

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

All new fraud prevention plans (Plans), revisions, amendments, and related correspondence should be submitted to the Criminal Investigations Unit using the Department’s portal. A portal account is required. Insurers that are new to the portal should create a portal account.

Instructions for creating a portal account and obtaining access to the Fraud Prevention Plans application:

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 request access to the “Fraud Prevention Plans” application. For instructions on how to request access to Fraud Prevention Plans; select the link located under #1 above.

Instructions for transmitting a Fraud Prevention Plan to the Department:

Please note that after a successful upload of 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.”
2. The Submit Fraud Plan Filings screen will appear. From the Submit Fraud Plan Filings 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. Then select an entity. If the insurer is filing on behalf of a group, any affiliated insurer may be selected. It is not possible to choose multiple companies when submitting 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. Please submit the Plan only once under one NAIC code; It is not necessary to submit more than that one copy of the Plan.
4. Then select the “Choose File” icon. Attach each document one at a time. As each file is uploaded you will be prompted to select one category of Plan file of 11 categories provided. If a category does not exactly match one of the 11 provided, choose one that is closest to the type of document
5. Once all files have been uploaded and you are ready to submit the Plan, click 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.