

SERFF INDUSTRY USER MANUAL APPENDIX II

v6.0

Updated 03/29/2013



Providing flexibility, promoting uniformity

Table of Contents

<u>Introduction</u>	2
<u>Conventions Used In This Manual</u>	2
<u>SERFF Binder Tracking Number</u>	3
<u>SERFF Plan Management Transaction Fees</u>	3
<u>SERFF Plan Management Roles</u>	4
<u>Settings</u>	5
<u>Message Settings</u>	5
<u>Companies</u>	7
<u>Messages</u>	10
<u>Plan Management View</u>	11
<u>Plan Management General Instructions</u>	12
<u>Generate EFT Report</u>	13
<u>Create Binder</u>	14
<u>Binder Wizard</u>	14
<u>Binder at a Glance</u>	17
<u>Plans</u>	19
<u>Associate Schedule Items</u>	20
<u>Fees</u>	26
<u>Templates</u>	26
<u>Supporting Documentation</u>	33
<u>Company & Contact</u>	35
<u>Correspondence</u>	36
<u>Responding to an Objection Letter</u>	37
<u>Amendments</u>	42
<u>Dispositions</u>	47
<u>Certifications</u>	48

Introduction

The System for Electronic Rate and Form Filing (SERFF) is a smart Internet application designed to provide an efficient process for rate and form filing. With the release of v6.0, SERFF Plan Management functionality has been introduced for Qualified Health Plan (QHP) submissions. Using SERFF, issuers can create and submit QHPs to states that have implemented SERFF for Plan Management for review, approval and certification.

Conventions Used In This Manual

The following special features are included in this appendix to assist readers:

Bold fonts – are used to emphasize an idea or a representation.



The green pointer hand is used represent a task the user may perform.



The red pointer hand is used to represent a note of special interest.

SERFF Binder Tracking Number

The SERFF Binder represents a collection of templates and plan data on behalf of one company, sent to one state. To ensure uniqueness and searching capabilities, each SERFF Binder has a unique SERFF Tracking Number. The SERFF Tracking number is comprised of three parts.

Instance Identifier	State and Binder Year Identifier	Unique Numeric Characters
ABCD	WY14	000004382

1. **Instance Identifier:** A unique, four character ID assigned to an instance by the SERFF Help Desk. Both states and industry are assigned Instance Identifiers.
2. **State and Binder Year Identifier:** The specific state the Binder is submitted to as well as the applicable plan year for the QHPs being submitted.
3. **Numeric Value:** Numeric string that, when combined with an Instance Identifier and the state and Binder year identifier, create a unique SERFF Binder Tracking Number. This portion of the tracking number is created by the SERFF system.

Plan Management Transaction Fees

SERFF will assess a transaction fee per plan submitted on a Binder. For example, if you have a Binder with one plan, you will be assessed one transaction fee. If you have a Binder with three plans, you will be assessed three transaction fees.

SERFF offers several pricing structures to meet the business needs of our customers. Pre-paid filing blocks and ‘Pay As You Go’ are options for filing entities. Industry users can monitor the balance of their pre-paid filing blocks on the Billing tab which is located in the SERFF Filings module.

For more information regarding SERFF Billing please refer to page 13 of the SERFF User Manual.

Plan Management Roles

The ability to perform Plan Management functions within SERFF is based on the roles assigned to a SERFF User Name. Some users may have a role assigned to their ID that permits greater access while other users may have a role with limited access to SERFF Plan Management functions. Roles have pre-determined permissions within the SERFF application that dictate role-related responsibilities. The SERFF Help Desk maintains and assigns roles for all users. Below is a table that explains the permissions associated with each state SERFF Plan Management User role:

Role	Description
Industry Plan Management User	Allows an Industry User to view, create and submit Binders, respond to state submitted correspondence, submit correspondence to the state, add Fees and add Authors. An Industry Plan Management User can view but cannot edit Binders created by other users on the instance.
Industry PM Plan Management Read Only	Allows an Industry User read only access to the Plan Management workspace with view only access and no editing capabilities on the Binder.

For more information regarding SERFF User Admin please refer to page 37 of the SERFF User Manual.

Settings

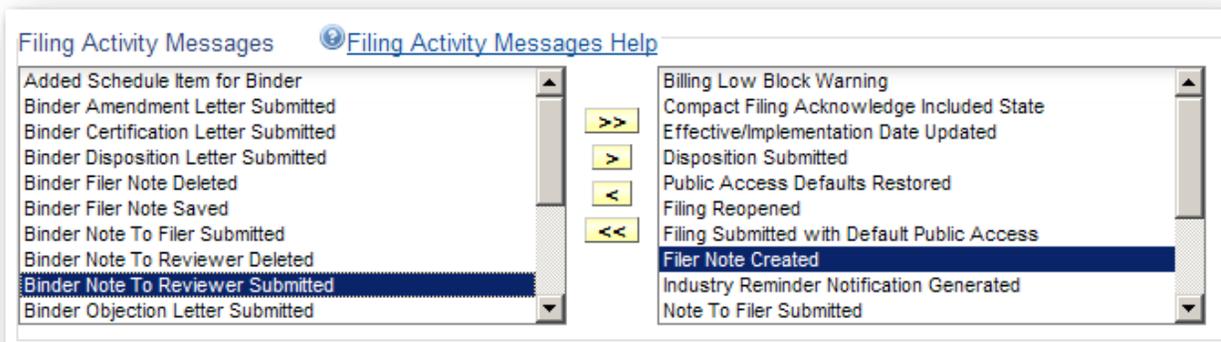
Message Settings

The Industry Plan Management User role in SERFF will generate several message related to Binders. The user will not automatically be opted in to all of the new message types. The user will need to go into their 'Message Settings' and select the Plan Management message types they would like to receive.

Updating Message Settings

1. Click on the 'Settings' tab.

2. Choose  on the left hand side of the screen.
3. Messages on the right are messages that will be received; messages on the left are messages that will not be received. It's recommended that users opt in to all new Binder messages.



4. To move a message, highlight the message and click on the appropriate arrow to move the message.

Messages related to Plan Management are as follows:

- Added Schedule Item for Binder
- Binder Amendment Letter Submitted
- Binder Certification Letter Submitted
- Binder Disposition Letter Submitted
- Binder Objection Letter Submitted
- Binder Primary Reviewer Changed
- Binder Reopened
- Binder State Info Changed
- Plan State Status Updated
- Review Status updated for Binder

For more information regarding SERFF Message Settings please refer to page 146 of the SERFF User Manual.

Companies

Each Instance within SERFF could have one to many companies configured. The company information contains the following:

- NAIC Company Code (CoCode)
- Company Name
- Address
- City
- State
- Postal Code
- Telephone Number
- FEIN
- State of Domicile

Company information for an Instance can be accessed and edited by clicking the 'Companies' link under the Settings tab. Please note that only a user with the Configuration Manager role can edit an existing Company Profile. When creating a Binder, the information for the company comes from data entered here.

For the Company to appear in the Binder Wizard, the company must have the Configuration Manager for that Instance configure the state information in the 'Licensed States' section. This process must be completed for each state to which the company is filing Binder submissions:

State	State ID Number	HIOS Issuer ID	NCQA Org ID	URAC App Number	
Alabama		98765	45678	123456	Add State

Save Cancel

The company is required to have a HIOS Issuer ID in order to have your company available as a selection when creating a Binder. The Accrediting Entity identifiers are not required, but should be entered if your company is accredited. Enter either the NCQA Org ID (the number assigned by NCQA when an issuer applies for accreditation) and/or a URAC App Number (the identifier assigned by URAC when an issuer applies for accreditation).

For more information regarding adding companies, please refer to page 29 of the SERFF User Manual.

 **Adding Company Information to the Company Profile**

Once a company profile has been retrieved via company search, authorized users may edit the company information.

For more information regarding retrieving a company via the search, please refer to page 32 of the SERFF User Manual.

1. Open the company profile to be edited.

Edit Deactivate Back to Search Results

Company Information

Instance: celticinsurance

CoCode: 80799

Company Name: Celtic Insurance Company

Address: 1100 Walnut Ave , Suite 1500, Kansas City , Missouri 64106

Telephone Number: (816)783-8747

Fax Number: (816)460-0191

Company Type: LAH

Group Code: 0

Group Name:

FEIN Number: 08-0799123

State of Domicile: Illinois

Active: Active

Licensed States:

State	State ID Number	 HIOS Issuer ID	 NCQA Org ID	 URAC App Number
Wyoming	80799	28000		HIX001565
Arkansas	46121	6547		7845

2. Click the  button to open the fields for changes.
3. Make the necessary changes to the Company Information and enter the Licensed State information for each state to which the user will be submitting binders.

SERFF End User Training Appendix II

Licensed States :

State	State ID Number	HIOS Issuer ID	NCQA Org ID	URAC App Number	
Alabama		98765	45678	123456	Add State

Save **Cancel**

- Once all Licensed State information has been added click the **Add State** button.
- Click **Save** to finalize or **Cancel** to discard the changes made.
- If one or more draft filings include the edited company, the user will be presented with a list of affected filings. This list will not display if this company is not listed on any current draft filings.

Messages

The Message Center contains notifications about activity on SERFF Filings and Binders. Users receive messages for all events on Filings or Binders to which they have authored or have access to via SERFF roles. Messages are identified by a distinct subject line. Once the message is opened, additional information is displayed and the user can link directly to the Filing or Binder referenced.

The access the Message Center has a new location. The Message Center now has its own tab. The tab is located between the Plan Management Tab and the Settings Tab.



Once the user clicks on the Messages tab, the Message Center will be viewable.

Messages [Most Recently Viewed Filings](#)

Remove Message

Messages Messages 1-2 of 2 | [First](#) | [Previous](#) | [Next](#) | [Last](#)

<input type="checkbox"/>	Unread	Subject	Tracking Number	From	On
<input type="checkbox"/>		Public Access Set by Default for ALLA-128285205 Submitted to Kansas Attn: zSERFFStaff zIndustrySupportLS	ALLA-128285205	zSERFFStaff zIndustrySupportLS	Mar 7, 2013
<input type="checkbox"/>		Public Access Set by Default for ALLA-128284932 Submitted to Kansas Attn: zSERFFStaff zIndustrySupportLS	ALLA-128284932	zSERFFStaff zIndustrySupportLS	Feb 25, 2013

Messages 1-2 of 2 | [First](#) | [Previous](#) | [Next](#) | [Last](#)

Remove Message

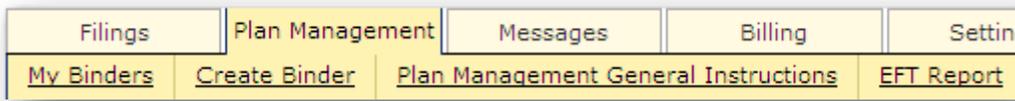
All messages related to QHP submissions will appear in the Message Center along with messages for Filings.

For more information regarding the Message Center, please refer to page 142 of the SERFF User Manual.

Plan Management View

If a user has the Plan Management role, they will see a tab named Plan Management directly to the right of the Filings tab. Navigating to this tab will allow the user to access features within the Plan Management section of SERFF.

When on the 'Plan Management' tab, depending on roles assigned to a user, the filer will have the option to view 'My Binders,' click 'Create Binder,' view 'Plan Management General Instructions,' or run an 'EFT Report.'



My Binders

'My Binders' is the default view. All Binders regardless of status will display in this view.

My Binders						
State	Company Name	Market Type	Binder Name	Status	Date Submitted	
Oregon	New Health Insurance Co	Individual	Plan Binder	Draft		
Oregon	New Health Insurance Co	Small Group	Sample Binder Name	Draft		

Binder statuses are as follow:

-  Draft
-  Submitted
-  Pending Industry Response
-  Pending State Action
-  Closed

Each column is sortable as to make it easier to locate particular Binders. For example, the user will be able to group and view all Binders that are Pending Industry Response. Or the user could sort by Market Type and look at all Binders for the Individual Market.

Create Binder

The user will be directed to the Binder Wizard and initiate the Binder creation process by clicking on 'Create Binder'.

Plan Management General Instructions

Plan Management General Instructions provides a listing of all the states utilizing Plan Management.

By clicking on a specific state, a user will be directed to the respective General Instructions page. **Industry users should review Plan Management General Instructions for state specific submission instructions prior to submitting any Binders.**

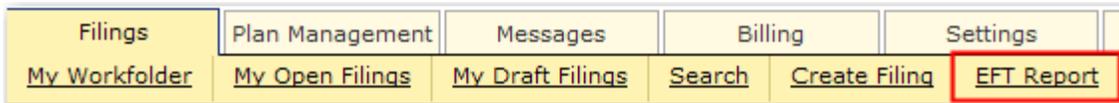
Plan Management General Instructions		
Att.	State Name	Instance Name
	Alabama	AlabamaLife
	Alaska	AlaskaLH
	Arizona	ArizonaLH
	California	CaliforniaLAH

EFT Report

The EFT Report allows users to view all EFT transactions for SERFF Filings and Binders. This report is utilized to reconcile SERFF filing activity with a company's bank statement. The EFT Report link can be accessed on the Plan Management tab:



Or from the Filings tab (if the user has Rate and Form roles):



Generate EFT Report

1. Click the  button.
2. The EFT Report dialog box will open.
3. In the EFT Report dialog box, select a date range, Report type and Report format:

A screenshot of the 'SERFF EFT Reports' dialog box. At the top, there are two buttons: 'Submit' and 'Cancel'. Below the buttons, the text reads 'Please choose the parameters for your report.' There are two date input fields: 'Begin Date (inclusive):' with the value '01/01/2013' and 'End Date (inclusive):' with the value '03/19/2013'. Below the date fields, there are two radio button options for 'Report type': 'Detail report' (unselected) and 'Summary report' (selected). At the bottom, there are two radio button options for 'Report format': 'Web page' (selected) and 'CSV file' (unselected).

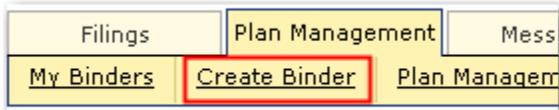
- The EFT Report results will include transactions from both the Filings module and the Plan Management module of SERFF, if there is any activity.

SERFF EFT Reports
 FT Detail Report for dates 03/01/2013 to 03/27/2013
 03-07-2013 Filings

Transaction Date	Company Name	Company Code	Submitter Name	State	SERFF Tracking Number	Type Of Insurance	Sub-Type of Insurance	Filing Type	Amount	Transaction Number
03-07-2013	Celtic Insurance Company	80799	Donald Harrison	SC	CELT-127696657	H03G Group Health - Accidental Death & Dismemberment	H03G.000 Health - Accidental Death & Dismemberment	Form/Rate	\$50.00	127696657EFTTESTEFT5EFTFILER201303071015
subtotal for 03-07-2013, 1 transaction(s), total amount \$50.00										
03-07-2013 Binders										
Transaction Date	Company Name	Company Code	Submitter Name	State	SERFF Tracking Number	Binder Name	Plan Name	Standard Component ID	Amount	Transaction Number
03-07-2013	Celtic Insurance Company	80799	Donald Harrison	Wyoming	CELT-WY14-125000378	PBM_v6.0_0328-2013	Newco Individual Plan - Silver	12345WY1230003	\$15.00	125000465EFTTESTEFT5EFTFILER201303070924
03-07-2013	Celtic Insurance Company	80799	TC SERFF Support	Wyoming	CELT-WY14-125000380	PBM_v6.0_0328-2013		12345WY1230003	\$15.00	125000471EFTTESTEFT5EFTFILER201303071417
03-07-2013	Celtic Insurance Company	80799	TC SERFF Support	Wyoming	CELT-WY14-125000380	PBM_v6.0_0328-2013		12345WY1230002	\$15.00	125000470EFTTESTEFT5EFTFILER201303071417
03-07-2013	Celtic Insurance Company	80799	Donald Harrison	Wyoming	CELT-WY14-125000378	PBM_v6.0_0328-2013	Newco Individual Plan - Platinum	12345WY1230002	\$15.00	125000464EFTTESTEFT5EFTFILER201303070924
03-07-2013	Celtic Insurance Company	80799	Donald Harrison	Wyoming	CELT-WY14-125000378	PBM_v6.0_0328-2013	Newco Individual Plan - Gold	12345WY1230001	\$15.00	125000463EFTTESTEFT5EFTFILER201303070924
subtotal for 03-07-2013, 5 transaction(s), total amount \$75.00										

Create Binder

👉 **Step 1- Click Create Binder**



The first step in the Binder Wizard is to accurately complete the following fields:

- **State:** The state to which the binder will be submitted.
- **Binder Name:** The Binder Name is a name, created by the issuer, used to identify the plan or group of plans contained within the Binder.
- **Plan Year:** The Author enters the year the plans are effective for the Exchange Marketplace or in the outside market. The Plan Year must not be less than the current year or greater than four years from the current year.
- **Number of Plans to Create:** The Number of Plans field is used to identify the number of plans that will be contained in the binder. The number cannot be modified after completion of the wizard. This number must be the same as the total number of Standard Component IDs represented in attached templates (1-250).

- **Market Type:** Individual or Small Group.
- **Other Authors:** The Creator or Author of the filing may assign Other Authors to a Binder(s).

Create Plan Binder

* Asterisk denotes required field

State: * Please Select

Binder Name: *

Plan Year: *

of Plans to Create: * 1

Market Type: * Please Select

Assign Authors: *

Harrison, Donald
McDermott, Carolyn
SERFF Support, TC

zIndustrySupportLS, zSERFFStaff

>>
>
<
<<

Next Cancel

1. Click on the State drop down box and select appropriate State.
2. Enter the Binder Name.

Note: The Binder Name is an issuer defined name to identify the Plan or group of Plans contained within a Binder. The Plan Binder Name is not transmitted to the Exchange.

3. Enter the Plan Year.

Note: The Plan Year is the year the Plan is being sold in the marketplace. It must not be less than the current year or greater than 4 years from the current year.

4. Enter the number of plans you wish to create.

Note: Once out of the Binder Wizard the number of plans in a Binder cannot be changed.

5. Click on the 'Market Type' drop down box and select appropriate 'Market Type' for the binder.

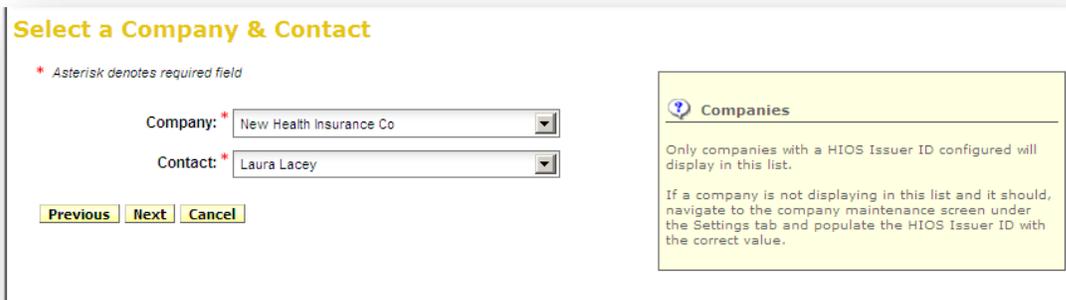
6. Assign Other Authors if needed. Other Authors can also be added later in the process.

Highlight the name of the Other Author and click on the  button.

7. Click on the  button to advance to Step 2.

 **Note:** If the Author clicks on the  button all information completed at Step 1 will be lost.

 **Step 2 - Select Company and Contact**



1. Select the Company for which the Binder will be created.

 **Note:** Only companies that have the 'Licensed States' data configured will show in this drop down.

2. Select the Contact for the Binder.

3. Click 'Next' to move to the next step of the Binder Wizard.

 **Step 3 – Enter Standard Component ID(s)**

Enter Plan Data & Confirm

State: Oregon	Company: New Health Insurance Co
Binder Name: Sample Binder Name	Contact: Laura Lacey
Plan Year: 2014	Market Type: Small Group

* Asterisk denotes required field

<p>Standard Component ID *</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 150px;">Plan 1</td> <td><input type="text" value="4239OR0231"/></td> </tr> <tr> <td>Plan 2</td> <td><input type="text" value="4239OR0232"/></td> </tr> <tr> <td>Plan 3</td> <td><input type="text" value="4239OR0233"/></td> </tr> </table>	Plan 1	<input type="text" value="4239OR0231"/>	Plan 2	<input type="text" value="4239OR0232"/>	Plan 3	<input type="text" value="4239OR0233"/>	<p>Standard Component ID</p> <p>The Standard Component IDs must match the Standard Component IDs on the templates uploaded to this Plan Binder.</p>
Plan 1	<input type="text" value="4239OR0231"/>						
Plan 2	<input type="text" value="4239OR0232"/>						
Plan 3	<input type="text" value="4239OR0233"/>						

1. Enter the 'Standard Component ID.

 **Note:** The Standard Component ID is an ID assigned by HIOS, once the product has been registered with HIOS.

2. Click 'Finish'.

 **Note:** The Standard Component IDs must match the Standard Component IDs on the templates uploaded to this Plan Binder.

Binder at a Glance

Binder at a Glance contains key information about the Binder and is always displayed at the top of the page, regardless of where the Author is working.

Oregon

[View Binder Log](#)

Binder Name: Sample Binder Name	SERFF Tracking Num: NEIC-OR14-125002554	SERFF Status: Draft
Plan Year: 2014	State Tracking Num:	Date Submitted: Not Submitted
Market Type: Small Group	Company Tracking Num:	Company Status:
Authors: Laura Lacey	Reviewers:	

The Binder at a Glance contains the following fields:

- **State**
- **View Binder Log:** Allows user to view the Binder Log. This log contains a record of key activity that has occurred on the Binder.
- **Binder Name:** The issuer defined name of the plans being submitted to the state.
- **SERFF Tracking (Tr) Num:** This number is defined by SERFF. It will differ from SERFF Filing tracking numbers by containing four extra numbers and letters in the middle of the tracking number.
- **SERFF Status:** This value is assigned by the SERFF application and automatically updates as activity occurs on a filing. This field has two main purposes: (1) Give state and industry a common measure as to where the filing is in the process and (2) give the SERFF application a mechanism to control activities that can take place on a filing.
 - 👉 **Draft:** Binder has been assigned a tracking number but has not been completed and submitted to the state.
 - 👉 **Submitted to State:** The Binder has passed all applicable validations and Author has submitted the Binder to the state. State can now access the filing.
 - 👉 **Assigned:** State has assigned the Binder to one or more reviewers.
 - 👉 **Pending Industry Response:** There are one or more open Objection Letters on the Binder that need a response from the issuer.
 - 👉 **Pending State Action:** One or more Objection Letters have been responded to by the issuer. Binder is still open.
 - 👉 **Closed:** The state has created a Disposition indicating the final action of the Binder and its collection of plans.
 - 👉 **Reopened:** The state has reopened the Binder.

Plans Tab

The Plans Tab contains the Standard Component ID, Plan Name, Metal Level, and Availability of the Plans included in the Binder.

The following field data will be imported from the Plans and Benefits Template once a Binder has been submitted:

- Plan Name
- Metal Level
- Availability (On Exchange, Off Exchange, Both)
- Unique Plan Design (indicator)

The screenshot shows the 'Plans Tab' interface. At the top, there are fields for Binder Name (Sample Binder Name), SERFF Tracking Num (NEIC-OR14-125002554), SERFF Status (Draft), Plan Year (2014), State Tracking Num, Date Submitted (Not Submitted), Market Type (Small Group), Company Tracking Num, and Company Status (-Please Select-). Below these are tabs for Plans, Associate Schedule Items, Fees, Templates, Supporting Documentation, Company and Contact, and Correspondence. The 'Plans' tab is active, showing a table with columns: Standard Component ID, Plan Name, Metal Level, Availability, State Status, and Disposition Status. The table contains three rows with IDs 4239OR0231, 4239OR0232, and 4239OR0233. An icon legend at the bottom indicates: Green checkmark - Certified, Red X - Certification Denied, and Blue house icon - Unique Plan Design.

The 'Standard Component ID' is populated from the value entered in the Wizard and is the only field editable on the Plans Tab. These IDs are assigned by HIOS and entered by the industry user.

Note: The 'Standard Component ID' can be only be updated until templates have been uploaded and validated. Upon template validation, the user will be unable to edit the Standard Component IDs on the Plans tab.

Note: It is very important that the Standard Component ID is entered exactly as generated by HIOS as it will be verified against the Plans and Benefits Template when uploaded.

At any time after Binder submission, a state user may update each Plan's State Status. If updated, the State Status will be viewable by the industry user.

Once the state has completed its review and submitted the closing Disposition, each plan's Disposition Status will be viewable by the industry user.

After the state entity has submitted a Certification, plans within the Binder will be indicated as Certified or Certification Denied:

Icon Legend:  - Certified  - Certification Denied  - Unique Plan Design

Associate Schedule Items

Associating Schedule Items allows the user to link submitted Rate and Form Schedule Items to each plan within a Binder. This functionality will eliminate the need for users to attach Rate and Form filing attachments to the Binder's Supporting Documentation tab. By Associating Schedule Items, the state will be able to view SERFF Filing attachments without leaving the Plan Management workspace as they review a Binder.

 **Note:** In order to associate Schedule Items, a Binder must be in 'View' mode (*Binder cannot be in 'Edit' mode*).



Step 1 – Search for Rate and Form Filing to Associate Items

1. Click on  button.

2. Search for SERFF Rate and Form Filing and Schedule Item(s)

Schedule Item Search

SERFF Tracking Number: *

Form Schedule Item Name:

Rate Schedule Item Name:

Supporting Document Item Name:

Associate Schedule Items

A valid, complete SERFF tracking number must be used. Additionally, criteria must be entered in at least one other field. The asterisk * serves as a wildcard and can be used to pull back all of the items for a particular schedule on a filing.

Search Cancel

3. A user must know the exact SERFF Tracking Number of the filing for which they want to link Schedule Items to a Binder in order to begin the Search.
4. The user must enter a SERFF Tracking Number and at least one Schedule Item search criterion.
 - The Schedule Item name can be a partial name, user can use the wildcard (*) to pull back results.
 - User can use wildcard (*) in all fields except the SERFF Tracking Number field.
 - Schedule Items from draft SERFF Filings may not be associated to SERFF Plan Binders.

Schedule Item Search

SERFF Tracking Number: *

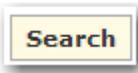
Form Schedule Item Name: *

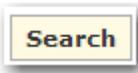
Rate Schedule Item Name: *

Supporting Document Item Name: *

Associate Schedule Items

A valid, complete SERFF tracking number must be used. Additionally, criteria must be entered in at least one other field. The asterisk * serves as a wildcard and can be used to pull back all of the items for a particular schedule on a filing.



5. Click the  button.
6. Filing details will appear:

Schedule Item Search

SERFF Tracking Number: *

Form Schedule Item Name: *

Rate Schedule Item Name: *

Supporting Document Item Name: *

Associate Schedule Items

A valid, complete SERFF tracking number must be used. Additionally, criteria must be entered in at least one other field. The asterisk * serves as a wildcard and can be used to pull back all of the items for a particular schedule on a filing.

Filing Details:

Product Name: Filing for Manual

TOI: H16G Group Health - Major Medical

Sub-TOI: H16G.003D Small Group Only - POS

Filing Type: Form

SERFF Tr Num: NEIC-128285399

Co Tr Num:

Date Submitted: 03/18/2013

SERFF Status: Submitted to State

Form Schedule		Supporting Documents					
<input type="checkbox"/>	Form Number	Form Type	Form Name	Action	Action Specific Data	Readability Score	Attachments
<input type="checkbox"/>	3	OTH	Form 1	Initial		45	PDF1.pdf

- Select the Schedule Item(s) that should be associated to one or more plans found within the Binder by clicking the checkbox to the left of the line item.

Form Schedule		Supporting Documents					
<input type="checkbox"/>	Form Number	Form Type	Form Name	Action	Action Specific Data	Readability Score	Attachments
<input checked="" type="checkbox"/>	3	OTH	Form 1	Initial		45	PDF1.pdf

Note: User may have more than one tab from which to select Schedule items. The user will need to click on the appropriate tabs to select all items that need to be associated with a Binder.

Form Schedule		Supporting Documents					
<input type="checkbox"/>	Form Number	Form Type	Form Name	Action	Action Specific Data	Readability Score	Attachments
<input checked="" type="checkbox"/>	3	OTH	Form 1	Initial		45	PDF1.pdf



- Click the **Next** button.
- Each plan will be listed with the selected Schedule Items.
- For each plan, select the Schedule Item(s) that should be associated to that plan by clicking the checkbox to the left of the line item.

Schedule Item Search

4239OR0231

Form Schedule Items

<input type="checkbox"/>	Form Number	Form Type	Form Name	Action	Action Specific Data	Readability Score	Attachments
<input checked="" type="checkbox"/>	3	OTH	Form 1	Initial		45	PDF1.pdf

Supporting Document Items

<input type="checkbox"/>	Document Name	Attachments
<input checked="" type="checkbox"/>	Cover Letter or Explanatory Memorandum <i>Comments: .</i>	
<input type="checkbox"/>	3894 Certification of Compliance	PDF2.pdf
<input checked="" type="checkbox"/>	3136b Standards for Small Employer Health Benefit Plans	PDF9.pdf Completed Fillable 1.pdf

4239OR0232

Form Schedule Items

<input type="checkbox"/>	Form Number	Form Type	Form Name	Action	Action Specific Data	Readability Score	Attachments
<input checked="" type="checkbox"/>	3	OTH	Form 1	Initial		45	PDF1.pdf

Supporting Document Items

<input type="checkbox"/>	Document Name	Attachments
<input type="checkbox"/>	Cover Letter or Explanatory Memorandum <i>Comments: .</i>	
<input type="checkbox"/>	3894 Certification of Compliance	PDF2.pdf
<input checked="" type="checkbox"/>	3136b Standards for Small Employer Health Benefit Plans	PDF9.pdf Completed Fillable 1.pdf



11. Click the button.

4239OR0233

Form Schedule Items

<input type="checkbox"/>	Form Number	Form Type	Form Name	Action	Action Specific Data	Readability Score	Attachments
<input type="checkbox"/>	3	OTH	Form 1	Initial		45	PDF1.pdf

Supporting Document Items

<input checked="" type="checkbox"/>	Document Name	Attachments
<input checked="" type="checkbox"/>	Cover Letter or Explanatory Memorandum <i>Comments: .</i>	
<input checked="" type="checkbox"/>	3894 Certification of Compliance	PDF2.pdf
<input checked="" type="checkbox"/>	3136b Standards for Small Employer Health Benefit Plans	PDF9.pdf Completed Fillable 1.pdf

12. Once the Schedule Items have been associated to the plan(s), users may take several actions by using the buttons seen above the Associated Schedule Items:

- Associate Schedule Items from SERFF rate/form filings by clicking the **Add** button.
- Select one to multiple Schedule Items to remove from each plan by clicking the **Remove** button.
- Copy one Schedule Item to one or more plans by clicking the **Copy** button.
- View the associated Schedule Items 'By Plan' or by 'Schedule Items'.

Plans Associate Schedule Items Fees Templates Supporting Documentation Company and Contact Correspondence

By Plans By Schedule Items

Add Remove Copy Select All Deselect All

4239OR0231

Form Schedule Items

<input checked="" type="checkbox"/>	SERFF Tracking Number	Form Name	Form Number	Attachments	Filing Status
<input checked="" type="checkbox"/>	NEIC-128285399	Form 1	3	PDF1.pdf	Submitted to State

Fees

The Fees Tab allows the user to enter Fee information for each plan contained within the Binder. The plans are identified on the Fees Tab by the Standard Component ID. The user will need to check Plan Management General Instructions for the specific state to know if they assess fees per plan.

Adding Fees

1. Click the  button.
2. Add the necessary fees for each plan in the Binder.

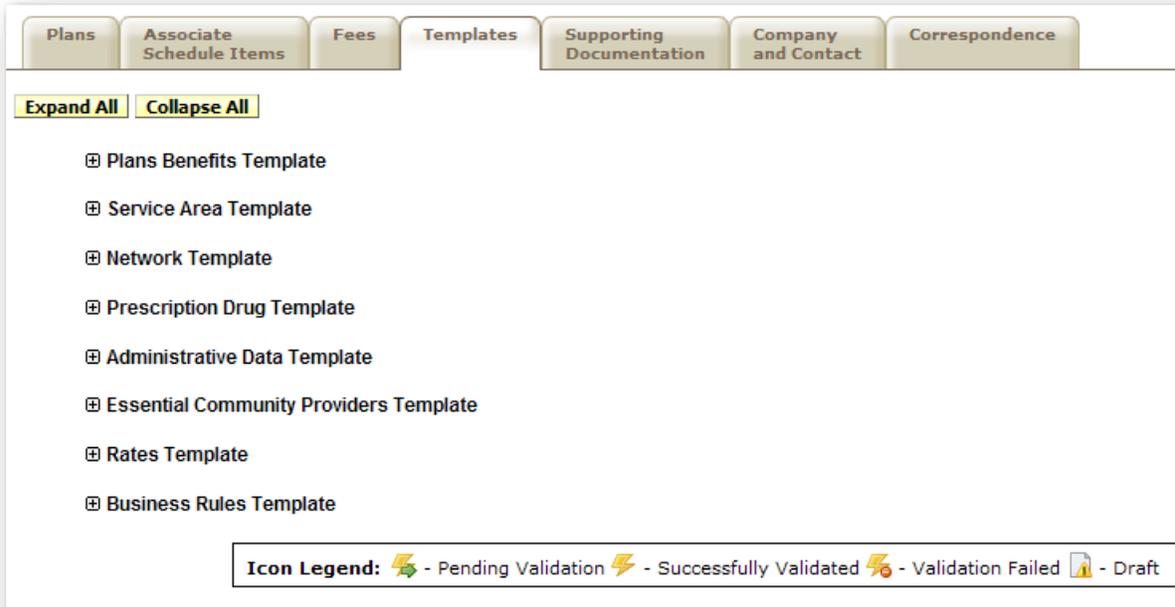
 Note: To submit a Binder, all fees must be greater than \$0.00 or 'Bypassed'.

3. Add 'Fee Description' if necessary.

Templates

For the purposes of SERFF Plan Management, a template is a Microsoft Excel workbook, developed by CCIO, used to collect a large amount of plan and issuer-level data for the use of QHP certification, Exchange operations, and oversight activities. Issuers should download the templates from their source and complete them on the desktop, initiating any validation checks within the Excel templates themselves. Templates generally have additional validation that is performed upon upload into the SERFF system. The validation checks are created and managed by the regulatory body providing the data collection template and are initiated in SERFF via web services. **All the Templates are Federal Templates at this time.**

There are eight Federal Templates configured on the Templates tab. Depending on the Exchange model of the state to which the user is creating the Binder, the user may have eight templates but there may be fewer. Some State-based Exchanges have elected to implement fewer Templates because their Exchange counterpart and/or DOI may account for the data currently in other manners.



 **Template Descriptions:**

- Plans Benefits Template - Collects plan and benefit data. Attachments include instructions and an add-in file.
- Prescription Drug Template - Collects formulary data for plans.
- Network Template - Information identifying a provider network.
- Service Area Template - Information identifying the geographic service area.
- Administrative Data Template - Collects general company and contact information.
- Essential Community Provider Template - Collects identifying information for Essential Community Providers.
- Rates Template - Collects rating table information.
- Business Rules Template - Collects supporting business rules for rates.

 **Step 1 - Complete Template:**

1. Expand the Template line item to access the link to the SERFF HIX page to access the Templates.

⊖ Essential Community Providers Template

Description

This is a federal data collection template for provider and street address information about the Essential Community providers in issuer networks. To download the latest version, please visit the SERFF website at <http://www.serff.com/hix.htm> . Please upload the XML version of the template created by the 'Finalize' action and not the Excel file itself.

2. Scroll down to 'Documentation' section.

Documentation

<p>Business</p> <p>Federal Plan Management Data Templates SERFF Plan Management - Blueprint Responses Plan Management Scope Change Summary SERFF Plan Management Scope v.2 Exchange Plan Management and SERFF - How the Pieces Fit Crosswalk Map Goals Swim Lanes of Proposed Exchange Models SERFF Plan Management Project General Timeline Overview of NAIC, SERFF and SERFF Plan Management Project</p> <p>For inquiries, please email: serffplanmgmt@naic.org</p>	<p>Technical</p> <p>Please use the HIXTechQuestions@naic.org e-mail to:</p> <ul style="list-style-type: none">• Inform the SERFF Team of your intention to use the Health API• Inform the SERFF Team of who will be working on the project be they State employees, consultants or vendors• Request application ID for the Beta testing environment• Request an ID to access the SERFF system in the Beta testing environment <p><i>*Please note the Health API is for states implementing a State Based Exchange only. At this time we are not offering web services to insurers.</i></p>
--	--

3. Under 'Business', click on 'Federal Plan Management Data Templates'.



Overview of QHP Templates
Last Updated: March 21, 2013

On November 20, 2012, CMS published CMS Form Number: CMS-10433: Initial Plan Data Collection to Support QHP Certification and other Financial Management and Exchange Operations. A part of the collection of this data will be in the form of Microsoft Excel workbooks with embedded Macros which will assist the filing issuers as they gather and enter the required data elements. These Microsoft Excel workbooks are referred to as "templates" and are intended to create a nationwide standard of plan- and issuer-level data collection for the use of QHP certification, exchange operations, and oversight activities.

The templates below represent the final versions that will be used by issuers to use in applying for certification to participate in the Federally-facilitated Exchanges and State Partnership Exchanges. Most State Based Exchanges will also use these templates. Please note that external testing of the templates will occur through the month of March, the results of which may lead to minor changes in the templates to be used for final QHP application submission. The plans and benefits template will be released with the latest add-in file versions of the state-specific benchmark data and AV calculator.

Template Name	Template Description	Version	Download
Administrative Template	Collects general company and contact information.	3.21	Administrative Data Template
ECP Template	Collects identifying information for Essential Community Providers.	3.2	Essential Community Providers Template
Plan/Benefit Template	Collects plan and benefit data. Attachments include instructions and an add-in file.	1.31	Plans and Benefits Template Instructions Plans Benefits Add-In

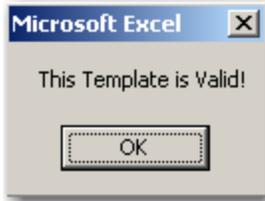
4. Scroll down to view all Templates.
5. Click on the Template to download and complete.

 **Step 2 – Validate Template:**

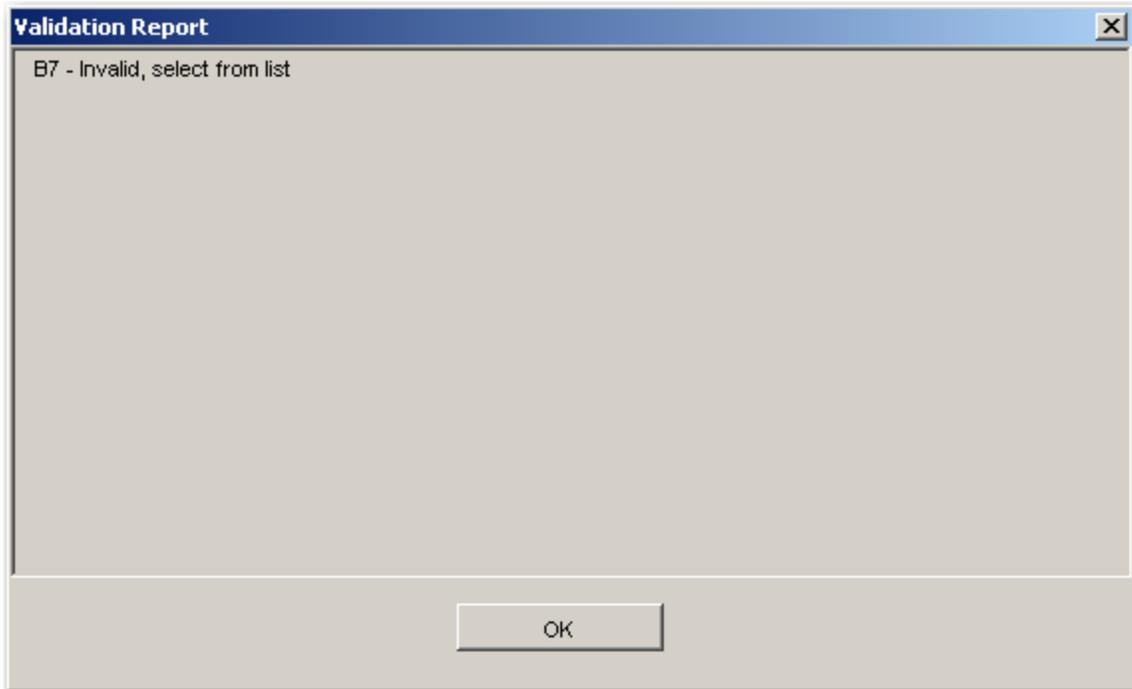
1. Once Template is complete user will need to Validate. The Validate button is in the upper left corner of the Template. The Validate button is executing internal validation on the template locally ensuring required fields are completed.



2. Once the user clicks on 'Validate' a pop up box will appear to let the user know that the Template is valid.



3. If there are any errors in the Template (blank required field, incorrect data in field, etc) an error will return. The user will then be able to correct the error and revalidate.

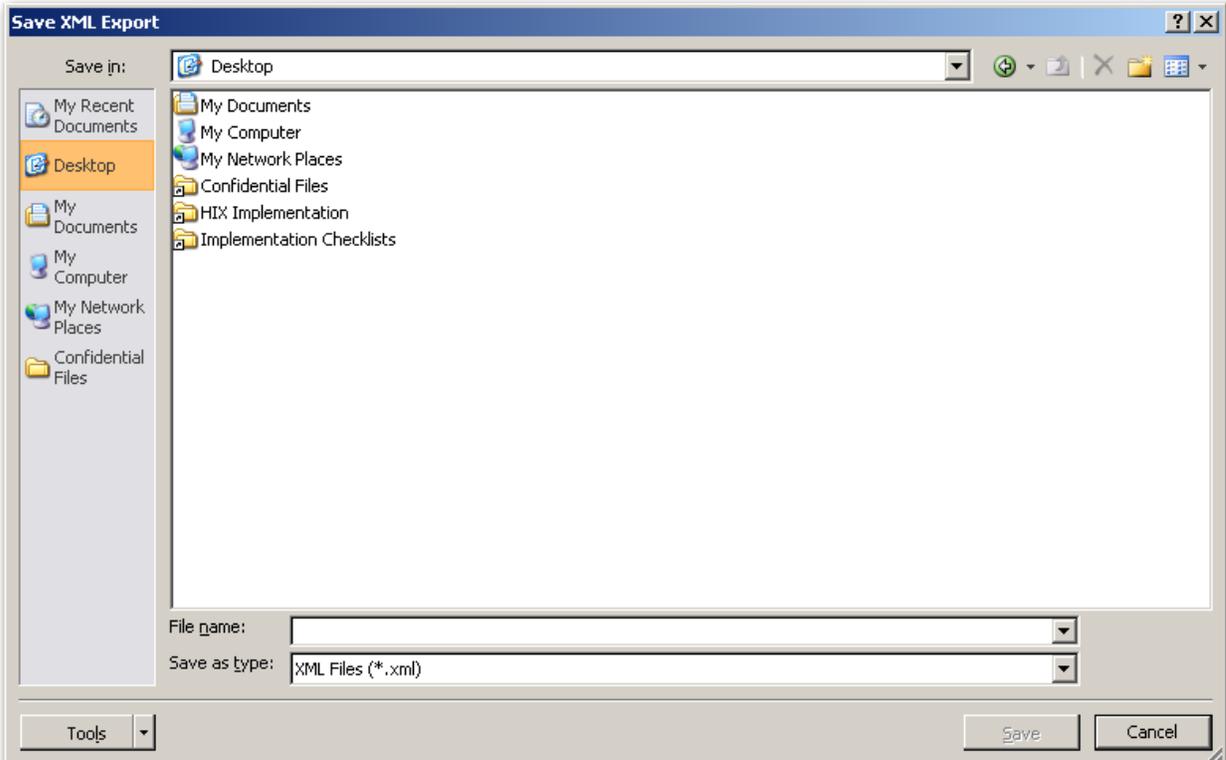


 **Step 3 – Finalize Template:**

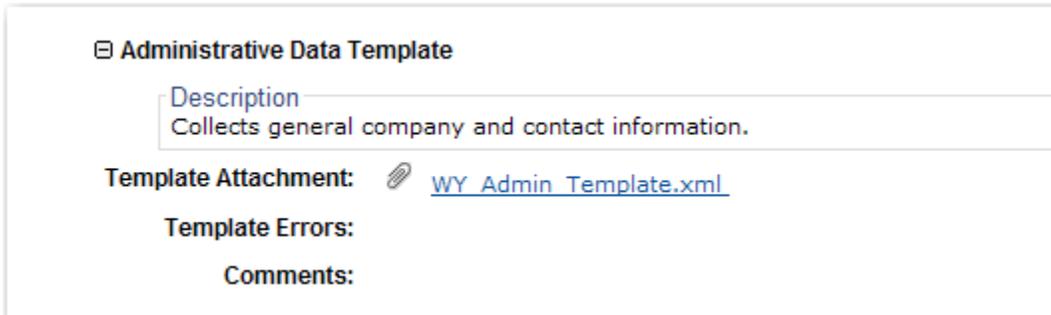
1. Once the Validation of the Template is complete, the user will Finalize the Template. This Finalization step converts the file into XML (which is required in order to Validate the Templates with the federal hub using web services and integration with the federal system using SERFF).
2. The Finalize button is directly below the Validate button.

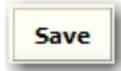


3. A dialog box will open which will allow the user to save the Template as XML.



4. Save the document as XML. User can rename the file but it is recommended that the Template title be kept in the name for ease of identification.
5. Upload the Template into the correct area of the Templates tab (Example: Administrative Template under the Administrative Data Template section). It is important that the user upload the XML version of the template and not the XLS.





6. Once the user is finished uploading all the Templates the user will click the button.
7. After all of the Templates are uploaded the user must validate at the Binder level by clicking the  button for the Templates to be validated by the federal system.
8. The user must then select the appropriate Templates to be validated.
9. Once the Validate button has been clicked, users will see the 'Pending Validation' icon displayed to the left of the Template title. This icon will show until the Template is successfully validated or validation fails.



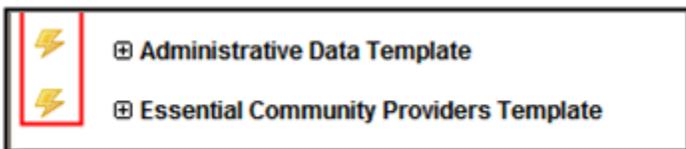
 **Note:** There are specific icons for every Template status:



10. The templates will either be successfully validated or the validation will fail. If the validation fails the user will see the 'Validation Failed' icon next to the Template.



11. If Validation failed, user will need to remove the incorrect template, correct any issues within the template and complete steps 1 through 5. Then the user will upload the corrected Template into SERFF to submit for Validation (with the federal system) again.
12. If the Template passes Validation the 'Successfully Validated' icon will appear.



13. Regardless of the Validation (successful or failed) the user will receive a message in their Message Center when the Validation comes back.

 **Note:** The state will only see successfully validated Templates. If the validation on a Template ever fails, the state will not see the Template.

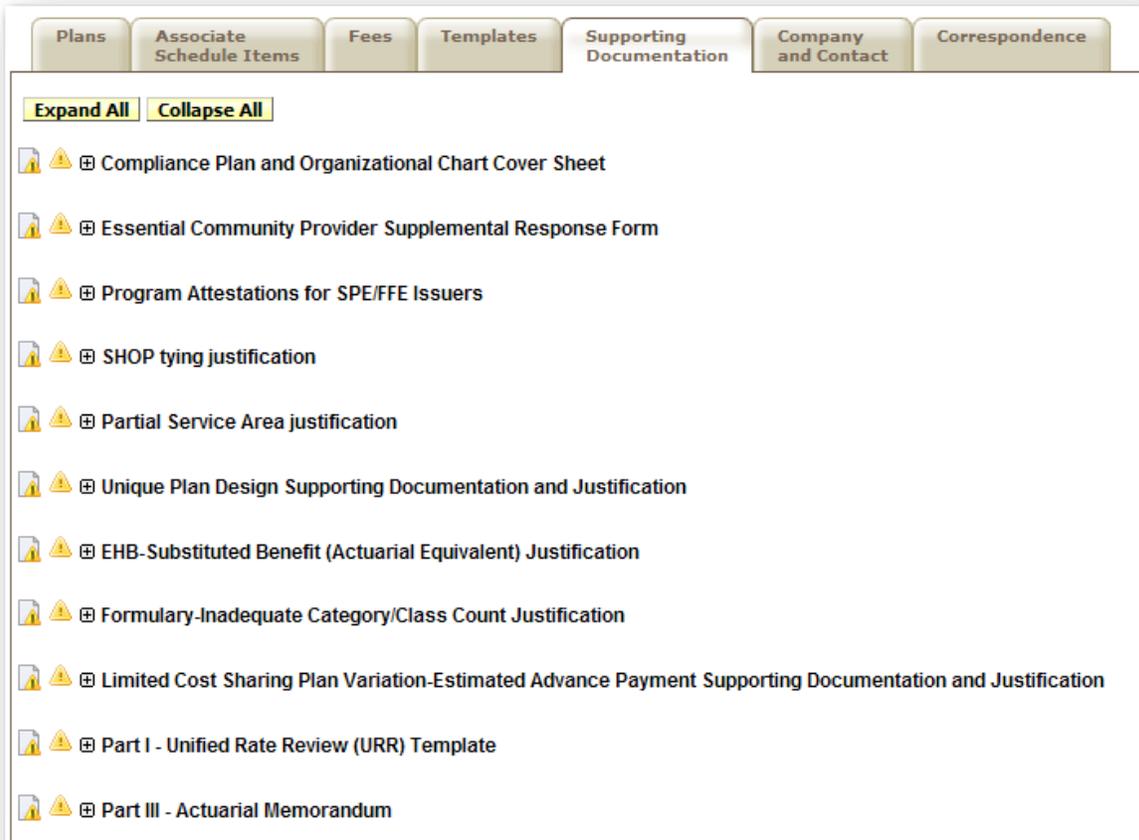
 **Note:** Final validation with the federal system is not immediate. Timeframes could range from minutes to several hours.

 **Note:** As a best practice, any large file should be compressed (zipped) to speed upload.

Supporting Documentation

The Supporting Documentation tab contains several state specific requirements as well as Federal requirements to be completed by the issuer. Two of these Federal requirements will be Part I – Unified Rate Review Template (URRT) and Part III – Actuarial Memorandum which are also market wide reforms.

To update Supporting Documentation, the Plan Binder must be in ‘Edit’ or ‘Revise’ mode (Revise mode is only available post submission).



1. The user will expand the item they wish to Satisfy or Bypass.
2. If the user wishes to satisfy they will do one of three things:
 - o Upload one or more attachments.
 - o Upload one or more attachments and enter a comment.

No Attachment Required

- o Click **No Attachment Required** and enter a comment.

Plans Associate Schedule Items Fees Templates Supporting Documentation Company and Contact Correspondence

Expand All Collapse All

Attestation

Description

Attach your Attestation here.

Supporting Doc.pdf

Comment:

No Attachment Required Bypass (Remove attachments to bypass)

Attachments: Completed Fillable 3.pdf Remove

Attach Files

3. If the user wishes to Bypass a Supporting Documentation item, they will click

Bypass

and add a comment.

Plans Associate Schedule Items Fees Templates Supporting Documentation Company and Contact Correspondence

Expand All Collapse All

Attestation

Third Party Filer

Description

Attach your company contract if you are a Third Party Filer.

Supporting Doc.pdf

Comment: Not a Third Party Filer.

No Attachment Required Bypass (Uncheck to add attachments)

Attach Files

4. User Added Supporting Documentation: Click the **Add Supporting Documents** button and complete the 'Name' field. After creating and naming the Supporting Documentation item the user may:
 - Upload one or more attachments.
 - Upload one or more attachments and enter a comment.
 - Click 'No Attachment Required' and enter a comment.

The screenshot shows a web form for adding supporting documents. At the top left is a yellow 'Remove' button. Next to it is a small icon of a person and a document. To the right is a 'Name:' label followed by a red asterisk and a text input field containing 'New Supporting Doc Item'. Below this is a 'Comment:' label and a large text area. Underneath the text area is a checkbox labeled 'No Attachment Required'. At the bottom left is an 'Attachments:' label, a file icon, the text 'PDF1.pdf', and a blue 'Remove' link. At the bottom center is a yellow 'Attach Files' button.

13. Note: Users must either click 'No Attachment Required' or upload an attachment before entering a comment.

Company and Contacts

The Company and Contact tab displays the company and contact information for the Binder. The accreditation information, provided by NCQA and URAQ, is displayed on the Company and Contact Tab of the Binder. These Accreditation IDs are entered on the Company maintenance screen. If an NCQA or URAQ ID is added after the Binder has been created it will not be reflected on that Binder but will show on Binders created after that action.

Updating Binder Company and Contact Information

1. Click on the dropdown arrow next to the Contact or Company

The screenshot shows a 'Contact:' label followed by a red asterisk and a text input field containing 'Anthony Shelton'. To the right of the text field is a dropdown arrow icon, which is highlighted by a red rectangular box.

2. Select the new Company or Contact.
3. Click the **Change** button to update the information.

Plans	Associate Schedule Items	Fees	Templates	Supporting Documentation	Company and Contact	Correspondence
-------	--------------------------	------	-----------	--------------------------	---------------------	----------------

Binder Contact Information:

Contact: * Anthony Shelton

Anthony Shelton, ashelton@celticinsurance.com
 1100 Walnut Ave (816)783-8787 [Phone]
 Suite 1500
 Kansas City, MO 64106

Binder Company Information:

Company: * Celtic Insurance Company

Celtic Insurance Company CoCode: 80799
 1100 Walnut Ave Group Code:
 Suite 1500 Group Name:
 Kansas City, MO 64106 FEIN Number: 08-0799123
 (816)783-8747 [Phone] State of Domicile: Illinois
 Company Type: LAH
 HHS Issuer ID: 80799

Accreditation Information:

[NCQA](#)

NCQA Organization ID:
28000

Issuer Name	Issuer State	Market Type	Product Type	Accreditation Status	Expiration Date
ABC Test Company	WY	Commercial	PPO	Commendable	03/01/2014

 Accreditation

The Accreditation IDs entered on the Comp maintenance screen, NCQA or URAQ ID is a after the Binder has b

Correspondence

Users familiar with SERFF Rate/Form Filings will notice that the Correspondence tab is almost unchanged on SERFF Binders. Pieces of Correspondence found on SERFF Binders are:

- Objection Letters
- Response Letters
- Amendments
- Dispositions
- Certifications
- Filer Notes
- Notes to Filer
- Notes to Reviewer

The following Filing Correspondence items are not available on SERFF Binders:

- Post Submission Updates
- Reminders

 **Responding to an Objection Letter**

If a Binder and its collection of plans does not meet all of a state’s filing requirements, an Objection Letter will be created by the state. An Objection Letter requires the Author or another user to submit a Response Letter, which may include one or more items within the Binder. The Author will receive a message in the Message Center stating that an Objection Letter has been received.

 **Step 1 – Review the State’s Objections**

1. The user will receive a message in their Message Center indicating that there is an Objection on their Binder.
2. The user will go to the Correspondence tab to view the Objection Letter.

Objection Letters					
Status	Submitted By	Submitted On	Responded By	Response	
Pending Industry Response	zzSERFFStaff zzStateSupportTC	03/21/2013 11:57 AM		Respond	

3. The user will click on the letter ‘status’ (the blue hyperlink) to open the Objection Letter.

Objection Letter for CELT-WY14-125000526

[Close](#)

Binder Name: PBM_v6.0_0321-2013	Plan Year: 2014	Market Type: Individual	Authors: TC SERFF Support
SERFF Tracking Num: CELT-WY14-125000526	State: Wyoming	State Tracking Num:	Reviewers:
	Company: Celtic Insurance Company	Company Tracking Num: IndustryTraining_03-21-2013	

Objection Letter Date: * 03/21/2013

Date Submitted: 03/21/2013 11:57 AM

Respond By Date: 03/22/2013

Objection Letter Status: * Pending Industry Response

Comments: * Please sign attestation.

ALL ISSUES WILL BE DOCUMENTED HERE.

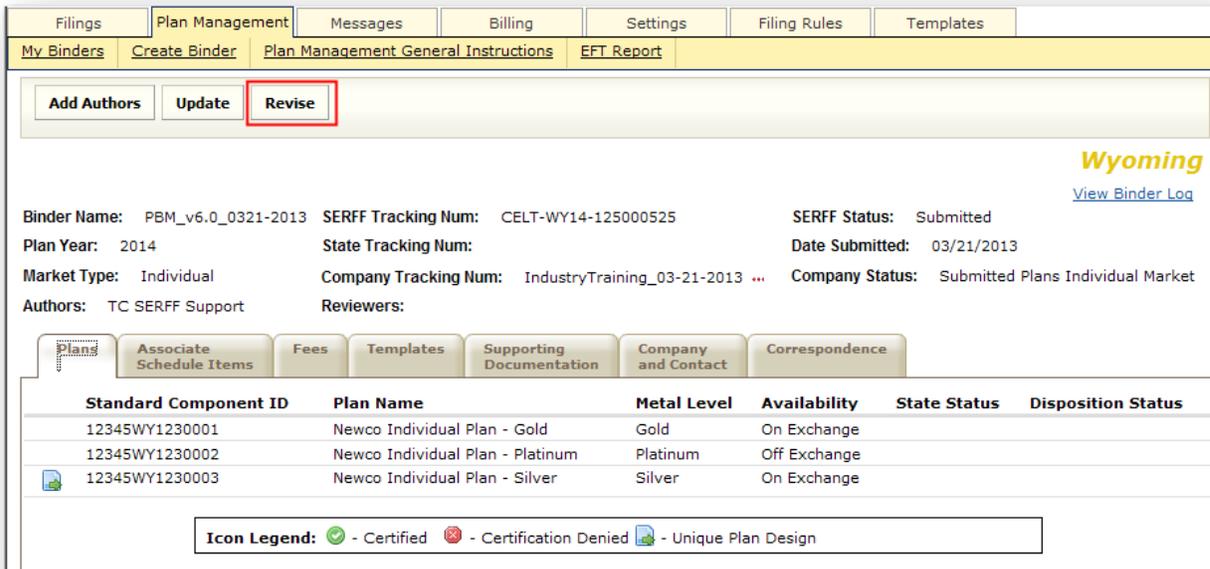
[Close](#)

 **Step 2 – Update Item(s)**

- After reviewing the Objection Letter, the user will go to the part of the Binder that needs to be corrected.



- The user will click on the  button.



- This will put the Binder into 'Revise Mode'.

Filings | Plan Management | Messages | Billing | Settings | Filing Rules | Templates

My Binders | Create Binder | Plan Management General Instructions | EFT Report

Save | Apply | Cancel | **--- Revise Mode ---**

Wyoming
[View Binder Log](#)

Binder Name: PBM_v6.0_0321-2013 SERFF Tracking Num: CELT-WY14-125000525 SERFF Status: Submitted
 Plan Year: 2014 State Tracking Num: Date Submitted: 03/21/2013
 Market Type: Individual Company Tracking Num: IndustryTraining_03-21-2013 ... Company Status: Submitted Plans Individual Market
 Authors: TC SERFF Support Reviewers:

Templates | Supporting Documentation | Correspondence

Expand All | Collapse All

- ⚡ ⊞ Benefits Group **Revise**
- ⚡ ⊞ Administrative Data Template **Revise**
- ⚡ ⊞ Essential Community Providers Template **Revise**
- ⚡ ⊞ Rates Template **Revise**
- ⚡ ⊞ Business Rules Template **Revise**

- In 'Revise Mode' the user will be able to 'Revise' anything on the Templates or Supporting Documentation tabs.
- Click the **Revise** button next to the item that needs to be updated.

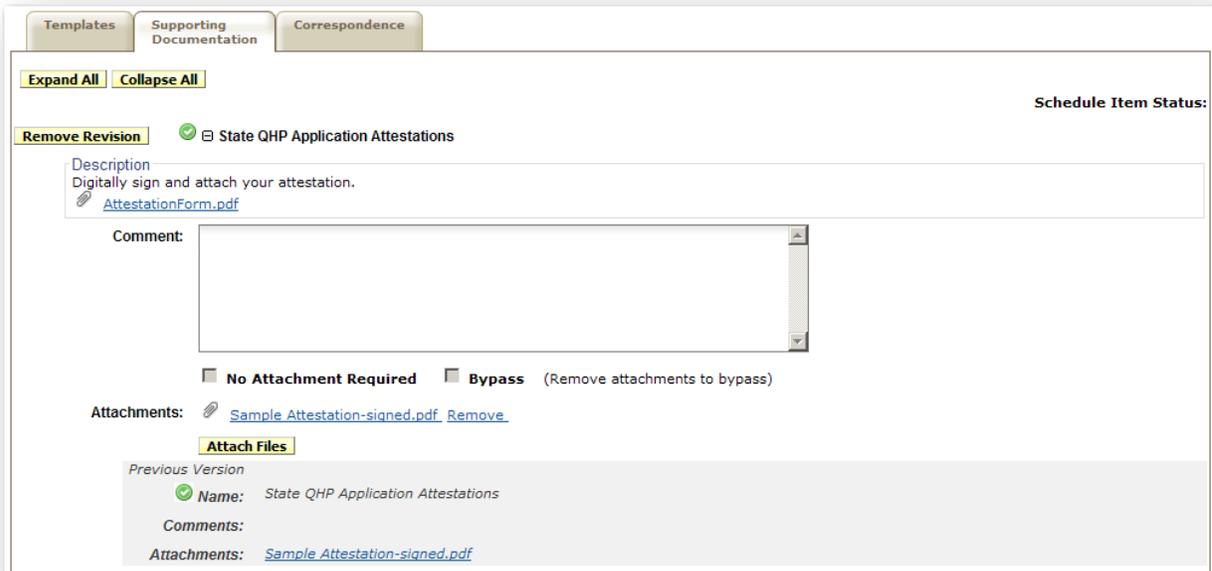
Templates | Supporting Documentation | Correspondence

Expand All | Collapse All

Revise ⊞ State QHP Application Attestations

Add Supporting Documents

- This will allow the user to make the necessary changes.

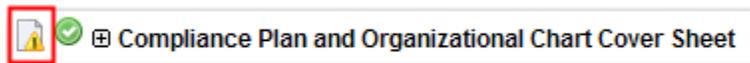


10. After the user clicks on 'Revise' they will see a greyed out 'Previous Version' of their line item below the area where they are making the change. That original view of the item will always show no matter what changes are made to this line item in the life of this Binder.

11. Once a change has been made, a **Remove Revision** button will show. This allows the user to 'undo' the most recent revision and set the item back to its original form.

12. Once all necessary changes have been made, the user will click the **Save** button.

13. Next to the updated item the 'Draft' icon will show. This indicates that the item has been updated but not yet submitted to the state.



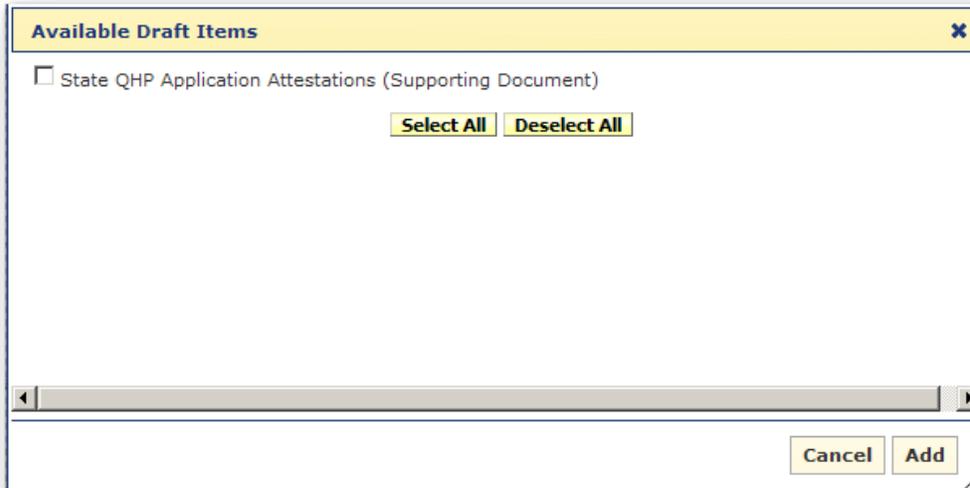
Step 3 – Create Response Letter

14. To submit the changes to the state, return to the Correspondence Tab.

15. Click on the **Respond** button to open the Response Letter.

16. Fill in the Comment section. This is a required field.

17. To bring in the changed item(s), click on the **Add Draft Binder Items** button.



18. Select item (or items) that have been amended and need to be included in the Response Letter by putting a check in the box to the left of the item title.
19. Click the **Add** button.
20. The item will be brought into the Response Letter.



21. Click the **Save** button.
22. To submit to the state, click the **Submit** button.
23. Once the Response Letter has been submitted the time stamp will update on the Correspondence tab.

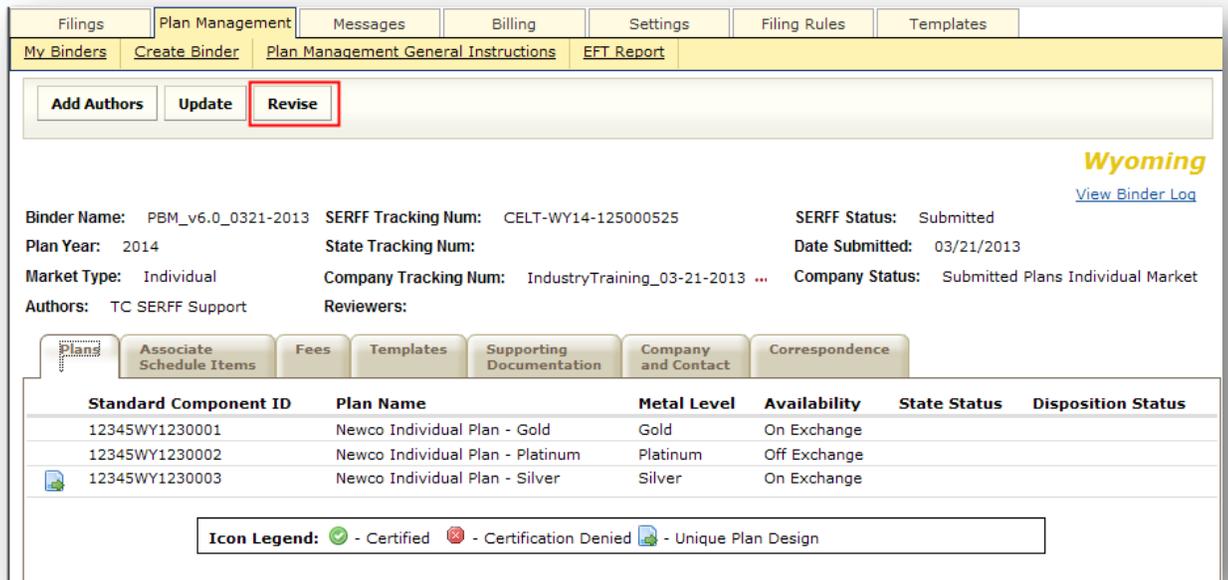
Response Created On	Response Submitted On
03/25/2013	03/25/2013 04:20 PM

Amendments

This is only used when the Amendment is not in response to an Objection Letter (for example, the filer has decided to add a schedule item).

 **Step 1 – Revise/Add Schedule Item**

1. The user will click on 



The screenshot shows the SERFF web interface. At the top, there is a navigation menu with tabs for Filings, Plan Management, Messages, Billing, Settings, Filing Rules, and Templates. Below this is a sub-menu with My Binders, Create Binder, Plan Management General Instructions, and EFT Report. The 'Revise' button is highlighted with a red box. Below the navigation is a section for 'Wyoming' with a 'View Binder Log' link. The binder details are as follows:

Binder Name: PBM_v6.0_0321-2013 **SERFF Tracking Num:** CELT-WY14-125000525 **SERFF Status:** Submitted
Plan Year: 2014 **State Tracking Num:** **Date Submitted:** 03/21/2013
Market Type: Individual **Company Tracking Num:** IndustryTraining_03-21-2013 ... **Company Status:** Submitted Plans Individual Market
Authors: TC SERFF Support **Reviewers:**

Below the details are several buttons: Plans, Associate Schedule Items, Fees, Templates, Supporting Documentation, Company and Contact, and Correspondence. A table of schedule items is displayed below:

Standard Component ID	Plan Name	Metal Level	Availability	State Status	Disposition Status
12345WY1230001	Newco Individual Plan - Gold	Gold	On Exchange		
12345WY1230002	Newco Individual Plan - Platinum	Platinum	Off Exchange		
 12345WY1230003	Newco Individual Plan - Silver	Silver	On Exchange		

At the bottom, there is an 'Icon Legend' box:

Icon Legend:  - Certified  - Certification Denied  - Unique Plan Design

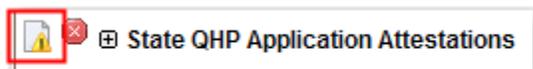
2. The Binder will now be in 'Revise Mode'

SERFF End User Training Appendix II

The screenshot displays the SERFF web application interface. At the top, there is a navigation menu with tabs for Filings, Plan Management, Messages, Billing, Settings, Filing Rules, and Templates. Below this is a secondary menu with 'My Binders', 'Create Binder', 'Plan Management General Instructions', and 'EFT Report'. A control bar contains buttons for 'Save', 'Apply', 'Cancel', and a red-bordered button labeled '-- Revise Mode --'. The main content area shows the 'Wyoming' binder details for 'PBM_v6.0_0321-2013'. It includes fields for Binder Name, Plan Year, Market Type, Authors, SERFF Tracking Num, State Tracking Num, Company Tracking Num, SERFF Status, Date Submitted, and Company Status. Below the details are tabs for 'Templates', 'Supporting Documentation', and 'Correspondence'. Under the 'Templates' tab, there are buttons for 'Expand All' and 'Collapse All', followed by a list of templates: 'Benefits Group', 'Administrative Data Template', 'Essential Community Providers Template', 'Rates Template', and 'Business Rules Template'. Each template entry has a yellow lightning bolt icon and a 'Revise' button.

3. In 'Revise Mode' the user will be able to 'Revise' any items on the Templates or Supporting Documentation tabs.
4. Click the **Revise** button next to the item that needs to be updated.
5. This will allow the user to make the necessary changes.

6. After the user clicks on 'Revise' they will see a greyed out 'Previous Version' of their line item below the area where they are making the change. That original view of the item will always show no matter what changes are made to this line item in the life of this Binder.
7. Once a change has been made, a **Remove Revision** button will show. This allows the user to 'undo' the most recent revision and set the item back to its original form.
8. Once all necessary changes have been made, the user will click on the **Save** button.
9. Next to the updated item the 'Draft' icon will show. This indicates that the item has been updated, but not yet submitted to the state.



 **Step 2 – Create Amendment**

1. Click on the Filing Correspondence tab.
2. Click the **Create Amendment** button.

Amendment of CELT-WY14-125000380

Save Apply Cancel

Binder Name: PBM_v6.0_0328-2013	Plan Year: 2014	Market Type: Individual	Authors: TC SERFF Support, zSE
SERFF Tracking Num: CELT-WY14-125000380	State: Wyoming	State Tracking Num: CREATE OBJ	Reviewers:
Company: Celtic Insurance Company		Company Tracking Num: ObjRes-0312	

Date Submitted:

Comments: *

Changed Items:

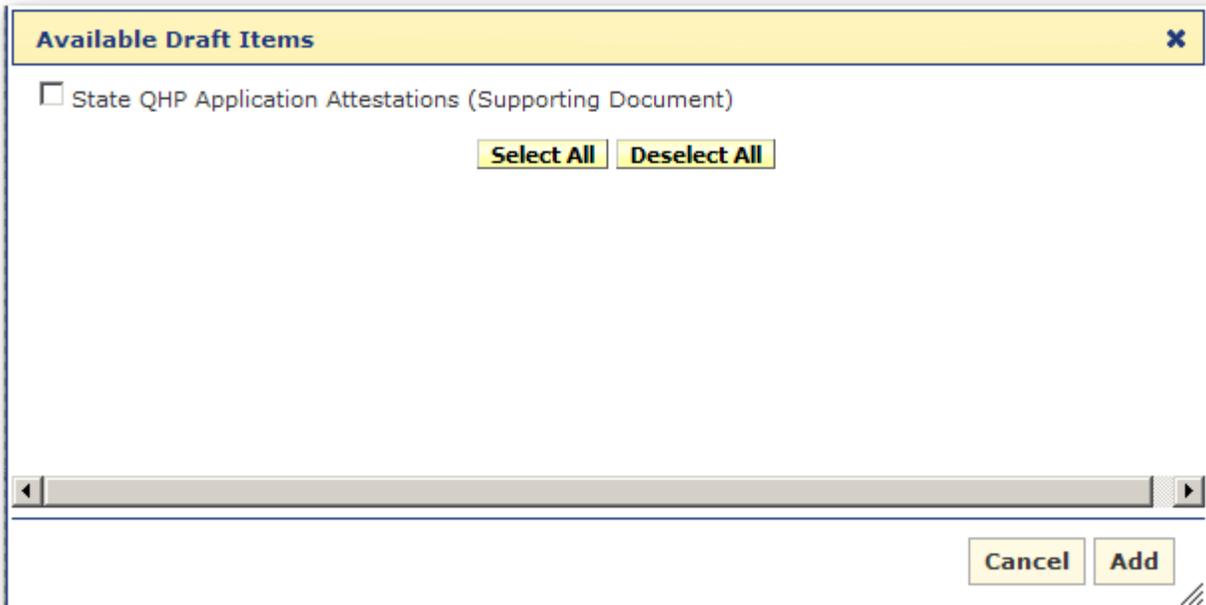
No Templates changed.

No Supporting Documents changed.

Add Draft Binder Items

Save Apply Cancel

3. Fill in Comments section. This is required.
4. To bring in the changed item(s), click on the **Add Draft Binder Items** button.

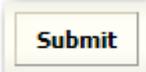


5. Select item(s) that have been amended and need to be included in the Amendment by putting a check in the box to the left of the item title.

6. Click the  button.

7. The updated item(s) will now show in the Amendment Letter.

8. Click the  button.

9. To submit to the state, click the  button.

Disposition

When a Disposition is created for a Binder, the SERFF status of that Binder is changed to 'Closed.' The Disposition can be found on the Correspondence Tab of the Binder. The user will receive a message in the Message Center indicating that there is a Disposition on the Binder.

 **View a Disposition**

1. Click on the Binder Correspondence tab.



2. Click the blue link under Dispositions.

Dispositions					
Status	Created By	Created On	Submitted By	Date Submitted	
Submitted	zzSERFFStaff zzStateSupportTC	03/19/2013	zzSERFFStaff zzStateSupportTC	03/19/2013 11:48 AM	

The Disposition lists each plan including the following corresponding data:

- Plan Name
- Standard Component ID
- Plan Availability
- Plan Disposition Status
- Plan State Status

Disposition for CELT-WY14-125000404

Plan Binder Name: PBM_v6.0_0312-2013 Plan Year: 2014 Market Type: Individual Authors: TC SERFF Support
 SERFF Tracking Num: CELT-WY14-125000404 State: Wyoming State Tracking Num: 0312-2013 state Reviewers: zzSERFFStaff zzStateSuppo ...
 SERFF Status: Closed Company: Celtic Insurance Company Tracking Num: Finish and Submit

Date Submitted: 03/12/2013 02:19 PM
 Comments:* Plans approved

Plan Name	Standard Component ID	Plan Availability	Plan Disposition Status *	Plan State Status
	12345WY1230001		Approved	Plan Approved
	12345WY1230002		Approved	Plan Approved
	12345WY1230003		Disapproved	Plan Disapproved

Attachments:

Certification

Certifications indicate a second level of review. In some states, certification will be used to indicate a recommendation or determination by the Exchange that the plan(s) have been accepted for use on the Exchange. Multiple Certifications may be submitted as decisions may take place at varying times for plans included in a single Binder. The user will receive a message in the Message Center indicating that there is a Certification.

Viewing a Certification

1. Click on the Binder Correspondence tab.



2. Click the blue link under Certifications.

Certifications					
Status	Created By	Created On	Submitted By	Date Submitted	
Submitted	zzSERFFStaff zzStateSupportTC	03/19/2013	zzSERFFStaff zzStateSupportTC	03/19/2013 11:51 AM	

The Certification lists each Plan including the following corresponding data:

- **Certify?** - This identifies each Plan as being 'Certified,' 'Certification Denied,' or 'Not Determined.'
- **Plan Name**
- **Standard Component ID**
- **Plan Availability**
- **Plan Disposition Status**
- **Plan State Status**
- **Action Date** - The date the Plan was certified or denied certification.

Certification for CELT-WY14-125000404

Close

Plan Binder Name: PBM_v6.0_0312-2013 Plan Year: 2014 Market Type: Individual Authors: TC SERFF Support
 SERFF Tracking Num: CELT-WY14-125000404 State: Wyoming State Tracking Num: 0312-2013 state Reviewers: zzSERFFStaff
 zzStateSuppo ...
 SERFF Status: Closed Company: Celtic Insurance Company Company Tracking Num: Finish and Submit

Plans:

Certify?	Plan Name	Standard Component ID	Availability	Plan Disposition Status	Plan State Status	Action Date
Certified		12345WY1230001		Approved	Plan Approved	03/12/2013 02:23 PM
Certified		12345WY1230002		Approved	Plan Approved	03/12/2013 02:23 PM
Certification Denied		12345WY1230003		Disapproved	Plan Disapproved	03/12/2013 02:23 PM

Date Submitted: 03/12/2013 02:23 PM
 Comments: * enter comments
 Attachments:

Close