

North Carolina Department of Insurance SERFF Filing Guide for Modification of License Request

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	HMO Expansion	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	Non-Form or Non-Rate Annual Reports	Supporting Documentation Tab – Use One Category for Each Documents
Management Agreement(s)	Management Agreement	Form Schedule Tab - Non-approved/Approved place under Supporting Documentation with SERFF File Number
Intermediary Agreement(s)	Intermediary Network Agreement	Form Schedule Tab - Non-approved/Approved place under Supporting Documentation with SERFF File Number
Provider Contracts	Provider Agreements	Form Schedule Tab - Non-approved/Approved place under Supporting Documentation with SERFF File Number
Forms - Evidence of Coverage, Schedule of Benefits & Enrollment Application	Form	Form Schedule Tab
Grievances Policies/Procedures & Utilization Review Management Program	Managed Care Policies and Procedures	Supporting Documentation Tab - One Category for Each Document
Quality Assurance/Management Program	Managed Care Policies and Procedures	Supporting Documentation Tab - One Category for Each Document

Updated 3/27/2026

North Carolina Department of Insurance SERFF Filing Guide for Modification of License Request

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

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

*** If there is **no material change** to existing approved documents, please provide an officer's certification with an attestation that the documents have been reviewed for compliance and no changes are required. Please provide the attestation for each SERFF File (if applicable).

Updated 3/27/2026