


No. COM-004	Knox-Keene Act License Amendment Filings	
Effective Date: 9/5/2018	POLICY AND PROCEDURE	
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## PURPOSE

Canopy Health holds a restricted license (“License”) issued by the California Department of Managed Health Care (“Department”) under the Knox-Keene Health Care Service Plan Act of 1975, as amended, and any regulations promulgated thereunder (“Knox-Keene Act”). This document outlines the policies and procedures for ensuring changes to information contained in the License application are filed with the Department in accordance with applicable requirements under the Knox-Keene Act.

## POLICY

Canopy Health is responsible for ensuring that certain changes to information contained in its License application are filed with the Department in accordance with the Knox-Keene Act, which applicable standards for filings are summarized below.

Type of Information Change	Required Filing	Required Filing Timeframe	Knox-Keene Act Section/Rule
Any change in information contained in plan’s license application, other than financial or statistical information	Amendment	Within 30 days of change	Section 1352(a); Rule 1300.52; Rule 1300.52.4
Material modification of plan or operations	Notice of material modification	Prior to modification	Section 1352(b); Rule 1300.52.1
Change in officers, directors, partners, controlling shareholders, principal creditors, or persons occupying or performing similar positions / functions of the plan and a management company of the plan, and of a parent company of the plan or management company	Amendment	Within 5 days of change	Section 1352(c); Rule 1300.52.2

For certain types of information contained in the License application, a specific management position is tasked with overseeing and ensuring compliance with applicable Knox-Keene Act requirements relating to amendments to such information, including compliance with the standards described above. The specific oversight responsibilities are summarized in the chart below.

Unless otherwise noted below, all amendment and notice of material modification filings to the Department are submitted through Canopy Health’s outside counsel, regardless of the type of information that is changing. Canopy Health’s outside counsel attends all board meetings and has regular communications with all management and board personnel. During these regular communications, outside counsel is made aware of any changes to information contained in the License application. In addition, any material changes to information contained in the License application are discussed with outside counsel prior to implementation.

Type of Information	Oversight	Filing Process
Material modification of plan or operations	Chief Executive Officer	Through outside counsel
Changes to corporate information	Chief Executive Officer	Through outside counsel
Changes to personnel	Chief Operating Officer	Through outside counsel
New policies and procedures and amendments to existing policies and procedures	Compliance Officer; Chief Medical Officer	Through outside counsel
New contracts and changes to existing contracts (provider; administrative services; plan-to-plan)	Director of Contracting	Through outside counsel
Changes to financial or statistical information and regular financial reports	Chief Financial Officer	Directly by Canopy Health

#### Revision History:

Version Date	Edited By	Reason for Change
4/17/18	MWE	Creation date