

FRAUD PREVENTION COMPLIANCE REPORT

INSURER NAME:

INSURER NAIC NUMBER:

DOI NUMBER:

KAR 47:010, Section 5: Compliance Report

(1) Within ninety (90) days of admission, and at least once every two (2) years. An insurer shall submit to the division a written report stating how the insurer is complying with Section 4 of this administrative regulation. The report shall also include:

- (a) The total number of SIU investigative staff responsible for cases in Kentucky, and whether or not any staff member also investigates cases in other jurisdictions; and
 - 1. If the insurer formed the SIU in house and solely governs it, the year that the SIU was formed; or
 - 2. If the insurer has contracted SIU services through another company, the identity of the company providing SIU services and the initial year of the contract between the insurer and the company.

The total SIU investigative staff responsible for cases in Kentucky:

Total SIU investigative staff also responsible for other jurisdictions:

Is the insurer's SIU unit in house?

Year the in-house SIU unit was formed:

If no, has the insurer contracted for SIU services through a separate company? Yes No

Name of the Company contracted to provide SIU services:

Year contract began:

KAR 47:010, Section 4: Special Investigative Units and Anti-Fraud Plans

(1) An insurer shall maintain an SIU to fulfill the requirements of KRS 304.47-080.

(2) In conjunction with its SIU, an insurer shall:

- (a) Implement systematic and effective methods to detect and investigate suspected fraudulent insurance claims;
- (b) Educate and train all claims handlers to identify possible insurance fraud.
- (c) Develop policies for the SIU to cooperate, coordinate, and communicate with:
 - 1. The insurer's claims handlers, legal personnel, technical support personnel, and database support personnel;
 - 2. The division and other relevant law enforcement agencies; and
- (d) Develop and submit to the division a written antifraud plan, which shall include:
 - 1. Acknowledgment of duty to report to the division, including mandatory reporting of the determination that a suspected fraudulent act has been committed within fourteen (14) days;
 - 2. SIU contact information.
 - 3. SIU Investigative ethics
 - 4. Procedures to detect and deter fraud
 - 5. Continuing education plans for SIU staff.

is compliant with 806 KAR 47:010 (Section 4). Yes No

IF NO, A COMPLIANT ANTI-FRAUD PLAN MUST BE COMPLETED AND RESUBMITTED.

This Insurer agrees to amend and resubmit this Compliance Report to the Division of Fraud Investigations within thirty (30) days of any material change to the information provided herein.

Yes No

Printed name of individual authorized to sign on behalf of Company:

Signature of authorized individual:

Date: _____