



**PLEASE NOTE: This checklist is provided as a guide. The carrier may require additional items and documentation. Please refer to the carrier's underwriting guidelines for a complete list of requirements. Please use the latest version of forms.**

Our goal is to process your new group enrollment easily and efficiently in order to provide you and your client with a quick approval. The following list outlines the health plan's case submission requests:

- ☐ Small Business Employer Application
- ☐ Product and Benefit Selection Form
- ☐ **All proof of business documents.** Proof of ownership is required for all eligible owners who do not appear on the DE 9C (Enrolling or waiving).
- ☐ Most recent DE 9/DE 9C
- ☐ Tax documents for owners not on the DE 9C.
- ☐ Payroll
- ☐ PRIME Enrollment Spreadsheet
- ☐ **Please note:** Employer must retain signed copies of Employee Applications on file.
- ☐ OR
- ☐ Employee Applications/Waiver Forms
- ☐ **Please note:**
  - When you submit the UnitedHealthcare enrollment, put in DE 9/DE 9C order with HMO subscribers grouped together, and Select/Select Plus, HRA and HSA subscribers grouped together
  - List owners first if not listed on DE 9/DE 9C
  - COBRA and new hires go to the back, if not listed on the DE 9/DE 9C
  - Handwrite new hires on the last page of the DE 9/ DE 9C. Include the following information: Date of hire, social security number, complete first and last name
- ☐ SAM Quote
- ☐ Binder Check or Direct Debit Form. Please note: Micro groups (under 3 eligible or 1 enrolled) are required to use the ACH form. This is the only option.
- ☐ Completed and signed Participation Certification form for Employers with 10+ eligible employees
- ☐ Primary Business Location is where the business has filed their Articles of Incorporation. If PBL is not in California, Certificate of Incorporation must be completed with submission.
- ☐ For **Prior Carrier Deductible:** Prior carrier deductible Report or EOBs from prior carrier for all members on the group will be required.
- ☐ Broker licensing is required at the time of case submission.

**Confirm the following items with your client and submit answers with the case:**

- ☐ Paper billing **-or-**
- ☐ Electronic billing
- ☐ Would your HSA group like to utilize Optum Bank<sup>SM</sup> services for their HSA banking needs?
- ☐ Ensure that ERISA is always marked "Yes." Only churches and specialized non-profits can be marked "No."
- ☐ Cal-COBRA marked, if under 20
- ☐ COBRA marked, if over 20
- ☐ Confirm group email address is the administrative email address, not executive email address

**Helpful reminders:**

- ☐ Please submit single-sided copies of the application, not double-sided
- ☐ Please list total member count including dependents on the case submission cover sheet
- ☐ Confirm COBRA participants are listed on the Small Business Employer Application

**After approval, prior carrier termination letter must be submitted by the employer or broker.**

**Important Reminder:** To help your client comply with ACA requirements, provide a copy of the appropriate Summary of Benefits and Coverage (SBC) to each employee at the Enrollment Meeting, via email or by posting on an internal company website. For the most recent information regarding UHC's SBCs, contact your Word & Brown representative.