Instructions for Using Department's Portal to Submit Fraud Prevention Plans

All new Plans, revisions, amendments, and related correspondence should be submitted using the Department's portal. A portal account is required. Insurers that are new to the portal should create a portal account.

Instructions for obtaining portal access to Fraud Prevention Plans:

1. Select the following link to access instructions to create a portal account https://myportal.dfs.ny.gov/create-account-instructions

2. After creating a portal account, users must select Request Access to the "Fraud Prevention Plans" application. To request access to Fraud Prevention Plans; log into the portal and select the Available Applications tab. Then scroll down to Fraud Prevention Plans and select Request Access. You will receive an email containing notification that your request for access has been approved.

Instructions for transmitting a Fraud Prevention Plan to the Department:

Please note that after a successful upload of Fraud Prevention Plan files, a Submission Receipt will appear on the screen. Please save a copy of this receipt. You will not be able to view the files that you have uploaded after the files have been submitted. The Submission Receipt is proof of your submission.

1. After logging into the portal, you will see a list of applications that you are approved for under "My applications." Users should select "Fraud Prevention Plans." Then select View.

2. The Submit Plans screen will appear. From the Submit Plans screen, insurers must select the type of filing they wish to submit. The types of filings are:

<u>New Plan</u>	Select this if the insurer has never filed a Plan before
<u>Total Revision</u>	Select this if the insurer is updating the entire Fraud Prevention Plan
<u>Amendment</u>	Select this if the insurer wants to submit pages to be substituted for pages of the Plan currently on file or if a small number of new pages should be added to the Plan on file
<u>Informational</u>	Select this to advise the Department of changes to information related to the Plan but not part of the Plan itself, such as address changes, personnel changes or holding company changes

3. Insurers must select only one insurer in order to file the Fraud Prevention Plans (Plan). If the company is filing on behalf of a group, any affiliated company may be selected. It is not possible to choose multiple companies to identify the Plan filing (as is required for the Annual SIU Report); however, we request that as part of the filing, insurers provide a list of the insurers that are covered by the Plan along with the corresponding NAIC numbers.

4. Then the item "Upload Files" will appear. Select Browse and attach each Plan file one at a time. As each file is uploaded you will be prompted to select a category of Plan file as follows:

    Initial Plan Filing Correspondence
    TPA Agreement Revised Plan
    Withdrawal documents
    Miscellaneous Plan documents

5. Once all files have been uploaded, you may click on Submit. After submitting the files, a Submission Receipt will appear on your screen which shows all files that have been submitted.

6. Please retain a copy of this screen because it is the **only** way to confirm which files have been sent and the date sent. You will not be able to view the files after they have been submitted. The Criminal Investigations Unit will then contact you upon review of the Plan.