

Transmittal Checklist For Health Care Collaborative (HCC) Filings

HCC Name

Contact Person's Name

Phone Number

Email

A. The following information is submitted for approval and compliance of service area change application filing requirements:

	Service Area Change Application Filing	Item or Form	New or Replacement
<input type="checkbox"/>	28 TAC §13.423(b)(1) A description and a map with key and scale, showing both the currently approved service area and the proposed new service area as required by 28 TAC §13.413(e)(1)	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.423(b)(2) A form of any new contracts or amendment of any existing contracts in the new area, as described in §13.413(e)(5)	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.423(b)(3) network configuration information, as required by 28 TAC §13.413(e)(2)	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.423(b)(4) Brief narrative description of the administrative arrangements and organizational charts as described in §13.413(c)(6) or any other information the HCC considers to be pertinent	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.423(b)(5) Biographical data sheets for any new management staff assigned to the new area	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement

	Service Area Change Application Filing	Item or Form	New or Replacement
<input type="checkbox"/>	28 TAC §13.423(b)(6) Copies of leases, loans, agreements, and contracts to be used in the proposed new area, including information described in 28 TAC §13.422(c)(2)(B)	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.423(b)(7) Separate and combined sources of financing and financial projections as described in 28 TAC §13.413(d)(1) - (3)	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.423(b)(8) Any new or amended reinsurance agreements, insurance, or other protection against insolvency, as specified in 28 TAC §13.413(d)(4)	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement

B. The following information is submitted for approval and compliance of post-issuance of certificate of authority (license) filing requirements:

	Service Area Change Application Filing	Item or Form	New or Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(2)(A) Description and map of the service area	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(2)(B) The form of all contracts described in 28 TAC §13.413(e)(5)	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(2)(C) Any material change in size, composition, or control of the HCC	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(2)(D) Proposed dividends	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement

	Service Area Change Application Filing	Item or Form	New or Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(2)(E) New or revised loan agreements, or amendments to such agreements	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(2)(F) Any proposed material amendment to basic organizational documents	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(2)(G) Any material amendments to bylaws of the HCC	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(2)(H) Any name, or assumed name (relating to use of the term "HCC," Service Mark, Trademarks, d/b/a)	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement

C. The following information is submitted for information and compliance of post-issuance of certificate of authority (license) filing requirements:

	Service Area Change Application Filing	Item or Form	New or Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(3)(A) List of officers and directors and biographical data sheet	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(3)(B) Change in the physical address of the books and records	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(3)(C) Any new trademark or service mark, or any changes to an existing trademark or service mark	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement

	Service Area Change Application Filing	Item or Form	New or Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(3)(D) The form of any new contract or subcontracts or any substantive changes to previously filed forms of all contracts between the HCC and any physicians, delegated entities, delegated networks, other health care providers, insurers, group hospital service corporation, and HMO.	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(3)(E) Any insurance contracts or amendments to such contracts, guarantees, or other protection against insolvency	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(3)(F) any change in the affiliate chart	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(3)(G) Modifications to any types of compensation arrangements including any financial incentives for physicians and providers	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(3)(H) Any material change in network configuration	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement
<input type="checkbox"/>	28 TAC §13.422(c)(3)(I) A description of the quality assurance and quality improvement program	<input type="radio"/> Item <input type="radio"/> Form	<input type="radio"/> New <input type="radio"/> Replacement

NOTE: Please file a **red lined** copy denoting all changes as well as a clean copy of all previously filed documents.