5/14/14	CA	10,000	Incomplete response to an enrollee grievance.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
5/12/14	CA	15,000	Incomplete response to an enrollee grievance and failure to provide timely information to the state.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
5/9/14	TN	1,000	Untimely notification of an accident/incident.	No	Paid monetary sanction.
5/9/14	TN	100	Failure to meet complaint deadline.	No	Paid monetary sanction.
5/9/14	TN	None	Late submission of a level of care assessment.	No	Took action to prevent a recurrence.
5/7/14	TN	None	External review of EPSDT services found deficiency in health education documentation.	Yes	Submitted and executed CAP to resolve deficiencies.
4/21/14	FL	7,500	Did not meet 2012 prenatal/postpartum performance measure.	No	Paid monetary sanction.
4/21/14	FL	70,500	Failed to achieve performance measures.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/17/14	FL	None	Failure to meet encounter data accuracy standards.	Yes	Submitted and executed CAP to resolve deficiencies.
4/17/14	FL	500	Untimely report submission.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
4/17/14	NJ	None	2013 annual assessment by IPRO found deficiencies in 8 elements.	Yes	Submitted and executed CAP to resolve deficiencies.
4/10/14	WV	None	Annual External Quality Review audit found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
4/8/14	TN	None	Telephone number accuracy missed benchmark.	Yes	Submitted and executed CAP to resolve deficiencies.
4/3/14	TN	None	Deficiencies in network for skilled nursing facilities, dermatology, and pest control.	Yes	Submitted and executed CAP to resolve deficiencies.
3/31/14	FL	1,750	Format error in provider network file.	No	Paid monetary sanction.
3/31/14	FL	1,500	Late submission of an ad hoc report.	No	Paid monetary sanction.
3/28/14	NY	None	2014 Article 44 Operational Survey - Deficiencies found in pharmacy decision letter.	No	Took action to prevent a recurrence.
3/25/14	TN	500	Defective notice of action issued.	No	Paid monetary sanction.
3/18/14	TN	None	Annual performance improvement plan for CAHPS because member response to smoking cessation did not achieve validation status of met.	Yes	Submitted and executed CAP to resolve deficiencies.
3/7/14	NJ	None	A vendor conducted an unapproved post call survey after being told not to by the health plan.	Yes	Submitted and executed CAP to resolve deficiencies.
3/4/14	WV	None	Dental vendor paid claims late and did not submit encounter data.	Yes	Submitted and executed CAP to resolve deficiencies.
2/24/14	TN	1,000	Documentation failed to demonstrate review of care plan within required timeframes.	No	Paid monetary sanction.
2/24/14	TN	None	Did not reprocess claims within 60 days after rate update.	Yes	Submitted and executed CAP to resolve deficiencies.
2/21/14	NY	None	Accuracy rates for 2013 provider directory survey failed to meet threshold.	No	Took action to prevent a recurrence.
2/20/14	TX	None	Failed to meet timely checkup program requirement.	Yes	Submitted and executed CAP to resolve deficiencies.
2/7/14	FL	125,000	Failed to meet child health check-up program 80% participation ratio for federal fiscal year 2012-2013.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/31/14	TN	2,000	Did not complete level of care assessment.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
1/29/14	NJ	None	Enrollee appeal acknowledgement letters failed to meet required timeframe.	Yes	Submitted and executed CAP to resolve deficiencies.
1/29/14	TN	1,000	Did not initiate disenrollment for member.	No	Paid monetary sanction.
1/15/14	FL	500	Report submitted using encrypted email, an unauthorized method.	No	Paid monetary sanction.
1/14/14	TN	5,000	Q4 2013 provider data survey results did not meet the telephone number benchmark.	No	Paid monetary sanction.
12/30/13	NJ	None	Deficiencies found in 2013 CAHPS survey.	Yes	Submitted and executed CAP to resolve deficiencies.
12/26/13	TN	5,000	Q3 2013 - Failure to meet provider enrollment file accuracy rates for telephone numbers.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
12/26/13	TN	7,570	Subcontractor failed to provide approved supplies in a timely manner.	No	Paid monetary sanction.
12/23/13	NY	None	2012 member services telephone survey found questions answered incorrectly.	No	Took action to prevent a recurrence.
12/5/13	NY	None	Inaccurate response to three complaint investigations.	No	Took action to prevent a recurrence.
12/4/13	TN	12,000	Audit for Oct 2012 found failure to issue notice of adverse action (24 instances).	No	Paid monetary sanction.
12/3/13	NJ	None	Untimely appeal resolution for Q3 2013.	Yes	Submitted and executed CAP to resolve deficiencies.
12/1/13	GA	None	SFY 2014 Annual External Quality Review (Compliance Audit) found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
11/27/13	TN	2,500	Late response to ad hoc report request.	No	Paid monetary sanction.
11/26/13	TN	1,000	Audit in April 2013 found 2 instances of failure to issue notice of adverse action.	No	Paid monetary sanction.
11/19/13	FL	1,000	Incorrect naming convention on the claims aging report.	No	Paid monetary sanction.
11/8/13	NM	105,000	Failure to pay claims timely and accurately.	No	Paid monetary sanction.
11/8/13	NY	None	Member services survey found representative gave incorrect response to a request for information.	No	Took action to prevent a recurrence.
10/8/13	CA	5,000	Untimely response to a request for documentation.	No	Paid monetary sanction.
9/20/13	NM	None	Personal care option processes for level of care closures and authorization for services not in compliance.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
9/19/13	TN	10,000	January 2013 - Required benchmark for prompt pay rate not met.	No	Paid monetary sanction.
9/17/13	NJ	None	In Q2 2013, appeal acknowledgement letter not sent within 10 business days.	Yes	Submitted and executed CAP to resolve deficiencies.
9/17/13	NJ	None	Untimely provider grievance/appeal resolution for Q2 2013.	Yes	Submitted and executed CAP to resolve deficiencies.
9/16/13	VA	None	Deficiencies in appeal processing. A peer-to-peer review was incorrectly routed and the wrong appeal upheld reason was sent to the member.	Yes	Submitted and executed CAP to resolve deficiencies.
9/4/13	TN	7,500	Program audit identified deficiencies spanning from August 2011 - July 21, 2012.	No	Paid monetary sanction.
9/4/13	TN	35,000	Required benchmark for nursing facility claims payment accuracy not met.	No	Paid monetary sanction.
9/4/13	TN	25,000	Required benchmark for nursing facility claims payment accuracy not met.	No	Paid monetary sanction.
9/4/13	TN	1,300	Monthly transportation utilization report submitted late.	No	Paid monetary sanction.
8/29/13	NY	None	Deficiencies found in the 2011 Access & Availability survey.	No	Took action to prevent a recurrence.
8/22/13	FL	500	Claims aging report for Q2 submitted in improper format.	No	Paid monetary sanction.
8/22/13	FL	500	Quarterly financial report submitted with incorrect naming convention.	No	Paid monetary sanction.
8/9/13	NM	None	Outstanding encounters from 2011 and 2012 not submitted per contract requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
8/5/13	FL	500	Medical loss ratio report filed late.	No	Paid monetary sanction.
7/25/13	TN	None	Semi-annual critical incidents audit identified two late notifications.	Yes	Submitted and executed CAP to resolve deficiencies.
7/22/13	MD	None	Primary care network appeared inadequate after the network directory clean up.	Yes	Submitted and executed CAP to resolve deficiencies.
7/16/13	NY	27,300	Claims payments for October 2010 through September 2012 untimely.	No	Paid monetary sanction.
7/9/13	TN	5,000	Provider data survey results for Q2 2013 did not meet telephone number accuracy benchmark.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/3/13	MD	None	Preauthorization decisions and adverse determination notifications late.	Yes	Submitted and executed CAP to resolve deficiencies.
6/24/13	TN	None	Audit of deficit reduction act compliance identified several instances of non-compliance with provider education.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
6/17/13	TN	1,000	Face-to-face care coordination standard for members admitted to a nursing facility not met for Oct and Nov 2012.	No	Paid monetary sanction.
6/17/13	TN	2,000	Ad hoc report relating to a member appeal submitted late.	No	Paid monetary sanction.
6/14/13	NJ	104,559	In May 2013, records submitted for provider capitation payments (in 837 format) exceeded variance.	No	Paid monetary sanction.
5/29/13	TX	62,150	Q4 SFY12 performance standards not met in multiple areas.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
5/24/13	CA	5,000	Documentation for denial of services incomplete.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
5/23/13	NJ	None	Deficiencies identified in 2012 provider satisfaction survey.	Yes	Submitted and executed CAP to resolve deficiencies.
5/21/13	TN	400	Q1 2013 network deficiency in prenatal providers.	No	Paid monetary sanction.
5/15/13	CA	None	Benchmark for inpatient quality not met.	Yes	Submitted and executed CAP to resolve deficiencies.
5/1/13	TN	None	Required benchmark for post discharge services report not met in Q4 2012.	Yes	Submitted and executed CAP to resolve deficiencies.
4/18/13	FL	500	2012 annual audited financial statement submitted without signed page.	No	Paid monetary sanction.
4/17/13	NY	None	Targeted survey found one inaccurate physician file.	No	Took action to prevent a recurrence.
4/12/13	NY	None	2012 provider directory survey did not meet benchmark for provider participation and accuracy of web and printed directories.	No	Took action to prevent a recurrence.
4/8/13	TN	5,000	Q1 2013 provider data survey results did not meet the benchmark for accuracy.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/27/13	OH	None	Pharmacy claims edits incorrectly excluded drugs on Medicaid drug list.	Yes	Submitted and executed CAP to resolve deficiencies.
3/27/13	WA	None	Deficiencies found in multiple operational areas during 2013 site visit.	Yes	Submitted and executed CAP to resolve deficiencies.
3/21/13	TN	1,000	Ad hoc report relating to a member appeal submitted late.	No	Paid monetary sanction.
3/21/13	TN	500	Adverse action notice did not include reference to the exclusion rule.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/21/13	TN	500	Ad hoc report related to a member appeal submitted late.	No	Paid monetary sanction.
3/14/13	TX	None	Performance bond was not filed with the Department of Insurance.	No	Took action to prevent a recurrence.
3/8/13	FL	1,000	Marketing used a banner not previously approved at a marketing event.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/8/13	FL	1,000	Marketing used a billboard not previously approved.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/6/13	CA	None	Benchmark for outpatient timeliness, and Inpatient quality and timeliness not met.	Yes	Submitted and executed CAP to resolve deficiencies.
3/5/13	FL	2,500	Failure to meet child health check up measures and late filing of corrective action plan.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/5/13	OH	None	Failed to submit required delegation documentation within the required timeframes.	Yes	Submitted and executed CAP to resolve deficiencies.
2/27/13	FL	1,000	Financial report for Q4 submitted with inaccurate information.	No	Paid monetary sanction.
2/26/13	FL	3,500	Late report filing and failed to meet claims performance measures in Q4 2012.	No	Paid monetary sanction.
2/26/13	FL	500	Q4 2012 claims aging report filed late.	No	Paid monetary sanction.
2/26/13	LA	None	Benchmark for clean claims in 3Q12 and 4Q12 not met.	Yes	Submitted and executed CAP to resolve deficiencies.
2/26/13	NJ	4,733	Excessive duplicate encounters in December 2012.	No	Paid monetary sanction.
2/20/13	OH	None	Q3 SFY12 clinical performance and access measures not met.	Yes	Submitted and executed CAP to resolve deficiencies.
2/19/13	FL	20,000	Failure to meet HEDIS performance measures in three areas: mental health/substance abuse, prenatal/postpartum, and chronic care.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
2/15/13	NJ	None	Deficiencies identified in 2012 IPRO annual assessment categories.	Yes	Submitted and executed CAP to resolve deficiencies.
2/4/13	OH	1,000	Provider network deficiency.	No	Paid monetary sanction.
2/1/13	TN	6,000	Annual quality audit requested CAP that was not submitted timely.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
1/14/13	LA	None	Changes to supplemental data file required to address deficiencies between encounters and cash disbursement journal.	Yes	Submitted and executed CAP to resolve deficiencies.
1/10/13	OH	10,000	Failure to remove prior authorization denial language and adhere to CAP.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/10/13	OH	None	Issuance of state hearing rights to non-members during the prior authorization denial process noncompliant.	Yes	Submitted and executed CAP to resolve deficiencies.
1/10/13	TN	None	2012 Q4 provider data survey results did not meet telephone number accuracy benchmark.	Yes	Submitted and executed CAP to resolve deficiencies.
12/20/12	TX	None	Q3 SFY12 implementation of pharmacy prior authorization requirements not met.	No	Took action to prevent a recurrence.
12/20/12	TX	2,875	Q3 SFY12 reporting deficient.	No	Paid monetary sanction.
12/20/12	TX	None	Q3 SFY12 claims adjudication benchmark not met.	Yes	Submitted and executed CAP to resolve deficiencies.
12/12/12	OH	None	High-risk care management performance standard for July through September 2011 not met.	No	Took action to prevent a recurrence.
12/10/12	TX	None	Member materials sent without any branding.	Yes	Submitted and executed CAP to resolve deficiencies.
12/6/12	TN	100	Ad hoc weekly deliverable regarding behavioral health CPT codes submitted late.	No	Paid monetary sanction.
12/1/12	GA	None	Errors in network adequacy report.	Yes	Submitted and executed CAP to resolve deficiencies.
11/30/12	GA	None	SFY 2013 Annual External Quality Review (Compliance Audit) found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
11/27/12	TN	None	2012 Quality and UM program descriptions, evaluations, and work plans deficient.	Yes	Submitted and executed CAP to resolve deficiencies.
11/20/12	FL	25,000	Non-compliant pharmacy encounter data submitted.	No	Paid monetary sanction.
11/15/12	CA	None	Encounter submission metrics for outpatient timeliness and inpatient quantity not met.	Yes	Submitted and executed CAP to resolve deficiencies.
11/13/12	TN	None	Oct 2012 GeoAccess report indicated provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
11/2/12	WA	None	Findings at 2012 monitoring visit identified areas requiring correction.	Yes	Submitted and executed CAP to resolve deficiencies.
10/31/12	IN	9,457	Q2 2012 performance requirements for claims processing and call center timeliness not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
10/24/12	NV	None	Audit in policies and procedures and the member handbook identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
10/23/12	OH	None	Provider network deficiency for allergists.	No	Took action to prevent a recurrence.
10/23/12	TN	10,000	Transportation vendor did not meet prompt pay standards for June 2012.	No	Paid monetary sanction.
10/19/12	GA	None	Deficiencies in GeoAccess report, primarily due to programming errors.	Yes	Submitted and executed CAP to resolve deficiencies.
10/17/12	NY	None	Access and availability survey benchmark for routine appointments, non-urgent sick appointments, and after hours access not met.	No	Took action to prevent a recurrence.
10/11/12	NY	None	Benchmark for provider participation rate not met.	Yes	Submitted and executed CAP to resolve deficiencies.
10/8/12	TN	None	Q3 2012 GeoAccess report indicated provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
10/5/12	NJ	82,843	Excessive duplicate encounters in September 2012.	No	Paid monetary sanction.
10/5/12	TN	5,000	Q3 2012 provider data survey results did not meet telephone number accuracy benchmark.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/25/12	TN	None	Transportation vendor policy deficiency regarding weekend/evening hours.	Yes	Submitted and executed CAP to resolve deficiencies.
9/11/12	TN	100	Transportation vendor submitted response to a request for information late.	No	Paid monetary sanction.
9/5/12	TN	6,000	Transportation vendor did not have current vehicle inspections on file for one of its vendors.	No	Paid monetary sanction.
9/5/12	TN	5,000	Q2 2012 care coordination did not meet timeliness measures.	No	Paid monetary sanction.
9/5/12	TN	None	July 2012 nonemergency transportation vehicle listing identified vehicles with overdue inspections.	Yes	Submitted and executed CAP to resolve deficiencies.
9/4/12	FL	None	Untimely filing of annual anti-fraud plan.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
9/4/12	FL	None	Untimely filing of annual anti-fraud plan.	No	Took action to prevent a recurrence.
9/4/12	TN	39,500	1Q12 care coordination did not meet timeliness measures.	No	Paid monetary sanction.
8/30/12	SC	155,768	Q4 2011 claims benchmarks not met.	No	Paid monetary sanction.
8/27/12	CA	2,500	Response to request for additional information submitted late.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/22/12	FL	None	Untimely filing of annual anti-fraud plan.	No	Took action to prevent a recurrence.
8/21/12	TN	2,400	Transportation vendor submitted a deficient monthly status report.	No	Paid monetary sanction.
8/19/12	TN	None	July 2012 GeoAccess report indicated provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
8/17/12	TX	250	Q1 SFY12 member appeals processing timeframe not met.	No	Paid monetary sanction.
8/8/12	TN	18,000	An approved service was not provided timely.	No	Paid monetary sanction.
8/6/12	IN	10,421	Q1 2012 performance requirements for claims processing and call center timeliness not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/3/12	OH	10,000	Medically necessary Medicaid covered services to members not provided.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/25/12	CA	2,500	Delay in delivering provider contracts related to a member complaint.	No	Paid monetary sanction.
7/17/12	TN	None	Score for overall provider satisfaction decreased from 2010.	Yes	Submitted and executed CAP to resolve deficiencies.
7/11/12	LA	None	Did not meet concurrent review turnaround times and unable to track turnaround times for service authorizations.	Yes	Submitted and executed CAP to resolve deficiencies.
7/10/12	TN	None	June 2012 provider file identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
7/9/12	NJ	2,831	Excessive duplicate encounters in June 2012.	No	Paid monetary sanction.
7/9/12	TN	4,282	There were missed shifts for a member's care.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
7/9/12	TN	5,000	2Q12 provider data survey results did not meet telephone number accuracy benchmark.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/5/12	TN	500	Pertinent medical records in response to a reconsideration request not included.	No	Paid monetary sanction.
7/5/12	TN	500	Response to a reconsideration request was incomplete.	No	Paid monetary sanction.
7/3/12	IN	9,457	Q4 2011 performance requirements for claims processing and call center timeliness not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/29/12	GA	None	Deficiencies in Q1 2012 GeoAccess, primarily due to programming errors.	Yes	Submitted and executed CAP to resolve deficiencies.
6/22/12	OH	5,000	Grievance and appeals processing requirements non-compliant.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/12/12	TX	None	Q1 SFY12 member appeals processing timeframe not met.	Yes	Submitted and executed CAP to resolve deficiencies.
6/8/12	NJ	248,522	Technical error in a 5010 file format submission resulted in duplicate rejections.	No	Paid monetary sanction.
6/8/12	TN	None	May 2012 provider file identified provider network deficiencies in specialty areas.	Yes	Submitted and executed CAP to resolve deficiencies.
6/7/12	TN	8,000	Member's request to change MCOs not addressed.	No	Paid monetary sanction.
6/7/12	TN	1,000	Copy of medical criteria not included in the response to a member appeal request.	No	Paid monetary sanction.
6/7/12	TN	4,000	Late response to multiple member reconsideration requests.	No	Paid monetary sanction.
6/7/12	TN	500	Adverse action letter issued without the official legal citation.	No	Paid monetary sanction.
6/4/12	TN	1,000	Response to a request for medical reconsideration incomplete.	No	Paid monetary sanction.
5/31/12	FL	200	Late filing of Q1 2012 financial report.	No	Paid monetary sanction.
5/25/12	TN	None	Critical incidents audit identified deficiencies regarding management and reporting.	Yes	Submitted and executed CAP to resolve deficiencies.
5/23/12	FL	None	Member materials not submitted to the state for approval prior to use.	Yes	Submitted and executed CAP to resolve deficiencies.
5/22/12	NY	None	Q1 network submission incomplete and inaccurate.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
5/18/12	FL	36,500	Failure to meet standards established in 2011 child health check up CAP.	No	Paid monetary sanction.
5/18/12	FL	400	Late filing of Q1 2012 claims aging report.	No	Paid monetary sanction.
5/18/12	NM	None	Desk audit of 2011 outcomes survey found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
5/17/12	TN	None	Performance standard for post discharge services not met.	Yes	Submitted and executed CAP to resolve deficiencies.
5/15/12	CA	None	Encounter metrics for outpatient timeliness and inpatient quantity not met.	Yes	Submitted and executed CAP to resolve deficiencies.
5/9/12	TN	None	April 2012 GeoAccess report indicated provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
5/8/12	NY	None	Article 44/49 Operational Survey - governing authority did not demonstrate responsibility for establishment and oversight of policies, management, and operations.	No	Took action to prevent a recurrence.
5/8/12	NY	None	Article 44/49 Survey - did not correct hospital contract language; contract not submitted for review and approval.	No	Took action to prevent a recurrence.
5/8/12	NY	None	Article 44/49 Survey - cooling off language in hospital contract not approved by state.	No	Took action to prevent a recurrence.
5/8/12	NY	None	Article 44/49 Survey - Hospital contract termed without notice to state.	No	Took action to prevent a recurrence.
5/8/12	NY	None	Approval from state to continue to provide management services without a current and state approved agreement not requested.	No	Took action to prevent a recurrence.
5/8/12	NY	None	Provider license not board certified and not addressed during recertification process.	No	Took action to prevent a recurrence.
5/8/12	NY	None	Approval letter could not be produced for a 2011/2002 and 2010/2003 contract and a base contract was not fully executed.	No	Took action to prevent a recurrence.
5/8/12	NY	None	Final adverse determination letters for dental did not include enrollee coverage type.	No	Took action to prevent a recurrence.
5/2/12	WA	None	2012 readiness review site visit identified multiple operational areas that were not fully met.	Yes	Submitted and executed CAP to resolve deficiencies.
5/1/12	MD	None	Annual audit found deficiencies in: subcontractor oversight, appeal processing, claims payment, and over/under utilization reports.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
4/30/12	NJ	None	Annual provider satisfaction survey identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
4/27/12	OH	2,000	Provider panel deficiency.	No	Paid monetary sanction.
4/26/12	FL	7,930	Untimely filing of report due to delay in getting complete data from vendor.	No	Paid monetary sanction.
4/25/12	TN	300	Rejected encounters resubmitted late.	No	Paid monetary sanction.
4/23/12	TN	None	Audit of 2011 Disclosure of Ownership forms found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
4/19/12	FL	17,500	Failed to meet claims payment ratio for Q4 2011.	No	Paid monetary sanction.
4/16/12	TN	2,100	Several annual reports were submitted late.	No	Paid monetary sanction.
4/11/12	TN	5,000	Q1 2012 provider data survey results did not meet telephone number and address accuracy benchmark.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/5/12	TN	None	Q1 2012 GeoAccess report identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
4/5/12	TN	None	Transportation accident involving a member not reported timely.	Yes	Submitted and executed CAP to resolve deficiencies.
3/30/12	TN	6,000	2011 ASH Audit identified noncompliant records.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/28/12	NJ	None	2011 annual assessment identified deficiencies in credentialing/recredentialing.	Yes	Submitted and executed CAP to resolve deficiencies.
3/26/12	TX	500	4Q11 member appeals processing timeframe not met.	No	Paid monetary sanction.
3/26/12	TX	7,500	Encounters reconciliation to paid claims benchmark not met.	No	Paid monetary sanction.
3/26/12	TX	10,000	Out-of-network standards not met.	No	Paid monetary sanction.
3/22/12	TN	300	Rejected encounters resubmitted late.	No	Paid monetary sanction.
3/15/12	TN	None	Feb 2012 GeoAccess report identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
3/14/12	TX	None	2011 quality audit found areas of non-compliance.	Yes	Submitted and executed CAP to resolve deficiencies.
3/7/12	NY	None	Approval from state to continue to provide management services without a current and state approved agreement not requested.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
3/5/12	OH	5,000	Associate provided inaccurate information to a member regarding the state hearing process.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/1/12	CA	None	Encounter submission metrics not met for inpatient quantity and timeliness	Yes	Submitted and executed CAP to resolve deficiencies.
3/1/12	FL	1,000	Untimely filing of report.	No	Paid monetary sanction.
3/1/12	OH	None	Exception to prior authorization requirements for psychiatrists practicing at community mental health centers non-adherence.	Yes	Submitted and executed CAP to resolve deficiencies.
2/28/12	FL	1,000	Untimely filing of report.	No	Paid monetary sanction.
2/27/12	FL	1,600	Financial report for 4Q submitted with inaccurate information.	No	Paid monetary sanction.
2/23/12	FL	20,000	Vendor placed a hold on transfers to/from a specific hospital without notifying anyone. Hospital notified the state and the state assessed sanction on all plans contracting with the vendor.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
2/17/12	FL	200	Q4 2012 claims aging report filed late.	No	Paid monetary sanction.
2/17/12	TN	None	Jan 2012 GeoAccess report identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
2/14/12	OH	5,000	Provision of prescribed medication delayed.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
2/10/12	NY	None	Request for clinical review criteria not responded to appropriately.	No	Took action to prevent a recurrence.
2/8/12	NJ	18,129	EPSDT and lead screening standards for 2009 not met.	No	Paid monetary sanction.
2/1/12	OH	2,000	Provider network deficiencies.	No	Paid monetary sanction.
1/26/12	FL	12,500	Claims processing 30 and 90-day standards not met for Q3 2011.	No	Paid monetary sanction.
1/25/12	FL	400	Late filing of Q4 2011 grievance and appeals report.	No	Paid monetary sanction.
1/23/12	OH	None	Requirement to provide outpatient drugs within twenty-four hours of the initial request not met.	Yes	Submitted and executed CAP to resolve deficiencies.
1/19/12	TN	3,200	3Q11 pharmacy report submitted late.	No	Paid monetary sanction.
1/18/12	NY	41,750	Stipulation and report required for claims performance measures not met.	No	Paid monetary sanction.
1/18/12	OH	None	High-risk care management performance measures for the April-June 2011 reporting period not met.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
1/18/12	TN	500	Request for reconsideration of a medical appeal submitted late.	No	Paid monetary sanction.
1/18/12	TN	5,000	Response to a prior authorization request submitted late.	No	Paid monetary sanction.
1/12/12	TN	None	5010 not implemented by Jan 2012.	Yes	Submitted and executed CAP to resolve deficiencies.
1/12/12	TN	5,000	4Q11 provider data survey results did not meet telephone number accuracy benchmark.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/12/12	TX	None	Benchmarks established for medical checkup participation not met.	Yes	Submitted and executed CAP to resolve deficiencies.
1/10/12	TN	100	Extension for the quarterly cost and utilization summary requested late.	No	Paid monetary sanction.
1/10/12	TN	None	Q4 2011 deficiencies in network.	Yes	Submitted and executed CAP to resolve deficiencies.
1/9/12	TN	None	Review of provider file identified information deficiencies for assisted living facilities.	Yes	Submitted and executed CAP to resolve deficiencies.
1/5/12	TN	None	New member and referral processes compliance level of 90% not met.	Yes	Submitted and executed CAP to resolve deficiencies.
1/4/12	TN	None	Enrollee record review identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
12/19/11	TX	None	Grievance record review identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
12/15/11	TN	None	Audit identified deficiencies regarding management and notifications of critical incidents.	Yes	Submitted and executed CAP to resolve deficiencies.
12/14/11	TN	None	Nov 2011 GeoAccess report identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
12/7/11	GA	None	Low performance of timely access standards for adult PCP visits.	Yes	Submitted and executed CAP to resolve deficiencies.
12/7/11	TX	32,500	Performance standards deficiencies.	No	Paid monetary sanction.
12/6/11	TN	100	Quarterly report submitted late.	No	Paid monetary sanction.
12/6/11	TN	100	Weekly report submitted late.	No	Paid monetary sanction.
12/6/11	TN	100	Weekly report submitted late.	No	Paid monetary sanction.
11/30/11	TN	800	Weekly report submitted late.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
11/30/11	TN	800	Quarterly report submitted late.	No	Paid monetary sanction.
11/29/11	OH	5,000	Notification requirements for claims payment system errors not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
11/22/11	CA	None	Encounter submission metrics not met for inpatient quantity	Yes	Submitted and executed CAP to resolve deficiencies.
11/22/11	NY	None	3Q11 network submission did not include any physician, nurse, dental or therapy providers for certain counties.	No	Took action to prevent a recurrence.
11/16/11	TN	1,000	Quarterly report submitted late.	No	Paid monetary sanction.
11/15/11	FL	1,000	Late filing of Q3 2010 grievance and appeals report.	No	Paid monetary sanction.
11/15/11	GA	None	Low levels of dental utilization.	Yes	Submitted and executed CAP to resolve deficiencies.
11/7/11	OH	None	CY10 clinical performance measures noncompliant with state contract standards.	Yes	Submitted and executed CAP to resolve deficiencies.
11/7/11	TN	576	Approved private duty nursing services provided late.	No	Paid monetary sanction.
11/4/11	NY	None	Printed and electronic provider directory deficiencies.	No	Took action to prevent a recurrence.
11/4/11	OH	1,000	Provider panel deficiency.	No	Paid monetary sanction.
11/4/11	TN	100	Quarterly report submitted late.	No	Paid monetary sanction.
11/4/11	TN	21,343	Approved home health aide and private duty nursing services provided late.	No	Paid monetary sanction.
10/31/11	TX	None	Provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
10/24/11	FL	7,500	Failed to meet claims payment ratio for Q2 2011.	No	Paid monetary sanction.
10/13/11	TN	5,000	3Q11 provider data survey results did not meet two benchmarks.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
10/7/11	TN	None	3Q11 GeoAccess reports identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
9/24/11	NJ	None	EPSDT requirements regarding medical necessity and state directives not met.	Yes	Submitted and executed CAP to resolve deficiencies.
9/20/11	CA	5,000	Response to request for additional information submitted late.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
9/20/11	FL	None	2011 onsite audit identified documentation deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
9/14/11	FL	8,600	Behavioral health performance improvement project filed late.	No	Paid monetary sanction.
9/13/11	GA	None	Provider network and provider listing report deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
9/2/11	TX	25,000	Out-of-network standards not met.	No	Paid monetary sanction.
9/2/11	TX	25,000	PCP open panel benchmark not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/2/11	TX	250	Performance requirements for acute appealed claims processing not met.	No	Paid monetary sanction.
9/2/11	TX	500	PCP error report benchmark not met.	No	Paid monetary sanction.
9/2/11	TX	500	Performance requirements for the member complaint and appeal process not met.	No	Paid monetary sanction.
9/1/11	TX	17,000	2Q11 benchmarks for timeliness and accuracy of member complaints reporting not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/1/11	TX	10,000	2Q11 benchmark standard for claims processing not met.	No	Paid monetary sanction.
9/1/11	TX	1,500	2Q11 member complaint response and provider complaint response delinquency.	No	Paid monetary sanction.
8/31/11	FL	1,400	Q2 2011 claims aging report filed late.	No	Paid monetary sanction.
8/31/11	FL	1,600	Late and inaccurate Q2 2011 financial report.	No	Paid monetary sanction.
8/31/11	FL	2,200	Late and inaccurate Q2 2011 financial report.	No	Paid monetary sanction.
8/26/11	OH	None	Notification requirements for claims payment system errors not met.	Yes	Submitted and executed CAP to resolve deficiencies.
8/25/11	TN	32,300	Approved skilled nursing services not provided to a member.	No	Paid monetary sanction.
8/24/11	CA	20,000	Documentation for denial of services incomplete.	No	Paid monetary sanction.
8/24/11	TN	10,000	Transportation vendor did not meet claims prompt pay standard for June 2011.	No	Paid monetary sanction.
8/23/11	OH	16,000	Annual ASH audit resulted in deficiencies.	No	Paid monetary sanction.
8/15/11	TN	27,500	Annual quality survey audit - submitted insufficient corrective action plan.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
8/12/11	CA	None	Encounter submission metrics not met for inpatient quantity and quality	Yes	Submitted and executed CAP to resolve deficiencies.
8/12/11	CA	5,000	Resolution of a member's grievance not timely or adequate.	No	Paid monetary sanction.
8/11/11	TN	4,534	Approved home health care services not provided.	No	Paid monetary sanction.
8/11/11	TN	20,000	March 2011 claims payment accuracy not met.	No	Paid monetary sanction.
8/10/11	FL	4,400	June 2011 provider termination report filed late.	No	Paid monetary sanction.
8/10/11	FL	4,400	June 2011 provider termination report filed late.	No	Paid monetary sanction.
8/8/11	TN	4,000	Response to the state on a member appeal submitted late.	No	Paid monetary sanction.
8/8/11	TX	5,000	Failure to secure approval prior to issuing a media release related to award announcements.	No	Paid monetary sanction.
8/8/11	TX	5,000	Failure to secure approval prior to issuing a media release related to award announcements.	No	Paid monetary sanction.
8/4/11	TN	None	Chart reviews showed deficient provider records in vision and hearing screening documentation.	Yes	Submitted and executed CAP to resolve deficiencies.
8/3/11	GA	None	Provider network access deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
8/2/11	TN	500	Completed reconsideration form not provided in response to a member appeal.	No	Paid monetary sanction.
7/28/11	FL	600	Report was filed 3 days late.	No	Paid monetary sanction.
7/26/11	GA	None	(SFY 2012) Annual External Quality Review audit found deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
7/22/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
7/12/11	TN	5,000	2Q11 provider data survey results did not meet telephone number accuracy benchmark.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/7/11	GA	None	Report load to state FTP site did not complete correctly.	Yes	Submitted and executed CAP to resolve deficiencies.
7/7/11	GA	None	Failed to meet performance measure targets and performance improvement project annual reports submitted late.	Yes	Submitted and executed CAP to resolve deficiencies.
7/7/11	NY	None	Marketing monitoring identified lack of presentation at scheduled site and failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
7/7/11	TN	None	2Q11 GeoAccess review identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
7/1/11	GA	None	Provider network adequacy deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
6/23/11	NJ	16,673	Encounter data submission monitoring evaluation for May 2011 and November 2010 found deficiencies.	No	Paid monetary sanction.
6/23/11	NJ	17,919	Encounter data submission monitoring evaluation for May 2011 and November 2010 found deficiencies.	No	Paid monetary sanction.
6/22/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
6/21/11	OH	None	4Q10 encounter data volume standard measurement not met.	Yes	Submitted and executed CAP to resolve deficiencies.
6/16/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
6/14/11	TN	None	May 2011 Geo Access Report identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
6/8/11	TN	10,000	Sep 2010 claims payment benchmark not met.	No	Paid monetary sanction.
6/7/11	NY	None	Marketing monitoring identified failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
6/3/11	TN	20,000	Payment benchmark for claims in Oct 2010 not met.	No	Paid monetary sanction.
6/3/11	TN	10,000	Payment benchmark for claims in Nov 2010 not met.	No	Paid monetary sanction.
6/3/11	TN	10,000	Claims payment accuracy standard for Oct 2010 not met.	No	Paid monetary sanction.
6/3/11	TN	3,567	Approved private duty nursing and home health aide service not provided.	No	Paid monetary sanction.
6/3/11	TN	10,000	Prompt pay benchmark for claims in Sep 2010 not met.	No	Paid monetary sanction.
6/2/11	TN	4,943	Approved home health services not provided.	No	Paid monetary sanction.
5/31/11	TN	None	Annual quality audit identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
5/25/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
5/25/11	TN	500	Response to a request for reconsideration of a medical appeal incomplete.	No	Paid monetary sanction.
5/24/11	NJ	16,705	Encounter data submission for April 2011 and October 2010 insufficient.	No	Paid monetary sanction.
5/24/11	NJ	2,194	Encounter data submission for April 2011 and October 2010 insufficient.	No	Paid monetary sanction.
5/18/11	TN	3,900	Approval for psychiatric nursing services not completed.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
5/16/11	OH	None	EPSDT review for medical necessity and use of form requirements not met.	Yes	Submitted and executed CAP to resolve deficiencies.
5/10/11	NY	None	Marketing monitoring identified failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
5/9/11	OH	20,000	Access related grievances resolved untimely.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
5/9/11	TX	20,000	1Q11 benchmark for timely adjudicated claims not met.	No	Paid monetary sanction.
5/9/11	TX	55,325	1Q11 response to provider complaints untimely and insufficient.	No	Paid monetary sanction.
5/9/11	TX	500	Performance requirements for acute appealed claims processing not met.	No	Paid monetary sanction.
5/9/11	TX	10,000	PCP open panel benchmark not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
5/9/11	TX	25,000	Out-of-network standards not met.	No	Paid monetary sanction.
5/9/11	TX	500	1Q11 response to provider complaints untimely and insufficient.	No	Paid monetary sanction.
5/4/11	TN	None	3Q09-4Q09 audit identified lack of accurate or requested provider disclosures on file.	Yes	Submitted and executed CAP to resolve deficiencies.
5/1/11	MD	None	Annual audit found deficiencies in: subcontractor oversight, credentialing, and UM.	Yes	Submitted and executed CAP to resolve deficiencies.
4/29/11	OH	None	CY09 Emergency department diversion regional statewide review results deficient.	No	Took action to prevent a recurrence.
4/29/11	OH	None	CY09 Emergency department diversion regional statewide review results deficient.	Yes	Submitted and executed CAP to resolve deficiencies.
4/28/11	FL	2,500	Claims processing 90-day standard not met for Q4 2010.	No	Paid monetary sanction.
4/21/11	FL	600	Quarterly complaints, grievance, and appeals report was submitted late.	No	Paid monetary sanction.
4/21/11	TN	None	Jan 2011 audit identified improvement needed in documentation and timeliness.	Yes	Submitted and executed CAP to resolve deficiencies.
4/20/11	NJ	5,390	Encounter data submission for March 2011 and September 2010 insufficient.	No	Paid monetary sanction.
4/18/11	NY	None	Marketing monitoring identified lack of presentations at scheduled sites and failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
4/14/11	FL	800	Report was filed 4 days late.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
4/14/11	OH	None	CY09 high-risk care management performance measures were deficient.	No	Took action to prevent a recurrence.
4/14/11	OH	None	CY09 high-risk care management performance measures were deficient.	No	Took action to prevent a recurrence.
4/13/11	CA	None	Consistent downward trend in HEDIS scores.	Yes	Submitted and executed CAP to resolve deficiencies.
4/13/11	TN	500	Information in response to a state request regarding an appeal incomplete.	No	Paid monetary sanction.
4/13/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
4/13/11	TN	25,000	Benchmark for claims payment accuracy for LTC for Dec 2010 not met.	No	Paid monetary sanction.
4/13/11	TN	500	Copy of denial for home health services not included in an appeal response.	No	Paid monetary sanction.
4/13/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
4/13/11	TN	5,000	Claims payment accuracy rates for 1Q11 not met.	No	Paid monetary sanction.
4/12/11	FL	2,000	2010 behavioral health report was late.	No	Paid monetary sanction.
4/12/11	TN	None	1Q11 GeoAccess analysis identified provider network deficiencies.	No	Took action to prevent a recurrence.
4/6/11	NY	None	Marketing monitoring identified lack of presentations at scheduled sites and failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
4/6/11	TN	2,500	Timely correction of encounters not met.	No	Paid monetary sanction.
4/5/11	NY	None	Responsibility for establishment and oversight of the policies, management and overall operation demonstrated deficiencies.	No	Took action to prevent a recurrence.
4/5/11	NY	None	Provider contract guidelines and standard clause appendix noncompliance.	No	Took action to prevent a recurrence.
4/5/11	NY	None	Inappropriate final adverse determination notice was issued.	No	Took action to prevent a recurrence.
4/4/11	TN	5,000	1Q11 provider data survey results identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/30/11	TN	3,000	Reconsideration response submitted late.	No	Paid monetary sanction.
3/25/11	NY	None	Responsibility for establishment and oversight of the policies, management and overall operation demonstrated deficiencies.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
3/25/11	NY	None	Printed and electronic provider directory deficiencies.	No	Took action to prevent a recurrence.
3/17/11	NJ	17,126	Encounter data processing benchmarks for February 2011 and August 2010 not met.	No	Paid monetary sanction.
3/16/11	OH	None	CY09 clinical performance measures noncompliant.	Yes	Submitted and executed CAP to resolve deficiencies.
3/16/11	OH	None	CY09 clinical performance measures noncompliant.	No	Took action to prevent a recurrence.
3/15/11	GA	None	GeoAccess report identified provider network inadequacies.	Yes	Submitted and executed CAP to resolve deficiencies.
3/10/11	TN	500	Response to a request for information submitted late.	No	Paid monetary sanction.
3/10/11	TN	1,000	Reconsideration response issued late.	No	Paid monetary sanction.
3/10/11	TN	500	Response to a request for information incomplete.	No	Paid monetary sanction.
3/10/11	TN	1,000	Appointment for enrollee not provided.	No	Paid monetary sanction.
3/10/11	TN	500	Reconsideration response incomplete.	No	Paid monetary sanction.
3/10/11	TN	500	Reconsideration response incomplete.	No	Paid monetary sanction.
3/9/11	FL	None	Submission of the fraud plan and policies and procedures was late and insufficient.	Yes	Submitted and executed CAP to resolve deficiencies.
3/7/11	NM	None	Identification of unresolved claims issues for Indian Health Services and Tribal 638.	Yes	Submitted and executed CAP to resolve deficiencies.
2/24/11	FL	400	Late filing of Q4 2010 unaudited financials.	No	Paid monetary sanction.
2/22/11	TX	None	Failure to apply appropriate guidelines and/or language in medical necessity determinations and denial notices.	Yes	Submitted and executed CAP to resolve deficiencies.
2/18/11	CA	None	Benchmark for Inpatient timeliness not met.	Yes	Submitted and executed CAP to resolve deficiencies.
2/18/11	NJ	None	Additional information requested by state not provided.	Yes	Submitted and executed CAP to resolve deficiencies.
2/17/11	NJ	34,463	Encounter data submission for January 2011 and July 2010 insufficient.	No	Paid monetary sanction.
2/17/11	NJ	7,763	Encounter data submission for January 2011 and July 2010 insufficient.	No	Paid monetary sanction.
2/17/11	TN	None	Jan 2011 GeoAccess analysis identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
2/15/11	NY	None	Marketing monitoring identified lack of presentations at scheduled sites and failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
2/11/11	GA	None	(SFY 2010) Follow up to Prior Year External Quality Review Audit deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
2/11/11	NY	None	External appeal filing information deficiencies.	No	Took action to prevent a recurrence.
2/10/11	OH	None	CY08 clinical performance measures noncompliant.	No	Took action to prevent a recurrence.
2/10/11	TN	500	Reconsideration response incomplete.	No	Paid monetary sanction.
2/10/11	TN	1,500	Reconsideration response submitted late.	No	Paid monetary sanction.
2/8/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
2/3/11	TX	34,000	Q410 complaints processing untimely.	No	Paid monetary sanction.
2/3/11	TX	5,000	Q410 processing appealed claims not meeting 30 days standard.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
2/3/11	TX	375	Q410 late regulatory reports.	No	Paid monetary sanction.
2/3/11	TX	None	4Q10 collaborative efforts with community based organizations insufficient.	Yes	Submitted and executed CAP to resolve deficiencies.
2/3/11	TX	10,000	Performance requirements for acute appealed claims processing not met.	No	Paid monetary sanction.
2/3/11	TX	500	Q410 complaints processing untimely.	No	Paid monetary sanction.
2/3/11	TX	5,000	Reconciliation standard not met for encounters to paid claims.	No	Paid monetary sanction.
2/3/11	TX	None	PCP open panel benchmark not met.	Yes	Submitted and executed CAP to resolve deficiencies.
2/3/11	TX	80,000	Administrative services for Spanish translation services not performed.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
2/3/11	TX	1,500	Member complaint report submitted late.	No	Paid monetary sanction.
2/3/11	TX	25,000	Failed to meet out of network standards.	No	Paid monetary sanction.
2/2/11	GA	None	Deficiencies with dental vendor included Q3 2010 GeoAccess reports, appointment wait times, and online provider directory.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
2/2/11	NJ	36,616	Benchmark for EPSDT Screenings and lead screening in 2008 not met.	No	Paid monetary sanction.
2/2/11	OH	4,000	Provider network deficiencies.	No	Paid monetary sanction.
2/1/11	NM	None	Individual service plan template and various documentation deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
1/31/11	TN	None	Nov 2010 enrollee record review benchmarks not met.	Yes	Submitted and executed CAP to resolve deficiencies.
1/27/11	FL	None	Audit identified grievance and appeals process inadequacies.	Yes	Submitted and executed CAP to resolve deficiencies.
1/25/11	FL	400	Late filing of Q4 2010 grievance and appeals report.	No	Paid monetary sanction.
1/25/11	FL	200	Q4 2011 complaint, grievance, and appeal report filed late.	No	Paid monetary sanction.
1/25/11	OH	30,000	Assigned members to PCPs that had previously been identified as not accepting new members.	No	Paid monetary sanction.
1/25/11	TN	None	Claims payment accuracy for Dec 2010 did not meet performance standard.	Yes	Submitted and executed CAP to resolve deficiencies.
1/24/11	GA	None	Deficiencies in provider network listing with incorrect addresses, untimely appointment wait times, and non-par providers in provider directory.	Yes	Submitted and executed CAP to resolve deficiencies.
1/24/11	GA	None	Timely access 4Q10 indicated provider types that did not meet appointment request waiting time standards.	Yes	Submitted and executed CAP to resolve deficiencies.
1/18/11	TN	5,000	4Q10 provider data survey results identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/14/11	NY	None	Marketing monitoring identified lack of presentations at scheduled sites and failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
1/12/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
1/12/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
1/12/11	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
1/12/11	TN	500	Reconsideration response submitted late.	No	Paid monetary sanction.
1/12/11	TN	500	Reconsideration response submitted late.	No	Paid monetary sanction.
1/12/11	TN	500	Response to an ad hoc report submitted late.	No	Paid monetary sanction.
1/12/11	TN	2,000	Reconsideration response incomplete.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
1/12/11	TN	500	Response to reconsideration request submitted late.	No	Paid monetary sanction.
1/12/11	TN	2,000	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
1/11/11	TN	None	4Q10 GeoAccess analysis identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
1/10/11	NJ	None	Additional information requested by state not provided.	Yes	Submitted and executed CAP to resolve deficiencies.
1/5/11	NY	None	Notification of board member resignation submitted late.	No	Took action to prevent a recurrence.
12/23/10	OH	300	Provider agreement signature page submitted late.	No	Paid monetary sanction.
12/21/10	NY	None	Marketing monitoring identified lack of presentations at scheduled sites and failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
12/17/10	TN	None	Oct 2010 noncompliance for paid and processed claims.	Yes	Submitted and executed CAP to resolve deficiencies.
12/16/10	NJ	17,658	Withhold assessed for failure to meet encounter data benchmarks for SFY11.	No	Paid monetary sanction.
12/16/10	NJ	557	Encounter data benchmarks for SFY11 not met.	No	Paid monetary sanction.
12/16/10	OH	2,000	Provider network deficiencies.	No	Paid monetary sanction.
12/16/10	TN	2,000	Response to an ad hoc report concerning reimbursement and billing submitted late.	No	Paid monetary sanction.
12/16/10	TN	2,000	Response to an ad hoc report concerning reimbursement and billing submitted late.	No	Paid monetary sanction.
12/15/10	NJ	None	Failure to implement CAPs with providers as required.	No	Took action to prevent a recurrence.
12/15/10	TN	None	Nov 2010 GeoAccess analysis identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
12/1/10	NV	5,000	Health care cost containment fee submitted late.	No	Paid monetary sanction.
11/23/10	NY	None	Q3 2010 member services survey found a failure to answer same question correctly for two surveys.	No	Took action to prevent a recurrence.
11/23/10	TN	None	Claims payment accuracy for Oct 2010 did not meet performance standard.	Yes	Submitted and executed CAP to resolve deficiencies.
11/22/10	NJ	None	GeoAccess for hospital and FQHC networks in 1 county deficient.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
11/22/10	NJ	None	EQRO on-site annual audit identified credentialing/recredentialing deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
11/19/10	NY	None	Marketing monitoring identified lack for presentations at scheduled sites.	Yes	Submitted and executed CAP to resolve deficiencies.
11/19/10	TN	None	Benchmarks for psychiatric hospital 30 day readmissions not met.	Yes	Submitted and executed CAP to resolve deficiencies.
11/18/10	CA	None	Encounter submission metrics not met for inpatient quality and timeliness	Yes	Submitted and executed CAP to resolve deficiencies.
11/16/10	OH	None	EQRO comprehensive administrative review identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
11/16/10	TN	1,500	Response for a request for reconsideration of appeal submitted late and incomplete.	No	Paid monetary sanction.
11/16/10	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
11/16/10	TN	500	Response to state's request for medical records incomplete.	No	Paid monetary sanction.
11/16/10	TN	500	Response to enrollee and state's request for provider information incomplete.	No	Paid monetary sanction.
11/16/10	TN	500	Scheduled an appointment for enrollee over 90 miles from their home.	No	Paid monetary sanction.
11/15/10	FL	1,000	Q3 2010 complaint, grievance, and appeal report filed late.	No	Paid monetary sanction.
11/12/10	OH	None	Resolution of claims-related grievances and appeals did not meet required timeframes.	Yes	Submitted and executed CAP to resolve deficiencies.
11/10/10	GA	None	Submitted PCP assignment report with missing NPI and duplicate Medicaid numbers.	Yes	Submitted and executed CAP to resolve deficiencies.
11/10/10	NJ	35,825	Encounter data benchmarks in SFY11 not met.	No	Paid monetary sanction.
11/9/10	GA	None	Benchmark for the PCP sick visit and mental health appointment wait times not met.	Yes	Submitted and executed CAP to resolve deficiencies.
11/8/10	MD	None	Performance improvement project did not meet PIP requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
10/29/10	NY	None	Marketing monitoring identified lack of presentations at scheduled sites and failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
10/26/10	TN	15,000	3Q10 provider data survey results identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
10/22/10	TN	None	Outreach to provider to facilitate in application process not conducted.	Yes	Submitted and executed CAP to resolve deficiencies.
10/19/10	TN	500	Reconsideration response incomplete.	No	Paid monetary sanction.
10/19/10	TN	None	Sept 2010 prompt pay standards not met.	Yes	Submitted and executed CAP to resolve deficiencies.
10/18/10	TN	200	Reporting tied to a member's appeal request submitted late.	No	Paid monetary sanction.
10/18/10	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
10/18/10	TN	500	Reconsideration response submitted late.	No	Paid monetary sanction.
10/18/10	TN	2,000	Complete documentation in support of an adverse decision not provided.	No	Paid monetary sanction.
10/18/10	TN	17,000	Rejected encounters resubmitted late.	No	Paid monetary sanction.
10/14/10	GA	None	Access, provider network listing, appointment scheduling, and directory deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
10/13/10	NJ	None	April 2010 EQRO care management and lead case management standard not met.	Yes	Submitted and executed CAP to resolve deficiencies.
10/12/10	NY	None	Provider network submission included providers with professional licenses revoked, surrendered, suspended or are listed as inactive.	Yes	Submitted and executed CAP to resolve deficiencies.
10/11/10	TN	None	3Q10 GeoAccess Report identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
10/7/10	GA	None	HEDIS measures fell below the national average.	Yes	Submitted and executed CAP to resolve deficiencies.
10/7/10	TX	None	Various deficiencies noted with complaints and appeals.	Yes	Submitted and executed CAP to resolve deficiencies.
10/5/10	NY	None	Printed and electronic provider directory deficiencies.	No	Took action to prevent a recurrence.
10/4/10	NY	None	Marketing monitoring identified lack of presentations at scheduled sites.	Yes	Submitted and executed CAP to resolve deficiencies.
10/1/10	NY	None	Appointment availability survey identified failure to meet access benchmarks.	No	Took action to prevent a recurrence.
9/29/10	NY	None	Services arranged within approved provider network not provided by approved network providers and approval for contract implementation not requested.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
9/24/10	TN	200	Response to an ad hoc report submitted late.	No	Paid monetary sanction.
9/24/10	TN	3,000	Response to a request for reconsideration of a medical denial submitted late.	No	Paid monetary sanction.
9/23/10	TN	2,000	Incomplete response to the state's request for reconsideration of a medical service denial.	No	Paid monetary sanction.
9/23/10	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
9/23/10	TN	400	Response to an ad hoc report was incomplete.	No	Paid monetary sanction.
9/22/10	TX	1,000	3Q10 untimely claims processing.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
9/22/10	TX	6,625	3Q10 late report submission.	No	Paid monetary sanction.
9/22/10	TX	27,000	3Q10 untimely resolution of complaints.	No	Paid monetary sanction.
9/22/10	TX	12,000	Q310 member hotline closed on regular business day.	No	Paid monetary sanction.
9/22/10	TX	10,000	Q310 failed to meet member complaint resolution timeliness standards and acute appealed claims processing.	No	Paid monetary sanction.
9/22/10	TX	500	Q310 failed to meet member complaint resolution timeliness standards.	No	Paid monetary sanction.
9/21/10	TN	500	Response to the state's request for reconsideration of a medical service denial was incomplete.	No	Paid monetary sanction.
9/21/10	TN	500	Response to the state's request for reconsideration of a medical service denial was incomplete.	No	Paid monetary sanction.
9/14/10	NJ	78,966	Encounter data submission for February 2010 insufficient.	No	Paid monetary sanction.
9/8/10	TN	None	Annual essential hospital services report rejected due to inconsistency with provider enrollment file.	Yes	Submitted and executed CAP to resolve deficiencies.
9/1/10	NY	None	Correspondence with members did not meet contract requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
8/25/10	TN	None	Claims payment accuracy for Jul 2010 failed to meet performance standard.	Yes	Submitted and executed CAP to resolve deficiencies.
8/24/10	NY	None	Provider network deficiencies and requirements not met.	No	Took action to prevent a recurrence.
8/19/10	NY	None	Member with complaint determination not notified in timely manner.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
8/18/10	OH	20,000	Grievance reporting activity including insufficient information and failure to report member grievances noncompliant.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
8/18/10	TN	None	July 2010 prompt pay standards not met.	Yes	Submitted and executed CAP to resolve deficiencies.
8/17/10	GA	None	Failure to obtain approval of written material prior to distribution.	Yes	Submitted and executed CAP to resolve deficiencies.
8/17/10	NJ	28,883	Encounter data submission for January 2010 insufficient.	No	Paid monetary sanction.
8/13/10	TN	None	Annual EPSDT record review for 2009 identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
8/12/10	MD	None	New enrollments in 1 county discontinued because of OB/GYN access requirements.	No	Took action to prevent a recurrence.
8/9/10	NJ	10,699	Encounter data submission for December 2009 insufficient.	No	Paid monetary sanction.
8/9/10	NY	None	Marketing monitoring identified failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
7/29/10	TN	314,000	Required notice to members regarding a provider termination not provided.	No	Paid monetary sanction.
7/21/10	TN	15,000	2Q10 provider data survey results identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/19/10	GA	40,000	Submitted requested HS&R reports late.	No	Paid monetary sanction.
7/16/10	OH	34,000	ASH documentation/claims processing noncompliant.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
7/16/10	TN	None	Jul 2010 provider file identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
7/16/10	TN	None	2Q10 Geo Access report identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
7/14/10	NY	None	State telephone surveys resulted in Incorrect responses for the same question.	No	Took action to prevent a recurrence.
7/13/10	NY	None	Marketing monitoring identified failure to communicate all required information and marketing at an unscheduled site.	Yes	Submitted and executed CAP to resolve deficiencies.
7/13/10	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
6/30/10	OH	20,000	Member services representatives failed to adequately assist members in finding a needed provider.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/30/10	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
6/30/10	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
6/30/10	TN	1,000	Request for reconsideration of a medical service denial incomplete.	No	Paid monetary sanction.
6/30/10	TN	500	Response to a request for reconsideration of a medical service denial incomplete.	No	Paid monetary sanction.
6/30/10	TN	500	Appropriate Grievance Notice not provided.	No	Paid monetary sanction.
6/29/10	OH	10,000	State hearing forms sent to members noncompliant.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/24/10	TX	450	2Q10 report submission untimely.	No	Paid monetary sanction.
6/24/10	TX	600	2Q10 complaint responses late.	No	Paid monetary sanction.
6/24/10	TX	1,800	Provider complaint summary report submitted late.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/24/10	TX	150,000	Member and provider complaint summary reports inaccurately categorized complaints.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/24/10	TX	6,850	Provider directory not included in the enrollment packet.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/24/10	TX	7,650	Provider files contain inaccurate information.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/24/10	TX	500	Performance requirements for the member complaint and appeal process not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
6/24/10	TX	None	Failure to meet PCP open panel performance requirements.	Yes	Submitted and executed CAP to resolve deficiencies.
6/21/10	TN	None	May 2010 prompt pay standards not met.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
6/14/10	OH	None	Sanction advisory - generic provider number usage rate and the vision encounter data standard from October to December 2009 noncompliant.	No	Took action to prevent a recurrence.
6/14/10	OH	10,000	Corrective action plan not followed.	No	Paid monetary sanction.
6/14/10	OH	10,000	Corrective action plan not followed.	No	Paid monetary sanction.
6/10/10	NJ	None	Request for revised hospital network and Geo Access concerns.	Yes	Submitted and executed CAP to resolve deficiencies.
6/10/10	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
6/10/10	TN	500	Response to an ad hoc report submitted late.	No	Paid monetary sanction.
6/10/10	TN	500	Directed service provided late.	No	Paid monetary sanction.
6/9/10	NY	None	Marketing monitoring identified failure to communicate all required information and lack of presentation by the representatives.	Yes	Submitted and executed CAP to resolve deficiencies.
6/7/10	TX	14,931	Provider directory weight limit benchmark not met.	No	Paid monetary sanction.
6/4/10	NY	43,500	Claims from October 2008 to September 2009 paid late.	No	Paid monetary sanction.
6/2/10	NJ	43,468	Encounter data submission for October 2009 insufficient.	No	Paid monetary sanction.
6/2/10	OH	5,000	Corrective action plan not followed.	No	Paid monetary sanction.
5/28/10	NJ	None	Identification and monitoring of members needing care management insufficient.	Yes	Submitted and executed CAP to resolve deficiencies.
5/27/10	NV	None	Required revisions to submitted CAP regarding issues with dental provision.	Yes	Submitted and executed CAP to resolve deficiencies.
5/26/10	NJ	None	Provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
5/26/10	NY	None	Marketing monitoring identified failure to make a presentation, failure to sign in and marketing at an unscheduled site.	Yes	Submitted and executed CAP to resolve deficiencies.
5/25/10	NJ	None	GeoAccess of PCPs and PCDs in multiple counties insufficient.	Yes	Submitted and executed CAP to resolve deficiencies.
5/21/10	NJ	None	GeoAccess concerns for hospital network and 1 county.	Yes	Submitted and executed CAP to resolve deficiencies.
5/19/10	GA	None	Informed of requirement to adhere to 2010 encounter reconciliation schedule.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
5/13/10	TX	None	Performance standards not met resulting in enrollment freeze.	No	Took action to prevent a recurrence.
5/12/10	GA	None	4Q network submission deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
5/11/10	MD	None	Minimum compliance level standards on delegated entity oversight, credentialing and recredentialing and utilization review not met.	Yes	Submitted and executed CAP to resolve deficiencies.
5/11/10	NY	None	Provider network submittal did not reflect all signed contracts.	Yes	Submitted and executed CAP to resolve deficiencies.
5/6/10	NJ	81,150	EPSDT and lead screening standards for CY 2007 not achieved.	No	Paid monetary sanction.
5/4/10	FL	400	Child health check up report was submitted late.	No	Paid monetary sanction.
5/4/10	OH	5,000	Corrective action plan not followed.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
4/29/10	TN	None	Scoring on elements of NCQA for accreditation insufficient.	Yes	Submitted and executed CAP to resolve deficiencies.
4/28/10	TN	500	Notice of action regarding a service denial was deficient.	No	Paid monetary sanction.
4/28/10	TN	None	Provider demographics in provider file inaccurate.	Yes	Submitted and executed CAP to resolve deficiencies.
4/27/10	NJ	None	Advisory notice - Evaluation of encounter data submission for September 2009 inadequate.	No	Took action to prevent a recurrence.
4/27/10	TN	500	Response to a request for reconsideration of a medical service denial incomplete.	No	Paid monetary sanction.
4/27/10	TN	3,000	Response to an ad hoc report concerning reimbursement and billing submitted late.	No	Paid monetary sanction.
4/26/10	OH	None	Provision of inaccurate information to health care providers, members, or any eligible individuals.	Yes	Submitted and executed CAP to resolve deficiencies.
4/26/10	TN	None	2010 annual quality survey identified process deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
4/22/10	GA	None	Benchmark for pharmacy calls answered within 30 seconds in Feb 2010 not met.	Yes	Submitted and executed CAP to resolve deficiencies.
4/22/10	TN	15,000	1Q10 provider data survey results identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
4/21/10	GA	None	CAP requested of all MCOs regarding reimbursement rates for FQHC/RHCs.	Yes	Submitted and executed CAP to resolve deficiencies.
4/21/10	NV	None	Required revisions to submitted CAP regarding issues with dental provision.	Yes	Submitted and executed CAP to resolve deficiencies.
4/15/10	NY	None	Marketing monitoring identified failure to communicate all required information and not being present at a marketing table.	Yes	Submitted and executed CAP to resolve deficiencies.
4/15/10	TN	None	April 2010 provider file review identified network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
4/14/10	TN	50,500	Authorized DME services not provided.	No	Paid monetary sanction.
4/14/10	TN	700	Annual transportation report submitted late.	No	Paid monetary sanction.
4/14/10	TN	500	Annual transportation report submitted late.	No	Paid monetary sanction.
4/13/10	IN	400	Performance requirements for encounter data submissions not met.	No	Paid monetary sanction.
4/13/10	OH	None	Incorrect use of state hearing forms.	Yes	Submitted and executed CAP to resolve deficiencies.
4/12/10	OH	1,000	Provider panel deficiency.	No	Paid monetary sanction.
4/8/10	OH	None	Required copies of state hearing appeal summaries submitted late.	Yes	Submitted and executed CAP to resolve deficiencies.
4/7/10	CA	50,000	Information to confirm provider network adequacy insufficient and submitted late.	No	Paid monetary sanction.
4/7/10	CA	50,000	Information to confirm provider network adequacy insufficient and submitted late.	No	Paid monetary sanction.
4/1/10	OH	200	Accreditation report submitted late.	No	Paid monetary sanction.
4/1/10	TN	1,000	Response to a reimbursement and billing ad hoc report submitted late.	No	Paid monetary sanction.
3/31/10	TN	52,000	Approved services not provided.	No	Paid monetary sanction.
3/30/10	OH	700	State hearing appeal summary submitted late.	No	Paid monetary sanction.
3/30/10	OH	800	State hearing appeal summary submitted late.	No	Paid monetary sanction.
3/29/10	TN	500	Reconsideration response to a request to review a medical appeal incomplete.	No	Paid monetary sanction.
3/25/10	NJ	28,661	Completeness benchmarks for encounters processing for August 2009 not met.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/24/10	TX	20,000	1Q10 claims and claims appeals standards not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/24/10	TX	100	1Q10 benchmark for behavioral health services hotline abandonment rate not met.	No	Paid monetary sanction.
3/24/10	TX	150	1Q10 report submitted late.	No	Paid monetary sanction.
3/24/10	TX	2,250	1Q10 complaint response submitted late.	No	Paid monetary sanction.
3/24/10	TX	150,600	1Q10 deliverable requirements not met.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
3/23/10	NY	None	Article 44/49 Operational survey statement identified deficiencies.	No	Took action to prevent a recurrence.
3/22/10	TN	None	Audit for ASH compliance identified incomplete consent form.	Yes	Submitted and executed CAP to resolve deficiencies.
3/19/10	NV	None	Dental vendor issues with outreach, case management, and provider payment.	Yes	Submitted and executed CAP to resolve deficiencies.
3/19/10	TN	500	Ad hoc reimbursement and billing report submitted late.	No	Paid monetary sanction.
3/19/10	TN	2,500	Complete response to an ad hoc report submitted late.	No	Paid monetary sanction.
3/18/10	GA	16,000	Late hospital statistical and reimbursement report.	No	Paid monetary sanction.
3/18/10	TN	1,000	Incomplete response to a reconsideration of a denied service.	No	Paid monetary sanction.
3/18/10	TN	1,000	Ad hoc report for reimbursement and billing submitted late.	No	Paid monetary sanction.
3/18/10	TN	500	Deficient notice of action regarding a service denial.	No	Paid monetary sanction.
3/17/10	GA	None	Call center standards for December, January, and February 2010 not met for calls answered within 30 seconds.	Yes	Submitted and executed CAP to resolve deficiencies.
3/17/10	NY	None	Marketing monitoring identified failure to communicate all required information.	Yes	Submitted and executed CAP to resolve deficiencies.
3/16/10	NY	None	Provider network directory participation rate benchmark not met.	Yes	Submitted and executed CAP to resolve deficiencies.
3/11/10	TN	None	Non-compliance with access standards specific to HCBS and nursing facility providers.	Yes	Submitted and executed CAP to resolve deficiencies.
3/4/10	FL	600	Q4 claims report was on wrong template and included inaccurate information.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/4/10	OH	None	Delegation documentation requirements for vendor contract noncompliant.	Yes	Submitted and executed CAP to resolve deficiencies.
3/3/10	NJ	14,362	Encounter data for January 2010 and June 2009 insufficient.	No	Paid monetary sanction.
2/24/10	OH	700	Provider complaint response submitted late.	No	Paid monetary sanction.
2/19/10	TN	700	Rejected encounters submitted late.	No	Paid monetary sanction.
2/18/10	FL	None	Self-reported oversight of community outreach activities.	Yes	Submitted and executed CAP to resolve deficiencies.
2/18/10	TX	6,475	Provider directory contained inaccurate information.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
2/17/10	NY	None	Marketing monitoring identified failure to distribute business cards or identification.	Yes	Submitted and executed CAP to resolve deficiencies.
2/10/10	TN	None	Jan 2010 provider file review identified provider network deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
2/9/10	NV	None	State identified ways to improve and enhance dental outreach, case management as well as resolving ongoing provider payment issues.	Yes	Submitted and executed CAP to resolve deficiencies.
1/27/10	TN	3,000	Response to a request to reconsider a denial of a medical service submitted late.	No	Paid monetary sanction.
1/27/10	TN	1,000	Response to a request for a reconsideration of service denial incomplete.	No	Paid monetary sanction.
1/27/10	TN	63,000	Authorized DME services not provided.	No	Paid monetary sanction.
1/27/10	TN	43,581	Authorized DME services not provided.	No	Paid monetary sanction.
1/26/10	TN	100	Monthly report was submitted late.	No	Paid monetary sanction.
1/26/10	TN	None	Rejected encounters submitted late.	No	Took action to prevent a recurrence.
1/26/10	TN	2,600	Rejected encounters submitted late.	No	Paid monetary sanction.
1/25/10	TN	15,000	4Q09 provider data survey results identified deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.
1/25/10	TN	500	Recoupment letter issued to a provider incorrectly.	Yes	Submitted and executed CAP to resolve deficiencies. Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
1/22/10	NM	None	Claims processing, medical care credit/cost share reduction, and coordination of benefits/Medicare crossover payments deficiencies.	Yes	Submitted and executed CAP to resolve deficiencies.
1/22/10	OH	1,000	Children's complaint response submitted late.	No	Paid monetary sanction.
1/22/10	TN	None	Dec 2009 claims payment accuracy standard not met.	Yes	Submitted and executed CAP to resolve deficiencies.
1/21/10	GA	None	Deficiencies in Q3 2009 GeoAccess submission	Yes	Submitted and executed CAP to resolve deficiencies.

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### Medicare Affiliate Deficiencies

Date	State	Amount	Description	CAP	Resolution
7/19/19	Multiple	None	Did not send enrollment cancellation notifications within the required timeframes.	No	Took action to prevent a recurrence.
6/20/19	Multiple	None	Inaccurate processing of Medicare Part D claims resulted in incorrect cost sharing for Medicare beneficiaries.	No	Took action to prevent a recurrence.
5/16/19	Multiple	None	Failure to meet the CMS standard for average hold time/disconnect rate during Q1 2019 Call Center Timeliness Study.	No	Took action to prevent a recurrence.
4/17/19	GA, NM, WA	None	Low Summary Star Rating.	Yes	Developed and executed CAP to resolve deficiencies.
4/5/19	MO, VA	None	Did not successfully complete automated true out-of-pocket balance transfer transactions within the established timeframes for Q1 2019.	No	Took action to prevent a recurrence.
2/20/19	FL	None	Failure to meet the CMS standard for the disconnect percentage rate during Q4 2018 monitoring.	No	Took action to prevent a recurrence.
2/8/19	CA, OH, WI, NY	None	Failure to submit enhanced formulary files as required for CMS' Part D Transition Monitoring Program Analysis.	No	Took action to prevent a recurrence.
2/5/19	Multiple	None	Failure to send timely written notifications of coverage determinations	No	Took action to prevent a recurrence.
10/18/18	TX	None	Did not meet MMP Part D call center interpreter availability standard.	No	Took action to prevent a recurrence.
9/11/18	NY	None	Failure to issue written notices to enrollees impacted by the termination of contracted providers within the required timeframes.	No	Took action to prevent a recurrence.
9/7/18	Multiple	None	Failure to download enrollment request via the Medicare Online Enrollment Center (OEC) within the CMS-required timeframe	No	Took action to prevent a recurrence.
7/23/18	FL	None	Did not report 2017 pharmacy rewards and incentives program data on or before the deadline.	No	Took action to prevent a recurrence.
7/23/18	FL	None	Did not report 2017 pharmacy access data on or before the deadline.	No	Took action to prevent a recurrence.
6/18/18	FL	None	Failure to ensure accurate claim information printed in the Part C Explanation of Benefits (EOBs).	No	Took action to prevent a recurrence.
5/9/18	Multiple	243,200	A May 2017 CMS audit of 2014/2015 Medicare financial information found enrollees charged incorrect co-payments for medical services.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
5/4/18	AZ	None	Did not download enrollment requests via the Medicare Online Enrollment Center within the required timeframe.	No	Took action to prevent a recurrence.
4/16/18	CA, CO	None	Did not successfully complete automated true out-of-pocket balance transfer transactions within the established timeframes.	No	Took action to prevent a recurrence.
4/13/18	FL	None	Failure to ensure timely upload of Actual Mail Dates for the Contract Year (CY) 2018 Annual Notice of Change and/or Evidence of Coverage (ANOC/EOC) documents.	No	Took action to prevent a recurrence.
3/29/18	AZ	None	Failure to meet 1Q 2018 call center monitoring timeliness standards for enrollee customer service and/or pharmacy technical help desk phone lines.	No	Took action to prevent a recurrence.
2/28/18	AZ, CA, CO, NV, VA	None	Did not provide timely written notification of confirmation of enrollment to members between March 31, 2017 and June 3, 2017.	No	Took action to prevent a recurrence.
2/28/18	AZ, CA, CO, GA, VA	None	Non-compliance with CY 2018 Part D formulary submission.	No	Took action to prevent a recurrence.
2/23/18	AZ, CA	None	Failure to submit complete and accurate final bid.	No	Took action to prevent a recurrence.
2/20/18	AZ, CA, CO, NV, VA	None	Self-disclosed failure to generate complete and accurate EOBs for February 2017 claims.	No	Took action to prevent a recurrence.
1/19/18	Multiple	None	Non-compliance with CY 2017 Part D requirements for accurate reporting of Medicare Plan Finder data.	Yes	Developed and executed CAP to resolve deficiencies.
12/29/17	CA	None	Failure to meet 4Q 2017 call center monitoring timeliness standards for enrollee customer service and/or pharmacy technical help desk phone lines.	No	Took action to prevent a recurrence.
12/18/17	AZ, CA, CO, NV, VA	None	The plan did not adhere to requirements that prohibit the marketing for the next contract year prior to October 1 of the current year.	No	Took action to prevent a recurrence.
10/31/17	AZ	None	Did not download enrollment requests via the Medicare Online Enrollment Center within the required timeframe.	No	Took action to prevent a recurrence.
10/6/17	FL	None	Did not successfully complete automated true out-of-pocket balance transfer transactions within the established timeframes.	No	Took action to prevent a recurrence.
6/14/17	AZ	None	ANOC/EOC documents did not accurately describe benefits and/or cost sharing per CMS review of errata sheets.	No	Took action to prevent a recurrence.
6/13/17	GA	None	Low Summary Star Rating.	Yes	Developed and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
4/14/17	Multiple	None	Self-disclosed errors in enrollee out-of-pocket cost sharing limits (MOOP) during a 2015 system migration.	No	Took action to prevent a recurrence.
2/28/17	AZ	None	Did not meet one or more actuarial standards in submitting 2017 MA and or Part D bids.	No	Took action to prevent a recurrence.
2/14/17	NY	None	Failure to submit complete and accurate final bid.	No	Took action to prevent a recurrence.
1/6/17	ME, NJ, NM, TX, WA, WI	None	Failure to meet call center monitoring timeliness standards 4Q 2016.	No	Took action to prevent a recurrence.
1/6/17	CA	None	Failure to maintain accurate online provider directories found during February 2016 monitoring review.	No	Took action to prevent a recurrence.
12/21/16	VA	None	Failure to resubmit a contract year 2016 Quality Improvement Project Plan Section.	No	Took action to prevent a recurrence.
11/25/16	VA	None	Did not download enrollment requests via the Medicare Online Enrollment Center within the required timeframe.	No	Took action to prevent a recurrence.
10/31/16	CA	None	Failure to indicate whether cardiologists, oncologists, and ophthalmologists were accepting new patients in the online provider directory.	No	Took action to prevent a recurrence.
8/16/16	NY	None	Failure to meet call center monitoring timeliness standards.	No	Took action to prevent a recurrence.
7/8/16	Multiple	None	Did not properly apply beneficiary cost sharing for claims paid between 2014 and 2016.	No	Took action to prevent a recurrence.
5/17/16	AZ, CA, NV, VA	None	Non-compliance with pharmacy data submission to CMS required for the plan finder website.	No	Took action to prevent a recurrence.
5/3/16	CA, VA, WI	None	Failure to display a disclaimer to identify as an outlier in the level of access provided to preferred cost-sharing pharmacies.	No	Took action to prevent a recurrence.
4/8/16	TN, TX	None	Failure to properly execute a transition program according to transition policy requirements.	No	Took action to prevent a recurrence.
4/1/16	CA	None	Untimely resubmission of prescription drug event data prior to the 2007 contract reopening.	No	Took action to prevent a recurrence.
3/28/16	CT, NY	None	Late submission of 2015 Quality Improvement Project and/or Chronic Care Improvement Program Plan sections.	No	Took action to prevent a recurrence.
3/8/16	VA	None	Did not include office hours in MMP provider and pharmacy directory.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
3/4/16	CO, FL	None	Failure to meet call center monitoring timeliness standards 1Q 2016.	No	Took action to prevent a recurrence.
2/29/16	FL, GA, NJ	None	Failure to meet call center monitoring timeliness standards 4Q 2015.	No	Took action to prevent a recurrence.
2/29/16	NM, TN, TX, WA	None	Failure to meet call center monitoring timeliness standards 4Q 2015.	No	Took action to prevent a recurrence.
1/14/16	VA	None	Deficiencies found in the Medicare portion of network for MMP contract.	No	Took action to prevent a recurrence.
1/11/16	VA	None	Failure to confirm MMP state-specific measures as required under Part I - Reporting Submission Requirements.	No	Took action to prevent a recurrence.
12/31/15	CA	None	Untimely upload of actual mail dates for 2016 ANOC/EOC documents.	No	Took action to prevent a recurrence.
12/18/15	Multiple	None	Failure to accurately enter ANOC/EOC documents into HPMS.	No	Took action to prevent a recurrence.
12/17/15	NM, NY, TN, TX, WA	None	Did not meet call center timeliness standards for disconnect rate during Q3 of 2015 for Part C and Part D current enrollee lines.	No	Took action to prevent a recurrence.
12/8/15	GA	None	Low plan rating.	Yes	Developed and executed CAP to resolve deficiencies.
12/1/15	GA	None	Failure to comply with formulary crosswalk requirements to assign a formulary to a bid submission.	No	Took action to prevent a recurrence.
11/17/15	VA	None	Failure to process and pay certain claims in accordance with the MMP contract.	No	Took action to prevent a recurrence.
11/16/15	CA	None	Failure to ensure actual mail dates were entered into HPMS for contract year 2016 ANOC/EOC documents.	No	Took action to prevent a recurrence.
7/23/15	VA	None	Failure to meet call center monitoring timeliness standards 2Q 2015.	No	Took action to prevent a recurrence.
7/23/15	KY	None	Failure to meet call center monitoring timeliness standards 2Q 2015.	No	Took action to prevent a recurrence.
7/21/15	CA, VA	None	Inaccurate reporting of MMP Core measures.	No	Took action to prevent a recurrence.
7/20/15	MO, NM, TN	None	Low plan rating.	Yes	Developed and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
6/30/15	FL	None	2015 accessibility study identified plan as an outlier for interpreter availability for both Part C and Part D.	No	Took action to prevent a recurrence.
6/19/15	VA	None	Inaccurate ANOC/EOC documents sent to enrollees.	No	Took action to prevent a recurrence.
6/18/15	VA	None	Untimely ANOC mailings.	No	Took action to prevent a recurrence.
6/15/15	AZ, NV	None	Failure to submit alternate formats of ANOC/EOC within 5 days of English version.	No	Took action to prevent a recurrence.
6/1/15	CA	None	Failure to accurately describe benefits and/or cost sharing in ANOC/EOC documents.	No	Took action to prevent a recurrence.
5/27/15	Multiple	None	Failure to meet call center monitoring timeliness standards 1Q 2015.	No	Took action to prevent a recurrence.
5/27/15	Multiple	None	Failure to properly adjudicate influenza vaccine claims and provide prompt payment to long-term care providers administering the vaccine.	No	Took action to prevent a recurrence.
5/18/15	Multiple	None	Self-disclosed inaccurate ANOC/EOC documents sent to enrollees.	No	Took action to prevent a recurrence.
5/13/15	NY	None	Agent discouraged beneficiary enrollment in other plans at a marketing event.	No	Took action to prevent a recurrence.
5/4/15	Multiple	None	Failure to report the cyber-attack within CMS expected timeframes.	No	Took action to prevent a recurrence.
4/29/15	VA	None	Failure to pay nursing facility claims timely and accurately for MMP contract.	No	Took action to prevent a recurrence.
3/27/15	FL	None	Late submission of Part D attestation.	No	Took action to prevent a recurrence.
3/4/15	CA	None	Secret shopping deficiencies at marketing events.	No	Took action to prevent a recurrence.
12/11/14	FL	None	Failed to comply with the Medicare Part D requirements related to coverage of specific drug.	No	Took action to prevent a recurrence.
9/19/14	VA	None	Non-compliance with call center response to specific member enrollment scenario.	No	Took action to prevent a recurrence.
7/8/14	Multiple	None	Did not complete a monthly certification of enrollment and payment data for January 2014.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
5/30/14	NY	None	Inaccurate ANOC/EOC documents sent to enrollees.	No	Took action to prevent a recurrence.
5/21/14	NY	None	Failure to deliver timely payment to a non-contracted provider after determination of payment dispute.	No	Took action to prevent a recurrence.
5/1/14	Multiple	None	Notice of contract deficiencies for 2011 financial audit.	Yes	Submitted and executed CAP to resolve deficiencies.
4/24/14	Multiple	100,950	A CMS audit in July 2013 found deficiencies related to Part D formulary and benefit administration, coverage determinations, appeals, and grievances.	No	Took action to prevent a recurrence. Paid monetary sanction.
4/23/14	FL	252,750	A CMS audit in July 2013 found deficiencies related to Part D formulary and benefit administration, Part C and Part D appeals and grievances, organization/ coverage determinations, and enrollment procedures.	No	Took action to prevent a recurrence. Paid monetary sanction.
4/17/14	Multiple	None	Low plan ratings for 2014 for 6 contracts.	Yes	Submitted and executed CAP to resolve deficiencies.
4/16/14	Multiple	None	Self-reported that telesales vendor failed to maintain enrollment recordings.	No	Took action to prevent a recurrence.
2/28/14	Multiple	None	Did not meet automated true out-of-pocket balance transfer transactions requirements.	No	Took action to prevent a recurrence.
2/28/14	Multiple	None	Non-compliance with CY 2014 Part D formulary submission.	No	Took action to prevent a recurrence.
2/18/14	Multiple	None	Failure to meet call center monitoring timeliness standards 4Q 2013.	No	Took action to prevent a recurrence.
2/10/14	CA	None	Failure to meet Part D formulary update requirements involving prescription drugs.	No	Took action to prevent a recurrence.
12/31/13	FL	None	Failure to meet Part D formulary update requirements involving prescription drugs.	No	Took action to prevent a recurrence.
12/3/13	NY	None	Failure to submit complete and accurate final bid.	No	Took action to prevent a recurrence.
11/20/13	GA, MD	None	Did not meet timely upload requirement for format and information marketing events.	No	Took action to prevent a recurrence.
9/17/13	Multiple	None	Non-compliance with Part D requirements for the coverage of Cialis.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
8/19/13	Multiple	None	Non-compliance with pharmacy data submission resulted in suppression of plan finder information.	No	Took action to prevent a recurrence.
8/12/13	FL	None	Call Center Monitoring - 2013 Accuracy and Accessibility Studies.	No	Took action to prevent a recurrence.
8/12/13	AZ, CA, NV	None	Call center monitoring found deficiencies with TTY access.	No	Took action to prevent a recurrence.
7/3/13	Multiple	None	Inaccurate ANOC/EOC documents sent to enrollees.	No	Took action to prevent a recurrence.
6/11/13	AZ, CA	None	Failure to effectively monitor captive agent state licensure	No	Took action to prevent a recurrence.
4/22/13	FL	None	Failure to meet Part D formulary update requirements involving prescription drugs.	No	Took action to prevent a recurrence.
4/12/13	Multiple	None	Failure to meet call center monitoring timeliness standards 1Q 2013.	No	Took action to prevent a recurrence.
4/10/13	Multiple	None	Telephone calls to 130 impacted members were not followed by enrollment verification letters.	No	Took action to prevent a recurrence.
4/1/13	AZ, CA, NV	None	Failure to send accurate outbound enrollment verification letters.	No	Took action to prevent a recurrence.
3/15/13	FL	None	Issued untimely ANOC/EOC documents to enrollees for contract year 2013.	No	Took action to prevent a recurrence.
3/1/13	NY, VA	None	Drug formulary did not include at least one protected class drug.	No	Took action to prevent a recurrence.
2/28/13	Multiple	None	As part of its self-monitoring process, pharmacy vendor discovered that LIS-beneficiaries received erroneous refunds.	No	Took action to prevent a recurrence.
12/31/12	Multiple	None	Failure to meet Part D formulary update requirements involving prescription drugs.	No	Took action to prevent a recurrence.
12/28/12	AZ	None	Failure to submit Best Available Evidence (BAE) for August 2012.	No	Took action to prevent a recurrence.
12/28/12	CA	None	Failure to timely submit 4Rx data.	Yes	Submitted and executed CAP to resolve deficiencies.
12/21/12	Multiple	None	Notice of operations deficiencies for 2012 CMS program audit.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
12/21/12	AZ	None	Failure to timely submit 4Rx data.	No	Took action to prevent a recurrence.
12/13/12	Multiple	None	Low plan ratings for 2013 for 12 contracts.	Yes	Submitted and executed CAP to resolve deficiencies.
12/13/12	FL, NJ, NY	None	Notice of contract deficiencies for 2010 financial audit.	Yes	Submitted and executed CAP to resolve deficiencies.
12/10/12	Multiple	None	Untimely and inaccurate service area reduction and/or annual notice of change mailings.	No	Took action to prevent a recurrence.
12/7/12	Multiple	None	Issued inaccurate annual notice of change/evidence of coverage documents.	No	Took action to prevent a recurrence.
11/30/12	OH, WI	None	Untimely submission of Service Area Reduction disenrollment transactions.	No	Took action to prevent a recurrence.
11/19/12	Multiple	None	Failed to correctly bill member cost share for visual field testing.	No	Took action to prevent a recurrence.
9/26/12	FL, NJ, NM, NY, TN, TX	None	Non-compliance with TTY Part C and Part D requirements.	No	Took action to prevent a recurrence.
9/26/12	MD	None	Non-compliance with TTY Part C and Part D requirements.	No	Took action to prevent a recurrence.
8/20/12	CA, CT, GA	None	Failure to submit monthly attestations of enrollment in May and June 2012.	No	Took action to prevent a recurrence.
8/16/12	Multiple	None	Call center monitoring of Part C and Part D customer service call centers.	No	Took action to prevent a recurrence.
8/16/12	Multiple	None	Failure to meet call center monitoring and accuracy standards in 2012.	No	Took action to prevent a recurrence.
7/27/12	Multiple	None	Failure to assess, bill, and collect late enrollment penalties. (self-reported)	No	Took action to prevent a recurrence.
7/18/12	CT, FL, IN, KY, NY, OH	None	Did not meet upload requirement for scheduled marketing events.	No	Took action to prevent a recurrence.
6/12/12	Multiple	None	Failure to complete outbound enrollment and verification calls.	No	Took action to prevent a recurrence.
6/12/12	Multiple	None	Untimely processing and dismissal of grievances and appeals.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
5/24/12	Multiple	None	Notice of contract deficiencies for 2009 financial audit.	Yes	Submitted and executed CAP to resolve deficiencies.
5/24/12	NY	None	Failure to submit timely broker compensation filing.	No	Took action to prevent a recurrence.
5/18/12	Multiple	None	Did not meet upload requirement for scheduled marketing events.	No	Took action to prevent a recurrence.
5/18/12	NY	None	Failure to submit timely payment.	No	Took action to prevent a recurrence.
4/27/12	Multiple	None	Failure to attest to the edits during the formulary submission process.	No	Took action to prevent a recurrence.
4/10/12	CA, MA, NY	None	Failure to meet call center monitoring timeliness standards 1Q 2012.	No	Took action to prevent a recurrence.
4/3/12	FL	None	Not in compliance with the requirements for submitting risk adjustment data to CMS.	No	Took action to prevent a recurrence.
3/16/12	Multiple	None	Notice of operations deficiencies for 2011 CMS program audit.	Yes	Submitted and executed CAP to resolve deficiencies.
2/28/12	Multiple	None	Actuary standards not met for 2012 bids.	Yes	Submitted and executed CAP to resolve deficiencies.
2/17/12	Multiple	None	Secret shopping deficiencies at marketing events.	No	Took action to prevent a recurrence.
1/20/12	Multiple	None	Non-compliance with payment of local sales tax on prescription drug transactions.	No	Took action to prevent a recurrence.
1/12/12	AZ, CA, NV	None	Failure to submit third quarter payment information.	No	Took action to prevent a recurrence.
11/30/11	Multiple	None	Low plan ratings for 2012 for 23 contracts.	Yes	Submitted and executed CAP to resolve deficiencies.
11/30/11	Multiple	None	Pharmacy vendor missed transition fill. Issued notices to members and self-disclosed to CMS.	No	Took action to prevent a recurrence.
11/17/11	CO, NV	None	Financial audit of records for 2008 areas of findings include Claims, PDE, and Finance.	No	Took action to prevent a recurrence.
11/3/11	CT, NY	None	Failure to meet call center monitoring timeliness standards 3Q 2011.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
10/18/11	IN, KY, MO, NV, OH, WI	None	Notice of contract deficiencies for 2008 financial audit.	Yes	Submitted and executed CAP to resolve deficiencies.
9/15/11	Multiple	None	Did not meet the 98% compliance threshold for grievance and appeal processing.	No	Took action to prevent a recurrence.
9/12/11	Multiple	None	Failure to achieve compliance with the outstanding deficiencies from the 2009 focused appeals and grievances audit.	No	Took action to prevent a recurrence.
8/24/11	FL, NJ, NM, NY, TN	None	Issued inaccurate annual notice of change/evidence of coverage documents.	No	Took action to prevent a recurrence.
7/19/11	Multiple	None	Call center monitoring of Part C and Part D customer service call centers.	No	Took action to prevent a recurrence.
7/7/11	TX	None	Noncompliant with 4Rx data submission requirements.	No	Took action to prevent a recurrence.
7/5/11	Multiple	None	Low plan ratings for 2011.	Yes	Submitted and executed CAP to resolve deficiencies.
6/6/11	KY	None	Non-compliance with transmission of plan-generated beneficiary enrollments to CMS.	No	Took action to prevent a recurrence.
3/30/11	Multiple	None	Incorrect processing of Part B prescription drug claims through Part D during 2010, resulting in member underpayments and overpayments for prescription drugs.	No	Took action to prevent a recurrence.
1/14/11	CA, CO, TX	None	Deficiencies identified during secret shopper review of marketing events.	No	Took action to prevent a recurrence.
1/7/11	OH	None	Notice of contract deficiencies for 2007 financial audit.	Yes	Submitted and executed CAP to resolve deficiencies.
1/5/11	Multiple	None	Notice of contract deficiencies for 2010 compliance audit.	Yes	Submitted and executed CAP to resolve deficiencies.
12/23/10	Multiple	None	Non-compliance with pharmacy data submission resulted in suppression of plan finder information.	No	Took action to prevent a recurrence.
12/28/10	Multiple	None	Erroneous statement in the emergency services section of the 2011 pre-sales kits.	No	Took action to prevent a recurrence.
12/21/10	Multiple	None	Noncompliant with 4Rx data submission requirements.	No	Took action to prevent a recurrence.
12/9/10	CA, GA, MO, NH, VA, WI	None	Failure to send timely non-renewal notices to enrollees; failure to timely submit disenrollment transactions to CMS.	No	Took action to prevent a recurrence.

Date	State	Amount	Description	CAP	Resolution
12/6/10	CA, CO, TX	None	Distributing noncompliant marketing materials.	No	Took action to prevent a recurrence.
12/2/10	Multiple	None	Self-disclosed configuration error on fax server that resulted in untimely prior authorization processing.	No	Took action to prevent a recurrence.
11/17/10	Multiple	None	Secret shopping deficiencies at marketing events.	No	Took action to prevent a recurrence.
9/24/10	NY, GA, CT, IN, KY	None	Financial audit of records for 2007 identified areas of findings.	No	Took action to prevent a recurrence.
9/24/10	Multiple	None	Results of 2010 call center accuracy and accessibility study for Part C and Part D.	No	Took action to prevent a recurrence.
9/24/10	CA	None	Results of 2010 call center accuracy and accessibility study for Part C and Part D.	No	Took action to prevent a recurrence.
9/20/10	CA	None	Failure to deliver timely payment after determination of payment dispute.	No	Took action to prevent a recurrence.
8/19/10	Multiple	None	Failure to meet Part D program website requirements.	No	Took action to prevent a recurrence.
8/11/10	CA, TX	None	Low plan ratings.	No	Took action to prevent a recurrence.
8/4/10	Multiple	None	Notice of contract deficiencies for 2006 audits.	No	Took action to prevent a recurrence.
7/7/10	Multiple	None	Not in compliance with the requirements for submitting risk adjustment data to CMS.	No	Took action to prevent a recurrence.
5/27/10	Multiple	None	Non-compliance with program requirements related to protecting the confidentiality of member information.	No	Took action to prevent a recurrence.
5/20/10	Multiple	None	Advised of concerns identified during post sanction monitoring activities.	No	Took action to prevent a recurrence.
5/17/10	CA, CO, TX	None	Review of marketing advertisements identified deficiencies for the period December 2009 through March 2010.	No	Took action to prevent a recurrence.
5/14/10	CA	None	Failure to comply with requirement to submit medication therapy management program data.	No	Took action to prevent a recurrence.
5/10/10	TX	None	CMS requested a CAP on seven findings from a 2008 financial audit.	Yes	Submitted and executed CAP to resolve deficiencies.

Date	State	Amount	Description	CAP	Resolution
4/29/10	Multiple	None	A CMS 2009 payment reconciliation analysis identified beneficiaries placed into catastrophic coverage too soon.	No	Took action to prevent a recurrence.
4/26/10	Multiple	None	Advised of concerns identified during post sanction monitoring activities.	No	Took action to prevent a recurrence.
4/19/10	Multiple	None	Untimely submission of Part C and D data.	No	Took action to prevent a recurrence.
4/2/10	Multiple	None	Deficiencies identified during secret shopper review of marketing events.	No	Took action to prevent a recurrence.
3/30/10	VA	None	Not in compliance with CMS requirements for submitting risk adjustment data.	No	Took action to prevent a recurrence.
3/22/10	Multiple	None	Call center disconnect rate is over 5 percent.	Yes	Submitted and executed CAP to resolve deficiencies.
3/11/10	Multiple	None	Findings identified during post sanction monitoring activities of January 2010 (replacement letter issued by CMS on April 26, 2010).	No	Took action to prevent a recurrence.
3/3/10	Multiple	None	Not in compliance with the requirements for submitting risk adjustment data to CMS.	Yes	Submitted and executed CAP to resolve deficiencies.
3/2/10	KY	None	Failure to comply with requirement to submit medication therapy management program data.	No	Took action to prevent a recurrence.
2/26/10	Multiple	None	Marketing did not provide an adequate explanation of plan implications.	No	Took action to prevent a recurrence.
2/11/10	Multiple	None	Advised of concerns identified during post sanction monitoring activities.	No	Took action to prevent a recurrence.
2/4/10	Multiple	None	Not in compliance with CMS requirements for submitting risk adjustment data.	No	Took action to prevent a recurrence.
1/26/10	Multiple	None	Self-reported disclosure of issues related to DME claims payments.	No	Took action to prevent a recurrence.

### Commercial Affiliate Deficiencies

Date	State	Amount	Description	CAP	Resolution
11/2019	VA	50,000	Incorrect application of out-of-network cost shares to in-network claims due to incorrect product setup in the claims system.	No	Paid monetary sanction.
11/2019	VA	40,000	Fine for erroneously enforcing subrogation.	No	Paid monetary sanction.
9/2019	CA	5,000	Member complaint regarding balance billing by a non-participating provider for a claim for emergency services at a participating hospital.	No	Paid monetary sanction.
7/2019	CO	57,500	2018 Med Supp Rate Adjustment Disabled Members upon Age 65.	No	Paid monetary sanction.
6/2019	VA	10,000	Settlement order for member complaint.	No	Paid monetary sanction.
6/2019	CA	2,800,000	2013/2016 medical follow-up exam - deficiencies in company operations and management, cultural and linguistic, call center operations, utilization review and management, and subcontractors.	No	Paid monetary sanction.
4/2019	CA	20,000	Plan limited coverage for a previously approved medication	No	Paid monetary sanction.
4/2019	CA	20,000	Plan limited coverage for a previously approved medication	No	Paid monetary sanction.
4/2019	PA	104	Penalty for paying via check instead of electronically.	No	Paid monetary sanction.
3/2019	CA	2,500	2019 enforcement matter related to claims, company operations, and management.	No	Paid monetary sanction.
3/2019	CA	7,500	Plan failed to provide accurate data in TAR.	No	Paid monetary sanction.
3/2019	CA	7,500	Failure to provide written notice to provider for contesting of claims	No	Paid monetary sanction.
1/2019	CA	5,000	Failure to make fee schedules open to the Director's inspection when requested.	No	Paid monetary sanction.
1/2019	CA	5,000	Failure to timely reimburse a member claim during appeals process.	No	Paid monetary sanction.
10/2018	CA	10,000	Failure to pay claim at the in-network level.	No	Paid monetary sanction.
7/2018	AZ	62	Fee for misrouted mail/late mail.	No	Paid monetary sanction.
7/2018	CA	5,000	Failure to timely pay ambulance emergency claim.	No	Paid monetary sanction.
7/2018	CA	10,000	Enrollee completion of treatment after medical group provider terminated.	No	Paid monetary sanction.
6/2018	NV	500	Failure to pay appointment renewal billing and for use of unappointed producers.	No	Paid monetary sanction.
5/2018	NV	500	Late filing of audited financial statement.	No	Paid monetary sanction.
5/2018	NV	8,000	Failure to timely pay healthcare cost containment fee.	No	Paid monetary sanction.
5/2018	CA	10,000	Failure to pay claims timely/to pay interest on late claims/to include fee for failing to include interest.	No	Paid monetary sanction.
5/2018	VA	5,000	Settlement order for retroactive termination of employer groups.	No	Paid monetary sanction.
4/2018	CA	10,000	Failure to operate in accordance with organization documents; failure to provide a second opinion in accordance with requirements.	No	Paid monetary sanction.
4/2018	CA	10,000	Failure to provide clear and concise explanation of response to enrollee grievance; failure to pay interest on claims properly.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
4/2018	CA	30,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2018	CA	7,500	Failure to file a timely access report of providers; failure to provide an annual report; failure to submit network adequacy data.	No	Paid monetary sanction.
3/2018	CA	20,000	Failure to maintain an approved grievance process; failure to operate in accordance with organization documents; failure to reimburse providers for emergency services received by enrollee.	No	Paid monetary sanction.
3/2018	CA	10,000	Failure to maintain an approved grievance process; failure to operate in accordance with organization documents.	No	Paid monetary sanction.
3/2018	CA	10,000	Failure to maintain an approved grievance process; failure to operate in accordance with organization documents.	No	Paid monetary sanction.
3/2018	IL	101	Illinois department of Insurance penalty for late payment.	No	Paid monetary sanction.
2/2018	CA	5,000	Failure to operate in accordance with organization documents.	No	Paid monetary sanction.
1/2018	CA	5,000	Failure to notify enrollee or provider of inability to make a timely authorization decision.	No	Paid monetary sanction.
12/2017	CA	12,000	Failure to follow grievance process.	No	Paid monetary sanction.
12/2017	CA	8,000	Failure to follow grievance process.	No	Paid monetary sanction.
12/2017	CA	5,000	Untimely grievance resolution; failure to maintain an approved grievance process.	No	Paid monetary sanction.
11/2017	CA	15,000	Failure to maintain an approved grievance process.	No	Paid monetary sanction.
11/2017	CA	8,000	Violation of confidentiality of Medical Information Act.	No	Paid monetary sanction.
10/2017	CA	7,500	Failure to follow claims process.	No	Paid monetary sanction.
8/2017	CA	7,500	For individual health benefit plans offered outside the Exchange, an individual must have 60 days from a triggering event to apply for coverage.	No	Paid monetary sanction.
8/2017	CA	7,500	Untimely response to department request for information.	No	Paid monetary sanction.
7/2017	CA	7,500	Failure to properly communicate authorization information; failure to operate in accordance with organization documents.	No	Paid monetary sanction.
7/2017	CA	5,000	Failure to comply with provider directory requirements.	No	Paid monetary sanction.
6/2017	CA	10,000	Failure to follow claims process.	No	Paid monetary sanction.
6/2017	CA	25,000	Failure to notify affected parties at least 90 days prior to discontinuation of a health benefit plan from the market.	No	Paid monetary sanction.
6/2017	CA	5,000	Failure to comply with provider directory requirements.	No	Paid monetary sanction.
5/2017	CA	10,000	Failure to provide evidence of coverage or a copy of the plan contract.	No	Paid monetary sanction.
5/2017	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
4/2017	CA	65,000	Failure to follow cancellation/non-renewal process and provide grace period coverage.	No	Paid monetary sanction.
4/2017	CA	10,000	Untimely response to department request for information; failure to maintain an approved grievance process.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
4/2017	CA	5,000	Untimely response to department request for information.	No	Paid monetary sanction.
2/2017	CA	5,000	Untimely and incomplete grievance acknowledgement.	No	Paid monetary sanction.
2/2017	CA	50,000	Untimely response to request for information; failure to cover essential health benefits; failure to operate in accordance with organization documents.	No	Paid monetary sanction.
2/2017	CA	500,000	Failure to refer enrollees to providers in neighboring services areas; arrange for specialty services outside of the network; cover essential health benefits; and comply with cost sharing requirements.	No	Paid monetary sanction.
1/2017	CA	5,000	Failure to operate in accordance with organization documents.	No	Paid monetary sanction.
1/2017	ME	225,000	Market conduct examination findings.	No	Paid monetary sanction.
12/2016	CA	50,000	Failure to follow grievance process; failure to timely issue medical necessity decision; untimely authorization decision; failure to provide covered services.	No	Paid monetary sanction.
12/2016	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
11/2016	CA	30,000	Untimely response to department request for information; failure to communicate information to providers and enrollees; failure to operate in accordance with organization documents.	No	Paid monetary sanction.
11/2016	CA	5,000	Failure to adequately consider grievance; failure to maintain an approved grievance process.	No	Paid monetary sanction.
11/2016	CA	10,000	Failure to comply with language assistance program requirements; untimely grievance resolution.	No	Paid monetary sanction.
11/2016	CA	650,000	Failure to follow the grievance process; operate in accordance with organization documents; untimely response to information request; and did not describe clinical reasons for medical necessity determination.	No	Paid monetary sanction.
10/2016	CA	25,000	Failure to operate in accordance with organization documents; failure to provide continuity of care; failure to establish and follow an approved grievance process.	No	Paid monetary sanction.
9/2016	CA	200,000	Failure to follow claims process.	No	Paid monetary sanction.
9/2016	CA	200,000	Failure to follow claims process.	No	Paid monetary sanction.
7/2016	CA	10,000	Failure to follow claims process; untimely claims payment.	No	Paid monetary sanction.
7/2016	CA	5,000	Failure to establish and follow an approved grievance process.	No	Paid monetary sanction.
7/2016	CA	5,000	Failure to operate in accordance with organization documents.	No	Paid monetary sanction.
6/2016	CA	5,000	Failure to establish and follow an approved grievance process.	No	Paid monetary sanction.
6/2016	CA	15,000	Untimely response to department request for information; failure to follow cancellation/non-renewal process and provide grace period coverage.	No	Paid monetary sanction.
6/2016	CA	47,500	Failure to follow grievance process; failure to operate in accordance with organization documents.	No	Paid monetary sanction.
5/2016	CA	15,000	Untimely response to department request for information; failure to maintain an approved grievance process.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
5/2016	CA	10,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	10,000	Failure to describe clinical reasons for medical necessity determination; untimely grievance resolution	No	Paid monetary sanction.
5/2016	CA	5,000	Untimely and incomplete grievance acknowledgement.	No	Paid monetary sanction.
5/2016	CA	10,000	Untimely response to department request for information.	No	Paid monetary sanction.
5/2016	CA	5,000	Incomplete response regarding enrollee grievance.	No	Paid monetary sanction.
5/2016	CA	20,000	Incomplete response regarding enrollee grievance.	No	Paid monetary sanction.
5/2016	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
5/2016	CA	20,000	Untimely response to department request for information; failure to maintain an approved grievance process.	No	Paid monetary sanction.
5/2016	CA	7,500	Untimely response to department request for information.	No	Paid monetary sanction.
5/2016	CA	5,000	Failure to describe clinical reasons for medical necessity determination.	No	Paid monetary sanction.
5/2016	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	20,000	Untimely response to department request for information; failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	15,000	Untimely and incomplete grievance acknowledgement.	No	Paid monetary sanction.
5/2016	CA	5,000	Failure to expedite plan response to department in early review case.	No	Paid monetary sanction.
5/2016	CA	25,000	Untimely response to department request for information; failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	5,000	Untimely response to department request for information.	No	Paid monetary sanction.
5/2016	CA	10,000	Untimely response to department request for information.	No	Paid monetary sanction.
5/2016	CA	5,000	Incomplete explanation in treatment denial letter.	No	Paid monetary sanction.
5/2016	CA	5,000	Untimely response to department request for information.	No	Paid monetary sanction.
5/2016	CA	20,000	Incomplete and untimely response to department request for information.	No	Paid monetary sanction.
5/2016	CA	7,500	Incomplete response to department request for information; failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	15,000	Failure to describe clinical reasons for medical necessity determination; failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	5,000	Failure to describe clinical reasons for medical necessity determination.	No	Paid monetary sanction.
5/2016	CA	5,000	Failure to expedite plan response to department in early review case.	No	Paid monetary sanction.
5/2016	CA	5,000	Failure to expedite plan response to department in early review case.	No	Paid monetary sanction.
5/2016	CA	5,000	Failure to expedite grievance.	No	Paid monetary sanction.
5/2016	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	15,000	Untimely grievance resolution.	No	Paid monetary sanction.
5/2016	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
5/2016	CA	15,000	Failure to describe clinical reasons for medical necessity determination; untimely grievance resolution.	No	Paid monetary sanction.
5/2016	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	10,000	Untimely grievance resolution.	No	Paid monetary sanction.
5/2016	CA	10,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	7,500	Untimely grievance resolution.	No	Paid monetary sanction.
5/2016	CA	7,500	Untimely response to department request for information.	No	Paid monetary sanction.
5/2016	CA	5,000	Incomplete response to department request for information.	No	Paid monetary sanction.
5/2016	CA	10,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2016	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
5/2016	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
4/2016	CA	415,000	Failure to follow grievance process.	No	Paid monetary sanction.
4/2016	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
4/2016	CA	30,000	Failure to follow grievance process.	No	Paid monetary sanction.
2/2016	CA	15,000	Failure to provide EOC information to the department.	No	Paid monetary sanction.
1/2016	CA	700,000	Failure to follow grievance process; failure to follow cancellation/non-renewal process and provide grace period coverage.	No	Paid monetary sanction.
12/2015	CA	4,000	Untimely grievance resolution.	No	Paid monetary sanction.
12/2015	CA	2,500	Untimely grievance resolution.	No	Paid monetary sanction.
12/2015	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
12/2015	CA	10,000	Failure to specify adequate service approval/denial information to provider.	No	Paid monetary sanction.
12/2015	CA	10,000	Untimely grievance resolution.	No	Paid monetary sanction.
12/2015	CA	5,000	Untimely response to department request for information.	No	Paid monetary sanction.
11/2015	CA	5,000	Failure to provide EOC information to the department.	No	Paid monetary sanction.
10/2015	CA	5,000	Failure to provide a written response to a grievance.	No	Paid monetary sanction.
10/2015	CA	30,000	Complaints regarding subscriber identification cards.	No	Paid monetary sanction.
10/2015	CA	30,000	Complaints regarding subscriber identification cards.	No	Paid monetary sanction.
10/2015	CA	30,000	Complaints regarding subscriber identification cards.	No	Paid monetary sanction.
10/2015	CA	30,000	Complaints regarding subscriber identification cards.	No	Paid monetary sanction.
10/2015	CA	30,000	Complaints regarding subscriber identification cards.	No	Paid monetary sanction.
10/2015	CA	30,000	Failure to follow grievance process.	No	Paid monetary sanction.
10/2015	CA	15,000	Failure to refer enrollees to providers in neighboring services areas; arrange for specialty services outside of network; and follow grievance process.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	9,091	Untimely grievance resolution.	No	Paid monetary sanction.
10/2015	CA	5,000	Untimely response to department request for information.	No	Paid monetary sanction.
10/2015	CA	62,500	Delivery of misleading information.	No	Paid monetary sanction.
10/2015	CA	62,500	Delivery of misleading information.	No	Paid monetary sanction.
10/2015	CA	62,500	Plan application amendment incomplete; delivery of misleading information.	No	Paid monetary sanction.
10/2015	CA	62,500	Delivery of misleading information.	No	Paid monetary sanction.
10/2015	CA	15,000	Failure to maintain an approved grievance process.	No	Paid monetary sanction.
10/2015	CA	25,000	Untimely response to department request for information; failure to maintain an approved grievance process.	No	Paid monetary sanction.
10/2015	CA	10,000	Failure to operate in accordance with organization documents.	No	Paid monetary sanction.
10/2015	CA	15,000	Failure to operate in accordance with organization documents; failure to maintain an approved grievance process.	No	Paid monetary sanction.
8/2015	CA	30,000	Failure to operate in accordance with organization documents; failure to maintain an approved grievance process.	No	Paid monetary sanction.
8/2015	CA	18,500	Failure to maintain an approved grievance process; untimely notification of grievance resolution.	No	Paid monetary sanction.
8/2015	CA	5,000	Failure to follow the grievance process.	No	Paid monetary sanction.
8/2015	CA	5,000	Failure to specify adequate service approval/denial information to provider.	No	Paid monetary sanction.
7/2015	CA	10,000	Untimely response to department request for information.	No	Paid monetary sanction.
7/2015	CA	5,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
7/2015	CA	40,000	Concerns related to vendor performance.	No	Paid monetary sanction.
7/2015	CA	5,000	Failure to maintain an approved grievance process.	No	Paid monetary sanction.
7/2015	CA	5,000	Untimely response to department request for information.	No	Paid monetary sanction.
6/2015	CT	231,500	Market conduct examination findings.	No	Paid monetary sanction.
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
6/2015	CA	10,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
6/2015	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
6/2015	CA	5,000	Untimely delivery of grievance information to department.	No	Paid monetary sanction.
6/2015	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
6/2015	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2015	NY	82,000	Accuracy of online provider directories.	No	Paid monetary sanction.
5/2015	CA	2,500	Untimely response to department request for information.	No	Paid monetary sanction.
5/2015	CA	35,000	Untimely medical necessity and authorization decisions; failure to maintain an approved grievance process.	No	Paid monetary sanction.
5/2015	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2015	CA	5,000	Untimely response to department request for information.	No	Paid monetary sanction.
5/2015	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
5/2015	CA	1,500,000	Failure to provide enrollees with timely access to services.	No	Paid monetary sanction.
4/2015	CA	18,000	Untimely grievance resolution; failure to establish an approved grievance process.	No	Paid monetary sanction.
4/2015	CA	12,000	Inadequate network capacity; failure to follow grievance process.	No	Paid monetary sanction.
4/2015	CA	7,500	Untimely acknowledgement of grievance; failure to maintain an approved grievance process.	No	Paid monetary sanction.
4/2015	CA	5,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
4/2015	CA	5,000	Untimely response to department request for information.	No	Paid monetary sanction.
4/2015	CA	5,000	Failure to maintain an approved process.	No	Paid monetary sanction.
4/2015	GA	43,000	Market conduct examination findings.	No	Paid monetary sanction.
4/2015	CA	5,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2015	CA	5,000	Failed to timely issue medical necessity decision.	No	Paid monetary sanction.
3/2015	CA	15,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
3/2015	CA	12,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2015	CA	10,000	Untimely response to department request for information.	No	Paid monetary sanction.
2/2015	CA	10,000	Failure to operate in accordance with organization documents.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
2/2015	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
2/2015	CA	5,000	Failure to follow cancellation/non-renewal process.	No	Paid monetary sanction.
1/2015	CA	50,000	Failure to operate in accordance with organization documents.	No	Paid monetary sanction.
1/2015	CA	10,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
1/2015	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
1/2015	CA	5,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
1/2015	CA	5,000	Failure to maintain an approved grievance process.	No	Paid monetary sanction.
12/2014	GA	718,540	Alleged violations in renewal practices, cancellation notices, and producer licensing.	No	Paid monetary sanction.
11/2014	CA	50,000	Failure to establish and follow an approved grievance process.	No	Paid monetary sanction.
10/2014	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
10/2014	CA	5,000	Failure to provide timely information to department.	No	Paid monetary sanction.
8/2014	CA	5,000	Incomplete grievance response.	No	Paid monetary sanction.
8/2014	KY	10,000	Failure to submit timely prompt pay reports.	No	Paid monetary sanction.
7/2014	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
6/2014	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
6/2014	CA	12,000	Failure to follow grievance process.	No	Paid monetary sanction.
6/2014	CA	10,000	Failure to follow grievance process.	No	Paid monetary sanction.
6/2014	CA	5,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
6/2014	CA	10,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
6/2014	CA	7,000	Untimely grievance resolution.	No	Paid monetary sanction.
5/2014	CA	14,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2014	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
5/2014	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
5/2014	CA	10,000	Failure to provide written response to issues raised by the grievance and all relevant information, including pages of EOC.	No	Paid monetary sanction.
3/2014	CA	12,500	Failure to follow grievance process.	No	Paid monetary sanction.
3/2014	CA	2,500	Untimely claims payment and failed to include interest.	No	Paid monetary sanction.
3/2014	CA	5,000	Improper adjudication of claim.	No	Paid monetary sanction.
2/2014	CA	10,000	Failure to follow grievance process.	No	Paid monetary sanction.
2/2014	CA	10,000	Failure to follow grievance process.	No	Paid monetary sanction.
1/2014	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
1/2014	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
12/2013	CA	10,000	Failure to follow grievance process.	No	Paid monetary sanction.
12/2013	CA	15,000	Incomplete information on grievance response.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
12/2013	CA	5,000	Failure to provide timely information to Department.	No	Paid monetary sanction.
12/2013	CA	5,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
11/2013	CA	5,000	Failure to follow grievance process.	No	Paid monetary sanction.
10/2013	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
10/2013	CA	5,000	Failure to provide timely information to Department.	No	Paid monetary sanction.
10/2013	CA	7,500	Failure to follow grievance process.	No	Paid monetary sanction.
10/2013	CA	1,000	Untimely response to medical necessity review; failure to communicate decision to deny authorization within 24 hours.	No	Paid monetary sanction.
9/2013	CO	49,500	Civil penalty in connection with issues raised during a market conduct examination.	No	Paid monetary sanction.
8/2013	CA	5,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
8/2013	CA	5,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
7/2013	CA	2,500	Failure to follow grievance process.	No	Paid monetary sanction.
7/2013	CA	5,000	Incomplete grievance response.	No	Paid monetary sanction.
7/2013	CA	5,000	Incomplete grievance response.	No	Paid monetary sanction.
7/2013	CA	2,500	Incomplete grievance response.	No	Paid monetary sanction.
7/2013	CA	2,500	Incomplete response regarding enrollee grievance.	No	Paid monetary sanction.
7/2013	CA	5,000	Failure to provide timely information to Department.	No	Paid monetary sanction.
7/2013	CA	5,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
7/2013	CA	2,500	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
7/2013	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
7/2013	CA	2,500	Untimely grievance resolution.	No	Paid monetary sanction.
7/2013	CA	7,500	Failure to follow grievance process.	No	Paid monetary sanction.
7/2013	CA	15,000	Failure to operate in accordance with documents filed with Department; violation of the prohibition against printing an SSN on mailed materials.	No	Paid monetary sanction.
7/2013	IN	1,700,000	HHS fine relating to security weaknesses in an online application database.	No	Paid monetary sanction.
6/2013	CA	7,500	Failure to follow grievance process.	No	Paid monetary sanction.
6/2013	CA	10,000	Failure to follow grievance process.	No	Paid monetary sanction.
6/2013	CA	10,000	Incomplete grievance response.	No	Paid monetary sanction.
6/2013	CA	5,000	Incomplete response regarding enrollee grievance.	No	Paid monetary sanction.
6/2013	CA	2,500	Untimely response to Department request for information.	No	Paid monetary sanction.
6/2013	CA	5,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
6/2013	CA	7,500	Improper usage of outdated evidence of coverage.	No	Paid monetary sanction.
6/2013	CA	5,000	Failure to disclose to the enrollee the basis of a decision to deny services.	No	Paid monetary sanction.
5/2013	CA	2,500	Inadequate explanation for grievance response.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
5/2013	CA	5,000	Failure to issue a clear and concise denial letter.	No	Paid monetary sanction.
4/2013	CA	7,500	Grievance process not followed.	No	Paid monetary sanction.
4/2013	CA	5,000	Grievance not acknowledged.	No	Paid monetary sanction.
4/2013	CA	5,000	Grievance not acknowledged and late resolution.	No	Paid monetary sanction.
4/2013	CA	7,500	Failure to pay emergency claims timely and engaging in unfair payment patterns.	No	Paid monetary sanction.
4/2013	KY	200,000	Civil penalty regarding findings from market contact re-examination of issues raised in a prior examination.	No	Paid monetary sanction.
1/2013	CA	5,000	Grievance not given adequate consideration.	No	Paid monetary sanction.
1/2013	CA	2,500	Grievance resolution untimely.	No	Paid monetary sanction.
12/2012	CA	2,500	Untimely resolution of expedited grievance.	No	Paid monetary sanction.
12/2012	CA	2,500	Grievance resolution untimely.	No	Paid monetary sanction.
11/2012	CA	5,000	Grievance process not followed.	No	Paid monetary sanction.
11/2012	CA	5,000	Grievance resolution untimely.	No	Paid monetary sanction.
11/2012	CA	5,000	Grievance process not followed.	No	Paid monetary sanction.
11/2012	CA	5,000	Untimely response to the Department.	No	Paid monetary sanction.
11/2012	MO	5,000	Voluntary forfeiture in connection with findings from a market conduct examination of non-financial business.	No	Paid monetary sanction.
10/2012	CA	2,500	Failure to provide correct EOC in response to request.	No	Paid monetary sanction.
9/2012	CA	5,000	Failure to follow grievance process.	No	Paid monetary sanction.
8/2012	CA	5,000	Failure to follow grievance process.	No	Paid monetary sanction.
8/2012	CA	2,500	Incomplete response to the Department.	No	Paid monetary sanction.
8/2012	CA	2,500	Grievance resolution untimely.	No	Paid monetary sanction.
8/2012	CA	2,500	Grievance resolution untimely.	No	Paid monetary sanction.
8/2012	CA	20,000	Untimely grievance resolution; untimely claims resolution; failure to process claims consistent with enrollee EOC.	No	Paid monetary sanction.
8/2012	VA	52,000	Settlement in connection with findings from a market conduct examination of non-financial business that alleged violations of Virginia insurance laws.	No	Paid monetary sanction.
8/2012	VA	40,000	Settlement in connection with findings from a market conduct examination of non-financial business that alleged violations of Virginia insurance laws.	No	Paid monetary sanction.
8/2012	VA	40,000	Settlement in connection with findings from a market conduct examination of non-financial business that alleged violations of Virginia insurance laws.	No	Paid monetary sanction.
7/2012	CA	5,000	Failure to follow grievance process.	No	Paid monetary sanction.
7/2012	CA	2,500	Untimely grievance resolution.	No	Paid monetary sanction.
7/2012	CA	7,500	Untimely and unclear grievance resolution.	No	Paid monetary sanction.
6/2012	CA	5,000	Failure to provide clear and concise reason for denial.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
6/2012	CA	5,000	Failure to provide clear and concise reason for denial.	No	Paid monetary sanction.
5/2012	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
5/2012	CA	7,500	Untimely grievance resolution.	No	Paid monetary sanction.
5/2012	CA	10,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
5/2012	CA	5,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
4/2012	CT	6,000	Fine resulting from an examination of utilization review practices.	No	Paid monetary sanction.
3/2012	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2012	CA	10,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
2/2012	NV	500	Late filing of audited financial statement.	No	Paid monetary sanction.
2/2012	NY	296,200	Violation of Timothy's law requiring insurers to explain the option of purchasing extended metal health benefits.	No	Paid monetary sanction.
2/2012	NY	30,000	Fine resulting from an investigation into the accuracy of online provider directories.	No	Paid monetary sanction.
2/2012	NY	184,240	Violation of Timothy's law requiring insurers to explain the option of purchasing extended metal health benefits.	No	Paid monetary sanction.
1/2012	CA	15,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
1/2012	CA	5,000	Incomplete response to the Department.	No	Paid monetary sanction.
1/2012	CA	5,000	Provided incomplete reason for denial.	No	Paid monetary sanction.
1/2012	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
1/2012	CA	10,000	Untimely grievance resolution.	No	Paid monetary sanction.
1/2012	CA	15,000	Failure to follow grievance process.	No	Paid monetary sanction.
12/2011	WA	100,000	Violations of Washington insurance law regarding the marketing/sale of student health products.	No	Paid monetary sanction.
11/2011	CA	2,500	Failure to completely and accurately provide requested information to the Department.	No	Paid monetary sanction.
11/2011	CA	5,000	Failure to include required information in enrollee cancellation notice.	No	Paid monetary sanction.
11/2011	CA	5,000	Untimely response to Department request for information.	No	Paid monetary sanction.
11/2011	CA	5,000	Failure to operate in accordance with organization documents.	No	Paid monetary sanction.
11/2011	WI	500	Failure to comply with a prior examination deficiency regarding Board approval of material affiliate agreements and quarterly review of financial results.	No	Paid monetary sanction.
11/2011	WI	500	Failure to comply with a prior examination deficiency regarding Board approval of material affiliate agreements and quarterly review of financial results.	No	Paid monetary sanction.
10/2011	CA	5,000	Provided incomplete reason for denial.	No	Paid monetary sanction.
10/2011	CA	5,000	Incomplete grievance response.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
10/2011	CA	5,000	Incomplete grievance response.	No	Paid monetary sanction.
10/2011	CA	20,000	Failure to follow grievance process.	No	Paid monetary sanction.
10/2011	CA	10,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
10/2011	CA	10,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
9/2011	CA	10,000	Untimely acknowledgement and resolution of grievance.	No	Paid monetary sanction.
9/2011	CA	10,000	Prolonging the IMR process and failure to provide all the required information in the initial response.	No	Paid monetary sanction.
9/2011	CA	5,000	Untimely response to Department request for information.	No	Paid monetary sanction.
9/2011	CA	5,000	Did not provide clear and concise explanation in response to a service request.	No	Paid monetary sanction.
9/2011	CA	5,000	Failure to provide clear and concise explanation of response to enrollee grievance.	No	Paid monetary sanction.
9/2011	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
9/2011	CA	5,000	Untimely response to the Department.	No	Paid monetary sanction.
9/2011	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
9/2011	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
9/2011	CA	5,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
9/2011	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
9/2011	CA	2,500	Failure to provide timely information relevant to the enrollee's complaint.	No	Paid monetary sanction.
8/2011	GA	None	July 2008 market conduct examination related to inadvertent release of protected health or personal information.	No	Took action to resolve deficiencies.
8/2011	IN	5,000	Civil penalty - acceptance of insurance policies from unaffiliated agent.	No	Paid monetary sanction.
8/2011	CA	20,000	Failure to follow grievance process.	No	Paid monetary sanction.
8/2011	CA	20,000	Failure to follow grievance process.	No	Paid monetary sanction.
8/2011	CA	10,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
8/2011	CA	10,000	Untimely grievance resolution.	No	Paid monetary sanction.
8/2011	CA	10,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
8/2011	CA	5,000	Failure to adequately consider grievance; untimely grievance resolution.	No	Paid monetary sanction.
8/2011	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
8/2011	CA	5,000	Untimely response to the Department.	No	Paid monetary sanction.
8/2011	CA	5,000	Grievance not given adequate consideration.	No	Paid monetary sanction.
8/2011	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
8/2011	CA	5,000	Failure to provide a clear and concise explanation for denial.	No	Paid monetary sanction.
8/2011	CA	5,000	Failure to provide a clear explanation for denial.	No	Paid monetary sanction.
8/2011	CA	5,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
8/2011	CA	5,000	Untimely response to Department request for information.	No	Paid monetary sanction.
8/2011	CA	5,000	Grievance not given adequate consideration; untimely grievance resolution.	No	Paid monetary sanction.
8/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
7/2011	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
7/2011	CA	5,000	Untimely grievance resolution.	No	Paid monetary sanction.
6/2011	IN	100,000	Settlement in connection with a security breach.	No	Paid monetary sanction.
5/2011	CA	7,500	Failure to follow grievance process.	No	Paid monetary sanction.
5/2011	IL	105,000	Civil forfeiture in connection with various issues raised following a routine market conduct examination.	No	Paid monetary sanction.
5/2011	IL	75,000	Civil forfeiture in connection with various issues raised following a routine market conduct examination.	No	Paid monetary sanction.
5/2011	IL	30,000	Civil forfeiture in connection with various issues raised following a routine market conduct examination.	No	Paid monetary sanction.
3/2011	CA	5,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; failure to give a concise explanation for the decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide EOC pages; failures to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Improperly engaging in conduct that prolongs the independent review process or prolongs implementation of a decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely acknowledgement of grievance; failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to notify parties of grievance disposition involving a serious health threat within 3 days.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; failure to give a concise explanation for the decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of initial decision or response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; failure to give a concise explanation for the decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to timely provide the Department with supplemental information.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution; failure to provide the Department with a written response.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to notify parties of grievance disposition involving a serious health threat within 3 days.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to notify parties of grievance disposition involving a serious health threat within 3 days and provide the Department with relevant information used to resolve grievance.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution; failure to pay interest on late claims.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance response; failure to provide the Department with relevant information used to resolve grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Improperly engaging in conduct that prolongs the independent review process or prolongs implementation of a decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance response; failure to provide the Department with relevant information used to resolve grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to timely provide the Department with requested information related to a grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; give a concise explanation for the decision; provide the Department with requested information related to a grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance response; failure to provide the Department with relevant information used to resolve grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution; failure to provide the Department with a written response.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; failure to give a concise explanation for the decision; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; failure to give a concise explanation for the decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; failure to give a concise explanation for the decision or response to the grievance; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to give a concise explanation for the decision or response to the grievance; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; give a concise explanation for the decision; provide the Department with requested information related to a grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance acknowledgement and response; failure to provide the Department with relevant information used to resolve grievance.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/2011	CA	3,000	Failure to establish and maintain an approved grievance system; failure to provide clear and concise explanation of grievance response; untimely grievance response.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of initial decision; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Improperly engaging in conduct that prolongs the independent review process or prolongs implementation of a decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance response; failure to provide the Department with relevant information used to resolve grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance response; failure to provide the Department with relevant information used to resolve grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Improperly engaging in conduct that prolongs the independent review process or prolongs implementation of a decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to enrollee grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to enrollee grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide Department's contact information on documents.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to timely provide the Department with supplemental information.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; failure to give a concise explanation for the decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely response to a Department request for information.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise information on decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to communicate a decision to the provider within 24 hours; failure to give a concise explanation for the decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise information on decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to timely provide the Department with supplemental information.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution; improperly engaging in conduct that prolongs the independent review process or prolongs implementation of a decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to enrollee grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely response to a Department request for information.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure provide the Department with grievance information; failure to follow grievance process.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/2011	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Improperly engaging in conduct that prolongs the independent review process or prolongs implementation of a decision, failure to provide clear and concise information on decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution; failure provide the Department with grievance information.	No	Paid monetary sanction.
3/2011	CA	3,000	Improperly engaging in conduct that prolongs the independent review process or prolongs implementation of a decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide Department's contact information on document; untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely and grievance acknowledgement; untimely grievance resolution; incomplete grievance system.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely acknowledgement of grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide clear and concise explanation of response to enrollee grievance; untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely response to a Department request for information.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely grievance resolution.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely response to a Department request for information.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Improperly engaging in conduct that prolongs the independent review process or prolongs implementation of a decision.	No	Paid monetary sanction.
3/2011	CA	3,000	Untimely response to a Department request for information.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
3/2011	CA	3,000	Failure to follow grievance process.	No	Paid monetary sanction.
1/2011	CA	2,500	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
1/2011	CA	2,500	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
1/2011	CA	2,500	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
1/2011	CA	2,500	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
1/2011	UT	4,000	Failure to timely pay the renewal fee for the certificate of authority.	No	Paid monetary sanction.
12/2010	KY	300,000	Civil penalty with findings from market conduct exam that alleged violations of the Kentucky Insurance Code.	No	Paid monetary sanction.
12/2010	CA	45,000	Untimely acknowledgement and resolution of grievance; failure to give a clear and concise explanation for decision or resolution.	No	Paid monetary sanction.
12/2010	CA	15,000	Failure to provide clear and concise explanation of response to enrollee grievance.	No	Paid monetary sanction.
12/2010	CA	15,000	Failure to provide clear and concise explanation of initial decision; interference with the independent review process.	No	Paid monetary sanction.
12/2010	CA	10,000	Failure to notify parties of grievance disposition involving a serious health threat within 3 days; failure to provide written status of urgent grievance within 3 days; failure to provide Department with relevant information.	No	Paid monetary sanction.
12/2010	CA	5,000	Failure to notify parties of grievance disposition involving a serious health threat within 3 days.	No	Paid monetary sanction.
12/2010	CA	5,000	Failure to notify parties of grievance disposition involving a serious health threat within 3 days; failure to provide written status of urgent grievance within 3 days.	No	Paid monetary sanction.
12/2010	CA	5,000	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
12/2010	CA	5,000	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
12/2010	CA	5,000	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
12/2010	CA	5,000	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
12/2010	CA	5,000	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
11/2010	CA	500,000	Failure to pay claims timely; failure to pay interest on claims; failure to establish and maintain a dispute resolution mechanism; time limits for reimbursement, contest, or denial of certain claims.	No	Paid monetary sanction.
11/2010	CA	7,500	Failure to provide clear and concise explanation of initial decision; untimely grievance resolution; untimely grievance resolution; incomplete response letter.	No	Paid monetary sanction.
11/2010	CA	5,000	Failure to notify parties of grievance disposition involving a serious health threat within 3 days.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
11/2010	CA	5,000	Failure to provide clear and concise explanation of initial decision; untimely grievance resolution.	No	Paid monetary sanction.
11/2010	CA	5,000	Untimely and grievance acknowledgement; untimely grievance resolution.	No	Paid monetary sanction.
11/2010	CA	5,000	Failure to provide clear and concise explanation of initial decision; untimely grievance resolution.	No	Paid monetary sanction.
11/2010	CA	2,500	Failure to provide clear and concise explanation of initial decision; untimely grievance resolution.	No	Paid monetary sanction.
8/2010	CA	20,000	Failure to establish and maintain procedures for review of quality of care; improperly denying, adjusting, or contesting a claim.	No	Paid monetary sanction.
8/2010	CA	5,000	Failure to provide the Department with requested information related to a grievance; failure to provide relevant pages of the EOC.	No	Paid monetary sanction.
8/2010	CA	5,000	Failure to provide clear and concise explanation of initial decision; untimely grievance resolution.	No	Paid monetary sanction.
8/2010	CA	5,000	Failure to provide clear explanation of denial reason.	No	Paid monetary sanction.
8/2010	CA	2,500	Failure to provide the Department with written response to grievance issues.	No	Paid monetary sanction.
6/2010	NH	100,000	Fine imposed for having NH groups with more than 25 VT subscribers, a violation of VT law.	No	Paid monetary sanction.
4/2010	CA	100,000	Failure to provide timely documents to the Division of Licensing.	No	Paid monetary sanction.
4/2010	CA	50,000	Failure to provide timely and sufficient information to Department.	No	Paid monetary sanction.
4/2010	CA	20,000	Failure to follow the grievance process.	No	Paid monetary sanction.
4/2010	CA	15,000	Untimely grievance resolution; failure to provide clear explanation of reasons for denial.	No	Paid monetary sanction.
4/2010	CA	15,000	Failure to follow the grievance process.	No	Paid monetary sanction.
4/2010	CA	10,000	Failure to properly offset a claim; failure to pay funds within 5 days of issuance of written determination.	No	Paid monetary sanction.
4/2010	CA	2,500	Failure to issue a timely decision on provider medical necessity requests.	No	Paid monetary sanction.
4/2010	NV	5,100	9 violations of NRS 689A.410(2) and 689B.255(2) and 6 violations of NRS679B.250(4)	No	Paid monetary sanction.
3/2010	CA	2,500	Failure to provide timely requested information to the Department.	No	Paid monetary sanction.
3/2010	CA	2,500	Failure to provide timely requested information to the Department.	No	Paid monetary sanction.
2/2010	CA	80,000	Failure to pay a claim in accordance with its contract.	No	Paid monetary sanction.
2/2010	CA	2,500	Failure to provide Department contact information on documents; failure to provide Department approved application to request independent medical review.	No	Paid monetary sanction.
2/2010	CA	2,500	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
2/2010	CA	2,500	Untimely and grievance acknowledgement.	No	Paid monetary sanction.

Date	State	Amount	Description	CAP	Resolution
2/2010	CA	2,500	Failure to provide Department with relevant information used to resolve grievance.	No	Paid monetary sanction.
2/2010	CA	2,500	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
2/2010	CA	2,500	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
2/2010	CA	2,500	Untimely and grievance acknowledgement.	No	Paid monetary sanction.
2/2010	NV	1,000	Failure to timely pay annual appointment invoice.	No	Paid monetary sanction.
2/2010	NV	1,000	Failure to timely pay annual appointment invoice.	No	Paid monetary sanction.

### New Medicaid Affiliate Deficiencies

Anthem, Inc., Anthem’s ultimate Parent Company, recently (effective January 23, 2020) completed its acquisition of Medicaid managed care plans in Missouri and Nebraska. Below, we provide available information on sanctions for deficiencies in performance of contractual requirements related to an agreement with any federal or state regulatory entity for these new affiliates.

Date	State	Amount	Description	CAP	Resolution
6/29/16	MO	None	Address unmet and partially met elements of review of clinical Operations.	Yes	CAP implemented as requested.
12/8/14	MO	None	Inconsistent submission of encounter attestations.	Yes	CAP implemented as requested.
11/13/14	MO	None	Deficiencies in documentation regarding positions held by in-state personnel, retention of report return receipts, and fraud, waste, and abuse reporting documentation.	Yes	CAP implemented as requested.
7/31/14	MO	None	Quality of report submissions.	Yes	CAP implemented as requested.
7/11/14	MO	None	Deficiencies related to behavioral health case management processes.	Yes	CAP implemented as requested.

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### Subcontractor Deficiencies

Date	State	Client	Amount	Description	CAP	Resolution
<b>DentaQuest, LLC (includes dental and vision subsidiaries)</b>						
2019 Offset	IN	MCO	8,000	Call Center Metrics	No	Paid monetary sanction.
9/6/19	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
9/5/19	OH	MCO	3,000	Network Accuracy	No	Paid monetary sanction.
7/3/19	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.
6/26/19	OH	MCO	500	Network Accuracy	No	Paid monetary sanction.
7/1/19	VA	State	4,000	Call Center Metrics	No	Paid monetary sanction.
6/1/19	VA	State	4,000	Call Center Metrics	No	Paid monetary sanction.
5/1/19	VA	State	500	Call Center Metrics	No	Paid monetary sanction.
4/1/19	VA	State	4,600	Call Center Metrics	No	Paid monetary sanction.
2019 Offset	PA	MCO	63,253	Missed Call Center SLAs	No	Paid monetary sanction.
2019 Offset	PA	MCO	5,000	Missed Call Center SLAs	No	Paid monetary sanction.
2018 Offset	PA	MCO	63,000	Missed Call Center SLAs	No	Paid monetary sanction.
10/25/18	OH	MCO	400	Untimely or Inaccurate Client Response	No	Paid monetary sanction.
10/25/18	IN	MCO	3,000	Call Center Metrics	No	Paid monetary sanction.
10/25/18	OH	MCO	10,800	Network Accuracy	No	Paid monetary sanction.
5/1/18	VA	State	2,000	Call Center Metrics	No	Paid monetary sanction.
4/24/18	OH	MCO	10,500	Untimely or Inaccurate Client Response	No	Paid monetary sanction.
4/23/18	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.
4/18/18	IN	MCO	5,000	Call Center Metrics	No	Paid monetary sanction.
2/18/18	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.
2/1/18	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
2/1/18	VA	State	4,000	Call Center Metrics	No	Paid monetary sanction.
1/1/18	VA	State	7,000	Call Center Metrics	No	Paid monetary sanction.
12/17/17	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.

Date	State	Client	Amount	Description	CAP	Resolution
<b>DentaQuest, LLC (includes dental and vision subsidiaries)</b>						
12/17/17	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
12/1/17	VA	State	900	Call Center Metrics	No	Paid monetary sanction.
11/28/17	IN	MCO	4,500	Claims Adjudication Error	No	Paid monetary sanction.
11/1/17	VA	State	500	Call Center Metrics	No	Paid monetary sanction.
10/18/17	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
10/18/17	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
10/16/17	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
10/16/17	OH	MCO	3,000	Network Accuracy	No	Paid monetary sanction.
7/17/17	IN	MCO	5,963	Untimely Notification	No	Paid monetary sanction.
5/15/17	IN	MCO	7,722	Untimely Notification	No	Paid monetary sanction.
3/14/17	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
12/20/16	KY	MCO	14,285	Encounter File Accuracy	No	Paid monetary sanction.
12/1/16	VA	State	3,100	Call Center Metrics	No	Paid monetary sanction.
11/30/16	KY	MCO	45,046	Encounter File Accuracy	No	Paid monetary sanction.
10/24/16	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
10/24/16	OH	MCO	3,000	Network Accuracy	No	Paid monetary sanction.
10/20/16	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.
10/20/16	KY	MCO	7,099	Encounter File Accuracy	No	Paid monetary sanction.
9/21/16	KY	MCO	990	Encounter File Accuracy	No	Paid monetary sanction.
8/29/16	KY	MCO	4,291	Encounter File Accuracy	No	Paid monetary sanction.
7/19/16	KY	MCO	25,942	Encounter File Accuracy	No	Paid monetary sanction.
7/1/16	KY	MCO	57,048	Encounter File Accuracy	No	Paid monetary sanction.
5/12/16	KY	MCO	423,650	Encounter File Accuracy	No	Paid monetary sanction.
4/22/16	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.
4/22/16	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.

Date	State	Client	Amount	Description	CAP	Resolution
<b>DentaQuest, LLC (includes dental and vision subsidiaries)</b>						
3/1/16	VA	State	1,600	Untimely or Inaccurate Client Response	No	Paid monetary sanction.
2/10/16	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.
2/10/16	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
12/4/15	VA	State	4,500	Untimely or Inaccurate Client Response	No	Paid monetary sanction.
11/18/15	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
9/8/15	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.
9/8/15	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
8/15/15	OH	MCO	8,500	Network Accuracy	No	Paid monetary sanction.
7/21/15	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.
7/21/15	OH	MCO	1,000	Network Accuracy	No	Paid monetary sanction.
5/1/15	VA	State	8,500	Untimely or Inaccurate Client Response	No	Paid monetary sanction.
4/15/15	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.
3/6/15	OH	MCO	1,500	Network Accuracy	No	Paid monetary sanction.
3/6/15	OH	MCO	16,000	Untimely or Inaccurate Client Response	No	Paid monetary sanction.
1/7/15	OH	MCO	2,000	Network Accuracy	No	Paid monetary sanction.

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