

NCDOI 2020 Plan Year Plan Management Documentation
Final Consistency Expectations

The following are NCDOI's expectations relating to data consistency between single-risk pool rate filings, plan binders, and HIOS submissions (for rates **AND** QHP applications). NCDOI expects that all insurers have or will take all actions necessary to achieve the following consistency requirements with regard to its single-risk pool rate filings (both federal and state), its SERFF plan binders, and its federal QHP application (if applicable). Any actions requiring submission of information via federal systems should be taken without delay.

- 1) Federal Rate Justification Part I template
 - a) Most recent version is submitted in both SERFF and HIOS
 - b) Same version is contained in both SERFF and HIOS
- 2) Federal Rate Justification Part II documents (if applicable) contained in SERFF and HIOS are the most recent version of the document.
 - a) Most recent version is submitted in both SERFF and HIOS
 - b) Same version is contained in both SERFF and HIOS
 - c) The document contained in both SERFF and HIOS reflects your final requested change in rates.
- 3) Federal Rate Justification Part III documents (both redacted and un-redacted versions)
 - a) Most recent version is submitted in both SERFF and HIOS
 - b) Same version is contained in both SERFF and HIOS
- 4) Final rate request threshold calculation should be submitted in your single-risk pool rate filing along with a certification of compliance with the federal instructions and a demonstration
- 5) Federal RATES TEMPLATE submitted with the respective SERFF Plan Binder must:
 - a) Most recent version is submitted in the binder
 - b) Reflects the final rate revision request
 - c) Most recent version reflecting the final rate review request has been submitted in HIOS (for Exchange/SHOP insurers only)

- 6) For Exchange/SHOP insurers only – Any adjustments to a SERFF binder template, insurance form or single-risk pool rate filing necessary to address a CMS/CCIIO identified deficiency of your QHP application have been submitted to NCDOI for our review and final action.
 - a) Any future adjustments (after August 21, 2020) to your QHP application data will be preceded by a request to NCDOI explaining the changes you are making to QHP application data and requests permission submit your adjustments to CMS/CCIIO.
 - b) Any future adjustments to forms or rates will be preceded by a request to NCDOI explaining the changes you are making and requests permission from NCDOI to submit an amendment on a closed filing.
- 7) The HIOS Submission ID found in the SERFF Rate Review Detail Screen reflects the accurate (last) HIOS Submission ID tracking number for the subject identical submission in HIOS. (Note that this information can be updated in SERFF through a Post Submission Update, including after the filing is closed if necessary.)