

HMO FILING REVIEW AND PROCESSING

SUBSEQUENT FILINGS (AFTER CERTIFICATE OF AUTHORITY HAS BEEN ISSUED)									
DESCRIPTION	RECEIVED BY:	REVIEWED BY:	APPROVAL OR NOTIFICATION TO COMPANY LICENSING & REGISTRATION (CLR) BY FAE	FORM OF APPROVAL	MAINTAINED BY:	FEES COLLECTED BY:	FEE AMOUNT	FAE REVIEW STANDARDS (IN ADDITION TO HAZARDOUS CONDITIONS, TIC 1.32, TAC 8.3)	
Changes in EOC (TAC 11.301(4)(A))	HMO	HMO	N/A	HMO	HMO	HMO	N/A	N/A	
Service Area Description and Map filed in connection with the EOC (TAC 11.301(4)(A)-(B))	HMO	HMO	N/A	HMO	HMO	HMO	\$100	N/A	
Service Area Expansions (TAC 11.301(4)(B), 11.302)--see above for other applicable filing fees	CLR	HMO/FAE - Financial Analyst (cf5)	YES	FAE-Memo to CLR and Memo to file; CLR-Order and transmittal letter to company	HMO	CLR	\$0	financial impact; reasonableness of projections; ability to fund growth of HMO; follow "Procedures for Reviewing Service Area Expansions"	
Contracts with O/D (TAC 11.301(4)(C))	CLR	FAE- Holding Co. Analyst (set up file)	YES	FAE-Order, transmittal letter and stamped docs	FAE	FAE	\$0	arms-length; fair and equitable; term of contract or agreement reasonable; financial impact	
Exclusive Agency Contracts(TIC 843.105, TAC 11.301(4)(C))	CLR	FAE- Holding Co. Analyst (set up file); peer review by assigned financial	YES	FAE-Memo to file, no action letter and stamped docs	FAE	FAE	\$0	arms-length; fair and equitable; term of contract or agreement reasonable; financial impact	
Management, Marketing, Administrative, EDP, Claims Processing Agreements (TIC 843.105, TAC 11.301(4)(C))	CLR	FAE- Holding Co. Analyst & HMO (set up file); peer review by assigned financial analyst	YES	FAE-Memo to file, no action letter and stamped docs	FAE	FAE	\$0	arms-length; fair and equitable; term of contract or agreement reasonable; financial impact	
Delegated Network Agreement (TIC 1272)	HMO	HMO	N/A	FYI only	HMO	HMO	\$50	notify Holding Co. analyst that an agreement has been received	
Form A's (TAC 11.1201-11.1206; 11.301(4)(D))	CLR	FAE- Holding Co. Analyst (set up file)	YES	FAE-Order and transmittal letter	FAE	FAE	\$0	TAC §11.1205 conditions	
Mergers (TIC 824, TAC Subchapter M; 11.301(4)(D))	CLR	FAE-Holding Co. Analyst/Life Group (set up file)	YES	FAE-Memo to CLR; CLR-Order and transmittal letter	CLR	CLR	\$0	financial condition of survivor	
Agreements with affiliates (TIC 843.103 & 843.105, TAC 11.301(4)(E) & (K), 11.804)	CLR	FAE- Holding Co. Analyst (set up file)	YES	FAE-Memo to file, no action letter and stamped docs; if under TAC 11.804, then letter of approval	FAE	FAE	\$0	arms-length; fair and equitable; term of contract or agreement reasonable; financial impact	
Dividends- Filings not required currently. (Courtesy filing--TAC 11.301(4)(F) & 11.807)	CLR	FAE - Financial Analyst (set up file)	YES	N/A; FAE-Memo to file; if liquidating dividend, see dissolutions	FAE	FAE	\$0	minimum statutory surplus required; statutory net worth in excess of \$0	
Loans to Controlled Entities (TAC 11.301(4)(G))	CLR	FAE-Holding Co. Analyst (set up file)	YES	FAE-Order, transmittal letter and stamped docs	FAE	FAE	\$0	financial impact to HMO; ability of HMO to bear cash outflow	
Amendments to Articles of Incorporation (TAC 11.301(4)(H))	CLR	CLR	N/A--Approved by CLR	CLR-Memo to file/order if change to previous order, transmittal letter and copy of stamped docs	CLR	CLR	\$0	N/A	
Amendments to Bylaws (TAC 11.301(4)(I))	CLR	CLR	N/A--Approved by CLR	CLR-Memo to file, transmittal letter and copy of stamped docs	CLR	CLR	\$0	N/A	

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D/B/As, trade or service marks (TAC 11.301(4)(J))	CLR	CLR	N/A--Approved by CLR	CLR-Memo to file, transmittal letter and copy of approval of Secretary of State	CLR	CLR	\$0	N/A	
Changes to Emergency Care Procedures (TAC 11.301(4)(L))	HMO	HMO	N/A	HMO	HMO	HMO	\$0	N/A	
Bios updates on O/D (TAC 11.301(5)(A))	CLR	CLR	N/A--Handled by CLR	FYI only; CLR-Memo to file	CLR	CLR	\$50	N/A	
Cancellations/fidelity bonds of management company (TIC 843.105), TAC 11.301(5)(B))	CLR	CLR/ FAE - Holding Co Analyst to determine impacted management agreements (cf5)	YES	FYI only; FAE-Memo to CLR; CLR-Stamp FYI and send copy back to company with transmittal letter	CLR	CLR	\$50	minimum \$100,000; no deductible; licensed carrier	
Cancellations or Amendments to Fidelity Bonds of the HMO's Officers and Employees (TIC 843.402, TAC 11.301(5)(B))	CLR	CLR	N/A--Handled by CLR	FYI only; CLR-Stamp FYI and send copy back to company with transmittal letter	CLR	CLR	\$50	minimum \$100,000; no deductible; licensed carrier	
Method/Calculation of Rates (TAC 11.301(5)(C))	HMO	HMO/LACT	N/A	HMO	HMO	HMO	\$50	N/A	
Change in Administrative Offices (TAC 11.301(5)(D))	CLR	CLR	N/A--Handled by CLR	FYI only; CLR-Memo to file and send copy to company with transmittal letter	CLR	CLR	\$50	N/A	
Foreign HMO C/A amendments, including change in registered office (TAC 11.301(5)(E))	CLR	CLR	N/A--Handled by CLR	FYI only; CLR-Order and transmittal letter	CLR	CLR	\$50	N/A	
Contracts with Providers (TAC 11.301(5)(F))	HMO	HMO	YES	FYI only	HMO	HMO	\$50	N/A	
Parental Guarantees for HMOs not writing Medicaid (TIC 843.002 (27), 843.405, TAC 11.301(5)(G), 11.806(a)(3))	CLR	FAE - Financial Analyst (set up file)	YES	FYI only; FAE-Memo to file; FAE-Stamp FYI and send copy back to company with transmittal letter	FAE (cf1)	FAE	\$50	\$5,000,000 net worth for each affiliate guarantee; consolidated annual audit report w/ unconsolidated schedule of each affiliate of sponsoring organization; board resolution from sponsoring organization (also see capital commitment letters below)	
Parental Guarantees for HMO's offering Medicaid and is not a taxing authority (TIC 843.002 (27), 843.405, TAC 11.301(5)(G), 11.806(a)(3))	CLR	FAE-Financial Analyst (set up file)	YES	FAE-Memo to file, no action letter and stamped docs	FAE (cf1)	FAE	\$0	\$10,000,000 net worth for each affiliate guarantee; six months advanced notice to Department and the Department of Health before termination of guarantee; board resolution; annual reports as required above.	

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Parental Guarantees for HMO offering Medicaid under the 1115 Waiver Program and is a Taxing Authority (TIC 843.002 (27), 843.405,, TAC 11.301(5)(G), 11.806(a)(3))	CLR	FAE-Financial Analyst (set up file)	YES	FAE-Memo to file, no action letter and stamped docs	FAE (cf1)	FAE	\$0	Is the sponsoring organization a taxing authority for the purpose of funding medical care to a portion of the population of Texas and has HMO provided documentation to prove this; is the HMO providing Medicaid under the 1115 Waiver Program
Capital Commitment Letters, Stock Subscription Agreements (TAC 11.301(5)(G), 11.806(a))	CLR	FAE-Financial Analyst (set up file)	YES	FYI only; FAE-Memo to file; FAE-Stamp FYI and send copy back to company with transmittal letter	FAE (cf1)	FAE	\$50	parent's ability to honor commitment; review in conjunction with business plan
Stop-loss or Reinsurance (TAC 11.204(15), 11.301(5)(G))	CLR	FAE - Reinsurance Analyst (set up file)	YES	FYI only; FAE-Memo to file, stamp FYI and send copy back to company with transmittal letter	FAE	CLR	\$50	same as current review standards
Changes in Affiliate Chart (TAC 11.301(5)(H))	CLR	FAE - Financial Analyst (cf5)	YES	FYI only; FAE-Memo to CLR; FAE-Stamp FYI and send copy back to company with transmittal letter	FAE (cf5)	FAE	\$50	if HMO investment change--financial impact; if no HMO investment change, file away for consideration in next financial review
Information to Prospective Group Contract Holders and Enrollees (TAC 11.301(5)(I), 11.1600)	HMO	HMO	N/A	HMO	HMO	HMO	\$50	N/A
Changes in Information to Prospective Group Contract Holders (TAC 11.301(5)(I))	HMO	HMO	N/A	HMO	HMO	HMO	\$50	N/A
Modification of Compensation Arrangements (TAC 11.301(5)(J))	CLR	FAE-Holding Co Analyst (set up file)	YES	N/A; FAE-Memo to file	FAE	CLR	\$0	N/A
Changes in Network Configuration (TAC 11.301(5)(K))	HMO	HMO	N/A	HMO	HMO	HMO	\$50	N/A
Reduction of Deposit (TIC 843.405, TAC 11.802(d))	CLR	FAE-Financial Analyst (cf5) (set up file)	YES	FAE-Memo to CLR and Memo to file; CLR-Approval letter to	CLR	CLR	\$50	Reduction of deposit would result in financial condition hazardous to enrollees, creditors, or general public; reasonableness of projections
Waiver of Deposit (TIC 843.405, TAC 11.802(e))	CLR	FAE-Financial Analyst (cf5) (set up file)	YES	Memo to file; CLR-Approval letter to company	CLR	CLR	\$50	Reduction of deposit would result in financial condition hazardous to enrollees, creditors, or general public; reasonableness of projections
Assumption Reinsurance (TIC 492)	CLR	FAE-Reins. Analyst/HMO Unit (set up file)	YES	FAE-Memo to CLR; CLR-Total, order and transmittal letter; Partial, memo to file	CLR	CLR	\$750 Total \$150 Partial	same as current review standards
Dissolutions (TBCA 6.06--for profit; 13.96 non-profit)	CLR	FAE - Financial Analyst/Reins. Analyst (cf5)	YES	FAE-Memo to CLR; CLR-Order and transmittal letter	CLR	CLR	\$0	all policy obligations assumed/covered

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Exemption from change in control of affiliates (TAC 11.1206)	CLR	FAE- Holding Co. Analyst (set up file)	YES	FAE-Order, transmittal letter and stamped docs	FAE	FAE	\$0	no actual change in control; financial condition of new direct parent
Monitoring Plans for contracts between primary HMO's and provider HMO's or ANHC's (TAC 11.1604 (1))	HMO	HMO* (See note under Review Standards)	N/A	HMO	HMO	HMO	\$50	FAE analyst ensures Exhibit 6 and 7 sent to the HMO Unit by March 31st.
Contracts between primary HMO's and provider HMO's or ANHC's (TAC 11.1604 (2))	HMO	HMO/FAE - Holding Company Analyst (set up file)	YES	FAE-Memo to file; HMO	HMO	HMO	\$50	Material financial impact. Determine if material variance from current arrangement, % of providers impacted, and any resulting material effect on medical loss ratio. (See Provider Contract Checklist and Summary Form.)
Material Transaction Filings (TIC 21.49-8)	CLR	FAE - Financial Analyst/Reins. Analyst (set up as Holding Co. transaction)	YES	FYI only; FAE-Memo to file, stamp FYI and send copy back to company with transmittal letter	FAE	FAE	\$0	arms-length; financial impact
Move Books and Records Outside Texas (TIC 803, TAC 7.25)	CLR	CLR--if no affidavit of domiciliary state, then review by FAE Holding Co. Analyst	YES	FAE-Memo to CLR; CLR-Order and transmittal letter	CLR/Notify EXAMs	CLR	\$150	Can't move if not member of insurance holding company system subject to TIC 823; if ins. co. is domestic, check for compliance with TIC 823; if ins. co. is foreign, affidavit from home state that ins. co. is in compliance with HC Act
Surplus Debenture Filings - affiliate and non affiliate (TIC 1.39, TAC 7.7)	CLR	FAE - Holding Co. Analyst (set up as Holding Co. transaction)	YES	FAE-Order, transmittal letter and stamped docs	FAE	FAE	\$0	surplus floor at least \$500,000; interest rate reasonable; reason for issuance; subordination to policyholders and general creditors; fair and equitable