

## North Carolina Department of Insurance SERFF Filing Guide for HMO Initial Certificate of Authority

Please use the filing types provided in the SERFF Filing Guide.

Contents	SERFF Filing Type	SERFF Location
Modification Request - HMO Operations: Cover Letter, HMO Application Form, HMO Certification of Authority Checklist, Description of HMO Operations, Service Area, Basic Organizational Documents, Bylaws, Articles of Incorporation, Names, Addresses and Position of Officers and Board Members, Corporate Structure Affidavit, Biographical Affidavits, and Power of Attorney Forms	<b>HMO Expansion</b>	Supporting Documentation Tab – One Category for Each Documents
Financial Information - Financial Statements, Financial Feasibility Plan, Rates and Insolvency Plan, URRT Data Template, NC Rate Review Data Template, Actuarial Memorandum, and the Plan Year ACA SLCS	<b>Non-Form or Non-Rate Annual Reports</b>	Supporting Documentation Tab – Use One Category for Each Documents
Management Agreement(s)	<b>Management Agreement</b>	Form Schedule Tab - Non-approved/Approved place under Supporting Documentation with SERFF File Number
Intermediary Agreement(s)	<b>Intermediary Network Agreement</b>	Form Schedule Tab - Non-approved/Approved place under Supporting Documentation with SERFF File Number
Provider Contracts	<b>Provider Agreements</b>	Form Schedule Tab - Non-approved/Approved place under Supporting Documentation with SERFF File Number
Forms - Evidence of Coverage, Schedule of Benefits & Enrollment Application	<b>Form</b>	Form Schedule Tab
Grievances Policies/Procedures & Utilization Review Management Program	<b>Managed Care Policies and Procedures</b>	Supporting Documentation Tab - One Category for Each Document

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Quality Assurance/Management Program	<b>Managed Care Policies and Procedures</b>	Supporting Documentation Tab - One Category for Each Document
Provider Network Availability & Accessibility Standards	<b>Managed Care Policies and Procedures</b>	Supporting Documentation Tab - One Category for Each Document
Credentialing Policies/Procedures and Provider & Facility Applications	<b>Managed Care Policies and Procedures</b>	Supporting Documentation Tab - One Category for Each Document
Claims Administration Policies & Procedures	<b>Managed Care Policies and Procedures</b>	Supporting Documentation Tab - One Category for Each Document
Marketing Policies & Procedures	<b>Managed Care Policies and Procedures</b>	Supporting Documentation Tab - One Category for Each Document
Member/Consumer Services Policies & Procedures	<b>Managed Care Policies and Procedures</b>	Supporting Documentation Tab - One Category for Each Document
Disaster Recovery Plan Policies and Procedures	<b>Managed Care Policies and Procedures</b>	Supporting Documentation Tab - One Category for Each Document

**Instructions:** The North Carolina Department of Insurance requires the placement of HMO Certificate of Authority (COA) application documents in "separate" SERFF Files.

The application is assigned to Departmental staff by SERFF Number based on their area of responsibility.

**See the categories above for guidance and location.** Please do not place any documents under the Submission Requirements Life and Health category. Under the SERFF Associated Filings Field, reference all the SERFF Files associated with the Expansion Request.

Provide a Product Name for the Associated Files.

Under the General Information Tab, Corresponding Filing Tracking Number, reference the previously approved SERFF File associated with a specific document.

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