



National Association of Insurance Commissioners



Providing flexibility, promoting uniformity

Industry

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INTRODUCTION

The System for Electronic Rate and Form Filing (SERFF) is an internet-based application designed to provide an efficient process for rate and form filings. The SERFF application provides the submission of electronic rate and form filings and facilitates electronic storage, management analysis, and communication regarding filings and their disposition. The system is designed to improve the accuracy of rate and form filings, speed approval processes, and reduce the time and cost associated with the regulatory filing process.

The NAIC Membership has established SERFF as the premier vehicle for rate and form filings. SERFF is accepted in nearly all jurisdictions for almost every line of business—more than any other electronic rate and form application.

SERFF promotes uniformity and has the added benefit of supporting the flexibility states need to accommodate their differing requirements and laws. SERFF itself is a Speed-to-Market tool, providing ease of use and offering a wide range of functionality. SERFF demonstrates the NAIC Member's commitment to uniformity by incorporating NAIC Member endorsed Speed-to-Market / uniformity initiatives such as the NAIC Product Coding Matrices and the NAIC Uniform Transmittal Documents. Additionally, the COMPACT, formerly known as the Interstate Insurance Product Regulation Commission, utilizes SERFF for its filings.

The ultimate benefits that any electronic application should offer are speed, precision, and, most importantly, efficiency. SERFF offers all of that and more!

Industry users can rest assured that once a filing is submitted to the state, it will be delivered - immediately. Furthermore, insurance carriers can take advantage of realtime state filing requirements, resulting in an accurate filing submission process. SERFF's Filing Wizard guides filers through creating and submitting filings -single or multi-state – it doesn't matter with SERFF.

For both state and industry – it is simply the economical solution. The only software required is a browser (Internet Explorer and Firefox are supported) and a PDF producer such as Adobe Acrobat. Consider the time saved in filing preparation by eliminating the copying and delivering of paper filings. States will no longer have to flip through stacks of paper to find what they need in a filing. Furthermore, this automated nationwide system provides some key benefits to both industry and state:

- Filing submission process accommodates individual state filing requirements.
- Accelerated review cycle allows for more responsiveness to market change.
- Enhanced competitive advantage that allows faster product marketing, resulting in accelerated revenues.

Thank you for choosing SERFF as your rate and form solution. We think you will enjoy your experience.

The SERFF Team

ABOUT THIS MANUAL

This training manual was created to assist SERFF users. We believe that teaching concepts is just as important as teaching procedures. With this in mind each topic is introduced and background information provided. Then details and procedures are presented in easy to absorb segments.

This training manual was written for SERFF v7.14.1 and uses Windows Internet Explorer as a browser. For more information on browser set up, see Lesson 1, Browser Configuration.

About SERFF System

The SERFF system is available 7:00 am to 7:00 pm CST Monday through Friday, except in the event of unexpected outages or emergency maintenance. The scheduled maintenance window for SERFF is every Wednesday from 9:00 pm to 2:00 am CST and the first Saturday of each month from 1:00 pm until 7:00 pm CST. Other maintenance will be scheduled as necessary. Users will be notified 24 hours prior to the maintenance whenever possible.

Technical support is available for the SERFF application from 8:00 am to 6:30 pm Monday through Friday. The SERFF Help Desk can be contacted by calling (816) 783-8990 or e-mailing serffhelp@naic.org. Additional resources for users are available at www.serff.com and within the SERFF application's Online Help database.

LESSON 1

This lesson covers the basic information a user will need to know and the steps they need to take before beginning to use the SERFF system.

An overview of the recommended browser settings is provided, with steps showing users how to change their own settings. The SERFF informational website, www.serff.com, is reviewed and instructions on how to access the SERFF application are provided.

Before accessing SERFF, users will be assigned an ID which appoints various roles and is associated with one or more SERFF instances. An explanation of these concepts is provided in this lesson.

This lesson covers the following topics:

- Browser Configuration
- SERFF Website
- Accessing SERFF
- SERFF Roles
- SERFF Instances



Browser Configuration

SERFF does not endorse or require the use of any specific internet browser. However, SERFF is tested for reliability and compatibility using Microsoft Internet Explorer and Mozilla Firefox. Using these browsers will ensure that website content is delivered as intended. Other browser versions and operating system platforms may have received some testing and are not excluded as options for viewing the websites but have not been thoroughly evaluated for compatibility—using them may yield unintended viewing results.

The NAIC recommends you use Internet Explorer (IE) to access SERFF. SERFF supports Microsoft Internet Explorer 11.0 version and above. The SERFF views are based on advanced technologies which are currently available in IE. Using a browser the same way it is used to access other websites, type in the URL for the SERFF application in the appropriate area of the browser. The URL for SERFF is <https://login.serff.com>.

This section highlights browser configuration settings that need to be applied prior to using the SERFF application. Only IE browsers configured with the following settings will be supported.

NOTE: The screen shots for illustration purposes use IE version 11. Users with different versions may notice slight differences in their actual screen display.

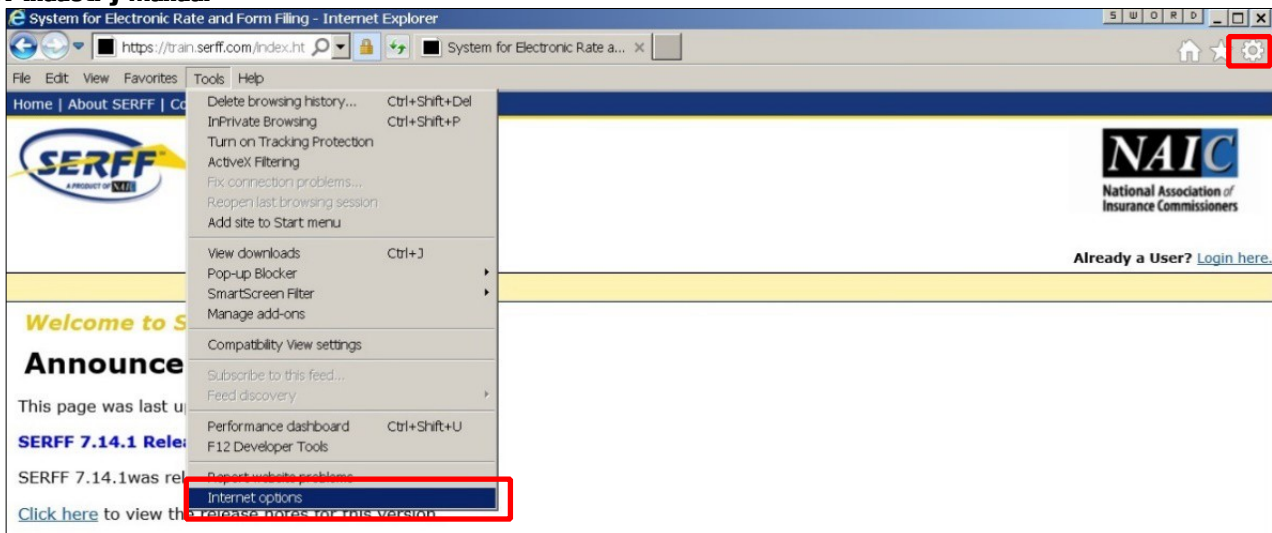
Changing Browser Settings

Open Internet Explorer (web browser) by either choosing Start > Programs > Internet Explorer or by clicking the desktop Internet Explorer shortcut.

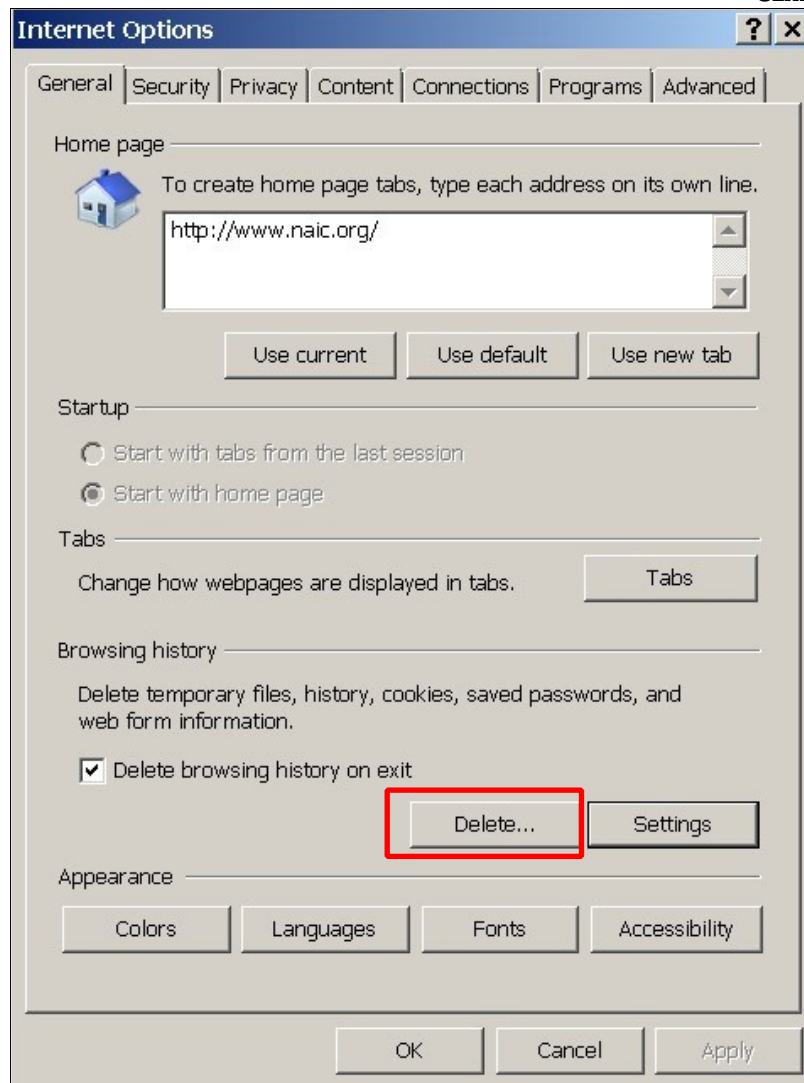
Use the following instructions to configure your browser for optimal SERFF operation:

- 1. Select Internet options from the Tools menu to open the Internet Options window. Or click the gear icon on the upper right-hand side of the screen.**

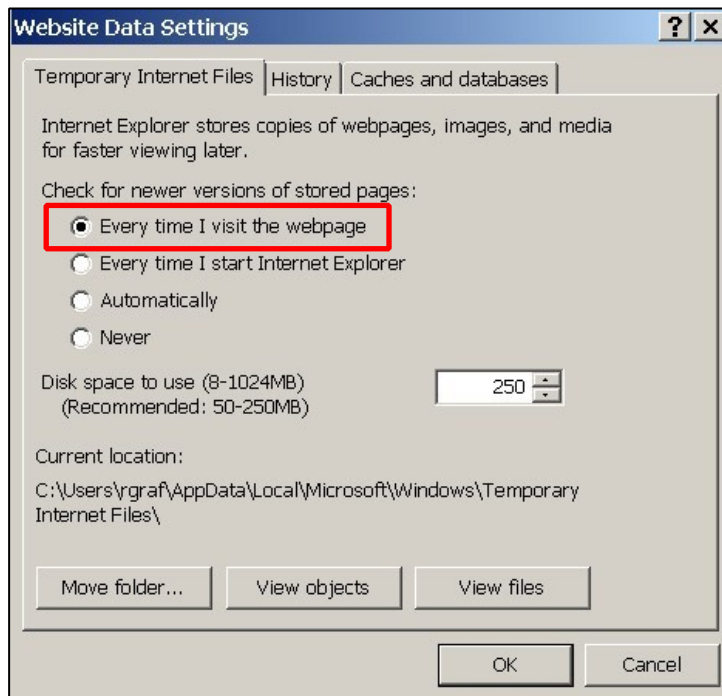
SERFF Industry Manual



2. On the General tab > Click Settings in the Browsing history section.



3. Select the option 'Every time I visit the webpage', listed under 'Check for newer versions of stored pages'.

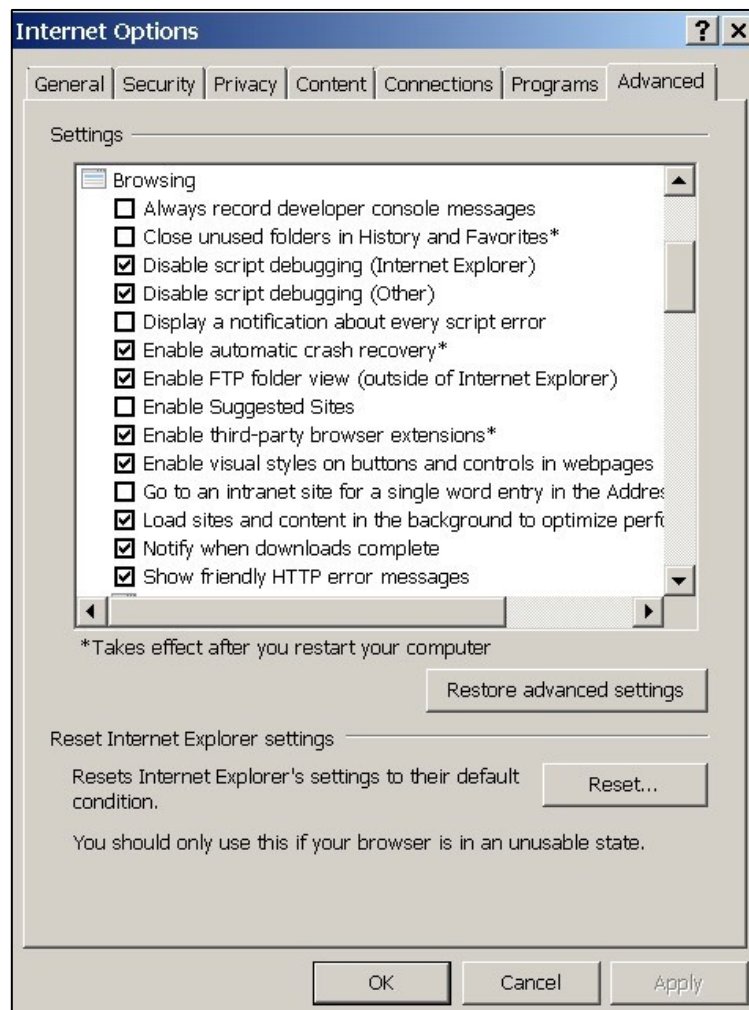


4. Click OK.

Under the Advanced Tab

1. Scroll to the 'Browsing' options.

Check the options for 'Disable script debugging'. This will prevent script errors that do not impact use of the application.



2. Click OK.

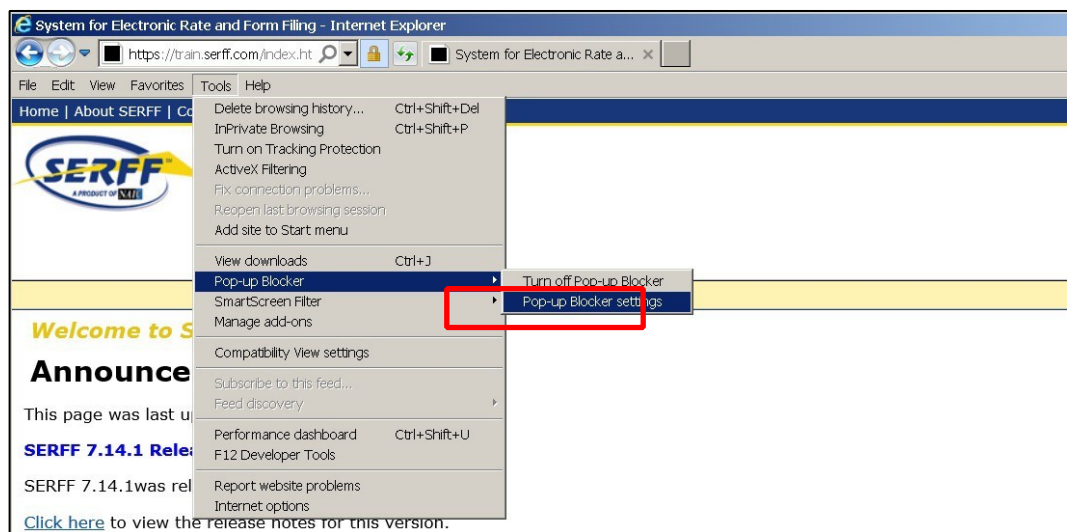
NOTE: For the settings to take effect, the user may have to close and reopen the browser.

Pop Up Blockers

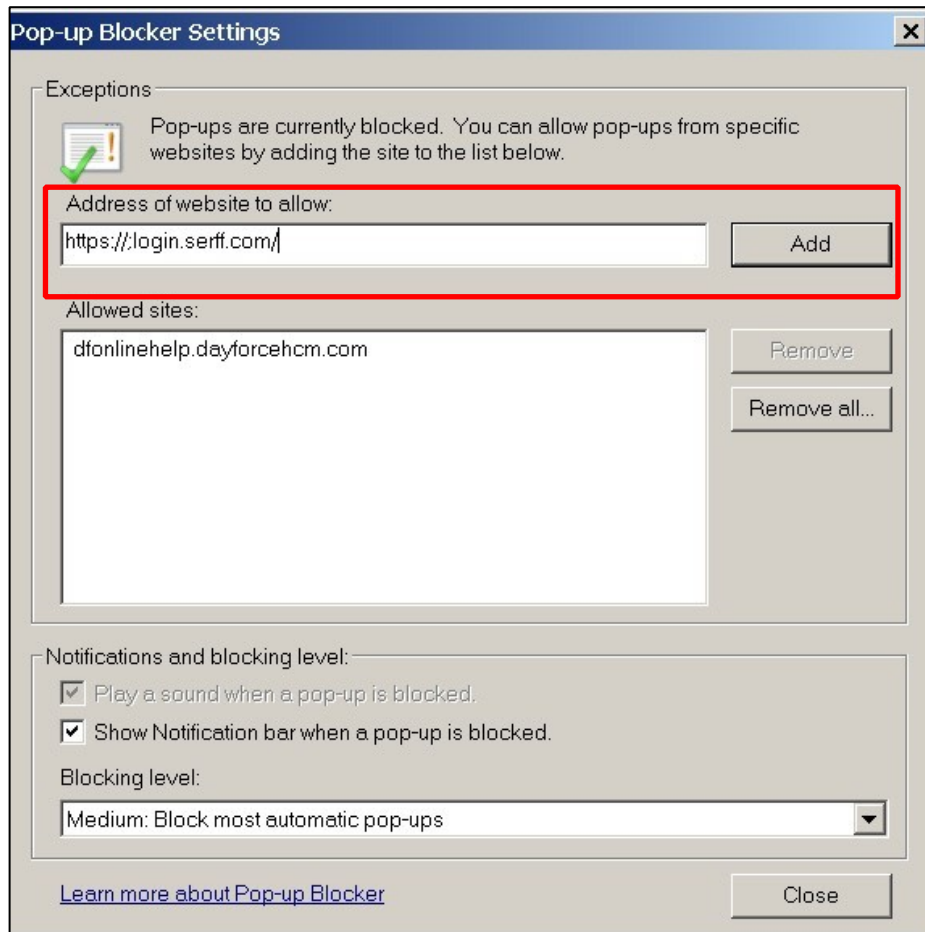
SERFF will not work correctly for users with pop up blockers. If you have a pop-up blocker installed, please contact your IT department or the SERFF Help Desk for assistance in configuring it to allow pop ups from the SERFF application.

Pop-up Blocker Settings

1. Open Internet Explorer.
2. Click Tools.
3. Hover mouse over Pop-Up Blocker.
4. Choose Pop-Up Blocker settings.



5. In the list of exceptions, add the web address used to log into SERFF.



6. Click Close.
SERFF Website

The official SERFF website is <http://www.serff.com>.

SERFF Industry Manual

 National Association of Insurance Commissioners

Map Committees Members Products Education Consumers Industry

 System for Electronic Rates & Forms Filing



SERFF Login

SUPPORT



- New Users: Get Started
- Training & Tutorials
- State Participation

CONTACT US

Product Assistance SERFF Help Desk (816) 783-8990 serffhelp@naic.org	SERFF Marketing & Implementation (816) 783-8787 serffmktg@naic.org
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SERFF Advisory Board
Speed to Market (EX) Working Group

RESOURCES

- Newsletter (Coming Soon)
- SERFF Filing Access (SFA)
- Health Exchange (HIX) Management
- Product Requirements Locator (PRL)
- Interstate Insurance Product Regulation Commission (Compact)

 **REGULATORS**

 **INDUSTRY**

ABOUT THE SYSTEM FOR ELECTRONIC RATES & FORMS FILING (SERFF)

SERFF represents the state-of-the art for insurers and regulators seeking efficient operations. The form submittal, document management and review access provided by the platform accelerates the pace of market-entry for new and renewing products, while ensuring compliance with consumer protection requirements.

For information on how SERFF is governed as a product of the NAIC, visit the [Speed to Market \(EX\) Working Group in Committees](#).

Some of the available links that might be of interest to SERFF users include:

- State insurance department Contacts
- Information on how to get started using SERFF
- FAQs – Frequently Asked Questions
- The lines of business and filing types accepted in SERFF - by state
- Information on SERFF vendors
- Details on implementing EFT
- Guides for interfacing with the State Application Program Interface

Accessing SERFF

Industry users log in to SERFF via the internet at <https://login.serff.com/> using a registered user name and password. SERFF IDs and passwords are requested by your company SERFF Admin person and are issued by the SERFF Help Desk at serffhelp@naic.org.

The ability to perform certain functions within the SERFF application is based on the roles and permissions assigned to the users by their management. All roles and permissions are set up and maintained at the NAIC.

SERFF Roles

Each SERFF User ID must have at least one user role assigned to it. Multiple roles may be assigned to a user. Some users may have a role assigned to their ID that permits greater access while other users may have a role with limited access to SERFF functions. Roles have pre-determined functions within the SERFF application that dictate role related responsibilities. The SERFF Help Desk maintains and assigns roles for all users. Below is a table that explains the permissions associated with each state SERFF User role:

Roles	Description
Configuration Manager	Can Create/Edit Instance Preferences & Settings, including: <ul style="list-style-type: none"> • Company Statuses • Companies • Contacts
Filer	Can create/submit new filings as well as view or modify filings on which the user is listed as an author.
Filing Manager	Can create/submit new filings as well as modify any filing in the instance.
EFT User	Has the ability to submit filings with EFT payments for state filing fees.

SERFF Industry Manual

EFT Report	Can run EFT reports.
Industry Read-Only	Can view all filings in their instance but not make any other changes. Read-only can be used as a dual role. For example, a Filer can also have a Read-Only role, allowing them to view filings where they are not listed as an author.
Export	Grants the ability to extract data from SERFF using the Export Tool. Works at data host site only.
Compact Filer	Can create/submit filings to the Interstate Insurance Compact.
User Admin	Request/Updates or Deactivates user roles.

NOTE: Users may have one role – such as Filer – or may combine roles – such as Filer with Read Only.

SERFF Instances

A user is constrained not only by the roles assigned to their User ID, but also by the instance(s) to which their ID is associated. While SERFF utilizes one database, the database is divided by subsections called “instances.” Every filing belongs to one state instance and one industry instance.

Industry can and do have multiple instances. Many create separate instances for each business area to segregate their filings. While a user may have access to more than one instance with the same ID, they must have the same roles for each instance as well.


A user may only be logged into one instance at a time and will only see filings and other information for their current instance. More information on switching instances can be found in this manual under Lesson 2, User Preferences and Lesson 7, Instance Preferences (for configuration managers).

LESSON 2

This lesson will cover the basics of where and how to log in to SERFF as well as provide an introduction on how to navigate through the system. The lesson also contains a brief overview of the tabs within the SERFF Workspace.

User and Instance Preferences are two areas in which SERFF can be tailored to best match workflow needs. Some options require the user to have the Configuration Manager role, others do not. This lesson explains a few options for user preferences not requiring a Configuration Manager role. Those options available to Configuration Managers can be found in Lesson 7.

This lesson covers the following topics:



- [SERFF Login](#)
 - [SERFF Workspace](#)
 - [Online Help](#)
 - [Billing](#)
 - [Settings](#)
- 
- [Companies & Contacts](#)

SERFF Home Page

The SERFF application home page is regularly updated with details about new releases, upcoming events, and other useful information. Users should bookmark this page for accessing SERFF. Clicking on the [Login here](#) link in the upper right hand corner will take the user to the log in page.

SERFF Industry Manual

[Home](#) | [About SERFF](#) | [Contact Us](#) | [naic.org](#)



Already a User? [Login here](#)

Welcome to SERFF v7!

Announcements

This page was last updated December 7, 2017.

SERFF 7.14.1 Released

SERFF 7.14.1 was released on November 30, 2017.

[Click here](#) to view the release notes for this version.

Known Issues

[Click here](#) to see the updated documented issues in SERFF v7.14.

Enhancements

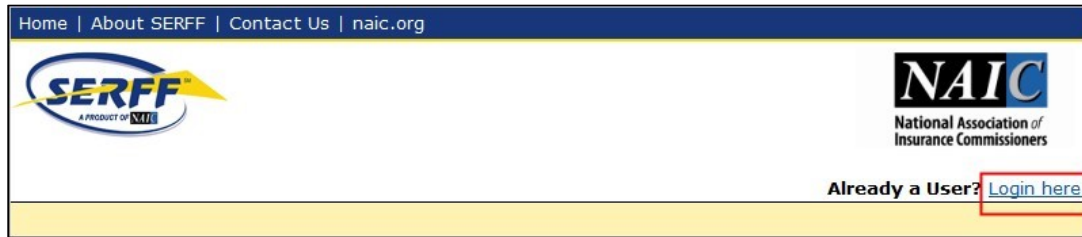
Do you have a suggestion for improving the SERFF system? Submit your idea by taking this [short survey](#).

SERFF Login

As stated in Lesson 1, SERFF IDs and passwords are requested through the SERFF User Admin and processed by the SERFF Help Desk. The SERFF Help Desk administers user accounts for both state insurance departments and insurance companies. User IDs are unique and are assigned roles that control the access and permissions a user has in SERFF.

Each User ID will be assigned a temporary password to log into SERFF. Once they have logged in, the user will be required to change their password and set up security questions and answers.

1. Open a web browser and go to <https://login.serff.com>.
2. Click on the “Login here” link in the upper right corner.



3. Enter the User Name.
4. Enter the Password.
5. Click Login.

NOTE: After three unsuccessful attempts to Login, you will be locked out and will need to contact the SERFF Help Desk. To avoid this issue, please use “[Forgot your password?](#)” link.

⚠ Your username and password is incorrect. After 2 more attempt(s) your account will be locked.

User Name: * x

Password: * [Forgot your password?](#)

Security Questions

SERFF will prompt new users to set up security questions after clicking on Login button the very first time.

Security Questions

Question 1: * In what city were you born? (Enter full name of city only) ▼

Answer 1: * Kansas City

Question 2: * What was the name of your first pet? ▼

Answer 2: * Sparky

NOTE: You must select two different questions. Answers have a maximum of 100 characters.

Forgot your password?

SERFF has a password reset feature which will allow users to reset their own password. After three unsuccessful attempts to Login, you will be locked out and will need to contact the SERFF Help Desk. To avoid this issue, please use “[Forgot your password?](#)” link.

⚠ Your username and password is incorrect. After 2 more attempt(s) your account will be locked.

User Name: * iuser27 x

Password: * [Forgot your password?](#)

Login

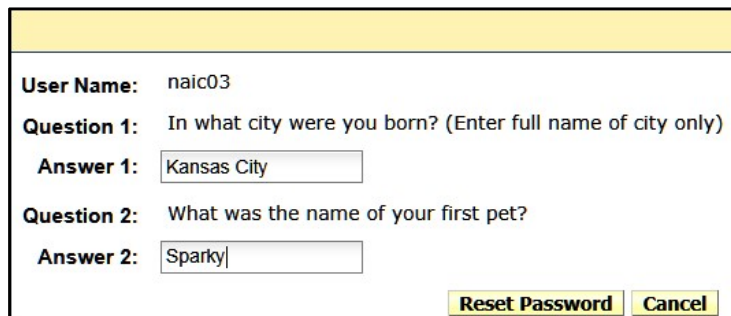
NOTE: Prior to using this feature, security questions and answers must be set up by user.

1. Click on the [Forgot your password?](#) link and enter your User Name.



A screenshot of a web form titled "Password Reset". The form has a yellow header bar. Below the header, the title "Password Reset" is displayed. Underneath, there is a label "User Name:" followed by a text input field. To the right of the input field are two buttons: "Next" and "Cancel".

2. Click Next and type in the answers to your security questions.

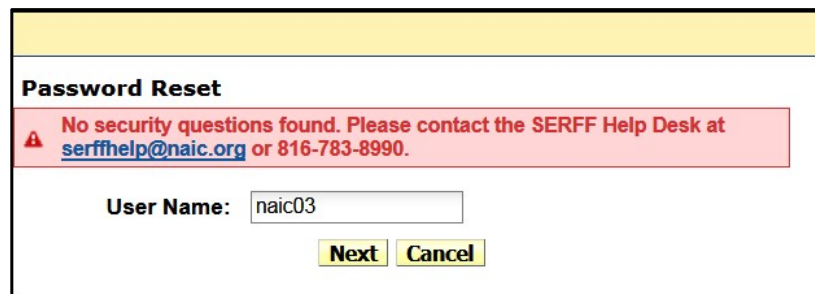


A screenshot of a web form for security questions. The form has a yellow header bar. Below the header, the text "User Name: naic03" is displayed. Below that is "Question 1: In what city were you born? (Enter full name of city only)". Underneath this is "Answer 1:" followed by a text input field containing "Kansas City". Below that is "Question 2: What was the name of your first pet?". Underneath this is "Answer 2:" followed by a text input field containing "Sparky". At the bottom right of the form are two buttons: "Reset Password" and "Cancel".

3. Click Reset Password.

NOTE:

For current SERFF users, if you have not set up your security questions, you will be notified to contact the SERFF Help Desk to reset password.



Password Reset

No security questions found. Please contact the SERFF Help Desk at serffhelp@naic.org or 816-783-8990.

User Name:

Changing Passwords

SERFF passwords must be changed every 90 days. The password may be changed from the log in screen or when the user is prompted after their password expires.



Home | About SERFF | Contact Us | naic.org

SERFF
A PRODUCT OF NAIC

Change My Password

User Name: *

Password: * [Forgot your password?](#)

User Name: *	<input type="text"/>
Existing Password: *	<input type="password"/>
New Password: *	<input type="password"/>
New Password: *	<input type="password"/>
<input type="button" value="Change Password"/>	<input type="button" value="Cancel"/>

Password Requirements

Passwords must be a minimum of 7 characters, but no more than 30. No spaces allowed. At least one character must be non-alphabetic. Passwords cannot be reused.

SERFF Workspace

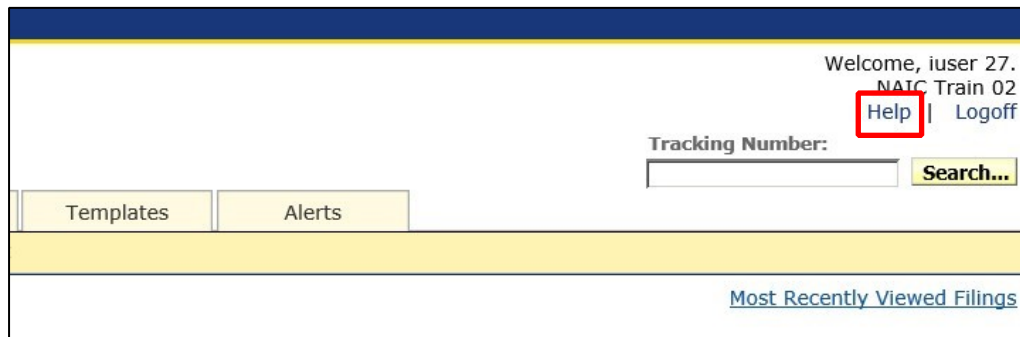
The SERFF Workspace is the launching point for all activity in the SERFF application. There are several tabs within the SERFF Workspace, each with a subset of options and functionality. An overview is given here, but each section will be covered in detail in later chapters of this manual.



Online Help

SERFF contains an Online Help feature to assist users in answering questions and resolving issues regarding the SERFF application. Users should first access Online Help and, if their question has still not been answered, then contact the SERFF Help Desk at serffhelp@naic.org.

Online Help can be accessed by clicking on the Help link in the upper right hand corner of the screen.



Online Help lists several Help options accessible to users while they continue with their SERFF session.

SERFF Industry Manual

Welcome to SERFF Online Help

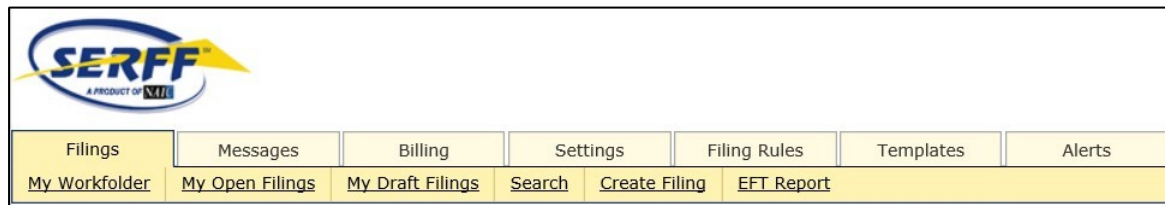
On Demand Tutorials Watch recorded tutorials on topics related to SERFF.	Help Topics Browse through answers to the most common questions asked of the SERFF Help Desk.
User Manual Download the SERFF user manual by chapter or in its entirety.	Release Notes & Known Issues Get an overview of the features introduced in past releases of SERFF. Also available is a list of known issues in the current release.
PPACA Learn more about changes made to SERFF in support of the Patient Protection and Affordable Care Act.	Plan Management Learn more about changes made to support SERFF Plan Management.

Didn't find what you needed here?

The SERFF Help Desk is a great source of information.

Contact the SERFF Help Desk by calling 816-783-8990 or emailing serffhelp@naic.org.

The SERFF Workspace contains several tabs, each of which has a defined purpose. The tabs for users may vary depending on the roles assigned to the user, and whether the user is accessing SERFF at the NAIC or at their Data Host. The standard tabs for a user logged into SERFF at the NAIC are Filings, Messages, Billing, Settings, Filing Rules, Templates and Alerts. If an industry user is logged in to SERFF via their Data Host, a Reports tab will also be present.



- Filings** - The Filings tab is where filings are created and managed. The Filings tab also contains Search and EFT Reporting capability. The Filings tab is covered in more detail later in this lesson.
- Messages** - The Messages tab is where notifications about key activities on SERFF filings are located. State generated messages are located here for those users who subscribe to a state's message.

- Billing** - The Billing tab is where industry users can view their billing information, including the number of remaining prepaid transactions for their instance(s) and create a Billing Export report. The Billing tab will be covered later in this lesson.
- Settings** - The Settings tab is where all user and instance preferences are stored and where Filing Companies and Contacts are maintained. The Settings tab will be covered later in this lesson.
- Filing Rules** - The Filing Rules tab allows the industry user to review the Submission Requirements and other information for each state participating in SERFF. The Filing Rules tab will be covered in Lesson 3.
- Templates** - Templates provide industry users the convenience of entering Form, Rate/Rule, and Supporting Documentation schedules once and using them across multiple filings. Templates are covered in Lesson 4.

Alerts - The Alerts tab is used to help users stay up to date on the latest SERFF news. Alerts sent by the SERFF support team may include important messages related to Plan Management, template validation, SERFF maintenance windows, or release information.

Filings

Home | About SERFF | Contact Us | naic.org

Welcome, user 27.
NAIC Train 02
Help | Logoff

Tracking Number:

Filings Messages Billing Settings Filing Rules Templates Alerts

My Workfolder My Open Filings My Draft Filings Search Create Filing EFT Report

My Workfolder [Most Recently Viewed Filings](#)

0 Filings

State	Product Name	Company Tracking #	Filing Date	Created By	SERFF Status
No filings in folder.					

0 Filings

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The **Filings** tab is the area where users access their rate and form filings to perform online functions. The Filings tab offers several views and functions:

- My Workfolder - A user specific “short list” of priority filings to assist in managing workload. The Workfolder may contain draft, open and/or closed filings.
- My Open filings - Displays all open filings to which the user is an author. Filings submitted to the state(s).
- My Draft Filings - Displays all draft filings to which the user is an author. Filings not yet submitted to state(s).
- Search/Export - Provides access to the Search and Export features of SERFF. (Export functionality is a role that maybe added to user ID – Data Hosters only).
- Create Filings - Initiates a ten step filing wizard process to create filing(s).
- EFT Report - authorized users can reconcile state filing fees that are submitted electronically with the Electronic Funds Transfer option.
- Most Recently- Viewed Filings - When a user logs into SERFF, they are able to view their most recently viewed files by clicking on the ‘Most Recently Viewed Filings’ link. This provides an easy and fast way to access the last ten filings viewed by the user. (draft, open or closed)

The functions of the **Filing** tab will be covered in depth in Lessons 4 and 5.

Messages

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts						
<div>Messages Most Recently Viewed Filings</div> <div>Remove Message</div> <div> Messages Messages 1-50 of 61 First Previous Next Last </div> <table border="1"> <tr> <td><input type="checkbox"/></td> <td>Unread</td> <td>Subject</td> <td>Tracking Number</td> <td>From</td> <td>On</td> </tr> </table>							<input type="checkbox"/>	Unread	Subject	Tracking Number	From	On
<input type="checkbox"/>	Unread	Subject	Tracking Number	From	On							

The **Messages** tab is the area where notifications about key activities on SERFF filings can be found. There are a number of messages that are generated to notify the user when an event occurs related to a filing.

The Message Center will be covered in depth in Lesson 5.

Billing

SERFF offers both pre-paid and “pay as you go” options for filing entities. Industry users can monitor the balance of their prepaid filing blocks in the Billing tab.

Accessing Billing Information

Industry users can click on the Billing tab to access their billing information. Users will have one or more Billing Profiles which they may view.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts				
<div>Billing Export</div> <div>Billing Profile</div> <div> Billing Profiles Billing Profiles 1-1 of 1 First Previous Next Last </div> <table border="1"> <tr> <td>Instance Name</td> <td>Customer #</td> </tr> <tr> <td>NAIC Train 02</td> <td>15085</td> </tr> </table> <div> Billing Profiles 1-1 of 1 First Previous Next Last </div>							Instance Name	Customer #	NAIC Train 02	15085
Instance Name	Customer #									
NAIC Train 02	15085									

SERFF Industry Manual

To access a Billing Profile, click on the blue, underlined link. Industry users will want to take note of the Units Remaining and Units Used columns in the Pre-Paid Block table. These totals are updated nightly based on that day's usage. Blocks can be split among instances and each instance will have a separate Entity Billing Form and usage statistics. Pre-paid customers who allow their blocks to run out will be billed the Pay as you Go rate, which is currently \$13.50 per transaction. Companies on the Pay as you Go plan will not have any blocks listed. (See Billing Export Tool section below)

Billing Profile
Instance Name: NAIC Train 02
P PeopleSoft Customer ID: 00015085
PeopleSoft Address ID: 1
PeopleSoft Sequence ID: 5
Customer Type: SERFF
Number of Free Transactions: 0
Note to Customer: Thanks for using SERFF!

Close Previous Next

Block Name	Date Created	Block ID	Product ID	Unit Price (USD)	Paid Ref ID	TotalFilingUnits	Units Used	Units Remain
Filing Block A	2,07/18/2018	125000563	SER-B-00400	\$9.00	NA	400	0	400

Users will receive a reminder message in their Message Center when their Units Remaining falls below 25% of the Total Filing Units and when another block is not available. This message serves as a reminder to order a new filing block. Only one reminder per block will be generated. It is the company's responsibility to monitor their usage and remaining transactions to avoid being billed at a higher rate.

Billing Export Tool

Pay as you Go customers may want to balance their monthly invoice against their transactions each month. The Billing Export link will allow users to export their monthly transactions into a CSV (comma separated values) file, which can be converted into an Excel (spreadsheet) file.

1. From the Billing tab, click the Billing Export link.

The screenshot shows a web application interface with a top navigation bar containing links: Filings, Messages, Billing, Settings, Filing Rules, Templates, and Alerts. The 'Billing' tab is selected. Below the navigation bar, the 'Billing Export' link is highlighted with a red rectangle. The main content area is titled 'Billing Profile' and contains a table with the following data:

Billing Profiles 1-1 of 1 First Previous Next Last	
Instance Name	Customer #
NAIC Train 02	15085

At the bottom of the table, there is another set of navigation links: 'Billing Profiles 1-1 of 1 | First | Previous | Next | Last'.

2. Complete information as needed.

The screenshot shows a 'Billing Export' dialog box. It has a title bar 'Billing Export' and two buttons: 'Export' and 'Cancel'. The dialog contains the following fields:

- Month:** A dropdown menu with 'January' selected.
- Year:** A text input field with '2018' entered.
- Report Type:** Two radio buttons: 'Filing Transactions' (selected) and 'Plan Management Transactions'.
- Available Instances:** A list box containing 'NAIC Train 02'. To the left of the list box are four navigation buttons: '>>', '>', '<', and '<<'. These buttons are highlighted with a red rectangle.

At the bottom of the dialog, there are two buttons: 'Export' and 'Cancel'.

Month: Use drop down arrow to select the applicable Month.

Year: Year defaults to current year, but can be changed.

Report Type: Select Filing Transactions or Plan Management Transactions.

SERFF Industry Manual

Available Instances:

Select Instance(s). Use yellow navigation buttons to move selection(s) from left to right.



moves entire contents of list to box on right



moves selected content from left to right



moves selected content from right to left



moves entire list from left to right

NOTE: Current instance selected by default.

NOTE: Multiple instances can be selected by holding down the Ctrl or Shift key while clicking on instance.

3. Click **Export** button.

SERFF will ask if you would like to open or save the report as a CSV file.

Do you want to open or save **SERFF-Billing-Report.csv** from **train.serff.com**?

Open
 Save
 Cancel

Sample results after opening CSV report file:

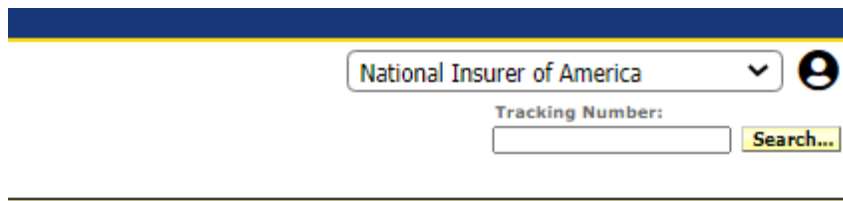
	A	B	C	D	E	F	G	H	I	J
1	SERFF Tracking #	Company Tracking #	Company Name	Cocode	Date Submitted	Filer Name	Product Name	State	TOI	Sub TOI
2	NAI3-125980077	6464WFWU1616	MISSOURI Insurance	99999	2/2/2015 13:46	Jon Sing	Annual Health Filing	Alabama	L08 Life - Other	L08.000 Life - Other
3	NAI3-126017349	646EWEGF46	NAIC Insurance Co	11111	2/4/2015 13:46	Jenni Frank	Illustration Certificate	Utah	A02.11 - Individual	A02.11.003 Single Premium
4	NAI3-125980076	1TRHH23456	NAIC Insurance Co	11111	2/6/2015 13:52	Kelly Comb	Annual Health Filing	Kansas	A02.11 - Individual	A02.11.003 Single Premium
5	NAI3-125980075	12SGFHH34SH56	NAIC Insurance Co	11111	2/12/2015 13:58	Kelly Comb	Annual Illustration	Missouri	A02.11 - Individual	A02.11.003 Single Premium
6	NAI3-125980089	SHSH646HHTRSH	MISSOURI Insurance	99999	2/17/2015 14:04	Jon Sing	Annual Health Filing	Colorado	L08 Life - Other	L08.000 Life - Other
7	NAI3-126017350	123SDFTTU564456	MISSOURI Insurance	99999	2/19/2015 14:07	Jon Sing	Annual Life Illustration	Missouri	A02.11 - Individual	A02.11.003 Single Premium
8	NAI3-125980088	WENBKN123FFF	MISSOURI Insurance	99999	2/27/2015 14:09	Jenni Frank	Annual Health Filing	Colorado	L08 Life - Other	L08.000 Life - Other

NOTE: The report can only be generated per month.

EFT Account Management

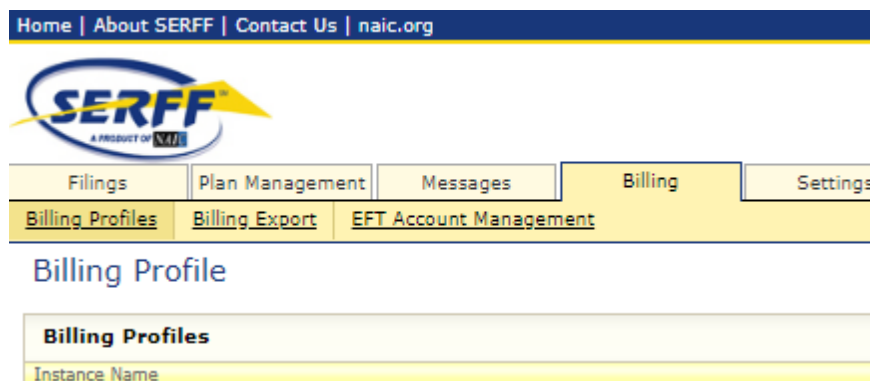
The last item under Billing will only be available to users with the 'Bank Account Manager' role. Users will be able to see a list of the EFT Accounts added to the current instance and have the capability to activate and deactivate EFT Accounts.

If you have multiple SERFF instances tied to your username first select the instance you will be updating from the drop-down menu at the top right corner of the screen.

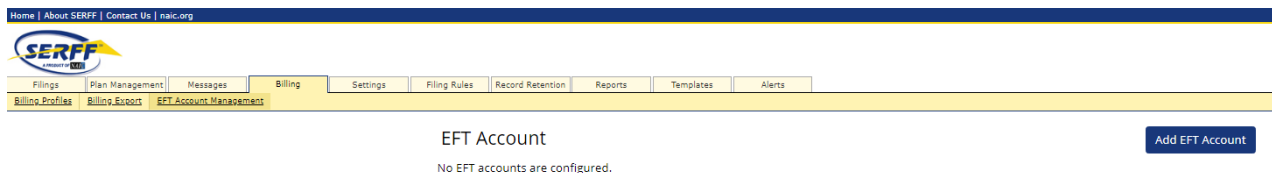


NOTE: SERFF Accounts are called "Instances"

To access EFT Account Management, Select the 'Billing' tab then click the 'EFT Account Management' link.



For instances that have not had EFT associated you will see the screen like below.



SERFF Industry Manual

For instances that *have* had EFT associated you will see a screen similar to the one below that lists all the EFT Accounts on file

Home | About SERFF | Contact Us | naic.org

SERFF

Filing | Plan Management | Messages | Billing | Settings | Filing Rules | Record Retention | Reports | Templates | Alerts

Billing Profiles | Billing Export | **EFT Account Management**

EFT Account

[Add EFT Account](#)

(Bank Name) Bank Account 2020 Last Modified: Jun 8, 2020 by zzzindRachel Buccierizzz	Active
(Bank Institution Name) Bank Account 2020 Last Modified: Jun 8, 2020 by zzzindRachel Buccierizzz	Inactive

To add an EFT Account, select the blue 'Add EFT Account' button.

Filing | Settings | Filing Rules | Record Retention | Reports | Templates | Alerts

EFT Account

[Add EFT Account](#)

No EFT accounts are configured.

The below screen will load:

[Return to EFT Accounts](#)

Add EFT Account

Bank Information

Account Nickname *

Name of Company * ⓘ
Name of Company cannot be changed after the account is created.

Routing Number *

Account Number *

Re-enter Account Number *

Contact Person

First Name *

Last Name *

Addenda Notice
All EFT accounts will be created with a transaction type of CTX and no addenda. If this account needs to be setup with a transaction type of CCD or addenda information, please contact the SERFF Marketing team.
serffmktg@naic.org (816) 783-8787

Definitions of criteria

- **Account Nickname:** Internal Accounting nickname, Bank Name, or some other name that easily distinguishes this EFT information from other EFT information that may be associated to the SERFF instance

- **Name of Company:** Name of Company associated to the account or the parent company. This cannot be updated once saved.
- **Routing & Account Number:** Bank Account information

Example of completed EFT Information.

Add EFT Account

Bank Information

Account Nickname *

(Bank Institution Name) Bank Account 2020

Name of Company * ?

Name of Company cannot be changed after the account is created.

American National Insurer

Routing Number *

011401533

Account Number *

887766554433

Re-enter Account Number *

887766554433

Addenda Notice

All EFT accounts will be created with a transaction type of CTX and no addenda. If this account needs to be setup with a transaction type of CCD or addenda information, please contact the SERFF Marketing team.

serffmktg@naic.org (816) 783-8787

Next, add the contact information for the account. This is an internal contact. This is not a representative from the financial institution.

Contact Person

First Name *

John

Last Name *

Smith

Phone Number *

(xxx) xxx-xxxx

(913) 375-0566

Email *

john.smith@amernatins.com

Legal Consent

The National Association of Insurance Commissioners ("NAIC") is authorized to initiate debit entries and to initiate, if necessary, credit entries and adjustments for the correction of any debit entries in error from or to the account indicated above of the Company indicated above at the financial institution indicated above.

Copy

The Company authorizes the above-named Financial Institution to honor such requests from the NAIC and to debit or if applicable, to credit, the same to the account indicated above. The debit entries initiated by the NAIC are for the payment of DOI Fees as such term is defined in the SERFF License Agreement between the Company and the NAIC.

This authorization shall remain in full force and effect until the above-named Financial Institution as well as the NAIC have received written notice from the Company of termination of authority in such time and manner as to afford the Financial Institution as well as the NAIC a reasonable time to act on said termination. Notwithstanding the foregoing, this authorization shall terminate no later than thirty (30) days after written notice of termination is received by the NAIC.

☐ I agree to the terms and conditions above and wish to continue.

Add EFT Account Cancel

Review the information entered and the legal consent. Click 'Agree' box and then the blue 'Add EFT Account' button.

SERFF Industry Manual

All EFT Accounts will show here on the EFT Account Management dashboard. To edit an existing account, hover over the account to edit and click to open the edit page.

The screenshot shows the EFT Account Management dashboard. At the top, there is a navigation bar with tabs: Messages, Billing, Settings, Filing Rules, Record Retention, Reports, Templates, and Alerts. Below the navigation bar, the main heading is "EFT Account" with a blue "Add EFT Account" button. Below this, there is a list of EFT accounts. Each account entry shows the bank institution name, the account name, the last modified date and user, and the account status (Active).

Bank Institution Name	Bank Account 2020	Last Modified: Jun 8, 2020 by zzzIndRachel Buccierizzz	Active
(Bank Name)	Bank Account 2020	Last Modified: Jun 8, 2020 by zzzIndRachel Buccierizzz	Active

You can edit the account nickname, Companies associated with the bank account, and the contact information can be updated. Too add or remove companies click the blue 'Edit' link next to 'Associated Companies'

The screenshot shows the "Associated Companies" section. At the top, there is a heading "Associated Companies" with a blue "Edit" link. Below this, there is a yellow message box that says "No companies are using this EFT account." Below the message box, there is a heading "Associated Companies" and a list of companies.

Below shows the screen once you select edit. Select an available company on the left panel and move to the right panel by clicking the singular arrow point right. To move all available companies, click the double arrow point right. Doing the opposite will remove companies from being associated.

The screenshot shows the "Edit Associated Companies" modal window. It has two panels: "Available Companies" on the left and "Associated Companies" on the right. The "Available Companies" panel contains a list of companies, including "National Insurer of America". The "Associated Companies" panel contains a list of companies, including "American National Insurer". Between the panels are four buttons: a double right arrow (>>), a single right arrow (>), a double left arrow (<<), and a single left arrow (<). At the bottom of the modal, there are "Cancel" and "Save Associated Companies" buttons.

If the bank account is no longer valid, the EFT information can be deactivated. At the top right-hand corner of the EFT information, click the white 'Deactivate' EFT button. A confirmation box will pop up allowing you to cancel or proceed with deactivating the EFT Account.

The screenshot shows the 'EFT Account Details' page. At the top left is a link '< Return to EFT Account List'. At the top right is a 'Deactivate' button. The main section is titled 'Bank Information' and contains the following fields:

Account Nickname:	(Bank Institution Name) Bank Account 2020	Edit
Routing Number:	011401533	
Account Number:	●●●●4433	
Name of Company:	American Na	

A confirmation dialog box is overlaid on the page. It has a title bar 'Deactivate EFT Account?' with a close button (X). The main text reads: 'Deactivating this EFT account will unassociate all companies. Do you want to continue?'. At the bottom are two buttons: 'No' and 'Yes, Deactivate EFT Account'.

Below the 'Bank Information' section is an 'Associated Companies' section with an 'Edit' button. It contains a table with one entry: 'American National Insurer'.

Once deactivated, it is still visible on the EFT Account Management Dashboard and can still be edited or reactivated.

SERFF Industry Manual

Settings

The **Settings** tab is where preferences that affect usage of the system are stored. It is also where users with the Configuration Manager role can manage instance preferences, Companies and Contacts information. If a user has the user admin role they can view the User Administration Report and Request New Users/User Update/User Deactivation. Instance Preferences and other options available to Configuration Managers will be covered in detail in Lesson 7.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts	
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update	Request User Deactivate

Contact Information
Message Settings
User Preferences

Contact Information
Last Name * 27
First Name * iuser
Email Address * ttrainin@naic.org Ex: name@domain.com

Each user has a set of “User Preferences” that contains their contact information and some configurable settings that affect aspects of SERFF. The User Preferences are navigated by clicking on the tabs running down the left side of the screen. The preferences apply to all instances to which the user has access.

When clicking the Settings tab, the user is taken to the Contact Information screen of the User Preferences section.

Contact Information

The Contact Information section contains the name, email, address, phone and security questions for the user.

After receiving a SERFF ID, users need to complete all required fields, denoted by a red asterisk (*), prior to using SERFF. After initial set up, users can update this information at any time.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts	
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update	Request User Deactivate

Contact Information
Message Settings
User Preferences

Contact Information

Last Name * 27

First Name * iuser

Email Address * ttrainin@naic.org Ex: name@domain.com

Address * 1 SERFF Way

City * Anytown

State * Kansas

Postal Code * 12345

Phone * (800)555-1212 **Ext.** Ex: (123) 555-4567

Fax **Ext.** Ex: (123) 555-4567

Security Questions

Question 1: * What is the middle name of your youngest child?

Answer 1: * child

Question 2: * What is the name, breed and color of your pet?

Answer 2: * pet

Save **Cancel**

To change or update any information:

1. Make necessary changes.
2. Click the **Save** button.

Response:

SERFF Industry Manual

Filings	Messages	Billing	Settings	
<u>User Preferences</u>	<u>Instance Preferences</u>	<u>Companies</u>	<u>Contacts</u>	<u>Use</u>
User preferences saved successfully.				
Contact Information	Contact Information			

Message Settings

Industry users can control the receipt of types of messages as listed under Filing Activity messages. All Message Settings options are specific to each individual user and assist users in managing their Message Center.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
<u>User Preferences</u>	<u>Instance Preferences</u>	<u>Companies</u>	<u>Contacts</u>	<u>User Administration Report</u>	<u>Request New User</u>	<u>Req</u>
Contact Information	Filing Activity Messages		Filing Activity Messages Help			
Message Settings						
User Preferences						

>>>
>
<
<<<

Billing Low Block Warning
Compact Filing Acknowledge Included State
Binder Note To Reviewer Deleted
Binder Filer Note Deleted
Effective/Implementation Date Updated
Disposition Submitted
Draft Schedule Item Warning
Public Access Defaults Restored
Filing Reopened
Filing Submitted with Default Public Access

NOTE: Filing Managers will have the option to adjust User Message Settings. Please refer to Lesson 7 for more information.

Filing Activity Messages

Filing Activity Messages will be created when a filer submits or receives filing correspondence and when filings are submitted with default public access. These messages are also generated on a Reminder's due date, with low block warnings, when a state updates a filing, when filings are reopened and/or assigned, and when plan management activities occur.

Select the action(s) for which you would like to receive messages by moving them from the list on the left to the list on the right. Remove items for which you no longer wish to receive messages by moving them back to the list on the left.

Click the **Save** button to save changes. In the previous example, the user is set to receive all types of Filing Activity Messages.

NOTE: All Message Settings options are specific to each individual user. Users can update their Message Settings at any time by following the steps above.

State Generated Messages (SGM)

Authorized state users may create State Generated Messages (SGM) to notify industry users of changes to State Settings or Filing Rules. A state will generate a SGM when they want to notify users of those changes when filing to their state.

SERFF Industry Manual

To receive State Generated Messages, you must first subscribe to the State Generated Messages (SGM) under the Settings tab, User Preferences link > Message Settings.

The screenshot displays the SERFF Industry Manual interface. The top navigation bar includes tabs for Filings, Messages, Billing, Settings, Filing Rules, and Templates. The 'Settings' tab is active, and the 'User Preferences' link is selected. The left sidebar shows 'Contact Information', 'Message Settings' (highlighted with a red box), and 'User Preferences'. The main content area is divided into two sections: 'Filing Activity Messages' and 'State Generated Messages'. The 'State Generated Messages' section is highlighted with a red box and contains the following options:

- Business Type:**
 - ☐ All
 - ☐ Property & Casualty
 - ☐ Life
 - ☐ Annuity
 - ☐ Health - PPACA (Comprehensive Major Medical)
 - ☐ Health - Exchange
 - ☐ Health - All Other
- District:**
 - Pennsylvania
 - Prince Edward Island
 - Puerto Rico
 - Quebec
 - Rhode Island
 - Saskatchewan
 - South Carolina
 - South Dakota
 - Tennessee
 - Texas

Yellow navigation arrows (left, right, double left, double right) are located between the 'Business Type' and 'District' lists. At the bottom of the 'State Generated Messages' section, there are 'Save' and 'Cancel' buttons.

1. Select the Business Type(s) for which you would like to receive State Generated Messages.
2. Select the District or state(s) for which you would like to receive messages. Use yellow navigation arrows to move selection(s) from the list on the left to the list on the right.

Example: selecting Business Type: P&C, States: Alabama, Minnesota, Utah

State Generated Messages [State Generated Messages Help](#)

Business Type:

- ☐ All
- ☒ Property & Casualty
- ☐ Life
- ☐ Annuity
- ☐ Health - PPACA (Comprehensive Major Medical)
- ☐ Health - Exchange
- ☐ Health - All Other

District:

Rhode Island
Saskatchewan
South Carolina
South Dakota
Tennessee
Texas
Unknown
Vermont
Virgin Islands
Virginia

>>
>
<
<<

Alabama
Minnesota
Utah

Save **Cancel**

3. Click the **Sav** button.

Response:

Filings	Messages	Billing	Settings
User Preferences	Instance Preferences	Companies	Contacts
User preferences saved successfully.			

To Remove state(s) that you no longer wish to receive Message(s) on:

SERFF Industry Manual

1. Select the district/state in the right-side section that you no longer wish to receive messages from.
2. Use yellow navigation arrows to move selection(s) from the list on the right to the list on the left.
3. Click the **Sav** button.

User Preferences

The third area under User Preferences link is called **User Preferences**. This section contains three items – Current Instance, Default Business Type for New Filings and Subscription options.

The screenshot shows a web application interface with a top navigation bar and a main content area. The top navigation bar has tabs for Filings, Messages, Billing, Settings (highlighted), Filing Rules, and Templates. Below this is a sub-navigation bar with links: User Preferences (highlighted), Instance Preferences, Companies, Contacts, User Administration Report, and Request New User. The main content area has a left sidebar with three sections: Contact Information, Message Settings, and User Preferences (highlighted). The User Preferences section contains three settings: 'Current Instance' with a dropdown menu showing 'NAIC Train 02', 'Default Business Type for New Filings' with a dropdown menu showing '-Please Select-', and 'Subscriptions' with two checked checkboxes: 'SERFF Newsletter' and 'Tutorial Notification'. At the bottom of the form are 'Save' and 'Cancel' buttons.

The Current Instance setting only applies to users with more than one instance. By selecting an instance from the drop down list and clicking Save, the user can switch between instances.

Default Business Type for New Filings is an optional setting that allows the user to indicate whether they are primarily Life/Accident/Health or Property/Casualty. Selecting pre-populates the Business Type field for the Filing Wizard creating new templates, searching filing requirements, and Search for filings.

The screenshot shows the 'User Preferences' dialog box. On the left is a sidebar with 'Contact Information', 'Message Settings', and 'User Preferences' (selected). The main area is titled 'User Preferences'. It includes a 'Current Instance' dropdown set to 'NAIC Train 02'. Below this is the 'Default Business Type for New Filings' dropdown, which is open and shows three options: '-Please Select-' (highlighted in blue), 'Property & Casualty', and 'Life, Accident/Health, Annuity, Credit'. Under 'Subscriptions', both 'SERFF Newsletter' and 'Tutorial Notification' are checked. At the bottom are 'Save' and 'Cancel' buttons. A red rectangle highlights the business type dropdown and its options.

Select the SERFF Newsletter and or Tutorial Notification box to receive notification when new SERFF newsletters and tutorials become available.

Click **Sav** button after all selections have been made.

This screenshot shows the top portion of the application window. The 'Settings' tab is active, and within it, the 'User Preferences' sub-tab is selected. A red rectangle highlights a message box at the bottom of the settings area that reads 'User preferences saved successfully.'.

Companies & Contacts

The Companies and Contact links stores information for the instance. When creating a filing, information for the company/companies and contacts specified comes from data entered in the Companies and Contacts links.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts	
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update	

Most SERFF users will only be able to view company information. Users must have the Industry Configuration Manager role assigned to their ID in order to add/edit company and contact information in SERFF. See Lesson 7 for more information.

Companies

You can enter a company name, or the beginning of a company name, to return a search. You can also use the asterisk sign* (wildcard) to enter a partial name and return results. If the user does not make an entry in a field, no attempt to match on that field will be made. Completing no fields will return all companies that are available.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update

Company Search

Company Name
Company Type
Group Code
Group Name
CoCode
FEIN Number
Ex: 22-777777
State of Domicile

Alabama
Alaska
Alberta
AMERICAN SAMOA

Status

☒ Active
☐ Inactive
☐ Either

Search

Reset

Search Tips

Any combination of fields may be used.

Fields in **bold** must match exactly. All other fields will match partial entries, starting with whatever text you type. If you do not make an entry in a field, no attempt to match on that field will be made. Filling out no fields will return all companies you can view.

1. On the Settings tab, click on the Companies link.
2. Complete information as needed.

In the example below, ABC Company has been entered for Company Name.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update

Company Search

Company Name

ABC Company

Company Type
Group Code
Group Name
CoCode
FEIN Number
Ex: 22-777777
State of Domicile

AIG Submissions
Alabama
Alaska
Alberta

Status

☒ Active
☐ Inactive
☐ Either

Search

Reset

Search Tips

Any combination of fields may be used.

Fields in **bold** must match exactly. All other fields will match partial entries, starting with whatever text you type. If you do not make an entry in a field, no attempt to match on that field will be made. Filling out no fields will return all companies you can view.

NOTE: Any combination of fields may be used.

3. Click Search button.

Results:

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts		
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update		
Company Name	Company Type	CoCode	Group Name	Group Code	FEIN Number	State of Domicile	Active	Modified
ABC Company				0	22-7777777	Alabama	Active	12-30-2015

To view detailed information on the company:

4. Click Company Name link.

Results:

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update

[Back to Search Results](#)

Company Information

Instance: NAIC Train 03

CoCode: This entity does not have an NAIC Company Code.

Company Name: ABC Company

Address: 123 , Orlando , Alabama 97213

Telephone Number: (503)123-4567

Fax Number:

Company Type:

Group Code: 0

Group Name:

FEIN Number: 22-7777777

State of Domicile: Alabama

Active: Active

Licensed States:

State	State ID Number	HIOS Issuer ID	NCQA Org ID	URAC App Number
Alabama	12345			

The **Back to Search** Results button returns user back to list.

Licensed States

The Licensed States area is maintained by the Configuration Manager and lists states that the company is licensed to conduct business in, as well as any ID. The accreditation information is entered for companies who utilize Plan Management functionality.

Contacts

Every SERFF filing created is required to include one contact. The contact is the person whom the state should contact if they must communicate outside of SERFF.

Filers may also be contacts, but they must first be set up as a contact.

Users must have the Industry Configuration Manager role assigned to their ID in order to add or edit contact information. At least one contact must be set up before any filings can be created. Refer to Lesson 7 for more information.

Contact information for an instance can be accessed by clicking the Contacts link under the Settings tab.

Filings	Messages	Billing	Settings	Filing Rules
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report

Find a Contact

Last Name

First Name

Email Address

Job Title

Active

☒ Active
 ☐ Inactive
 ☐ Either

SERFF Industry Manual

The Contacts link behaves much like the Companies link. If the user does not make an entry in a field, no attempt to match on that field will be made. Completing no fields will return all contacts that are available. You may use the asterisk wildcard in this search as well.

Sample search result for all contacts listed in instance:

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts	
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update	
	Last Name, First Name		Title	Email Address		Active	
	Brown, John			JohnBrown@naictrain03.com		Active	
	Jacks, Joe			abc@123.com		Active	
	Jones, Jennifer			jenniferjones@naictrain03.com		Active	
	Legal, Joseph		Senior Compliance Officer	joseph.legal@email.com		Active	
	Smith, Sally		Sr Compliance Analyst	ssmith@email.com		Active	

LESSON 3

SERFF's Filing Rules database is a core piece of the application and this information is the basis for the creation of all filings in SERFF. This information is accessed through the Filing Rules tab on the SERFF Workspace.

Filing Rules contains information regarding state General Instructions, Requirements, Types of Insurance, and Submissions Requirements. This lesson discusses how to find state filing requirements in advance of filing preparation and submission.

This lesson covers the following topics:

- Filing Rules Overview
- General Instructions
- Requirements
- Types of Insurance



- Submission Requirements

Filing Rules Overview

The **Filing Rules** tab contains all of the state specific information needed to submit a filing. It is created and managed by authorized users from each state.

SERFF Industry Manual

Filings	Messages	Billing	Settings	Filing Rules	Templates
<u>General Instructions</u>	<u>Requirements</u>	<u>Types of Insurance</u>	<u>Submission Requirements</u>		

Filing Rules contain:

- **General Instructions**
 - A document that includes information, not specific to a product, about submitting SERFF filings to the state instance. General Instructions are an overview of how the company should submit SERFF filings in each state.
- **Requirements**
 - Items that need to be submitted on a filing. These become Supporting Documents on SERFF filings.
- **Types of Insurance**
 - The Types of Insurance (TOIs) and Sub-Types of Insurance (Sub-TOIs) accepted by a specific state instance in SERFF.
- **Submission Requirements**
 - A compilation of TOIs, Sub-TOIs, Filing Types and Requirements. The Submission Requirements identify the specific Requirements that need to be submitted to a state, for a given TOI, Sub-TOI, and Filing Type selected.

General Instructions

General Instructions contain overall filing information advising companies how they should submit SERFF filings to a state instance. It is important for a user to review a state's General Instructions to ensure a complete and accurate submission.

View General Instructions

1. From Filing Rules tab, select the General Instructions link.

Filings	Messages	Billing	Settings	Filing Rules	Templates
General Instructions	Requirements	Types of Insurance	Submission Requirements		

A list of all State's General Instructions is displayed in a columnar view.

General Instructions

New Search

Refine Search

General Instructions

General Instructions 1-106 of 106 | First | Previous | Next | Last

Instance Name	Att.	Description	Date Last Modified	Date Created
Alabama		1) RATE/RULE TAB ***PLACEMENT OF FINAL RATE/RU	02/14/2014	06/29/2006
AlabamaLife		FOR ALL LIFE FILINGS: See the state bulletin on ou	10/31/2012	02/23/2006
Alaska		General Instructions Document ***Important*** Eff	09/13/2011	05/18/2006
Arizona		Updated for SERFF v5: IMPORTANT NOTE: PLEASE C	09/11/2012	05/02/2006
ArizonaLH		Arizona is accepting live filings for all produc		08/24/2006
Arkansas		If you have questions or problems please contact	10/16/2009	09/14/2006
California		Description: VERY IMPORTANT INFORMATION FOR CALIFO	05/06/2007	08/10/2006
California DMHC		General Instructions for California DHMC	01/06/2011	11/15/2010
Colorado		***Important*** Effective 01/12/2006 Colorado Life		06/09/2006
Connecticut		These are general instructions for all property an		02/23/2005
ConnecticutLH		These are general instructions for all life and he		06/03/2005

The default view is sorted by Instance Name in ascending order. The following columns can be sorted:

- Instance Name
- Date Last Modified
- Att. (attachments),
- Date Created

Click on the column header to sort. Click again to switch to descending order.

NOTE: When a user sorts the view by any of the columns, that sort will be maintained until the user loads a different view or goes to the Search screen.

2. To open the General Instructions for a state instance, click anywhere on the General Instructions row.

SERFF Industry Manual

General Instructions				
New Search		Refine Search		
General Instructions		General Instructions 1-106 of 106 First Previous Next Last		
Instance Name	Att.	Description	Date Last Modified	Date Created
Alabama		1) RATE/RULE TAB ***PLACEMENT OF FINAL RATE/RU	02/14/2014	06/29/2006
AlabamaLife		FOR ALL LIFE FILINGS: See the state bulletin on ou	10/31/2012	02/23/2006
Alaska		General Instructions Document ***Important*** Eff	09/13/2011	05/18/2006
Arizona		Updated for SERFF v5: IMPORTANT NOTE: PLEASE C	09/11/2012	05/02/2006

The selected General Instruction document is displayed.

View the 'Alabama' General Instructions

Return to Search

General Instructions Last Updated 02/14/2014

Instance Business Type P&C and LAH

General Information

Status in Domicile:
Domiciliary Status Required

Date Last Modified: 04/15/2010 07:44 AM

Multiple Companies Allowed on Filings?:
PC: Yes LAH: Yes

Effective Date Rules:
The deemer date, or effective date, for SERFF filings is 30 days from the date the department of insurance receives the proper fee.

Date Last Modified: 02/14/2014 04:39 PM

Change of Effective Date Requests:
Change of Effective Date Requests must be sent via Note to Reviewer.

Date Last Modified: 04/15/2010 07:44 AM

Additional Information Links:
Additional filing information can be found at The Department of Insurance's website at <http://www.aldoi.gov/Companies/PCFilingReqs.aspx>

Date Last Modified: 04/15/2010 07:44 AM

NOTE: “General Instructions Last Updated” and “Date last Modified” will reflect the date changes were made to the General Instructions.

Search General Instructions

Users will be able to search General Instructions using the field-based design to allow for a more targeted review of each state's filing guidelines. This is used to search multiple state instances for General Instructions that meet certain criteria.

1. From Filing Rules tab, select the General Instructions link.

Filings	Messages	Billing	Settings	Filing Rules	Templates
General Instructions	Requirements	Types of Insurance	Submission Requirements		

2. Click **New Search** button.

General Instructions

New Search
Refine Search

3. Select multiple states.

Find General Instructions

Find Reset

State Instances:

Alabama

AlabamaLife

Alaska

AlaskaLH

Arizona

ArizonaLH

Arkansas

California

Instance Business Types:

Life, Accident/Health, Annuity, Credit

P&C and LAH

Property and Casualty

Status In Domicile:

Domiciliary Approval Required

Domiciliary Status Required

Not Applicable

Multiple Company Filings - P&C

Yes

No

Either

Multiple Company Filings - L&H

Yes

No

Either

Available Filing Modes:

Exempt

File & Use

File with Certification

Informational

Other

Prior Approval

Use & File

General Instructions Last Updated

Start:

End:

Is There A Fee?

Yes

No

Either

Is This State Retaliatory?

Yes

No

Either

Confidentiality Requests Are:

Allowed

Not Allowed

Either

EFT is:

Accepted

Not Accepted

Required

Payment is:

Billed in Arrears

Due at Submission

Filings Become Public:

At Effective Date

At Submission

Other

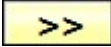



Upon Authorization for Use

Upon Disposition

Upon Request Only

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State Instances: Select State or States(s) by using yellow navigation buttons to move selection(s) from left to right.

 moves entire contents of list to box on right 
moves selected content from left to right  moves selected
content from right to left  moves entire list from left to right

NOTE: Multiple states can be selected by holding down the Ctrl key while clicking on states.

4. Select desired search criteria.

Click on ☐ check box(s), ☐ radio button or use navigational arrows to make selections.

5. Click Find.

A list of all General Instructions meeting search criteria is displayed.

NOTE: Selecting 

Results: Based on search criteria selected will display.

General Instructions




...where State Instance is 'Alabama' or 'AlabamaLife' or 'Alaska' or 'AlaskaLH' or 'Arizona' or 'ArizonaLH' or 'Arkansas' or 'California' and 'Is a Fee Required?' is 'Yes'

New Search

Refine Search

General Instructions

General Instructions 1-3 of 3 | First | Previous | Next | Last

Instance Name 	Alt.	Description	Date Last Modified	Date Created
Alabama		1) RATE/RULE TAB ***PLACEMENT OF FINAL RATE/RU	02/14/2014	06/29/2006
Arizona		Updated for SERFF v5: IMPORTANT NOTE: PLEASE C	09/11/2012	05/02/2006
Arkansas		If you have questions or problems please contact	10/16/2009	09/14/2006

General Instructions 1-3 of 3 | First | Previous | Next | Last

New Search

Refine Search

* For example, as shown above, the state instances' of Alabama, Arizona and Arkansas does have a required fee.

Viewing General instructions

Click on a state instance to view their General Instructions.

General Instructions			
...where State Instance is 'Alabama' or 'AlabamaLife' or 'Alaska' or 'AlaskaLH' or 'Arizona' or 'ArizonaLH' or 'Arkansas' or 'California' and 'Is a Fee Required?' is 'Yes'			
New Search Refine Search			
General Instructions		General Instructions 1-3 of 3 First Previous Next Last	
Instance Name	Description	Date Last Modified	Date Created
Alabama	1) RATE/RULE TAB ***PLACEMENT OF FINAL RATE/RU	05/29/2014	06/29/2006
Arizona	Updated for SERFF vs: IMPORTANT NOTE: PLEASE C	09/11/2012	05/02/2006
Arkansas	If you have questions or problems please contact	10/16/2009	09/14/2006
New Search Refine Search		General Instructions 1-3 of 3 First Previous Next Last	

Results:

View the 'Alabama' General Instructions

Return to Search

General Instructions Last Updated 05/29/2014

Instance Business Type P&C and LAH

General Information

Status in Domicile:
Domiciliary Status Required Date Last Modified: 04/15/2010 07:44 AM

Multiple Companies Allowed on Filings?:
PC: Yes LAH: Yes

Effective Date Rules:
The deemer date, or effective date, for SERFF filings is 30 days from the date the department of insurance receives the proper fee. Date Last Modified: 05/29/2014 10:57 AM

Change of Effective Date Requests:
Change of Effective Date Requests must be sent via Note to Reviewer. Date Last Modified: 04/15/2010 07:44 AM

If there are attachments, they will be displayed at the bottom of the document.

Attachments	
Attachments	
 Certification of Compliance.pdf	Date Uploaded: 04/15/2010 07:43 AM
 DISCLOSURE 1.pdf	Date Uploaded: 04/15/2010 07:43 AM

NOTE: To close the General Instructions screen, click on the [Return to Search](#) button or on any of the links or tabs.

Requirements

When included in a Submission Requirement, a requirement is a request from the state for Supporting Documentation to aid in the review of a filing. States use the Requirements list in this view when creating their Submission Requirements. A Requirement can be used in multiple Submission Requirement documents, but are instance specific.

The following information is stored about Requirements:

- **Name** – The Requirement name.
- **Business Type** – The line of business to which the requirement applies.
- **State Instance** – The State instance(s) participating in SERFF.

Finding Specific Requirements

When searching for specific requirements, some or all information about that requirement might be known. In the instructions below, if there is a field in which the criterion is unknown, the field may be left blank, or in the case of Business Type, may be left on “Both.”

1. From Filing Rules tab, select the [Requirements](#) link.

Filings	Messages	Billing	Settings	Filing Rules	Templates
General Instructions	Requirements	Types of Insurance	Submission Requirements		
Find Requirements					

2. Select desired search criteria.

Find Requirements

Name:

Business Type:

State Instances:

AlabamaLife

Alaska

AlaskaLH

Arizona

ArizonaLH

Arkansas

California

California DMHC

CaliforniaLAH

CaliforniaLD

>>

>

<

<<

Alabama

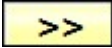



Find

Name: Type the first few characters of the requirement name.
(e.g. act)

Business Type: Select a business type. (e.g. Both, 'Property & Casualty', 'Life, Accident/Health. Annuity, Credit')

State Instances: Select State or States(s). Use yellow navigation buttons to move selection(s) from left to right.



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		moves entire contents of list to box on right	moves
		selected content from left to right	
moves selected			content from right to left
		moves entire list from left to right	





NOTE: Current state instance selected by default. **NOTE:** Multiple states can be selected by holding down the Ctrl or Shift key while clicking on states.

3. Click **Find** button.

The following buttons are available on the Search Results screen:

	Clears all search filed criteria and initiates a fresh Requirement search.
	Takes user back to the search criteria display without clearing the previously entered search criteria.

The Requirements view displays 50 requirements per page and shows the total count of Requirements retrieved by the search.

Requirements				Requirements 1-10 of 10 First Previous Next Last			
Instance Name	Att.	Category	Name				
Alabama			Actuarial Support Exhibits				
Alabama			Authorization Form				
Alabama			Expedited Terrorism Form				
Alabama			Explanatory Memorandum				
Alabama			Filing Fee Form				
Alabama			Property and Casualty Certificate of Compliance				
Alabama			side-by-side comparison				
Alabama			Complete Rate/Rule Manual				
Alabama			FIS 0701-Policy Form Data Sheet				
Alabama		Actuarial	Actuarial Memorandum				

The following links display next to the count:

Requirements 1-10 of 10 | First | Previous | Next | Last

First: Displays the first page of Requirements in the search results.

Previous: Displays the previous page of Requirements in the search results.

Next: Displays the next page of Requirements in the search results.

Last: Displays the last page of Requirements in the search results.

Viewing a Requirement

To open the Requirement, click anywhere on the Requirement row.

Requirements			
<div>New SearchRefine Search</div>			
Requirements		Requirements 1-10 of 10 First Previous Next Last	
Instance Name	Att.	Category	Name
Alabama			Actuarial Support Exhibits
Alabama			Authorization Form
Alabama			Expedited Terrorism Form
Alabama			Explanatory Memorandum

The content of the Requirement will be displayed.

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View the 'Authorization Form' Requirement

[Return to Search](#)

State Instance: Alabama
Name: Authorization Form
Description: Authorization Form must be submitted any time a filing is being submitted on behalf of the insurance company by another party
Business Type: P&C and LAH
Require Per Company: No
Parse Attachments? No
View Category: -- None Selected --
Attachments: -- No Attachments --
Author: Migration, Filing Rules

The following button is available:

[Return to Search](#)

Returns the user to the search results.

NOTE: If Attachment(s) are associated with requirement, click on link to open attachment. This schedule item can then be saved, printed or emailed.

Types of Insurance

The Types of Insurance (TOI) tab shows the lines of insurance that states are accepting through SERFF and any Sub-Types of Insurance (Sub-TOIs) that are associated with those TOIs.

The following information is stored about Types of Insurance:

- TOI Name - The Type of Insurance name
- Sub-TOI Name - The Sub-TOI name
- Business Type - The line of business
- Methods - How the TOI may be used

- State Instances - The state instance

Finding Types of Insurance

The Type of Insurance search feature allows the user to search by one or more criteria.

Find Types of Insurance

TOI Name:

Starts With

Contains

Equals

Sub-TOI Name:

Starts With

Contains

Equals

Business Type:

Both

State Instances:

AIG Submissions

Alabama

AlabamaLife

Alaska

AlaskaLH

Arizona

ArizonaLH

Arkansas

California

California DMHC

>>

>

<

<<

Find

1. From Filing Rules tab, select the Types of Insurance link.

Filings	Messages	Billing	Settings	Filing Rules	Templates
General Instructions	Requirements	Types of Insurance	Submission Requirements		

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2. Complete the following.

TOI Name: Type in a TOI Name or a portion of the TOI Name
(e.g. Homeowners)

Sub-TOI Name: Type in Sub-TOI Name or a portion of the Sub-TOI Name
(*optional*)

Business Type: Select a business type from drop down
(e.g. Both, 'Property & Casualty', or
'Life, Accident/Health, Annuity, Credit')

Find Types of Insurance

TOI Name:

☐ Starts With ☒ Contains ☐ Equals

Sub-TOI Name:

☐ Starts With ☒ Contains ☐ Equals

Business Type:

NOTE:

Sub-TOI Name searches allow the user to set what type of text search to use:
Starts With - The text entered is at the beginning of the item and might be followed by other text.

Contains - The text entered is somewhere in the item and could be preceded by or followed by other text.

Equals - The text entered should match exactly to the item.

State Instances: Select State or States(s) by using yellow navigation buttons to move selection(s) from left to right.

3. Click **Find** button.

Results:

Types of Insurance		
New Search		Refine Search
Types Of Insurance		Types of Insurance 1-7 of 7 First Previous Next Last
Instance Name	TOI	Sub-TOI
Alabama	04.0 Homeowners	04.0000 Homeowners Sub-TOI Combinations
Alabama	04.0 Homeowners	04.0001 Condominium Homeowners
Alabama	04.0 Homeowners	04.0002 Mobile Homeowners
Alabama	04.0 Homeowners	04.0003 Owner Occupied Homeowners
Alabama	04.0 Homeowners	04.0004 Tenant Homeowners
Alabama	04.0 Homeowners	04.0005 Other Homeowners
Alabama	30.0 Homeowners/Auto Combinations	30.0000 Homeowner/Auto Combinations
		Types of Insurance 1-7 of 7 First Previous Next Last
New Search		Refine Search

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Viewing Types of Insurance

To open the TOI, click anywhere on the TOI row.

Types of Insurance		
<div>New Search Refine Search</div>		
Types Of Insurance		Types of Insurance 1-7 of 7 First Previous Next Last
Instance Name	TOI	Sub-TOI
Alabama	04.0 Homeowners	04.0000 Homeowners Sub-TOI Combinations
Alabama	04.0 Homeowners	04.0001 Condominium Homeowners
Alabama	04.0 Homeowners	04.0002 Mobile Homeowners
Alabama	04.0 Homeowners	04.0003 Owner Occupied Homeowners

Results:

Return to Search

State Instance: Alabama

Business Type: * Property & Casualty

Electronic

Type Of Insurance: 04.0 Homeowners ☒

Sub-Types of Insurance: 04.0000 Homeowners ☒

Sub-TOI Combinations 04.0001 Condominium Homeowners ☒

04.0002 Mobile Homeowners ☒

04.0003 Owner Occupied Homeowners

To close the Type of Insurance screen, click on the **Return to Search** button or on any of the links or tabs within the SERFF workspace.

Submission Requirements

The Submission Requirements are a set of specific Requirements for a particular combination of State Instance, TOI, Sub-TOI(s) and Requirements.

The Submission Requirements, located on the Supporting Documentation schedule, must be satisfied or bypassed for the state to receive the filing for review. The following information is stored about Submission Requirements:

- **State Instance**
- **Type of Insurance**
- **Sub-Types of Insurance**
- **Requirements** – Items that need to be submitted on a filing

Find Submission Requirements

State Instances:

AIG Submissions
Alabama
AlabamaLife
Alaska
AlaskaLH
Arizona
ArizonaLH
Arkansas
California
California DMHC

>>
>
<
<<

Select

PCM Types Of Insurance:

01 0 Property
02 1 Crop
02 3 Flood
03 0 Personal Farmowners
04 0 Homeowners
05 0 CMP Liability and Non-Liability
05 1 CMP Non-Liability Portion Only
05 2 CMP Liability Portion Only
06 0 Mortgage Guaranty
08 0 Ocean Marine

>>
>
<
<<

Select

Sub Type of Insurance: Please select a Type Of Insurance first.

Find

Requirement Name

Included Text:

☐ Starts With
☒ Contains
☐ Equals

Excluded Text:

☐ Starts With
☒ Contains
☐ Equals

Enter text that should be in the requirement name.

Enter text that should not be in the requirement name.

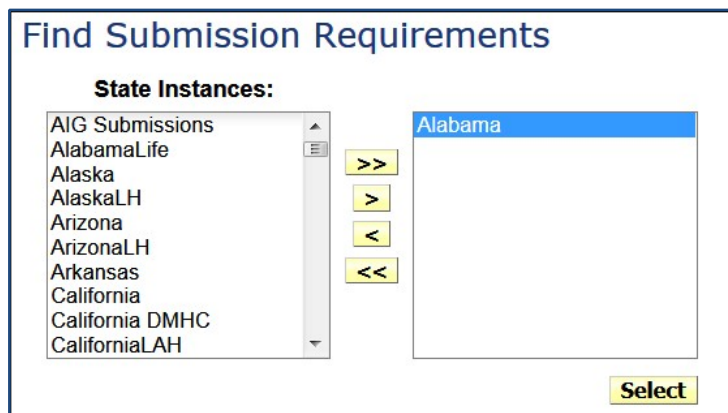
Find

Finding Submission Requirements for a Specific State

1. From Filing Rules tab, select the Submission Requirements link.



2. Select a State Instance.
3. Click  Select button



State Instances: Select a state by using yellow navigation buttons to move selection from left to right.

NOTE: Typing the first letter of the state in the State Instances box will move the highlight to the first state that begins with that letter. For example, typing "N" takes the highlight to Nebraska. Typing "N" again will take the user to the next state instance that starts with "N."

PCM Types Of Insurance:	01.0 Property 02.1 Crop 02.3 Flood 03.0 Personal Farmowners 04.0 Homeowners 05.0 CMP Liability and Non-Liability 05.1 CMP Non-Liability Portion Only 05.2 CMP Liability Portion Only 06.0 Mortgage Guaranty 08.0 Ocean Marine	>> > < <<
Sub Type of Insurance: Please select a Type Of Insurance first.		
Find		
Requirement Name		
Included Text:	<input type="text"/> <input type="radio"/> Starts With <input checked="" type="radio"/> Contains <input type="radio"/> Equals	Enter text that should be in the requirement name.
Excluded Text:	<input type="text"/> <input type="radio"/> Starts With <input checked="" type="radio"/> Contains <input type="radio"/> Equals	Enter text that should <u>not</u> be in the requirement name.
Find		

Types of Insurance: Select TOI(s) by using yellow navigation buttons to move selection(s) from left to right.

Sub Types of Insurance: Once the TOI(s) have been chosen and the **Select** button has been clicked, the Sub-TOIs will be displayed based of the TOIs previously selected. Use navigational arrows to select and then click **Find**.

Requirements: Option to enter text that is either included or excluded from the requirement name. Enter text and then click **Find**.

Results:

Listed by Filing Type(s) are the submission requirements for the state instance, particular combination of TOI and Sub-TOI(s) selected.

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Submission Requirements		
<div>New Search Refine Search</div>		
Submission Requirements		Submission Requirements 1-3 of 3 First Previous Next Last
Instance Name	TOI/Sub-TOI	Filing Type
Alabama	19.0 Personal Auto/ 19.0001 Private Passenger Auto (PPA), 19.0004 Other, 19.0003 Recreational Vehicle (RV), 19.0002 Motorcycle	Form
Alabama	19.0 Personal Auto/ 19.0004 Other, 19.0002 Motorcycle, 19.0001 Private Passenger Auto (PPA), 19.0003 Recreational Vehicle (RV)	Rate
Alabama	19.0 Personal Auto/ 19.0004 Other, 19.0003 Recreational Vehicle (RV), 19.0002 Motorcycle, 19.0001 Private Passenger Auto (PPA)	Rule
		Submission Requirements 1-3 of 3 First Previous Next Last
<div>New Search Refine Search</div>		

Viewing a Submission Requirement

Click anywhere on the filing type row to open the Filing Type to determine the submission requirements that are required by the state.

Submission Requirements		
<div>New Search Refine Search</div>		
Submission Requirements		Submission Requirements 1-3 of 3 First Previous Next Last
Instance Name	TOI/Sub-TOI	Filing Type
Alabama	19.0 Personal Auto/ 19.0001 Private Passenger Auto (PPA), 19.0004 Other, 19.0003 Recreational Vehicle (RV), 19.0002 Motorcycle	Form
Alabama	19.0 Personal Auto/ 19.0004 Other, 19.0002 Motorcycle, 19.0001 Private Passenger Auto (PPA), 19.0003 Recreational Vehicle (RV)	Rate
Alabama	19.0 Personal Auto/ 19.0004 Other, 19.0003 Recreational Vehicle (RV), 19.0002 Motorcycle, 19.0001 Private Passenger Auto (PPA)	Rule
		Submission Requirements 1-3 of 3 First Previous Next Last
<div>New Search Refine Search</div>		

Results:

Return to Search

State Instance: Alabama

TOI: 19.0 Personal Auto

Sub-TOI: 19.0001 Private Passenger Auto (PPA)

19.0002 Motorcycle

19.0003 Recreational Vehicle (RV)

19.0004 Other

Filing Types: Rate

Requirements: [Actuarial Memorandum](#)
[Authorization Form](#)

Additional Information:

To close the submission requirements screen, click on the **Return to Search** button or on any of the links or tabs within the SERFF workspace.

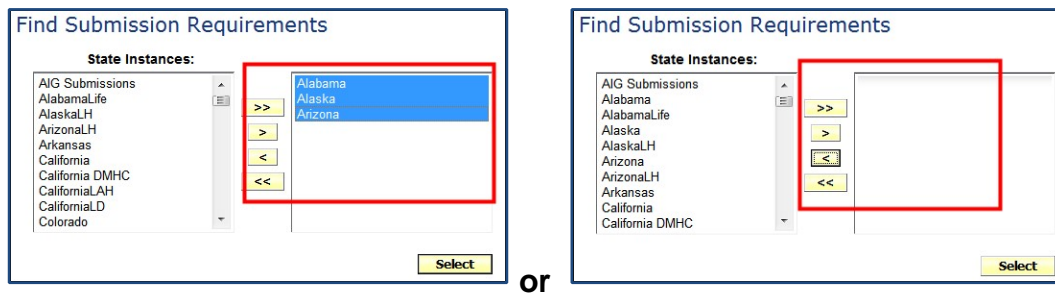
Finding Submission Requirements under the NAIC Uniform Product Coding Matrices (PCM)

If no states are selected or when multiple states are selected, users may only choose from the PCM TOIs and Sub-TOIs. If one state is selected (see previous section), the TOIs and Sub-TOIs for that state are available in the search selection.

1. From Filing Rules tab, select the Submission Requirements link.

Filings	Messages	Billing	Settings	Filing Rules	Templates
General Instructions	Requirements	Types of Insurance	Submission Requirements		

2. Select multiple State Instances or remove default state instance.



or

State Instances: Select States by using yellow navigation buttons to move selections from left to right.

NOTE: Use the Ctrl key or Shift key to select multiple states at one time.

NOTE: If a state has not implemented the NAIC Uniform Product Coding Matrix, no results will come back for that state.

3. Click **Select** button.

Optional selections:

Requirement Name

Included Text:

☐ Starts With
☒ Contains
☐ Equals

Enter text that should be in the requirement name.

Excluded Text:

☐ Starts With
☒ Contains
☐ Equals

Enter text that should not be in the requirement name.

Included Text: Enter text that should be in the requirement name.

Excluded Text Enter text that should not be in the requirement name.

4. Select PCM Types of Insurance and click **Find** button.

The screenshot displays a software interface for selecting insurance types. It is divided into two main sections: "PCM Types Of Insurance" and "PCM Sub Types of Insurance".

PCM Types Of Insurance: A list on the left includes items like "01.0 Property", "02.1 Crop", "02.3 Flood", "03.0 Personal Farmowners", "04.0 Homeowners", "05.0 CMP Liability and Non-Lia", "05.1 CMP Non-Liability Portion", "05.2 CMP Liability Portion Only", "06.0 Mortgage Guaranty", and "08.0 Ocean Marine". To the right of this list are four yellow navigation buttons: ">>", ">", "<", and "<<". Further right is a box containing "19.0 Personal Auto" and "20.0 Commercial Auto", with a circled "1" above it. Below the navigation buttons is a "Select" button, circled with a "2".

PCM Sub Types of Insurance: A list on the left includes "19.0001 Private Passenger Auto (f", "19.0002 Motorcycle", "19.0003 Recreational Vehicle (RV)", "19.0004 Other", "20.0001 Business Auto", "20.0002 Garage", and "20.0003 Other". To the right are the same four yellow navigation buttons. A red rectangle highlights the "20.0001 Business Auto" item. Below the buttons is a "Find" button, circled with a "3".

PCM Types of Insurance: **Select** Select PCM TOI(s) by using yellow navigation buttons to move selection(s) from left to right. ①

PCM Sub Types of Insurance: Once the PCM TOI(s) have been chosen and the **Insurance:** button ② has been clicked, the PCM Sub-

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(Optional)

TOIs will be displayed based of the TOIs previously selected. Use

③ navigational arrows to select and then click ③.

Find

Results:

Listed by Filing Type(s) are the submission requirements for the state instances, particular combination of TOI and Sub-TOI(s) selected.

Submission Requirements		
New Search	Refine Search	
Submission Requirements		Submission Requirements 1-13 of 13 First Previous Next Last
Instance Name	TOI/Sub-TOI	Filing Type
Alabama	19.0 Personal Auto/ 19.0001 Private Passenger Auto (PPA), 19.0002 Motorcycle, 19.0004 Other, 19.0003 Recreational Vehicle (RV)	Form
Alabama	19.0 Personal Auto/ 19.0004 Other, 19.0003 Recreational Vehicle (RV), 19.0002 Motorcycle, 19.0001 Private Passenger Auto (PPA)	Rule
Alabama	19.0 Personal Auto/ 19.0003 Recreational Vehicle (RV), 19.0002 Motorcycle, 19.0001 Private Passenger Auto (PPA), 19.0004 Other	Rate
Alaska	19.0 Personal Auto/ 19.0003 Recreational Vehicle (RV), 19.0001 Private Passenger Auto (PPA), 19.0004 Other, 19.0002 Motorcycle	Rate, Rule, Rate/Rule
Alaska	20.0 Commercial Auto/ 20.0001 Business Auto, 20.0003 Other, 20.0004 Truckers, 20.0002 Garage	Form
Alaska	20.0 Commercial Auto/ 20.0004 Truckers, 20.0002 Garage, 20.0003 Other, 20.0001 Business Auto	Rate, Rule, Rate/Rule

Viewing a Submission Requirement

Click anywhere on the filing type row to determine the submission requirements that are required by the state.

Submission Requirements		
New Search	Refine Search	
Submission Requirements		Submission Requirements 1-13 of 13 First Previous Next Last
Instance Name	TOI/Sub-TOI	Filing Type
Alabama	19.0 Personal Auto/ 19.0001 Private Passenger Auto (PPA), 19.0002 Motorcycle, 19.0004 Other, 19.0003 Recreational Vehicle (RV)	Form
Alabama	19.0 Personal Auto/ 19.0004 Other, 19.0003 Recreational Vehicle (RV), 19.0002 Motorcycle, 19.0001 Private Passenger Auto (PPA)	Rule
Alabama	19.0 Personal Auto/ 19.0003 Recreational Vehicle (RV), 19.0002 Motorcycle, 19.0001 Private Passenger Auto (PPA), 19.0004 Other	Rate
Alaska	19.0 Personal Auto/ 19.0003 Recreational Vehicle (RV), 19.0001 Private Passenger Auto (PPA), 19.0004 Other, 19.0002 Motorcycle	Rate, Rule, Rate/Rule
Alaska	20.0 Commercial Auto/ 20.0001 Business Auto, 20.0003 Other, 20.0004 Truckers, 20.0002 Garage	Form
Alaska	20.0 Commercial Auto/ 20.0004 Truckers, 20.0002 Garage, 20.0003 Other, 20.0001 Business Auto	Rate, Rule, Rate/Rule

Results:

[Return to Search](#)

State Instance: Alabama

TOI: 19.0 Personal Auto

Sub-TOI: 19.0001 Private Passenger Auto (PPA)

19.0002 Motorcycle

19.0003 Recreational Vehicle (RV)

19.0004 Other

Filing Types: Rate

Requirements: [Actuarial Memorandum](#)
[Authorization Form](#)

Additional Information:

To close the submission requirements screen, click on the Return to Search button or on any of the links or tabs within the SERFF workspace.

LESSON 4

SERFF's Filing Wizard makes the process of filing to one or multiple states quick and easy. Speed-to-Market Tools such as the NAIC Product Coding Matrices and Uniform Transmittal Documents are built into the system. Instance and user preferences and other ease of use features make creating and submitting a SERFF filing simple. This lesson covers the basics of preparing a SERFF filing.

This lesson covers the following topics:

- [Create a Single/Multi State Filing](#)
- [P&C/LAH Filing at a Glance](#)
- [Attaching Files for Schedule Items](#)
- [Bypass/Satisfy Supporting Documentation](#)

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- [Templates](#)
- [Requesting Confidentiality](#)

Create a Single/Multi State Filing



SERFF allows insurers to submit new products, in addition to revisions to their rates and forms, to state insurance departments. The Filing Wizard guides the user through the preparation and submission of their electronic filing, making the filing process simple.

1. From Filing tab, select [Create Filing](#) link to begin searching.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
My Workfolder	My Open Filings	My Draft Filings	Search	Create Filing	EFT Report	

2. Select the 'Business Type' and complete all required fields.

Step 1 - Create a Filing
* Asterisk denotes required field.

Business Type: *
Product Name: *
Project Name:
Project Number:
Authors: *

10, iuser
11, iuser
12, iuser
13, iuser
26, iuser
Becker, Paul
Bennett, Morgan
Burke, Leila
Graf, Reggie
Hamilton, Josef Industry

>>
>
<
<<

27, iuser

Next Cancel

- **Business Type:** There are two Business Types: Property & Casualty, and Life, Accident/Health, Annuity, Credit. The business type can be predefined in the 'User Preferences' area of SERFF. Once set in 'User Preferences', this field will default to the

defined business type without the user selecting it on each filing. The author has the ability to change business types.

- **Product Name:** The author enters the name of the product that they are submitting. This is a required field.
 - **Project Name:** The author may enter a project name for this filing. This is not a required field, but is searchable.
 - **Project Number:** The author may enter a project number. This is not a required field.
 - **Other authors:** The creator or author of the filing may assign other authors to a filing(s). Once given permission as an author, full access to the filing is granted.
- * The creator or author can remove themselves if needed. This would prevent the creator from getting unwanted messages about filings to which they are no longer responsible. However, the creator or author must select an additional author before they will be able to progress to Step 2 of the Filing Wizard.

3. Select State(s) and continue.

- * Hold down the **Ctrl** or **Shift** key to select state multiple states from the list.

Step 2 - Select States

* Asterisk image denotes required field.

States: *

Alabama
Alaska
Arizona
Arkansas
California
Colorado
Connecticut
Delaware
District of Columbia
Florida

>>

>

<

<<

PreviousNext

Save and CloseSaveCancel

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NOTE: **Previous** returns you to the previous page.
Next moves you to the next step in the Filing Wizard.
Save and Close saves changes and closes filing. Places filing “In Process Filing Constructors.” saves
Save changes and keeps you in the filing.
Cancel cancels the filing entirely.

In Process Filing Constructors

Found by clicking the “my draft filings” link, all filings are stored here if the author has not completed all the Filing Wizard Steps. When the author is ready to resume the draft filing, simply click on the filings and the filing will open to the last updated step in the Filing Wizard.

found by clicking the **My Draft Filings**

My Draft Filings [Most Recently Viewed Filings](#)

Delete Constructor

In Process Filing Constructors

<input type="checkbox"/>	Product Name	Business Type	Date Created	Created By	Master Tracking Index
<input type="checkbox"/>	Homeowners Test Product	Property & Casualty	Jul 24, 2018	iuser 27	

Delete Constructor

Select Types of Insurance

The author selects the Type of Insurance from the Wizard Type of Insurance Selector drop down. For those states that have implemented the Product Coding Matrix (PCM) and accept the Type of Insurance (TOI) specified, the information will auto populate for each state selected.

For the states that haven't implemented the Product Coding Matrix, the author will have to click on the drop down arrow next to the TOI for each state.

NOTE: The Wizard Type of Insurance Selector will only display on multi-state filings.

1. Click on the drop-down arrow next to the **Type of Insurance Selector** or to the right of the selected state.
2. Select the appropriate TOI (Type of Insurance).

If there is not an exact match for the Type of Insurance, when using the Wizard Type of Insurance Selector, click the drop down next to each applicable state and select the appropriate TOI.

Click the **Add State or Remove States** button to change the states included in the filing.

Step 3 - Select Types of Insurance

Type of Insurance Selector:

Selected States	Type Of Insurance *
Alabama	<input type="text" value="Please select a value"/>
Minnesota	<input type="text" value="Please select a value"/>
Utah	<input type="text" value="Please select a value"/>

Select Sub-Type of Insurance

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The author selects the Sub-Type of Insurance from the Filing Wizard Sub-Type of Insurance Selector drop down. For those states that have implemented the Product Coding Matrix and accept the Sub-Type of Insurance (Sub-TOI) specified, the information will auto populate for each state selected.

For the states that haven't implemented the Product Coding Matrix, the author will have to click on the drop down arrow next to the Sub-TOI field to select the Sub-TOI for that state.

NOTE: The Wizard Sub-Type of Insurance Selector will only display on multi-state filings.

1. Click on the drop-down arrow next to the Sub-Type of Insurance Selector or to the right of the selected state.
2. Select the appropriate Sub-TOI (Type of Insurance).

If there is not an exact match for the Sub-Type of Insurance, when using the Wizard Sub-Type of Insurance Selector, click the drop down next to each applicable state and select the appropriate Sub-TOI.

Click the Add State or Remove States button to change the states included in the filing.

Step 4 - Select Sub-Types of Insurance

Sub-Type of Insurance

Selector:

Selected States	Sub-Type Of Insurance *
Alabama TOI: 04.0 Homeowners	<input type="text" value="Please select a value"/>
Minnesota TOI: 04.0 Homeowners	<input type="text" value="Please select a value"/>
Utah TOI: 04.0 Homeowners	<input type="text" value="Please select a value"/>

Select Filing Types

The Filing Type Selector uses a standard naming convention for the most commonly used filing types in SERFF. When filing types are selected using the Filing Type Selector, the fields will auto-populate for those states that have implemented the standard naming convention. All of the filing types that have been setup by the state and are based on the TOI and Sub-TOI selected will be shown.

1. Place a checkmark next to the Filing Type(s) applicable.

NOTE: Wherever there is an exact match, the Filing Type for the state will auto-populate. If there are no Filing Type matches, select the appropriate Filing Type for each state.

Selecting more than one filing type will create **unique** filings for each type selected. In the example above we have selected “Form” and “Rate”. In Step 6 there will be four filings displayed for the three states.

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Step 5 - Select Filing Types

Filing Type Selector: ☐ Advertising ☐ Form ☐ Form/Rate ☐ Form/Rate/Rule ☐ Form/Rule ☐ Rate ☐ Rate/Rule ☐ Rule

Selected States	Filing Types
Alabama TOI: 04.0 Homeowners Sub-TOI: 04.0001 Condominium Homeowners	<input type="checkbox"/> Form <input type="checkbox"/> Rate <input type="checkbox"/> Rule
Minnesota TOI: 04.0 Homeowners Sub-TOI: 04.0001 Condominium Homeowners	<input type="checkbox"/> Form <input type="checkbox"/> Form/Rate <input type="checkbox"/> Form/Rate/Rule <input type="checkbox"/> Form/Rule <input type="checkbox"/> Rate <input type="checkbox"/> Rate/Rule <input type="checkbox"/> Rule
Utah TOI: 04.0 Homeowners Sub-TOI: 04.0001 Condominium Homeowners	<input type="checkbox"/> Form <input type="checkbox"/> Form/Rate <input type="checkbox"/> Form/Rate/Rule <input type="checkbox"/> Rate <input type="checkbox"/> Rule

Confirm Selections

This step displays a summary of the filing for review and confirmation of all the data entered in previous steps.

Once the **Save and Continue** button is clicked, changes to the prior Filing Wizard values cannot be changed.

Step 6 - Confirm Selections

State	TOI	Sub-TOI	Filing Types
Alabama	04.0 Homeowners	04.0001 Condominium Homeowners	Rate
Alabama	04.0 Homeowners	04.0001 Condominium Homeowners	Form
Minnesota	04.0 Homeowners	04.0001 Condominium Homeowners	Form/Rate
Utah	04.0 Homeowners	04.0001 Condominium Homeowners	Form/Rate

Select Companies and Contact

The author selects the contact and company or companies for the filing. All contacts and companies need to be created in both the Companies and Contacts view (Settings) prior to completing the Filing Wizard. The Industry Configuration Manager is responsible for adding contacts and companies. Refer to Lesson 7 for instructions.

1. Select the contact from the drop-down list.

Step 7 - Select Companies and Contact

* Asterisk denotes required field.

Contact: *

Companies: *

American Life and Health Insurance Company	>>	ABC Insurance Company
First Insurance Company	>	Northern National
Galaxy Insurance Company	<	
KC Life and Health	<<	

Next

Save and Close Save Cancel

2. Select Companies.

Step 8 - Select Companies for States

Reset Select All Companies De-Select All Companies

+ - Multiple companies accepted on a filing

Alabama +

☒ ABC Insurance Company

☒ Northern National

Previous Save and Continue

Save and Close Save Cancel

3. Click the **Save and Continue** button.

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Based on a state setting, states can pre-determine if multiple companies are allowed on a single filing. If the state has established this functionality and multiple companies are allowed, company fields will auto populate if the company's profile reflects that it is licensed in that state. If multiple companies are not allowed by the state, SERFF will separate the filing **automatically**.

Default Filing Data

The author can enter the cover letter in the required Filing Description field. However, a cover letter may still be required – please check each state's individual requirements. In addition, the author may enter data for certain fields on the filing. These fields will vary by business type and can be modified later. This is the point in the creation of a filing where users begin to see differences between PC and LAH.

PC Filing

Step 9 - Default Filing Data

Filing Description:

Company Tracking Number:

Effective Date Requested (New): ☒
☐ On Approval

Effective Date Requested (Renewal): ☒
☐ On Approval

Add Rate Data?: ☐ Yes ☒ No

Status of Filing in Domicile:

Domicile Status Comments:

Reference Organization:

Reference Number:

Reference Title:

Advisory Org. Circular:

LAH Filing

Step 9 - Default Filing Data

Filing Description:

Company Tracking Number:

Submission Type:

Implementation Date Requested: ☒
☐ On Approval

Add Rate Data?: ☐ Yes ☒ No

Lead Form Number:

Overall Rate Impact: %

Market Type: [HPR Field Help](#)

Status of Filing in Domicile:

Date Approved in Domicile:

Domicile Status Comments:

- **Filing Description**
- **Company Tracking Number**

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- **Submission Type (LAH only)**
 - To be used in lieu of a cover letter or Filing Memorandum and is free-form text. This is a required field.
 - Companies assign their own tracking number to a filing. This is not a required field.
- **Implementation Date Requested (LAH only)**
 - Select New or Resubmission. If Resubmission, provide the state tracking number for the prior Submission if it was provided by the state. If no state tracking number is available, and the prior filing was made in SERFF, provide the prior filing's SERFF Tracking Number. If neither is available, leave this blank.
- **Lead Form Number (LAH only)**
 -
- **Overall Rate Impact (LAH only):**
 - The date the industry would like to have the product available to sell.
- **Market Type (LAH only):**
 - Lead Form Number of the policy, rider, endorsement, etc.
 - This is the statewide average percentage change to the Accepted rates for the coverage's included for each company.
- **Effective Date Requested (New or Renewal – P&C only):**
 - Identification of the targeted group or individuals. If Group is selected (), fields for Group Market Size and Group Market Type are presented. Group Market Size and Type are required for all PPACA-related filings.
 - This is the date the company is requesting their product be available to sell. It is not necessarily the date the filing officially becomes effective. The state insurance department will determine the definitive effective date. This is also where the company can indicate the different effective dates for new or renewal business. (P&C only).

- **Add Rate Data:** - Filers indicate whether they will provide information relevant to rates. This setting can be overridden on individual filings. Wherever rates are involved the filer must select the 'Yes' radio button to Add Data.

NOTE: The state will require rate data on PPACA-related rate filings and in that instance the rate data will always be a required and cannot be overridden by the filer.

- **Status of Filing in** - Indicates the status of a product filing in a company's domiciliary state. Not a required field. **Domicile:**
- **Date Approved in** - Date contract or other filing or form filing was approved in state of domicile. **Domicile (LAH only):**
- **Domicile Status** - Free-form text field in which companies can supplement domicile status information. For example, if a form is pending in a company's domiciliary state.
- **Comments:**
- **Reference** - The name of the advisory organization—i.e. ISO, NCCI, etc. or insurance company name if a "me too filing" is permitted. A "me too" filing is when one company adopts another company's filing. Usually, they are not part of the same group. *You should check with each state to determine their rules on these filings.*
- **Organization (if applicable – P&C only)**
- **Reference Org** - The unique number that the reference organization gives to the filing. It is generally not the same number as the circular number.
- **Number & Title (if applicable – P&C only):**
- **Advisory Org** The unique number that references the circular number.
- **Circular (P&C only)**

Final Filing Summary

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This final step represents a summary of the filing(s) for review and confirmation by the author. By clicking the **Previous** button, the author can navigate back to previous steps of the Filing Wizard if changes are necessary.

Step 10 - Final Filing Summary

State	TOI	Sub-TOI	Filing Types	Companies
Alabama	04.0 Homeowners	04.0001 Condominium Homeowners	Rate	ABC Insurance Company Northern National
Alabama	04.0 Homeowners	04.0001 Condominium Homeowners	Form	ABC Insurance Company Northern National

[Previous](#) [Finish](#)

[Cancel](#)

The completed filing(s) is available from the **My Draft Filings** link.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
My Workfolder	My Open Filings	My Draft Filings	Search	Create Filing	EFT Report	

My Draft Filings

[Move to Workfolder](#) [Submit Selected Filings](#) [Import Templates](#) [Bypass/Satisfy](#) [Delete Draft](#)

	State	Product Name
\$	<input type="checkbox"/> Alabama	Homeowners Product Launch
\$	<input type="checkbox"/> Alabama	Homeowners Product Launch

At this point you have selected your state(s), TOI, Sub-TOI, Filing Types and added the companies and contact(s). Your filing draft has been created. The next step is to add the state required documentation to each filing and submit to the state(s). Placing the cursor over a filing in the Draft view, highlights that filing and the filing can be opened by clicking anywhere on that row.

NOTE:

There is a grey dollar sign next to the draft filing for Alabama in the above screen shot. This icon indicates that Alabama is eligible for EFT. Once the EFT section of the Filing Fees tab has been completed and the filing submitted, the dollar sign will turn to green.

To edit the filing click the **Edit** button

Add Authors	Edit	Set Confidentiality	Submit Filing	Create Reminder	Move to Workfolder	PDF Pipeline	Clone Filing
-------------	-------------	---------------------	---------------	-----------------	--------------------	--------------	--------------

Alabama

Product Name: * Homeowners Test Product

TOI: 04.0 Homeowners

Sub-TOI: 04.0001 Condominium Homeowners

Filing Type: Form

Effective Date Requested (New): On Approval

Effective Date Requested (Renewal):

SERFF Tr Num: NAI2-000078528

State Tr Num:

Co Tr Num:

Date Submitted: Not Submitted

Authors: iuser 27

[View General Instructions](#) [View Filing Log](#)

SERFF Status: Draft

State Status:

Co Status:

Disposition Date:

View Filing Log

Users have the ability to view activity history on a filing with the View Filing Log link. The activities displayed are limited to filing events and do not include events that occur outside the filing flow. The View Filing Log feature is particularly helpful if more than one person has worked on a filing or if there was a problem with the filing.

How to Access the Filing Log

1. Click on the **View Filing Log** link in the upper right-hand corner (under the state name).

SERFF Industry Manual

Add Authors	Edit	Set Confidentiality	Submit Filing	Create Reminder	Move to Workfolder	PDF Pipeline	Clone Filing
-----------------------------	----------------------	-------------------------------------	-------------------------------	---------------------------------	------------------------------------	------------------------------	------------------------------

Product Name: * Homeowners Test Product	SERFF Tr Num: NAI2-000078528	View General Instructions View Filing Log
TOI: 04.0 Homeowners	State Tr Num:	SERFF Status: Draft
Sub-TOI: 04.0001 Condominium Homeowners	Co Tr Num:	State Status:
Filing Type: Form	Date Submitted: Not Submitted	Co Status:
Effective Date Requested (New): On Approval	Authors: iuser 27	Disposition Date:
Effective Date Requested (Renewal):		

NOTE: The View Filing Log link is available on draft, open and closed filings.

A new window will open, containing a list of all activity on a filing. The activity is listed in chronological order, with the most recent activity on top.

Filing Event Log		
Close		
SERFF Tracking Number:	NAI2-000078534	State: Alabama
Filing Company:	ABC Insurance Company	State Tracking Number:
Company Tracking Number:		
TOI:	H16G Group Health - Major Medical	Sub-TOI: H16G.001A Any Size Group - PPO
Product Name:	PPACA Test Product	
Project Name:	Test	
Date of Event	Detail	User
8/28/18 5:15:46 PM	Note To Reviewer(26730) for Filing NAI2-000078534 was SUBMITTED. Public Access Status has been set by Default.	iuser 27
8/28/18 5:15:46 PM	Public Access Status of Note To Reviewer(26730) submitted on 08/28/2018 was changed to true.	iuser 27
8/28/18 5:13:50 PM	Note To Reviewer(26730) for Filing NAI2-000078534 was CREATED.	iuser 27
8/28/18 4:56:44 PM	Filer Note(26729) for AlabamaLife Filing NAI2-000078534 was CREATED.	iuser 27

2. Once user has completed their review of the activity log, click the **Close** button. The user will be returned to the filing.

P&C/LAH Filing at a Glance

The group of fields in the top section of the filing is called the Filing at A Glance. This area contains key information about the filing and is always displayed at the top of the page, regardless of which tab is being viewed.

Add Authors Edit Set Confidentiality Submit Filing Create Reminder Move to Workfolder PDF Pipeline Clone Filing		
Alabama View General Instructions View Filing Log		
Product Name: * Homeowners Test Product TOI: 04.0 Homeowners Sub-TOI: 04.0001 Condominium Homeowners Filing Type: Form Effective Date Requested (New): On Approval Effective Date Requested (Renewal):	SERFF Tr Num: NAI2-000078528 State Tr Num: Co Tr Num: Date Submitted: Not Submitted Authors: iuser 27	SERFF Status: Draft State Status: Co Status: Disposition Date:

The Filing at a Glance contains the following fields:

- **Product Name:**
- **TOI:**
- **Sub-TOI:**
- **Filing Type:** The name of the product being filed to the state.
- **Effective Date Requested (New or Renewal):** Type of insurance.
Sub-type of insurance.
The type of filing being submitted.
- **SERFF Tracking (Tr) Num:** This is the effective date the company is requesting their product be available to sell. It is not necessarily the date the filing officially become effective. The state insurance department will determine the definitive effective date. This is also where the company can indicate the difference effective dates for new or renewal business.
- **State Tracking (Tr) Num:** This number is defined by SERFF.

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The state will enter their tracking number, if applicable.

The company will enter their tracking number for this filing.

The date the filing was submitted to the state.

- **Authors:** Author(s) of the filing.
- **SERFF Status:** This value is assigned by the SERFF application and automatically updates as activity occurs on a filing. This field has three main purposes: (1) Gives state and industry a common measure as to where the filing is in the process, (2) give the SERFF application a mechanism to control activities that can take place on a filing, and (3) allow for the reporting of metrics information.
 - **Draft:** Filing has been assigned a tracking number but has not been completed and submitted to the state.
 - **Submitted:** author has submitted the filing to the state and the filing has passed all applicable validations. State can now access the filing.
 - **Assigned:** State has assigned the filing to one or more reviews, but no additional action has been taken.
 - **Pending Industry Response:** There are one or more open Objection Letters on the filing that need a response from industry.
 - **Pending State Action:** One or more Objection Letters have been responded to by industry. Filing is still open.
 - **Closed:** The state has created a Disposition Report indicating the final action of the filing. The asterisk indicated that the state Disposition Status (i.e., Approved, Acknowledged, and Disapproved) will be appended to the SERFF status.
- **State Status:** The state will select a State Status, if applicable.

- **Company Status:** The company will select the Company Status, if applicable.
- **Disposition Date:** The date the Disposition Report was submitted to company and final action taken.

General Information – P&C

The General Information tab contains the description of the filing and is business type specific. It is designed to capture both the general information needed for a filing and the specific information requested in the NAIC Uniform Transmittal Document.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Project Name:				Project Number:			
Status of Filing in Domicile: Authorized							
Domicile Status							
Comments:							
Filing Status Changed: 07/24/2018				State Status Changed:			
Company Status Changed:							
Reference Organization:				Reference Number:			
Reference Title:				Advisory Org. Circular:			
Assigned To:							
Created By: iuser 27				Submitted By:			
Corresponding Filing							
Tracking Number:							
Filing Description: * Cover Letter							

The General Information Tab contains the following fields:

- **Project Name:** The filer may enter a project name for this filing.
- **Project Number:** The filer may enter a project number.
- **Status of Filing in Domicile:** Place to indicate the status of a company's pending form and/or rate in their domiciliary state.
- **Domicile Status Comments:** This is a free-form text field in which companies can supplement domicile status information. For example, if a form is pending in a company's domiciliary state.

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- **Filing Status Changed:** Indicates the date the SERFF status of the filing last changed. (SERFF status automatically updates)
- **State Status Changed:** Indicates the date the State Status field last changed. The State Status field is manually updated by the state and the State Status Changed date field is automatically updated.
- **Company Status Changed:** The date the Company Status is last changed.
- **Reference Organization** (if applicable): The name of the advisory organization, i.e. ISO, NCCI, AAIS, etc. or an insurance company name if “me too filing” is permitted. A “me too” filing is when one company adopts another company’s filing.
- **Reference Number & Title** (if applicable): This is the unique number and or title that the reference organization gives to the filing. It is generally not the same number as the circular number.
- **Advisory Org** (Organization) **Circular:** This is a unique number that references the circular number.
- **Assigned To:** State reviewer the filing was assigned to.
- **Created By:** The industry user who created the filing.
- **Submitted By:** The industry user who submits the filing.
- **Corresponding Filing Tracking Number:** The filer may enter a corresponding filing tracking number.
- **Filing Description:** * This field is required and can be used in lieu of a cover letter or Filing Memorandum and is free-form text.

General Information – LAH

The General Information tab contains the description of the filing and is Business Type specific. It is designed to capture both the general information needed for a filing and the specific information requested in the NAIC Uniform Transmittal Document.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
PPACA: * Pre-PPACA Submission What is PPACA?							
Include Exchange Intentions? No							
Project Name:				Project Number:			
Status of Filing in Domicile:				Date Approved in Domicile:			
Domicile Status Comments:							
Filing Status Changed: 07/24/2018				State Status Changed:			
Company Status Changed:							
Requested Filing Mode: *							
Submission Type:							
Overall Rate Impact: %							
Market Type: * -Please Select-							
Assigned To:							
Created By: iuser 27				Submitted By:			
Corresponding Filing Tracking Number:							
Filing Description: * Cover Letter							

The General Information Tab contains the following fields:

- PPACA:** * Filers are required to complete this field. This field is used to identify filings that are being submitted to comply with the requirements of the Patient Protection and Affordable Care Act (PPACA). 'Not PPACA-Related' is displayed when NONE of the filing content is related to PPACA. If 'Not PPACA- Related' is chosen, no other values may be selected.

NOTE: Clicking on a white question mark/blue circle provides more information on select fields.

[What is PPACA?](#)

Filers indicate yes or no if pieces of this filing will be

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- **Include Exchange** a part of a health plan intended to be sold on the **Intentions?** state's Health Insurance Exchange. If Yes, the filer will provide additional detail in the 'Exchange Intentions' text box.
- **Project Name:** * The filer must enter a product name.
- **Project Number:** The filer may enter a project number.
- **Status of Filing in** Place to indicate the status of a company's pending **Domicile:** form and/or rate in their domiciliary state.
- **Date Approved in** The filer may enter the date the company's form **Domicile:** and/or rate is approved in their domiciliary state.
- **Domicile Status** This is a free-form text field in which companies can **Comments:** supplement Domicile Status information. For example, if a form is pending in a company's domiciliary state.
- **Filing Status** The date the SERFF status of the filing last **Changed:** changed.
- **State Status** The date the State Status last changed. **Changed:**
- **Company Status** The date the Company Status last changed. **Changed:**
- **Requested Filing Mode** * Filers are required to select a requested filing mode that is accepted by the state.
- **Submission Type:** Filer can select 'New Submission' or 'Resubmission'. If resubmission, they will enter the State Tracking Number for the prior submission if it was provided by the state.
- **Overall Rate** This is the statewide average percentage change to **impact:** the accepted rates for the coverage included for each company.
- **Market Type:** * An identification of the targeted group or individuals.
(This is a required field for PPACA-related filings
(If applicable)
only, but is encouraged to be completed on all LAH

filings).

Individual: **Individual Market Type:** If Individual is selected on Market Type then the filing author will select Individual or Non-Employer Group-Individual under Individual Market type (for PPACA-related filings only).

Group: If Group is selected under Market Type fields, Group Market Size and Group Market Type fields are presented. (These are required fields for PPACA-related filings only, but encouraged to be completed for all LAH filings).

Group Market Size: Small, Large or Small & Large

Group Market Type: Employer, Association, Blanket, Discretionary, Trust, Non Employer Group and Other (requires an explanation for other group market types)

- **Assigned To:** State Reviewer filing has been assigned to.
- **Created By:** The industry user who created the filing.
- **Submitted By:** The industry user who submits the filing.
- **Corresponding** The filer may enter a corresponding filing tracking **Filing Tracking** number. **Number:**
- **Filing Description:** * This field is required and can used in lieu of a cover letter or Filing Memorandum and is free-form text.

Form Schedule

All Form related documents are attached on the Form schedule.

P&C:

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General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Form Count: 1							
Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments
Simple Policy Form	16A	March 2018	PCF	New		55	Simple Policy Form.pdf
Form Type Legend: <ul style="list-style-type: none"> • ADV = Advertising • BND = Bond • CER = Certificate • DSC = Disclosure/Notice • END = Endorsement/Amendment/Conditions • PCF = Policy/Coverage Form • ABE = Application/Binder/Enrollment • CNR = Canc/NonRen Notice • DEC = Declarations/Schedule • ERS = Election/Rejection/Supplemental Applications • OTH = Other 							

LAH:

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Form Count: 1							
Lead Form Number:							
Form Name *	Form Number	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
Health Contract	32	POL	Initial		50	Health Policy Contract.pdf	
Form Type Legend: <ul style="list-style-type: none"> • ADV = Advertising • CER = Certificate • DDP = Data/Declaration Pages • MTX = Matrix • OTH = Other • PJK = Policy Jacket • POLA = Policy/Contract/Fraternal Certificate: Amendment, Insert Page, Endorsement or Rider • AEF = Application/Enrollment Form • CERA = Certificate Amendment, Insert Page, Endorsement or Rider • FND = Funding Agreement (Annuity, Individual and Group) • NOC = Notice of Coverage • OUT = Outline of Coverage • POL = Policy/Contract/Fraternal Certificate • SCH = Schedule Pages 							

- **Form Name:** * The name entered by the filer.
- **Form Number:** The number entered by the filer.
- **Edition Date:** The date entered by the filer. (*P&C only*)
- **Form Type:** * The form type code entered by the filer. Reference the form type legend for a definition.
- **Action:** * The action selected by the filer.
- **Action Specific Data:** This field is triggered by the action selected by the filer. If triggered, fields must be completed by filer.
 - P&C:** Replaced - 'Previous Filing #' & 'Replaced Form #'
Withdrawn - 'Previous Filing #' & 'Replaced Form #'
 - LAH:** Other - 'Other Explanation'
Revised - 'Previous Filing #' & 'Replace Form #'
- **Readability Score:** The readability score entered by the filer.

- **Attachments:** Click on the name of the file to view the attachment in a new window.
- **Submitted:** Displays the date form submitted and name of filer who submitted the form.

Attaching Files for Schedule Items

The author may attach and upload up to 5 files per line item at one time.

1. Click on the **Attach Files** button on the line item.

Select	Form Number	Form Type *	Form Name *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
<input type="checkbox"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>			Attach Files	

2. Click on the **Browse...** button.

SERFF File Attachment Upload

Attachments larger than 3MB or Microsoft Word(tm) documents cannot be uploaded to SERFF.

File 1:

Browse...

File 2:

Browse...

File 3:

Browse...

File 4:

Browse...

File 5:

Browse...

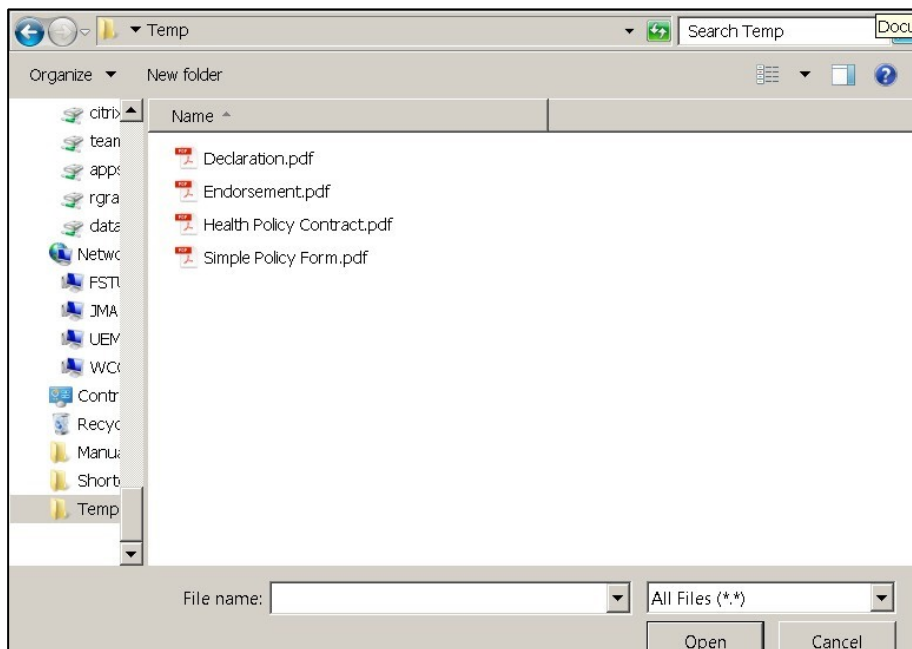
Upload

Cancel

NOTE:

Word documents and individual files over 5mb will not be allowed to be uploaded into SERFF.

3. Select the appropriate file and click **Open** button.



4. Click **Upload** button when all files are uploaded.

SERFF File Attachment Upload

Attachments larger than 3MB or Microsoft Word(tm) documents cannot be uploaded to SERFF.

File 1:

File 2:

File 3:

File 4:

File 5:

Form Schedule Using Templates

The **Import Template** button will be visible if the author has created a schedule Template. See *how to create schedule Templates later in this lesson*.

1. Click the **Import Template** button to import a schedule Template.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence			
Form Count: 0									
Select <input type="checkbox"/>	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
<input type="button" value="Delete Selected"/> <input type="button" value="Add"/> <input type="button" value="Import Template"/>									

2. Select the appropriate Template to import. Click the **Import** button.

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Select Template(s) to Import

Template Name	Template Owner
<input type="checkbox"/> Auto Template	iuser 27

Import Close

3. The Form schedule item has now been added to the filing.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence		
Form Count: 1									
Select	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
<input type="checkbox"/>	Auto Policy			PCF	New		0	Attach Files Simple Policy Form.pdf Remove	

Rate/Rule schedule – P&C

All Rate/Rule related documents will be attached on the Rate/Rule schedule. The information in this tab can be updated post-submission.

- **Filing Method** - This is the review method for which the filing is being submitted. See state specific requirements.
- **Rate Change Type** – The author can choose from either:
 - ◆ Increase
 - ◆ Decrease
 - ◆ Neutral
- **Overall Percentage of Last Rate Revision** -This is the statewide average of the last percentage change implemented in the state.

- **Effective Date of Last Rate Revision**-This is the implementation date of the last overall percentage rate impact.
- **Filing Method of Last Filing**- This is the review method for which the last filing was submitted. See state specific requirements.
- **SERFF Tracking Number of Last Filing** – If there is a rate change, you can indicate the tracking number of the previous filing.
- **Company Rate Information**
 - ◆ Overall Percentage Indicated Change (when applicable) – This field is only to be completed when an actuarial indication is included in the filing submission.
 - ◆ Overall % Rate Impact - This is the statewide average percentage change to the accepted rates for the coverage's included for each company.
 - ◆ Written premium change for this program - This is the statewide change in written premium based on the proposed overall percentage rate impact for each company.
 - ◆ Number of policyholders affected for this program - This is the number of policyholders affected by the overall percentage rate impact for each company.
 - ◆ Written premium for this program - This is the statewide written premium for each company.
 - ◆ Maximum % Change & Minimum % Change – This information should be completed if required by the state to which the filing is being submitted.
- **Overall Percentage Rate Indicated for this Filing** – Overall % Rate Indicated.
- **Overall Percentage Rate Impact for this Filing**- Overall % Rate Impact.
- **Effect of Rate Filing** – Written Premium Change for this Program- Written premium for this program.

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- **Effect of Rate Filing** – Number of Policyholders Affected – Number Policyholders impacted.

NOTE:

If there are multiple companies on a filing, the Overall Rate Information (Premium and Policyholders) will automatically calculate for the user.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Add Rate Data? <input checked="" type="radio"/> Yes <input type="radio"/> No							
Filing Method:						<input type="text"/>	
Rate Change Type:						-Please Select- <input type="text"/>	
Overall Percentage of Last Rate Revision:						<input type="text"/> %	
Effective Date of Last Rate Revision:						<input type="text"/>	
Filing Method of Last Filing:						<input type="text"/>	
SERFF Tracking Number of Last Filing:						<input type="text"/>	
Company Rate Information							
Company Name:	Overall % Indicated Change:	Overall % Rate Impact:	Written Premium Change for this Program:	Number of Policy Holders Affected for this Program:	Written Premium for this Program:	Maximum % Change (where required):	Minimum % Change (where required):
First Insurance Company	<input type="text"/> %	<input type="text"/> %	\$ <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/> %	<input type="text"/> %

Select	Exhibit Name: *	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:	Submitted:
<input type="checkbox"/>						
<div> <input type="button" value="Delete Selected"/> <input type="button" value="Add"/> <input type="button" value="Import Template"/> </div>						
Icon Legend: - Draft Schedule Item - Open Objection						

The Rate/Rule schedule also contains the following fields:

- **Exhibit Name-** This is a list of Rate and Rules and various exhibit data being filed.
- **Rule/Page #-** This is the list of changes to the Rate/Rule manual.
- **Rate Action** – The type of rate action being submitted.
 - New
 - Replacement
 - Withdrawn

- **Previous State Filing Number** - If rate data is being replaced or withdrawn, the Previous State Filing Number field is displayed. This field will not display if a 'Rate Action' of new is selected. This is required field.

Rate/Rule Schedule – LAH

All Rate/Rule related documents will be attached on the Rate/Rule schedule. The information in this tab can be updated post-submission.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence	
Add Rate Data? <input checked="" type="radio"/> Yes <input type="radio"/> No								
Filing Method:						<input type="text"/>		
Rate Change Type:						-Please Select-		
Overall Percentage of Last Rate Revision:						<input type="text"/> %		
Effective Date of Last Rate Revision:						<input type="text"/>		
Filing Method of Last Filing:						<input type="text"/>		
SERFF Tracking Number of Last Filing:						<input type="text"/>		
Company Rate Information								
Company Name:	Company Rate Change? *	Overall % Indicated Change:	Overall % Rate Impact:	Written Premium Change for this Program:	Number of Policy Holders Affected for this Program:	Written Premium for this Program:	Maximum % Change (where required):	Minimum % Change (where required):
ABC Insurance Company	-Please Select-	<input type="text"/> %	<input type="text"/> %	\$ <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/> %	<input type="text"/> %
Edit Rate Review Detail								
Select	Document Name: *	Affected Form Numbers: (Separate with commas)		Rate Action: *	Rate Action Information:	Attach Document:	Submitted:	
<input type="checkbox"/>								
Delete Selected Add Import Template								

The Rate/Rule schedule contains the following fields:

- ☐ **Filing Method** - This is the review method for which the filing is being submitted.

See state specific requirements.

- **Rate Change Type** – The author can choose from either:

- ◆ Increase
- ◆ Decrease
- ◆ Neutral

- **Overall Percentage of Last Rate Revision** -This is the statewide average of the last percentage change implemented in the state.
- **Effective Date of Last Rate Revision**-This is the implementation date of the last overall percentage rate impact.
- **Filing Method of Last Filing**- This is the review method for which the last filing was submitted. See state specific requirements.
- **SERFF Tracking Number of Last Filing** – If there is a rate change, you can indicate the tracking number of the previous filing.

- ☐ **Company Rate Information**

- ◆ Company Rate Change – Indicate whether there was a change in company rate information.
- ◆ Overall Percentage Indicated Change (when applicable) – This field is only to be completed when an actuarial indication is included in the filing submission.
- ◆ Overall % Rate Impact - This is the statewide average percentage change to the accepted rates for the coverage's included for each company.
- ◆ Written premium change for this program - This is the statewide change in written premium based on the proposed overall percentage rate impact for each company.
- ◆ Number of policyholders affected for this program - This is the number of policyholders affected by the overall percentage rate impact for each company.

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- ◆ Written premium for this program - This is the statewide written premium for each company.
- ◆ Maximum % Change & Minimum % Change – This information should be completed if required by the state to which the filing is being submitted.

Edit Rate Review Detail

For each company on a PPACA-related rate filing the filer will complete fields that will be used by the state to report to HHS. Fields marked with an asterisk are required fields which will vary depending on the Company Rate Change selection. All data that is entered by the company is for the company that you are submitting this rate related filing.

Company Name: ABC Insurance Company			
HHS Issuer ID:	<input type="text"/>		
PRODUCTS:			
Product Name *	HIOS Product ID	HIOS Submission ID	Number of Covered Lives *
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="button" value="Add Product"/>			
Trend Factors:			
<input type="text"/>			
FORMS:			
New Policy Forms: <input type="text"/>			
Affected Forms for Closed Blocks: <input type="text"/>			
Other Affected Forms: <input type="text"/>			
REQUESTED RATE CHANGE INFORMATION:			
Change Period:	<input type="text" value="-Please Select-"/>		
Member Months:	<input type="text"/>		
Benefit Change:	<input type="text" value="-Please Select-"/>		
Percent Rate Change Requested: Min:	<input type="text"/>	% Max:	<input type="text"/>
Weighted Avg.:	<input type="text"/>	%	
PRIOR RATE:			
Total Earned Premium:	<input type="text"/>		
Total Incurred Claims:	<input type="text"/>		
Annualized PMPM \$: Min:	\$ <input type="text"/>	Max:	\$ <input type="text"/>
Weighted Avg.:	\$ <input type="text"/>		
REQUESTED RATE:			
Projected Earned Premium:	<input type="text"/>		
Projected Incurred Claims:	<input type="text"/>		
Annualized PMPM \$: Min:	\$ <input type="text"/>	Max:	\$ <input type="text"/>
Weighted Avg.:	\$ <input type="text"/>		
<input type="button" value="Apply"/> <input type="button" value="Cancel"/>			

- **HHS Issuer ID:** The unique identifier as assigned by the HHS HIOS system. This will be required upon submission for a PPACA-related rate filing.
- **Product Name:** The "street" name of the insurance product as sold by the insurance company. This will be one string but may have commas in the data for other systems benefit. This will be required on submission on PPACA rate related filings.
- **HIOS Product ID:** The product level tracking number assigned by the HIOS system.
- **HIOS Submission ID:** A submission specific tracking number assigned by the HIOS system.
- **Number of Covered Lives:** The total number of enrolled individuals included in the rate change requested for this product. For new products, provide an estimate of projected enrollment.
- **Trend Factors:** Text description of trend factors and rating factors used in developing the rate.
- **New Policy Forms:** A policy is a 'New' issue if it has never been issued before. HHS wants the names of all new policies listed here.
- **Affected forms for Closed Blocks:** Demonstrates if the rate for the policy is "open", "closed". An open policy is one that is available for sale to new enrollees
- **Other Affected Forms:** The insurer will list other affected forms.

Requested Rate Change Information

- **Change Period:** Demonstrates the time for which the premium change is effective. If there are multiple different change periods on products within the filing, the filer should select 'Other'. The choices are Annual, Semi-annual, Quarterly or Other. This is a required field.
- **Member Months:** The member months used for the purpose of the rate development. This is not a required field on a New Product.

- **Benefit Change:** Data will be collected at the company level. This is a dropdown with the options of No Change, Increase, Decrease.
- **Percent Change Requested- (Min, Max, Weighted Average):** The percentage of change approved can be a positive or negative number or 0.

Prior Rate

- **Total Earned Premium:** The total dollar amount collected for the purpose of premium payments.
- **Total Incurred Claims:** The total dollar amount paid for services incurred.
- **Annual Dollars-(Min, Max, Weighted Average):** The dollar amount of the Prior Annual Rate. This will be identified in 3 fields that should show minimum, maximum, and a weighted average.

Requested Rate


- **Projected Earned Premium:** The total dollar amount collected for the purpose of premium payments.
- **Projected Incurred Claims:** The total dollar amount paid for services incurred.
- **Annual Dollars – (Min, Max, Weighted Average):** The minimum dollar amount of the New Annual Rate.
- **The weighted average should be calculated by weighting the increases using volume of premiums.**

	Premium	Weighting of the Premium
--	---------	-----------------------------

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Minimum increase requested: 10%	\$10M	10% of \$10M= \$1M
Maximum increase requested: 20%	<u>\$20M</u>	20% of \$20M= <u>\$4M</u>
Total:	\$30M	\$5M
\$5M/\$30M= .1667 Weighted Average = 16.67%		





On the Edit Rate Review Detail page there are help links for some of the fields.

Click on the  button to display the related help.

After completing all the fields, the filer will click the Apply button.



After the filer saves the filing the icon will change to complete if filer all required fields have been completed.

Icon Legend:  - Draft Schedule Item  - Open Objection  - Complete Rate Review Detail  - Incomplete Rate Review Detail
--

The Rate/Rule schedule also contains the following fields:

- **Document Name-** This is a list of Rate and Rule and various exhibit data being submitted.
- **Affected Form Number-** This is the list of changes to the Rate/Rule manual.
- **Rate Action** – The type of rate action being submitted. ☐ New ☐ Revised ☐ Other
- **Previous State Filing Number** - If rate data is being replaced or withdrawn, the Previous State Filing Number field is displayed. This field will not display if a 'Rate Action' of new is selected. This is required field.

Remove a Rate/Rule schedule or Attachment

1. Click on the check box next to the line item and then click the **Delete Selected** button to remove information from the Rate/Rule schedule. All information entered will be deleted.

Note: Clicking on the Remove link next to the added attachment deletes the attached file. This does not delete the new rate information displayed on the rate/rule schedule. Clicking on the **Delete Selected** button next to the exhibit name deletes the added rate information and any attached files.

Rate Schedule Using Templates

The **Import Template** button will be visible if the author has created schedule templates. See how to create schedule templates later in this lesson.

1. Click the **Import Template** button to import a schedule template.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
---------------------	---------------	--------------------	--------------------------	----------------	-----------------------	-------------	-----------------------

Add Rate Data? ☐ Yes ☒ No

Select	Exhibit Name: *	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:	Submitted:
<input type="checkbox"/>						

Icon Legend: - Draft Schedule Item - Open Objection

2. Select the appropriate template to import. Click the **Import** button.

Select Template(s) to Import

Template Name	Template Owner
<input type="checkbox"/> Health Product Template	iuser 27

3. The Rate/Rule schedule item has now been added to the filing.

Select	Document Name: *	Affected Form Numbers: (Separate with commas)	Rate Action: *	Rate Action Information:	Attach Document:	Submitted:
<input type="checkbox"/>	Health		New		<input type="button" value="Attach Files"/> Health Policy Contract.pdf Remove	

Bypass/Satisfy Supporting Documentation

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
---------------------	---------------	--------------------	--------------------------	-----------------------	-------------	-----------------------

The Supporting Documentation tab provides functionality for attaching information to a filing that is required when submitting a SERFF filing. Clicking the tab displays a list of state-defined requirements.

Each requirement has an option to **Bypass** or **Satisfy**. If the author chooses to bypass the requirement, an explanation is required. If the author chooses to satisfy the requirement, the author must first either attach a file *or* check **No Attachment Required**. Once one of the above has been completed, the author may enter an optional comment pertaining to the requirement.

The screenshot displays a web interface for managing requirements. At the top, there is a navigation bar with tabs: General Information, Form Schedule, Rate/Rule Schedule, Supporting Documentation, State Specific, Companies and Contact, Filing Fees, and Filing Correspondence. Below this, there are three buttons: Expand All, Collapse All, and View Additional Info. The main area shows a list of requirements, each preceded by a yellow triangle icon and a checkbox. The first requirement is 'Actuarial Memorandum' and the second is 'Authorization Form'. At the bottom, there is an 'Icon Legend' box containing the following information:

- Yellow triangle icon: No Action Taken
- Green circle icon: Satisfied
- Red circle icon: Bypassed
- Blue person icon: User Added
- Yellow triangle icon with 'D': Draft Schedule Item
- Blue document icon: Open Objection

The author can expand, collapse, or bypass multiple requirements. When collapsed, only the **Requirement Name** and its **Status** (No Action Taken, Satisfied, or Bypassed) are visible. When a requirement is expanded, the author can also see the state's description of the requirement and any attachments the state has added for the requirement. Links in the requirement description will be active, meaning they can be clicked and a new window will open with the web address referenced.

Supporting Documentation

Bypass

1. To bypass multiple requirements, click the **Bypass Multiple** button and click on the check box next to each requirement.

General Information Form Schedule Rate/Rule Schedule **Supporting Documentation** State Specific Companies and Contact Filing Fees Filing Correspondence

Expand All Collapse All **Bypass Multiple** View Additional Info

☒ ☐ Actuarial Memorandum

☒ ☐ Authorization Form

Add Supporting Documentation

Icon Legend: - No Action Taken - Satisfied - Bypassed - User Added - Draft Schedule Item
 - Open Objection

Expand All Collapse All Bypass Multiple

Multiple Supporting Document Bypass

Bypass Reason

Please see filing fees tab and Form Schedule

Bypass Cancel

2. Enter explanation in the Bypass Reason text box and click the **Bypass** button.
3. To bypass an individual requirement, click the **Bypass** button to skip the item listed.
4. Enter explanation in the Bypass Reason text box.

Satisfy

5. Click the **Satisfy** button to attach a file and/or add comments.

General Information **Form Schedule** **Rate/Rule Schedule** **Supporting Documentation** **State Specific** **Companies and Contact** **Filing Fees** **Filing Correspondence**

Expand All **Collapse All** **Bypass Multiple** **View Additional Info**

☐ **Actuarial Memorandum**

Description
Any actuarial documents that will help to support the change. Of those, the required exhibits consist of a 5-year rate change history, a histogram showing the percentage of insured's falling with a range of premium increase. i.e. (0-10%, 10-20% increase, etc.) and a worst case scenario after all changes have been considered. Also, if it is an initial program, a competitors comparison exhibit is always helpful.

Bypass

Satisfy

6. Click the **Attach Files** button to specify files for associating with the filing.

Expand All **Collapse All** **Bypass Multiple** **View Additional Info**

☐ **Actuarial Memorandum**

Description
Any actuarial documents that will help to support the change. Of those, the required exhibits consist of a 5-year rate change history, a histogram showing the percentage of insured's falling with a range of premium increase. i.e. (0-10%, 10-20% increase, etc.) and a worst case scenario after all changes have been considered. Also, if it is an initial program, a competitors comparison exhibit is always helpful.

Comment

☐ **No Attachment Required**

Attach Files

Reset

7. You may attach up to 5 files at a time. Use the **Browse** button to navigate to the file you wish to attach. Then click the **Upload** button to link the file or files to the requirement.

Word documents and individual files over 5mb will not be allowed to be uploaded into the system.

SERFF File Attachment Upload

Attachments larger than 3MB or Microsoft Word(tm) documents cannot be uploaded to SERFF.

File 1:

File 2:

File 3:

File 4:

File 5:

Comments may be added before or after files have been attached. The attached files are listed below the comment box, adjacent to the file Remove option. Attached files may be removed from the requirement by clicking on the Remove link.

☐
☒
Actuarial Memorandum

Description

Any actuarial documents that will help to support the change. Of those, the required exhibits consist of a 5-year rate change history, a histogram showing the percentage of insured's falling with a range of premium increase, i.e. (0-10%, 10-20% increase, etc.) and a worst case scenario after all changes have been considered. Also, if it is an initial program, a competitors comparison exhibit is always helpful.

Comment

Type your comments in this text box.

The text box has a grey background when editing is not available.

The text box becomes active after a file has been attached.

Actuarial Memorandum.pdf
[Remove](#)

The document links will be active, meaning they can be clicked and the document will open.

Actuarial Memorandum.pdf
[Remove](#)

The Legend is located at the bottom of the page. Each symbol is described for easy reference. When a requirement is satisfied, the flag becomes a green dot with a white check mark inside.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
<div> <div>Expand All</div> <div>Collapse All</div> </div> <div>   Actuarial Memorandum - Life & Health </div>						

Legend:  - No Action Taken  - Satisfied  - Bypassed  - User Added  - Draft Schedule Item  - Open Objection
--

Users may review Supporting Documentation by clicking on the plus sign (*expand button*). Clicking the expand link reveals the information contained in the comment box and the attached files are listed below the comments.

The author can add one or more items of Supporting Documentation in addition to the list provided, which is generated from the state's Submission Requirements for the selected TOI/Sub-TOI/Filing Type combination. For each item of Supporting Documentation added, the author must provide a **name** and **comments** and/or one or more attachments.

- Any of the information on this tab can be modified until the time the filing is submitted with the exception of removal of any requirement items created from the state Submission Requirements list. Once the filing has been submitted, new or revised items can be added, but the original submission cannot be changed or removed. The State can define a requirement as Non-Bypassable. When the author views the requirement the only available button will be Satisfy.

View Additional Information

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The view additional information button under the Supporting Documentation tab will display information provided by the state to assist the filer in completing the supporting documentation requirements.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Expand All	Collapse All	Bypass Multiple	View Additional Info				

Additional Information for XXXX-000535778 [Close](#)

Please submit the Property and Casualty Certificate of Compliance Form when submitting filings in compliance with Regulation 123

<http://www.aldoi.gov/PDF/123r22001.pdf>

Bypass/Satisfy Multiple Supporting Documents from the Draft View

To increase efficiency in preparing a SERFF filing, a user may bypass and/or satisfy multiple Supporting Document schedule Items from the Draft view.

- The **Bypass/Satisfy** will be available to users in the Draft view.

1. Select the filings in which multiple Supporting Document schedule Items are going to be bypassed or satisfied.

My Draft Filings Most Recently Viewed Filings

[Move to Workfolder](#) [Submit Selected Filings](#) [Import Templates](#) **[Bypass/Satisfy](#)** [Delete Draft](#)

	State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
\$	<input type="checkbox"/> Alabama	PPACA Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input type="checkbox"/> Alabama	PPACA Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input type="checkbox"/> Alabama	Homeowners Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input type="checkbox"/> Alabama	Homeowners Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input type="checkbox"/> Utah	Auto Test Product		Jul 24, 2018	iuser 27	Draft

2. Select **Bypass/Satisfy**.
3. Use the empty fields to filter the filings that you wish to bypass or satisfy.

Note: The empty fields in the filter are case sensitive when narrowing the requirement list.

Bypass Satisfy Reset Apply Filter Clear Filter					
Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
				All	Actuarial Memorandum x
NAI2-000078527	Alabama	Rate	Northern National ABC Insurance Company		Actuarial Memorandum x Requirement Last Modified: Jan 27, 2004
NAI2-000078527	Alabama	Rate	Northern National ABC Insurance Company		Authorization Form Requirement Last Modified: Jan 27, 2004
NAI2-000078528	Alabama	Form	Northern National ABC Insurance Company		Actuarial Memorandum Requirement Last Modified: Jul 24, 2014
NAI2-000078528	Alabama	Form	Northern National ABC Insurance Company		Authorization Form Requirement Last Modified: Jan 27, 2004
NAI2-000078533	AlabamaLife	Form	ABC Insurance Company		Actuarial Memorandum - Life & Health Requirement Last Modified: Apr 30, 2010
NAI2-000078533	AlabamaLife	Form	ABC Insurance Company		Authorization Letter- Life & Health Requirement Last Modified: Feb 13, 2006
NAI2-000078533	AlabamaLife	Form	ABC Insurance Company		Readability Certification Requirement Last Modified: Jun 6, 2017
NAI2-000078534	AlabamaLife	Rate	ABC Insurance Company		Actuarial Memorandum - Life & Health Requirement Last Modified: Apr 30, 2010
NAI2-000078534	AlabamaLife	Rate	ABC Insurance Company		Authorization Letter- Life & Health Requirement Last Modified: Feb 13, 2006

4. Select **Apply**

Bypass Satisfy Reset Apply Filter Clear Filter					
Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
				All	Actuarial Memorandum
NAI2-000078528	Alabama	Form	Northern National ABC Insurance Company		Actuarial Memorandum Requirement Last Modified: Jul 24, 2014
NAI2-000078530	Utah	Form/Rate	First Insurance Company		Actuarial Memorandum Requirement Last Modified: Dec 28, 2009

5. Once the filter has been applied, the user may:

- Select **Bypass** or **Satisfy**.

The user will need to enter a Bypass reason or Satisfy the requirement as they would when working in a single draft filing. Either option can be cancelled.

Bypass Window:

Cancel Action						
Bypass Reason		Document not required.				
<div> <div></div> <div></div> </div>						
Bypass						
<input checked="" type="checkbox"/>	Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
<input checked="" type="checkbox"/>	NAI2-000078528	Alabama	Form	Northern National ABC Insurance Company		Actuarial Memorandum Requirement Last Modified: Jul 24, 2014
<input checked="" type="checkbox"/>	NAI2-000078530	Utah	Form/Rate	First Insurance Company		Actuarial Memorandum Requirement Last Modified: Dec 28, 2009

Satisfy Window:

Cancel Action

Comment

☐ No Attachment Required

Attach Files Satisfy

	Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
<input checked="" type="checkbox"/>	NA12-000078528	Alabama	Form	Northern National ABC Insurance Company		Actuarial Memorandum Requirement Last Modified: Jul 24, 2014
<input checked="" type="checkbox"/>	NA12-000078530	Utah	Form/Rate	First Insurance Company		Actuarial Memorandum Requirement Last Modified: Dec 28, 2009

- b. Select **Reset**. This will reset the status of the requirement.
- c. Select all the requirements that need to be reset.

Cancel Action

Reset

	Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
<input type="checkbox"/>	NA12-000078530	Utah	Form/Rate	First Insurance Company		Actuarial Memorandum Requirement Last Modified: Dec 28, 2009
<input type="checkbox"/>	NA12-000078528	Alabama	Form	Northern National ABC Insurance Company		Actuarial Memorandum Requirement Last Modified: Jul 24, 2014

1. Select **Reset**.
2. Select **OK** to confirm the action.



3. The statuses have now been updated.

Supporting Document Items have been updated.

<input type="button" value="Bypass"/> <input type="button" value="Satisfy"/> <input type="button" value="Reset"/> <input type="button" value="Apply Filter"/> <input type="button" value="Clear Filter"/>					
Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
NAI2-000078530	Utah	Form/Rate	First Insurance Company		Actuarial Memorandum Requirement Last Modified: Dec 28, 2009
NAI2-000078528	Alabama	Form	Northern National ABC Insurance Company		Actuarial Memorandum Requirement Last Modified: Jul 24, 2014

Supporting Documentation - Using Templates

The **Import Template** button will be visible if the author has created Supporting Documentation Templates for the appropriate Filing Type. **See how to create Supporting Documentation Templates later in this lesson.**

1. Click the **Import Template** button to import a Supporting Documentation Template.
2. Select the appropriate template to import. Click the **Import** button.

Select Template(s) to Import

Template Name	Template Owner
<input type="checkbox"/> 2010 Annual Illustration Certification	Barbara Hassell
<input type="checkbox"/> 2010 MLTA Riders - Supporting Documents	Victoria Windham
<input type="checkbox"/> Annual Illustration Certification	Kathy Plesuchenko

3. The Supporting Documentation Template has now been added to the filing.

☐ Name:

Comment

[aaa.ia.cert.2010.doc.pdf](#) [Remove](#)

State Specific

The **State Specific** tab holds additional fields that are required by the state to which you are filing. These are required fields and must be completed prior to submitting the filing to the state. The state may define up to ten fields.

If a state does not have any state specific fields; this tab will not appear on the filing.

Did you read the state's general instructions? : *

Companies and Contacts

This is the section of the filing where the author views the company and contact information. The state insurance department will also view company and contact information here. This information was specified on Step 7 of the Filing Wizard, but can be modified prior to submission.

A company can be added to the filing by selecting the company name in the drop-down and then clicking Add. Companies can also be removed, but there must be at least one company and one contact on the filing. Multiple companies may be added to a filing, but only one contact per filing is permitted.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence		
Filing Contact Information:									
Change Contact: <input type="text" value="Martin Last"/> <input type="button" value="Change"/>									
Mark Vincent, mark@email.com 111 (456)789-1234 [Phone] Denver, CO 66067									
Filing Company Information:									
Add Company: <input type="text" value="American Life and Health Inst"/> <input type="button" value="Add"/>									
<table border="0"> <tr> <td>Northern National 2301 McNee Street Kansas City, KS 66222 (913)555-2323 [Phone]</td> <td> CoCode: 12121 Group Code: Group Name: FEIN Number: 33-7777777 State of Domicile: Kansas Company Type: Property & Casualty State ID Number: AL-1234 </td> </tr> </table>								Northern National 2301 McNee Street Kansas City, KS 66222 (913)555-2323 [Phone]	CoCode: 12121 Group Code: Group Name: FEIN Number: 33-7777777 State of Domicile: Kansas Company Type: Property & Casualty State ID Number: AL-1234
Northern National 2301 McNee Street Kansas City, KS 66222 (913)555-2323 [Phone]	CoCode: 12121 Group Code: Group Name: FEIN Number: 33-7777777 State of Domicile: Kansas Company Type: Property & Casualty State ID Number: AL-1234								
<input type="button" value="Remove"/>									

Companies and Contacts

1. Click on the **Change** button to change the contact for the filing.
2. Click on the **Add** button to add additional companies to the filing.
3. Click on the **Remove** button to remove companies from the filing.

Filing Fees

This is the section where rate and form filing fees, including EFT, will be recorded.

- **Fee Required:** Defaults to No for all filings. If left at no, the rest of the fields will be hidden. Click the Yes radio button to display fee related fields.
- **Fee Amount:** Enter the state filing fee. Allows only valid US currency.
- **Retaliatory:** Click the Yes/No radio button if state filing fee is retaliatory.

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- **Fee Explanation:** Enter the explanation of where your state filing fee was derived if required by state.

The screenshot shows the 'Filing Fees' tab in the SERFF system. At the top, there are eight tabs: 'General Information', 'Form Schedule', 'Rate/Rule Schedule', 'Supporting Documentation', 'State Specific', 'Companies and Contact', 'Filing Fees' (which is active), and 'Filing Correspondence'. The 'Overall Fees' section contains the following fields: 'Fee Required?' with 'Yes' selected, 'Fee Amount' with a text input field, 'Retaliatory?' with 'No' selected, and a large 'Fee Calculation Explanation' text area. Below this is the 'Electronic Funds Transfer' section, which includes a table with columns 'Company' and 'Amount'. The table has one row for 'First Insurance Company' with an amount of '\$ 0.00'. To the right of the table is a checkbox labeled 'Bypass EFT for this company?'. At the bottom, the 'Checks' section states 'There is no check information entered on this filing.' and includes an 'Add Check' button.

Company	Amount
First Insurance Company	\$ 0.00

Filing Fees Required

1. Click on Yes Radio button.
2. Complete the appropriate fields.

Adding EFT to Filing Fees

1. Enter the EFT amount owed for the filing (either on a per company or per filing basis – depending on the state setting).
- If the filing is eligible for EFT, there will be a note in the EFT portion of the Filing Fees tab while in View mode.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence						
<p><u>Overall Fees</u></p> <p>Fee Required? Yes</p> <p>Fee Amount: \$</p> <p>Retaliatory? No</p> <p>Fee Calculation Explanation :</p> <div style="border: 2px solid red; padding: 5px;"> <p><u>Electronic Funds Transfer</u></p> <p>This filing is eligible for EFT.</p> </div> <p><u>Checks</u></p> <table border="1"> <thead> <tr> <th>Check Number</th> <th>Check Amount</th> <th>Check Date</th> </tr> </thead> <tbody> <tr> <td></td> <td>\$</td> <td></td> </tr> </tbody> </table>								Check Number	Check Amount	Check Date		\$	
Check Number	Check Amount	Check Date											
	\$												

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
<p><u>Overall Fees</u></p> <p>Fee Required? <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Fee Amount: \$</p> <p>Retaliatory? <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Fee Calculation Explanation :</p> <div style="border: 1px solid gray; height: 50px; width: 100%;"></div> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p><u>Electronic Funds Transfer</u></p> </div> <p><u>Checks</u></p> <p>There is no check information entered on this filing.</p> <p>Add Check</p> <div style="border: 2px solid black; padding: 10px; margin-top: 10px; text-align: center;"> <p>Not Eligible for EFT</p> </div>							

- If the filing is eligible for EFT, the filer must enter an amount. If no fees are to be submitted, the filer must check the 'Bypass' box in order to submit the filing. If the state charges per company, there will be a field next to each company in which the filer is submitting EFT.

Overall Fees

Fee Required? ☒ Yes ☐ No

Fee Amount: \$

Retaliatory? ☐ Yes ☒ No

Fee Calculation Explanation:

Electronic Funds Transfer

Company	Amount	
AAA Life Insurance Company	\$ 0.00	<input type="checkbox"/> Bypass EFT for this company?
Auto Club Life	\$ 0.00	<input type="checkbox"/> Bypass EFT for this company?

Checks

There is no check information entered on this filing.

- If the state charges per filing, the filer must select one of the companies from the dropdown list to which the Filing Fees should be attributed.

Overall Fees

Fee Required? ☒ Yes ☐ No

Fee Amount: \$

Retaliatory? ☐ Yes ☒ No

Fee Calculation Explanation:

Electronic Funds Transfer

Company	Amount	
Auto Club Life(84522)	\$ <input type="text"/>	<input type="checkbox"/> Bypass EFT for this filing?
Auto Club Life(84522)		
AAA Life Insurance Company(71854)		

Checks

There is no check information entered on this filing.

- New or additional fees may be sent on a previously submitted filing if it is eligible for EFT. While in view mode, click on the Filing Fees tab and click 'Submit Additional EFT Fees.' A window will appear in which you can enter the fee amount and submit.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
---------------------	---------------	--------------------	--------------------------	----------------	-----------------------	-------------	-----------------------

Overall Fees

Fee Required? No

Electronic Funds Transfer

All companies on this filing have been bypassed.

Submit Additional EFT Fees

Checks

There is no check information entered on this filing.

Submit Additional Fees using EFT

Submit **Cancel**


Additional EFT Information:

Company	Amount
AAA Life Insurance Company(71854) ▼	\$ 50.00

Adding a Check to Filing Fees

1. Click the **Add Check** button.
2. Complete the appropriate fields.

Checks

Check Number	Check Amount	Check Date	
<input type="text"/>	\$ <input type="text"/>	<input type="text"/>	 Remove

Filing Correspondence

The Filing Correspondence tab is where communication will be stored between the industry and the state. The Filing Correspondence tab will contain Notes to Filer, Notes to Reviewer, Filer Notes, Amendments, Objection Letters, Response Letters, Dispositions and Post Submission Updates. The links will not be available until the filing is submitted.

General Information	Rate/Rule Schedule	Form Schedule	Companies and Contact	Filing Fees	Supporting Documentation	State Specific	Filing Correspondence
No filing notes available.							

Submit Filing

This will submit the filing to the state selected.

1. Click on the **Submit** button to send the filing to the state.
2. If the author doesn't complete all the required requirements, a **Submission Failed** message appears with a list of all the missing requirements. The error message will contain a link to the filing, so the author can complete the missing requirements.

Submission Failed!

Filing [#DELT-000300116](#) was not submitted for the following reasons:

- 1. ERROR: 1004 A filing mode is required on each filing.
- 2. ERROR: 4001 Supporting Documentation item Actuarial memorandum is required.
- 3. ERROR: 4001 Supporting Documentation item Applications (LH) is required.
- 4. ERROR: 4001 Supporting Documentation item Forms Filed for Informational Purposes / Other Supporting Documentation is required.
- 5. ERROR: 4001 Supporting Documentation item Life and Health Cover Letter is required.
- 6. ERROR: 4001 Supporting Documentation item NAIC Uniform Transmittal Doc is required.
- 7. ERROR: 4001 Supporting Documentation item Policy / Certificates is required.
- 8. ERROR: 4001 Supporting Documentation item Riders / Endorsements / Insert pages is required.

3. If all requirements have been satisfied, the filing will be submitted to the state. The author will receive the following confirmation if the filing was successful.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
My Workfolder	My Open Filings	My Draft Filings	Search	Create Filing	EFT Report	
My Draft Filings						
Your filing was submitted to Utah						

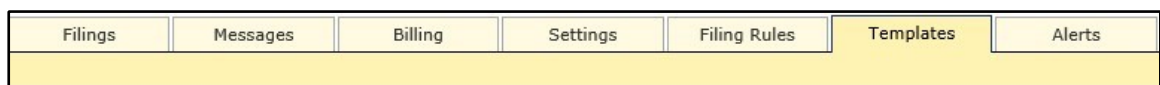
Templates

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The use of templates allows authors to create reusable schedules. A template can be attached to any draft or open filing. Once attached to a filing, a schedule created from a template is identical to any other schedule. It can be edited prior to submission and will appear in the same manner as other schedules at both the state and industry.

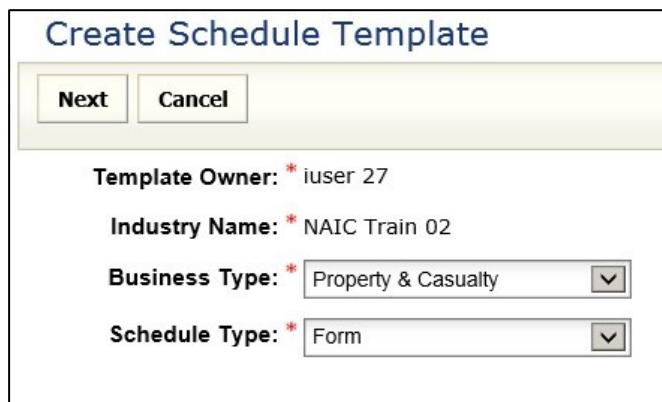
Creating a Template for Form Schedule

1. Click on the Templates tab.



2. Click on the **Create Schedule** button.

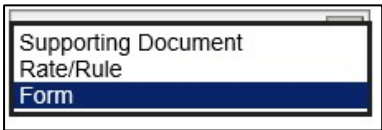
- The following page will appear:

A form titled 'Create Schedule Template' with a yellow header bar containing 'Next' and 'Cancel' buttons. Below the header, there are four fields: 'Template Owner: * iuser 27', 'Industry Name: * NAIC Train 02', 'Business Type: *' with a dropdown menu showing 'Property & Casualty', and 'Schedule Type: *' with a dropdown menu showing 'Form'.

3. Select the Business Type.

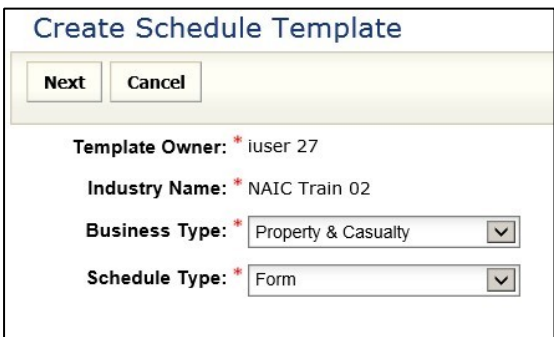


4. Select the Schedule Type.



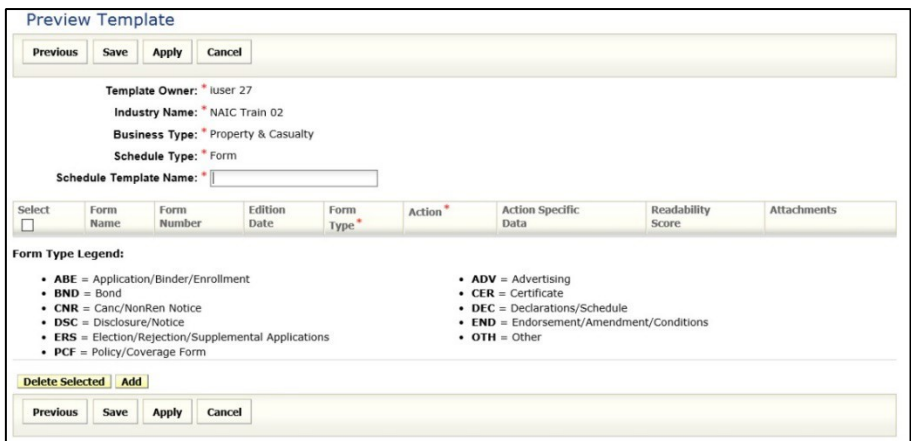
A screenshot of a web application dropdown menu. The menu is open, showing three options: 'Supporting Document', 'Rate/Rule', and 'Form'. The 'Form' option is highlighted with a blue background, indicating it is the selected item.

5. Click the **Nex** button.



A screenshot of the 'Create Schedule Template' form. The form has a title bar 'Create Schedule Template' and two buttons: 'Next' and 'Cancel'. Below the buttons, there are four fields: 'Template Owner: * iuser 27', 'Industry Name: * NAIC Train 02', 'Business Type: * Property & Casualty' (with a dropdown arrow), and 'Schedule Type: * Form' (with a dropdown arrow).

- The following page will appear:



A screenshot of the 'Preview Template' page. The page has a title bar 'Preview Template' and four buttons: 'Previous', 'Save', 'Apply', and 'Cancel'. Below the buttons, there are four fields: 'Template Owner: * iuser 27', 'Industry Name: * NAIC Train 02', 'Business Type: * Property & Casualty', and 'Schedule Type: * Form'. Below these fields is a text input field for 'Schedule Template Name: *'. Below the text input field is a table with the following columns: 'Select', 'Form Name', 'Form Number', 'Edition Date', 'Form Type', 'Action', 'Action Specific Data', 'Readability Score', and 'Attachments'. The table is currently empty. Below the table is a 'Form Type Legend' section with two columns of text. The first column lists: 'ABE = Application/Binder/Enrollment', 'BND = Bond', 'CNR = Canc/NonRen Notice', 'DSC = Disclosure/Notice', 'ERS = Election/Rejection/Supplemental Applications', and 'PCF = Policy/Coverage Form'. The second column lists: 'ADV = Advertising', 'CER = Certificate', 'DEC = Declarations/Schedule', 'END = Endorsement/Amendment/Conditions', and 'OTH = Other'. Below the legend is a 'Delete Selected' button and an 'Add' button. At the bottom of the page are four buttons: 'Previous', 'Save', 'Apply', and 'Cancel'.

6. Enter the schedule Template Name.

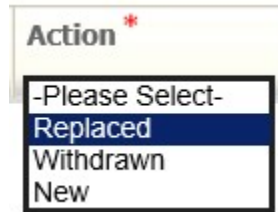
7. Click the **Add** button to complete the information for the schedule Item.

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For Forms:

- Form Name** - Enter name of Form being submitted.
- Form Number** - Enter Form Number of Form being submitted.
- Edition Date** – Enter edition date of form being submitted.
- Form Type**- There are many types of forms (i.e. policy, contract, advertisement, etc.) Click the Form Type selection box and choose appropriate type of form for this filing.
- Action**- Click the Action selection box and select appropriate action for this filing

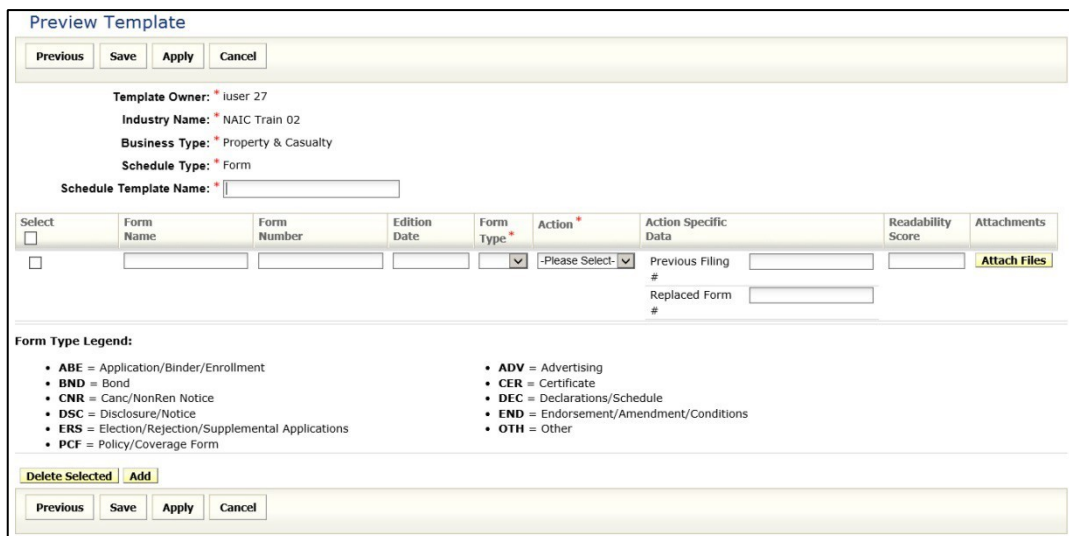
- ◆ Replaced
- ◆ Withdrawn
- ◆ New



The screenshot shows a dropdown menu titled "Action" with a red asterisk. The menu is open, displaying four options: "-Please Select-", "Replaced", "Withdrawn", and "New". The "Replaced" option is currently selected and highlighted in blue.

f. Action Specific Data:

- ◆ **Replaced Form Number** - Enter the form number that is being replaced by a previously submitted form.
- ◆ **Previous Filing number**- Enter the previous filing number if a replacement form is being submitted.
- ◆ **Readability Score**- Enter the Readability if required by state.



The screenshot shows the "Preview Template" form in the SERFF system. At the top, there are buttons for "Previous", "Save", "Apply", and "Cancel". Below these, the form displays the following information:

- Template Owner: * user 27
- Industry Name: * NAIC Train 02
- Business Type: * Property & Casualty
- Schedule Type: * Form
- Schedule Template Name: *

Below this information is a table with columns: Select, Form Name, Form Number, Edition Date, Form Type, Action, Action Specific Data, Readability Score, and Attachments. The "Form Type" column has a dropdown menu showing "-Please Select-". The "Action" column has a dropdown menu showing "-Please Select-". The "Action Specific Data" column has two rows: "Previous Filing #" and "Replaced Form #", each with a text input field. The "Readability Score" column has a text input field. The "Attachments" column has an "Attach Files" button.

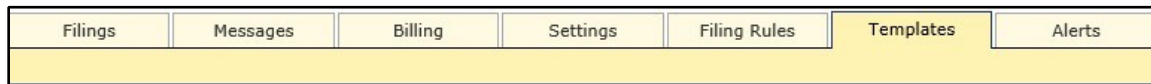
Below the table is a "Form Type Legend:" section with two columns of form types and their descriptions:

- ABE = Application/Binder/Enrollment
- BND = Bond
- CNR = Canc/NonRen Notice
- DSC = Disclosure/Notice
- ERS = Election/Rejection/Supplemental Applications
- PCF = Policy/Coverage Form
- ADV = Advertising
- CER = Certificate
- DEC = Declarations/Schedule
- END = Endorsement/Amendment/Conditions
- OTH = Other

At the bottom of the form, there are buttons for "Delete Selected", "Add", "Previous", "Save", "Apply", and "Cancel".

Creating a Template for Rate/Rule schedule

1. Click on the Templates tab.



2. Click on the **Create Schedule** button.

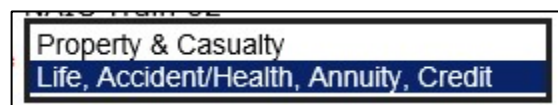
- The following page will appear:

Create Schedule Template

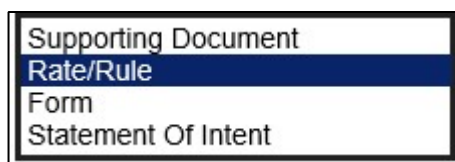
Next
Cancel

Template Owner: * iuser 27
Industry Name: * NAIC Train 02
Business Type: * Property & Casualty
Schedule Type: * Form

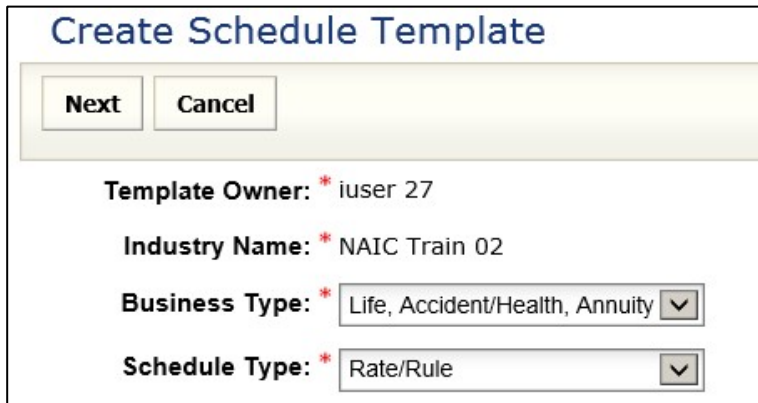
3. Select the Business Type.



4. Select the schedule Type.



5. Click the **Next** button.



Create Schedule Template

Next **Cancel**

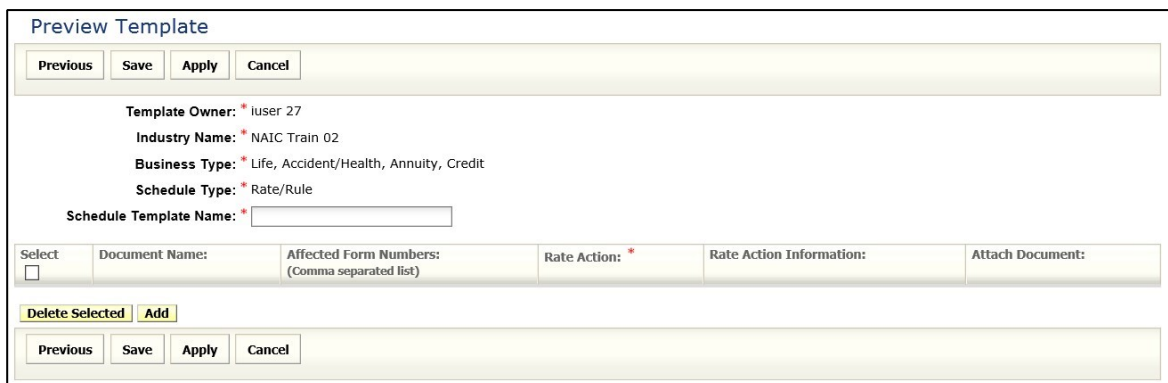
Template Owner: * iuser 27

Industry Name: * NAIC Train 02

Business Type: * Life, Accident/Health, Annuity ▼

Schedule Type: * Rate/Rule ▼

- The following page will appear:



Preview Template

Previous **Save** **Apply** **Cancel**

Template Owner: * iuser 27

Industry Name: * NAIC Train 02

Business Type: * Life, Accident/Health, Annuity, Credit

Schedule Type: * Rate/Rule

Schedule Template Name: *

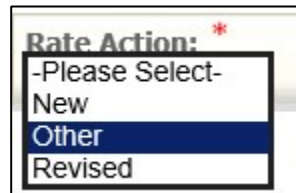
Select	Document Name:	Affected Form Numbers: (Comma separated list)	Rate Action: *	Rate Action Information:	Attach Document:
<input type="checkbox"/>					

Delete Selected **Add**

Previous **Save** **Apply** **Cancel**

- Document Name** – This is a list of Rate and Rules and various exhibit data being filed.
- Affected Form Numbers** – This is the list of changes to the Rate/Rule manual.
- Rate Action** – The type of rate action being submitted.

- ◆ New
- ◆ Other
- ◆ Revised



Rate Action: *

-Please Select-

New

Other

Revised

4. Rate Action Information – If rate data is being revised or other, the Previous State Filing Number field is displayed. This field will not display if a 'Rate Action' of new is selected.

- a. **Previous State Filing Number** - Enter the previous filing number if a replacement form is being submitted.
- b. **Rate Action Other Explanation**- Enter an explanation as to why the rate is not new or revised.
- c. **Percent Rate Change Request** - Enter the percentage of the rate change you are requesting.

6. The author attaches all forms. *Please see “Attaching Files for schedule Items” for instructions.*

7. The author may then click on one of the following three options:

- a. Click the **Previous** button to go back a step.
- b. Click the **Cancel** button to cancel this action.
- c. Click the **Appl** button to save but stay in Edit mode.
- d. Click the **Sav** button to save the schedule Template.

Templates can be edited or deleted by the user who created them or by a Filing Manager. Templates can be viewed, created, or added to a filing by any user on the instance.

Preview Template

EditCopyDeleteClose

Template Owner: * iuser 27

Industry Name: * NAIC Train 02

Business Type: * Life, Accident/Health, Annuity, Credit

Schedule Type: * Rate/Rule

Schedule Template Name: * Health Product Template

Document Name:	Affected Form Numbers: (Comma separated list)	Rate Action: *	Rate Action Information:	Attach Document:
Health		New		Health Policy Contract.pdf

8. Once the Template has been saved, the author may do any of the following:

- Click the **Edit** button to update the schedule Template.
- Click the **Copy** button to create another schedule Template based off the selected template.
- Click the **Delet** button to delete the schedule Template.

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- Click the **Close** button to close the schedule Template.

Creating a Template for Supporting Documentation

- Click on the Templates tab.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
---------	----------	---------	----------	--------------	------------------	--------

- Click on the **Create Schedule** button.
- Select the Business Type.
- Select the schedule Type.

Supporting Document
Rate/Rule
Form

- Click the **Nex** button.

The following page will appear:

Preview Template	
Previous	Save Apply Cancel
Template Owner: * iuser 27	
Industry Name: * NAIC Train 02	
Business Type: * Property & Casualty	
Schedule Type: * Supporting Document	
Schedule Template Name: *	
Delete Selected	Add

6. Enter the schedule Template Name.
7. Click the **Add** button to complete the information for the schedule Item.

The following page will appear:

Preview Template

Previous Save Apply Cancel

Template Owner: * Iuser 27
 Industry Name: * NAIC Train 02
 Business Type: * Property & Casualty
 Schedule Type: * Supporting Document
 Schedule Template Name: * Supporting Doc Template

☐ Name:

Comment

☒ No Attachment Required

Attach Files

Remove

8. For each item of Supporting Documentation added, the author must provide a **Name** and either **Comments** or one or more attachments. The author may also supply both **Comments** and attachments. The author will be able to choose the following options:
 - **Comment text box** – Enter comments related to the status of the requirement.
 - **No Attachment Required check box** - Use this check box to indicate that no attachment was required for this item. This will allow the Supporting Documentation to pass completeness validation when submitting the filing to the state.
 - **Attach Files button** - Use this button to add attachments to the Supporting Documentation.
 - **Remove button** - Use this button to remove the Supporting Document item.

The screenshot shows a web form with a title bar containing a checkbox, a user icon, and a label 'Name:'. The text 'State Requirement' is entered in the text box next to the label. Below the title bar is a section labeled 'Comment' with a large, empty text area. Under the text area, there is a paperclip icon, a link 'Declaration.pdf', and a link 'Remove'. Below these are two yellow buttons: 'Attach Files' and 'Remove'. At the bottom of the form are two more yellow buttons: 'Delete Selected' and 'Add'.

9. The author may then choose one of the three following options:

- Click the **Previous** button to go back a step.
- Click the **Cancel** button to cancel this action.
- Click the **Appl** button to save but stay in Edit mode.
- Click the **Sav** button to save the schedule Template.


10. Once the Template has been saved, the author may do any of the following:


- Click the **Edit** button to update the schedule Template.
- Click the **Copy** button to create another schedule Template based off the selected template.
- Click the **Delete** button to delete the schedule Template.
- Click the **Close** button to close the schedule Template.

Preview Template

Edit
Copy
Delete
Close

Template Owner: * iuser 27
Industry Name: * NAIC Train 02
Business Type: * Property & Casualty
Schedule Type: * Supporting Document
Schedule Template Name: * Supporting Doc Template


State Requirement


[Declaration.pdf](#)

Edit
Copy
Delete
Close

How to Search for a Schedule Template

You can search by Template Name, Business Type, schedule Type, Template Owner or a combination of any of the fields.

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Schedule Templates

Create Schedule Template Filter Templates

Template Name	Business Type	Schedule Type	Template Owner
	All	All	All
Auto Template	Property & Casualty	Form	luser 27
Certificate of Compliance	Property & Casualty	Supporting Document	Reggie Graf
Health Product Template	Life, Accident/Health, Annuity, Credit	Rate/Rule	luser 27
Supporting Doc Template	Property & Casualty	Supporting Document	luser 27

1. Type in the first few characters of a Template Name in the corresponding field. (Ex. LAH)

2. Choose a Business Type.

- All
- Property & Casualty
- Life, Accident/Health, Annuity, Credit

3. Choose the schedule Type.

- All
- Rate/Rule
- Form
- Supporting Document

4. Select the Template Owner.

5. Click on the **Filter Templates** button.

Schedule Templates

Create Schedule Template Filter Templates

Template Name	Business Type	Schedule Type	Template Owner
Health Product Template	Life, Accident/Health, Annuity, Credit	Rate/Rule	luser 27

Importing Templates from the Draft View

To increase efficiency when preparing a SERFF filing, a user may import templates to one or multiple filings from the Draft view.

My Draft Filings [Most Recently Viewed Filings](#)

Move to Workfolder
Submit Selected Filings
Import Templates
Bypass/Satisfy
Delete Draft

Filings 1-5 of 5 | First | Previous | Next | Last

		State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
\$	<input type="checkbox"/>	Utah	Auto Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input type="checkbox"/>	Alabama	Homeowners Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input type="checkbox"/>	Alabama	Homeowners Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input type="checkbox"/>	Alabama	PPACA Test Product		Jul 24, 2018	iuser 27	Draft

- The **Import Templates** button will be available to users in the Draft view if schedule Templates have been created. See how to create schedule Templates in the previous section.

- Select the filings you want to add a template to and select **Import Templates**.

My Draft Filings [Most Recently Viewed Filings](#)

Move to Workfolder
Submit Selected Filings
Import Templates
Bypass/Satisfy
Delete Draft

Filings 1-5 of 5 | First | Previous | Next | Last

		State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
\$	<input checked="" type="checkbox"/>	Utah	Auto Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input checked="" type="checkbox"/>	Alabama	Homeowners Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input type="checkbox"/>	Alabama	Homeowners Test Product		Jul 24, 2018	iuser 27	Draft
\$	<input type="checkbox"/>	Alabama	PPACA Test Product		Jul 24, 2018	iuser 27	Draft

- Select the Template that should be added to the filing.

Select Templates for Multiple Filings

Import
Cancel
Filter Templates

	Schedule Template Name	Business Type	Schedule Type	Template Owner
<input type="checkbox"/>		Property & Casualty	All	All
<input type="checkbox"/>	Auto Template	Property & Casualty	Form	iuser 27
<input type="checkbox"/>	Certificate of Compliance	Property & Casualty	Supporting Document	Reggie Graf
<input type="checkbox"/>	Supporting Doc Template	Property & Casualty	Supporting Document	iuser 27

- Select **Import**
- The template has now been added to the two filings.

My Draft Filings

1 templates were applied to the 2 selected filings.

Requesting Confidentiality

The Confidentiality option allows a user the ability to make a request that the entire filing or only certain parts of a filing be kept confidential and not be made available via Public Access. The pieces of the filing will be labeled with an icon to indicate a request for confidentiality. The state reserves the option to override the request. If the request is overridden, the user will receive notice that the Public Access has changed on the filing. The confidentiality request icon will change from red to grey.

Requesting Confidentiality

1. Open the draft filing.

2. Select **Set Confidentiality**.

3. Select the parts of the filing to be kept confidential.

Update Confidentiality for NAI2-000078530

Save

Cancel

Utah accepts Confidentiality requests.

☐ Mark entire filing as confidential.
☒ Mark parts of filing as confidential.

☐ Form Schedule Items

☐ [No number], [No date], Policy/Coverage Form, Auto Policy

☐ Filing Rate Information

☒ Supporting Documents

☐ Actuarial Memorandum
 Satisfied

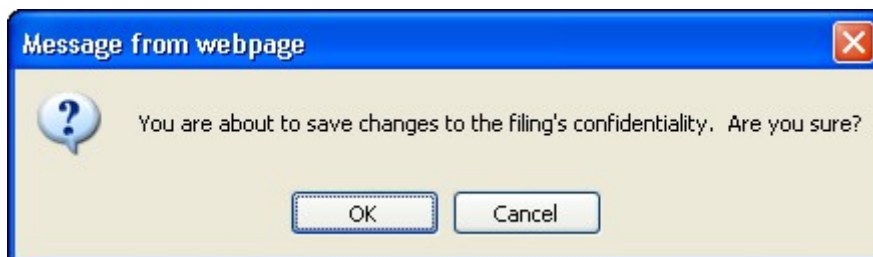
☐ Letter of Authorization
 Satisfied


☐ State Requirement
 Satisfied

Save

Cancel

4. Click **Save**. A confirmation message will appear verifying this action.



5. Click **OK**.
6. The Confidentiality icon ) will display next to the items for which the user requested confidentiality.

	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments
	Auto Policy			PCF	New		0	 Simple Policy Form.pdf

LESSON 5

After an industry user submits a filing, it is assigned to a Reviewer by the state's intake staff in order to be processed. The Reviewer, or Intake Clerk, may send Objection Letters or Note to Filers before a Disposition is finally attained on a filing.

This lesson also looks at the different types of Correspondence used in SERFF.

This lesson covers the following topics:

- [My Open Filings](#)
- [Message Center](#)
- [Objection Letters](#)
- [Amendments](#)
- [Post Submission Update](#)
- [PDF Pipeline](#)
- [Filer Note](#)
- [Note to Reviewer](#)
- [Reminders](#)
- [Dispositions](#)



My Open Filings

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All filings that have been submitted will appear under the **My Open Filings** link. Open filings can also be located under **My Workfolder** if the user places a check mark in the check box next to the filing(s) that the user wishes to move and clicking the **Move to** button.

Filing Managers will not see filings in the 'My Open Filings' view unless they are added as an author to the filing. Filing Managers must use the Search feature to locate filings that are not assigned to them.

State	Product Name	Company Tracking #	Filing Date	Created By	SERFF Status
Alabama	PPACA Test Product		Aug 1, 2018	user 27	Submitted
Utah	Auto Test Product		Aug 1, 2018	user 27	Submitted

Most Recently Viewed Filings

Users are able to view their most recently viewed filings either draft, open or closed by clicking on the 'Most Recently Viewed Filings' link. This provides an easy and fast way to access the last 10 filings that they have been working with most recently.

State	Product Name	Company Tracking #	Filing Date	Created By	SERFF Status
Alabama	PPACA Test Product		Aug 1, 2018	user 27	Submitted
Utah	Auto Test Product		Aug 1, 2018	user 27	Submitted

View Filing

Click anywhere on the filing row to open a filing you wish to view.

My Workfolder is a customizable, user specific, view. The Workfolder may contain draft filings, open filings, and closed filings. Filings can be available under My Workfolder from any view on the Filings tab.

Move to My Workfolder

1. Place a check mark in the box next to the filing by clicking inside the box. To remove the check, click in the box again.

The screenshot shows the 'My Open Filings' interface. At the top, there are tabs for Filings, Messages, Billing, Settings, Filing Rules, Templates, and Alerts. Below these are sub-tabs: My Workfolder, My Open Filings, My Draft Filings, Search, Create Filing, and EFT Report. The 'My Open Filings' sub-tab is active. Below the sub-tabs, there are buttons for 'Move to Workfolder' and 'Import Templates'. A table of filings is displayed with columns: State, Product Name, Company Tracking #, Filing Date, Created By, and SERFF Status. The table shows two filings: Alabama (PPACA Test Product) and Utah (Auto Test Product). The Utah row is selected with a checkmark in the selection box. Below the table, there are buttons for 'Move to Workfolder' and 'Import Templates'.

State	Product Name	Company Tracking #	Filing Date	Created By	SERFF Status
Alabama	PPACA Test Product		Aug 1, 2018	user 27	Submitted
Utah	Auto Test Product		Aug 1, 2018	user 27	Submitted

2. Click **Move to** button.

This screenshot is identical to the one above, showing the 'My Open Filings' interface with the 'Utah' row selected. The 'Move to Workfolder' button is highlighted.

3. The user is notified that the selected filing has been moved to their Workfolder.

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Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
<u>My Workfolder</u>	<u>My Open Filings</u>	<u>My Draft Filings</u>	<u>Search</u>	<u>Create Filing</u>	<u>EFT Report</u>	

My Open Filings

1 filing was moved to your Workfolder.

Remove from My Workfolder

1. Click on **My Workfolder** link.
2. Place a check mark in the box next to the filing(s) to be removed from My Workfolder.

My Workfolder [Most Recently Viewed Filings](#)

Filings 1-1 of 1 | First | Previous | Next | Last

id*	<input type="checkbox"/> State	<input type="checkbox"/> Product Name	Company Tracking #	Filing Date	Created By	SERFF Status
	<input checked="" type="checkbox"/> Utah	Auto Test Product		Aug 1, 2018	luser 27	Submitted

Filings 1-1 of 1 | First | Previous | Next | Last

3. Click the **Remove to Workfolder** button.

My Workfolder [Most Recently Viewed Filings](#)

Filings 1-1 of 1 | First | Previous | Next | Last

id*	<input type="checkbox"/> State	<input type="checkbox"/> Product Name	Company Tracking #	Filing Date	Created By	SERFF Status
	<input checked="" type="checkbox"/> Utah	Auto Test Product		Aug 1, 2018	luser 27	Submitted

Filings 1-1 of 1 | First | Previous | Next | Last

4. The user is notified that the selected filing has been removed from My Workfolder.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
My Workfolder	My Open Filings	My Draft Filings	Search	Create Filing	EFT Report	
My Workfolder						
1 filing was removed from your Workfolder.						

Removing filings from My Workfolder **will not** remove or delete the filing from SERFF. The filings can still be found under the My Open Filings link or the My Draft Filings link.

Message Center

The Message Center contains notifications about activity on SERFF Filings. Messages can be viewed by clicking on the **Messages** tab. There are a number of messages that are generated to notify the user of their filings' status. Authors receive messages for all events on filings to which they are assigned. Filing managers receive messages for *all* events on *all* filings in their instance.

Messages are identified by a distinct subject line. Once the message is opened, additional information is displayed, and the user can link directly to the filing referenced.

Types of Messages:

- Assigned/Changed Reviewer
- Note to Filer received
- Filer Note created
- Objection Letter received
- Disposition submitted
- Filing submitted with Default Public Access
- Public Access status change
- Reopened Filing
- Compact Filing Acknowledgement
- Effective/Implementation Date Updated
- Filing State Info Changed
- Billing Low Block Warning
- Reminder Notification Generated
- Post Submission Update Approved/Disapproved

The Message Center

Like the other views in SERFF, the columns in the Message Center can be sorted. Click once to sort the column in ascending order, click again to sort in descending order. The default sort

for the Message Center is descending by date. The column on which the view is currently sorted is highlighted in yellow.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
Messages						
Remove Message						
Messages						
Messages 1-50 of 2876 First Previous Next Last						
<input type="checkbox"/>	Unread	Subject	Tracking Number	From	On	
<input type="checkbox"/>		Public Access Set by Default for NAI2-000078534 Submitted to Alabama Attn: iuser 27	NAI2-000078534	iuser 27	Aug 1, 2018	
<input type="checkbox"/>		State Message Received from Utah		State utpc 25	Jul 23, 2018	
<input type="checkbox"/>		State Message Received from Alabama		Jane Davis	Jul 18, 2018	

The Message Center displays 50 messages at a time. To view additional messages, use the First, Previous, Next and Last links.

Remove a Message

From the Message Center view, messages can be removed individually or several at a time.

1. Select the messages to be removed by clicking in the box to the left of the Message Subject. Click the box in the column header to select the entire page of messages.

Messages						Most Recently Viewed Filings
Remove Message						
Messages						
Messages 1-50 of 2876 First Previous Next Last						
<input type="checkbox"/>	Unread	Subject	Tracking Number	From	On	
<input checked="" type="checkbox"/>		Public Access Set by Default for NAI2-000078534 Submitted to Alabama Attn: iuser 27	NAI2-000078534	iuser 27	Aug 1, 2018	
<input type="checkbox"/>		State Message Received from Utah		State utpc 25	Jul 23, 2018	

2. Click the Remove button.

Messages	1 message was removed from your message center.
----------	---

- When a Message is received, it will have an icon indicating that it has not been read. If two users receive the same message and only one reads it, the other user will still see the icon as it is user specific. Once a user opens the message, the icon will be removed.

Open a Message

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1. To open a Message, move the pointer to the Message. Click when the Message to be read is highlighted in yellow.
2. The Message will display. The Message contains details about the filing and a description of the event that triggered the Message.

Message

[Return to Messages](#) [Remove Message](#) [Move to Workfolder](#)

Public Access Set by Default for NAI2-000078534 Submitted to Alabama Attn: iuser 27

SERFF Tr Num:	NAI2-000078534	Product Name:	PPACA Test Product
Co Tr Num:		Type Of Insurance:	H16G Group Health - Major Medical
State Tr Num:		Sub-Type Of Insurance:	H16G.001A Any Size Group - PPO
		Filing Type:	Rate
Company:	ABC Insurance Company	From:	iuser 27
Contact:	Mark Vincent	Message Received:	08/01/2018 04:14 PM
State:	Alabama		
Event Detail:	Filing NAI2-000078534 SUBMITTED. Public Access Status has been set by Default.		

Open Messages have three sections.

Top Section: Consists of general information regarding the filing including SERFF, company, and state tracking numbers.

Middle Section: Provides additional information on the filing and lists who the message is from and when it was received.

Bottom Section: Gives event details regarding the message and indicates the action taken regarding the filing such as an assignment made, objection letter received, or disposition made.

Three buttons are available:

Return to Messages: This button returns user to the Messages tab. The green push pin is removed from message, indicating that message has been read.

NOTE: Messages are purged after 90 days.

Remove Message: This will remove the message from the message center.

Move to Workfolder: This will place the filing into the My Workfolder list and remove the message from the message center.

Moving a filing to the Workfolder from within the Message also removes the Message from the Message Center.

- To open the filing referenced in the Message, click the blue, underlined SERFF Tracking Number.

Message Setting

Message Settings allows users to control two types of Messages they receive the first type is Filing Activity Messages the second is State Generated Messages.

Filing Activity Messages

The user can specify which messages they will receive so that their Message view remains manageable. For example, if a particular user is a Filing Manager, he/she may not want to receive a Message each time a Filer Note is created on a filing. To access this feature, click on the Settings tab and then click on Message Settings button.

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Filings	Messages	Billing	Settings	Filing Rules	T
<u>User Preferences</u>	<u>Instance Preferences</u>	<u>Companies</u>	<u>Contacts</u>	<u>User Administration Report</u>	

Contact Information	Contact Information
Message Settings	Last Name * 27
User Preferences	First Name * iuser

The following screen shows all types of Filing Activity Messages that can be activated:

Contact Information	Filing Activity Messages Filing Activity Messages Help
Message Settings	<div><div></div><div><div>>></div><div>></div><div><</div><div><<</div></div><div>Billing Low Block Warning Compact Filing Acknowledge Included State Effective/Implementation Date Updated Deposition Submitted Public Access Defaults Restored Filing Rescinded Filing Submitted with Default Public Access Filer Note Created Industry Reminder Notification Generated Note To Filer Submitted</div></div>
User Preferences	State Generated Messages State Generated Messages Help
	Business Type: <input type="checkbox"/> Life, Accident/Health, Annuity & Credit <input type="checkbox"/> Property & Casualty
	District: <div><div>Alabama Alaska Alberta AMERICAN SAMOA Arizona Arkansas Australia British Columbia California Colorado</div><div><div>>></div><div>></div><div><</div><div><<</div></div><div></div></div>
	<div>Save Cancel</div>

Clicking on the [Filing Activity Messages Help](#) link will open the following help page information.


Filing Activity MessagesHelp ✕

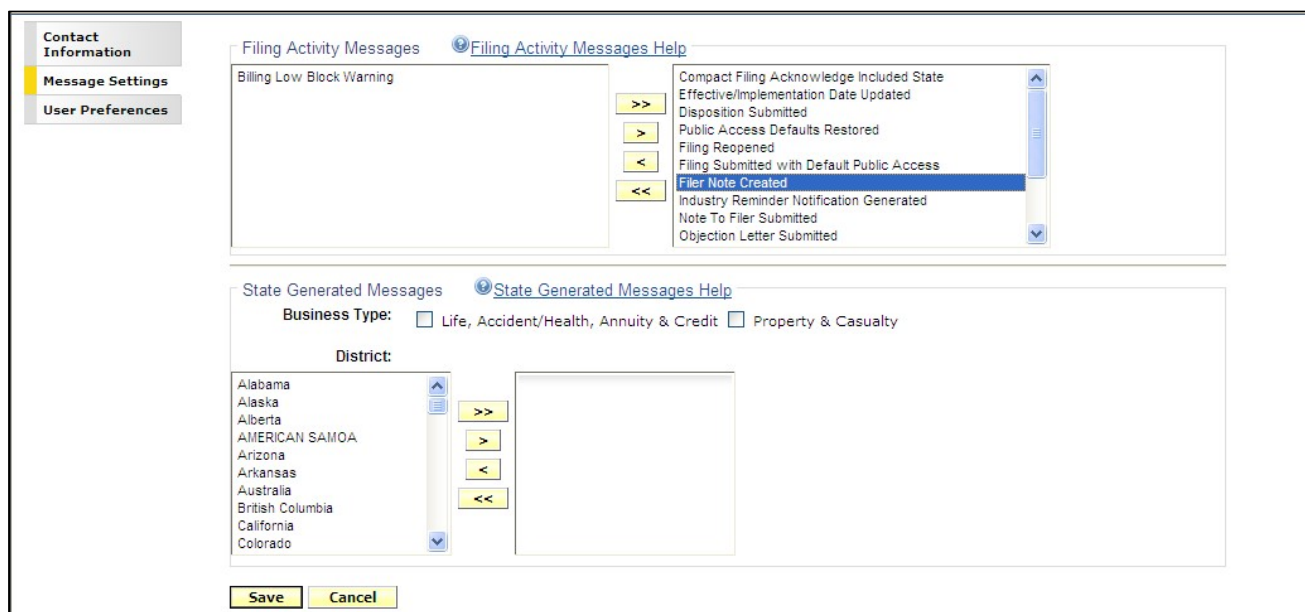
Filing Activity Messages will be created when a state updates a filing or submits Correspondence. These messages are also generated when a Filer Note is created, on a Reminder's due date, or with Low Block warnings.

Select the action(s) for which you would like to receive messages by moving them from the list on the left to the list on the right. Remove items for which you no longer wish to receive messages by moving them back to the list on the left.

Users will receive all action messages that are listed in the box on the right.

Remove Filing Activity Messages

1. Click on the **Settings** tab.
2. Click on **Message Settings**
3. Click on the type of Message(s) that you want to move to the box on the left. In the example below, 'Billing Low Block Warning' was selected.
4. Click the  button.



5. Click **Save**.

5. The user preferences have now been saved and you will see a blue message indicating that.

User Preferences	Instance Preferences	Companies	Contacts	User Administration
User preferences saved successfully.				
Contact Information	Contact Information			
Message Settings	Last Name * <input type="text" value="27"/>			
User Preferences	First Name * <input type="text" value="iuser"/>			

All Message Settings options are specific to each individual user. Users can update their Message Settings at any time by following the same steps as above.

Objection Letter

If a filing does not meet all a state's filing requirements, an Objection Letter will be created by the state. An Objection Letter requires the author or another user to submit a Response Letter, which may include one or more schedule Item revisions or additions. The Reviewer will create Objections while reviewing the filing, which will be inserted into an Objection Letter and sent to the author indicating what needs to be revised and/or added. The author will receive a message in the Message Center stating that an Objection Letter has been received.

Review the State's Objections

An 'Open Objection' icon will appear next to any schedule Item that has an open Objection. In cases where an Objection Letter has Objections not related to a specific schedule Item, the icon will display in the Filing at a Glance section.

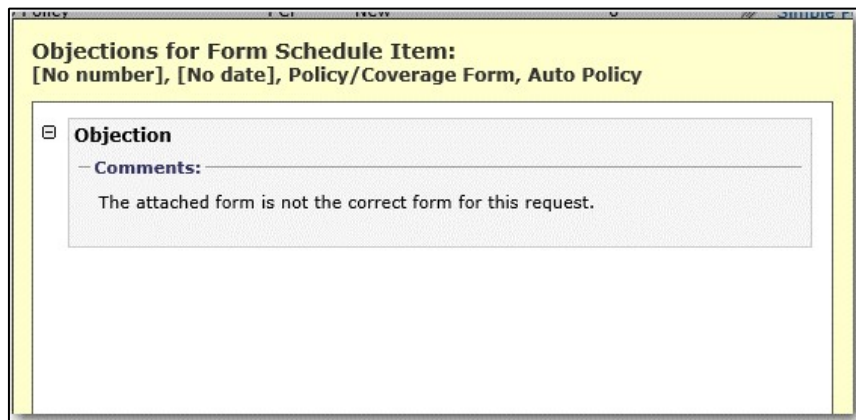
Add Authors
Update
Change Schedule Items
Set Confidentiality
Create Reminder
Move to Workfolder
PDF Pipeline

This Filing has been marked as public access.
 This filing has post submission updates.

Product Name: * PPACA Test Product
SERFF Tr Num: NAI2-000078534

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence				
Form Count: 1											
Item No.		Schedule Item Status	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
1			Auto Policy			PCF	New		0	 Simple Policy Form.pdf	Date Submitted: 08/01/2018 By: iuser 27

Clicking on the icon provides the user with the details of the related Objections.



Objections for Form Schedule Item:
[No number], [No date], Policy/Coverage Form, Auto Policy

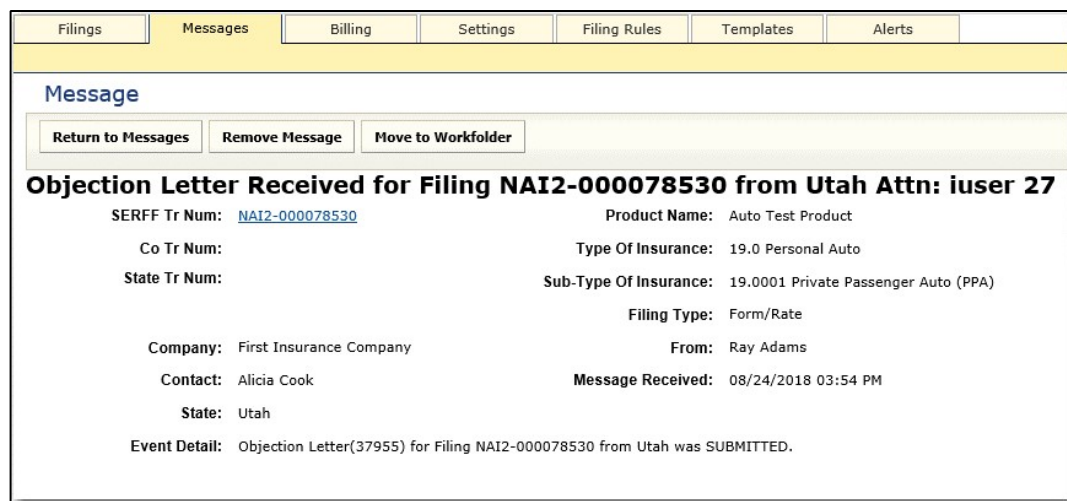
☐ **Objection**

— **Comments:**

The attached form is not the correct form for this request.

This information can also be viewed within the Objection Letter on the Filing Correspondence tab.

1. The Filing author will receive notification in their message center that the state reviewer has created an objection letter to their filing.



Message

[Return to Messages](#) [Remove Message](#) [Move to Workfolder](#)

Objection Letter Received for Filing NAI2-000078530 from Utah Attn: iuser 27

SERFF Tr Num: NAI2-000078530	Product Name: Auto Test Product
Co Tr Num:	Type Of Insurance: 19.0 Personal Auto
State Tr Num:	Sub-Type Of Insurance: 19.0001 Private Passenger Auto (PPA)
	Filing Type: Form/Rate
Company: First Insurance Company	From: Ray Adams
Contact: Alicia Cook	Message Received: 08/24/2018 03:54 PM
State: Utah	
Event Detail: Objection Letter(37955) for Filing NAI2-000078530 from Utah was SUBMITTED.	

2. Open the filing by clicking on the SERFF tracking number in the message and then go to the Filing Correspondence tab.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
---------------------	---------------	--------------------	--------------------------	----------------	-----------------------	-------------	-----------------------

Objection Letters							
Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On	
(02) Awaits Company Response	Adams, Ray	08/24/2018	08/24/2018 03:54 PM	Respond			

3. Click on the Status link under the Objection Letters header.

Once the user has clicked on the Status link, the letter should be displayed. The user will see the Objection(s) that the Reviewer has noted regarding the filing.

The Objection Letter Status is state specific and selected by the Reviewer. The Objection Letter Date is the date that the Reviewer sent the Objection Letter. The Respond by Date is a date by which the state expects the author to respond. The Submitted Date is the date that the Objection Letter was actually submitted and viewable by the author.

Objection Letter for NAI2-000078530

Close

SERFF Tracking Number:	NAI2-000078530	State:	Utah
Filing Company:	First Insurance Company	State Tracking Number:	
Company Tracking Number:			
TOI:	19.0 Personal Auto	Sub-TOI:	19.0001 Private Passenger Auto (PPA)
Product Name:	Auto Test Product		
Project Name:			

Objection Letter Status: * (02) Awaits Company Response

Objection Letter Date: 08/24/2018

Respond By Date: 09/28/2018

Submitted Date: 08/24/2018 03:54 PM

Dear Alicia Cook,

Introduction:
The following issues have been noted with this filing and are not in compliance with state statutes and regulations.

[Objection 1](#)

- [No number], [No date], Policy/Coverage Form, Auto Policy (Form)

Comments: The attached form is not the correct form for this request.

Conclusion:
To avoid disapproval of this filing, the requested changes and/or information should be submitted by the response date specified above.

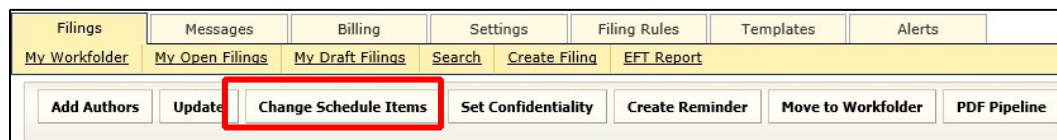
Sincerely,
Ray Adams

4. Click on the **Close** button after reviewing.

The first step in the Response Letter process is to make the requested changes to the schedule items. ****NOTE:** Do not click on the 'Respond' button. This will be the last step in the process.

Responding to Objection on Schedule Tab

1. Click **Change Schedule** from the filing view.




2. The filing will be put into "Revise Mode."



3. Go to the tab containing the objection (e.g. Form Schedule).

NOTE:

An objection is indicated by the  Open Objection icon. Clicking on this icon will open the objection in a pop-up window.

4. Click **Revise** to the left of the item to be changed.

Form Schedule		Rate/Rule Schedule		Supporting Documentation		Filing Correspondence				
Form Count: 1										
Item No.	Schedule Item Status	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
1	Revise	Auto Policy			PCF	New		0	Simple Policy Form.pdf	Date Submitted: 08/01/2018 By: iuser 27

Form Schedule		Rate/Rule Schedule		Supporting Documentation		Filing Correspondence				
Form Count: 1										
Item No.	Schedule Item Status	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
1	Revise	Auto Policy x			PCF	New		0	Attach Files Simple Policy Form.pdf Remove	
Previous Version										
1	Revise	Auto Policy			PCF	New		0	Simple Policy Form.pdf	Date Submitted: 08/01/2018 By: iuser 27

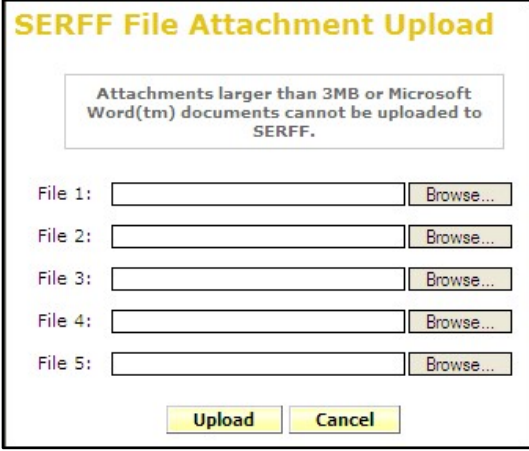
A “New” draft line will display the information entered at submission, thus allowing you to modify the information.

A “Previous Version” line containing the initial information submitted to the state.

5. Make any necessary changes to the information on the revised schedule item. New or revised attachments may be added by clicking on the **Attach Files** button.

NOTE: Clicking on the Remove link that is after the attachment will remove the previous version of the attachment and enable the user to submit an amended file. The user should remove the attachment that is being revised and attach the updated version. The original attachment is still seen below the attachment in the grayed-out area and cannot be removed or changed

6. Click **Browse** to find the file.



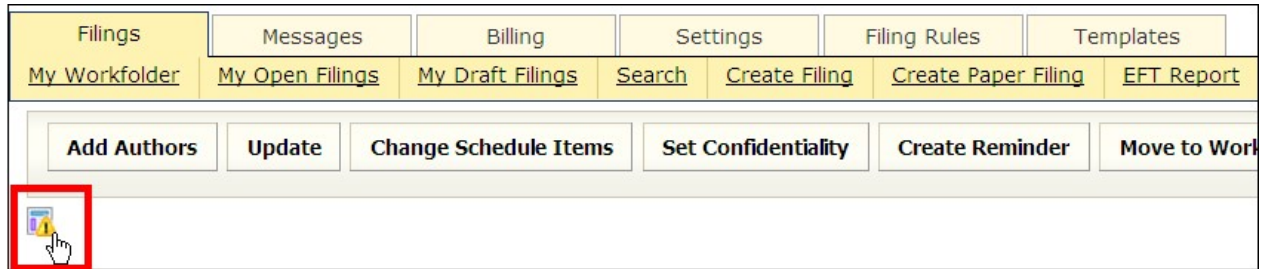
The image shows a dialog box titled "SERFF File Attachment Upload". At the top, a message box states: "Attachments larger than 3MB or Microsoft Word(tm) documents cannot be uploaded to SERFF." Below this, there are five rows, each labeled "File 1:" through "File 5:". Each row contains a text input field and a "Browse..." button. At the bottom of the dialog, there are two buttons: "Upload" and "Cancel".

- a. After selecting the appropriate file, click **Open** button to add the attachment to your file list.
 - b. Click on the **Upload** button.
7. Continue in this manner until all the necessary schedule item changes have been made. Be sure to click **Appl** to save your changes periodically.
8. Additional schedule items may be added by clicking **Add Schedule Item(s)** or **Import Template**.
9. Click **Sav** to save changes and exit Revise mode.

If a schedule item has been replaced in error, click the Undo Draft button.

Responding to Objection on Entire Filing

An objection icon may be found at the top of the Filing at a Glance section. This will indicate that the objection is not tied to a specific schedule item but is regarding the entire filing. Clicking on the icon will bring up the objection.



To respond to this type of objection, you may need to attach a document addressing its concerns.

1. First select **Change Schedule Items** to be placed in Revise mode.
2. Select the appropriate tab to place the document in (e.g. Form Schedule).
3. Click **Add Schedule Item(s)** or **Import Template** button to attach the necessary file.
4. Fill in the required fields when adding a schedule item. Click **Attach Files** button to attach the file.



After all necessary Schedule Item changes have been made, Click **Save** button to save your work, exit Revise mode, and return to the View mode.

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Filings	Messages	Billing	Settings
My Workfolder	My Open Filings	My Draft Filings	Search Create
<input type="button" value="Save"/>	<input type="button" value="Apply"/>	<input type="button" value="Cancel"/>	<input type="button" value="-- Revise Mode --"/>

Creating a Response Letter

After all objections have been addressed by revising the filing, a Response Letter will be created to submit to the state.

1. Go to the Filing Correspondence tab and click **Respond** button located to the right of the objection letter. This will generate your Response Letter.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Objection Letters							
Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On	
(02) Awaits Company Response	Adams, Ray	08/24/2018	08/24/2018 03:52 PM	<input type="button" value="Respond"/>			

2. The top of the response letter will consist of general information regarding the filing.

Response Letter for NAI2-000078534					
<input type="button" value="Save"/>	<input type="button" value="Apply"/>	<input type="button" value="Cancel"/>	<input type="button" value="View Objection Letter"/>	<input type="button" value="Expand All"/>	<input type="button" value="Collapse All"/>
SERFF Tracking Number:	NAI2-000078534	State:	Alabama		
Filing Company:	ABC Insurance Company	State Tracking Number:			
Company Tracking Number:	123456	Sub-TOI:	H16G.001A Any Size Group - PPO		
TOI:	H16G Group Health - Major Medical	Product Name:	PPACA Test Product		
Project Name:	Test				

3. This is followed by an Introduction field (optional).

Status : Draft

Dear Ray Adams,

Introduction:

Please find that all objections have been responded to below.

4. Below the Introduction is a list of the objections.
5. For objections to the entire filing, just like objections to a schedule item, you must provide a comment.

[Objection 1](#)

Applies To: Entire filing Comment: The necessary rate data is missing from the filing. Please ADD a Premium and Loss Experience Exhibit spreadsheet along with its pdf form to the Rate/Rule Schedule tab.

Be sure to ADD Schedule item into your Response Letter! Thanks

Response 1:

Comments: *

See attached file.

Changed Items:

No Form Schedule items changed.

No Rate/Rule Schedule items changed.

No Supporting Documents changed.

Add Schedule Item(s)

6. Next, you will attach the document(s) you added to address the objection.
7. Click on **Add Schedule Item(s)** button.
8. Select the document by placing a checkmark in front of it.
9. Then Click the **Add Item(s)** button.

Draft Schedule Items for Filing
SERFF Tracking No: NAI2-000078534

☒ Rates Schedule (Rate)

Select All Deselect All
Add Item(s)

10. The selected schedule item is placed in the objection section as a Changed Item.

[Objection 1](#)

Applies To: Entire filing Comment: The necessary rate data is missing from the filing. Please ADD a Premium and Loss Experience Exhibit spreadsheet along with its pdf form to the Rate/Rule Schedule tab.

Be sure to ADD Schedule item into your Response Letter! Thanks

Response 1:

Comments: *
See attached file.

Changed Items:

No Form Schedule items changed.

Rate Schedule Item Changes					
	Document Name: *	Affected Form Numbers: (Separate with commas)	Rate Action: *	Rate Action Information:	Attach Document:
Remove	Rates Schedule		New		Schedule of Rates.xlsx

- At the bottom of the response letter is the Conclusion field (optional).

Conclusion:
Please contact us should you have any questions.
Thank you.

Sincerely,
Pending Submission.

Expand AllCollapse All

SaveApplyCancelView Objection LetterExpand AllCollapse All

View Objection Letter: To open objection letter for review.

Expand All: To expand all Supporting Document Schedule Item changes sections.

Collapse All: To collapse all Supporting Document Schedule Item changes sections.

11. Click **Save** button.

12. Click **Submit** button.

Response Letter for NAI2-000078534

SubmitEditDeleteCloseView Objection LetterExpand AllCollapse All

“You are about to submit this Response Letter. Are you sure?” message box appears.



13. Click **OK**

On the Filing Correspondence tab, information is added to:

- Responded By
- Response Created On
- Response Submitted On

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Objection Letters							
Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On	
(02) Awaits Company Response	Adams, Ray	08/24/2018	08/24/2018 03:52 PM	27, user	10/10/2018	10/10/2018 05:20 PM	

NOTE: SERFF status is now “Pending State Action”.

How to Edit an Unsubmitted Response Letter

1. Open the Response Letter and click the **Edi** button to update.
2. Update the fields as needed.
3. If needed, change the updated schedule items. Select **Remove** next to the item being updated.

[Objection 1](#)

Applies To:

- [No number], [No date], Policy/Coverage Form, Auto Policy (Form)

Comment: The attached form is not the correct form for this request.

Response 1:

Comments: *

Please see the attached file for the requested changes.

Changed Items:

Form Schedule Item Changes									
	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
Remove	Auto Policy			PCF	New		0	Declaration-Auto.pdf	
Previous Version									
Add	Auto Policy			PCF	New		0	Simple Policy Form.pdf	Date Submitted: 08/01/2018 By: luser 27

No Rate/Rule Schedule items changed.

No Supporting Documents changed.

[Add Schedule Item\(s\)](#)

4. Click **Add Schedule Item(s)** and select schedule item changes that belong with the objection.

If updates need to be made to individual schedule items, please refer to the section titled 'Revising schedule Items' for complete instructions.

5. Click the **Sav** button.

6. The Response has now been completed. The user may Submit, Edit, Delete, Close, or View Objection Letter.

How to View the Response Letter

The draft of the Response Letter is located under the Filing Correspondence tab. The user will be able to view the Response Letter two ways (please see the following two examples).

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Objection Letters							
Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On	
(02) Awaits Company Response	Adams, Ray	08/24/2018	08/24/2018 03:54 PM	27, iuser	08/27/2018	08/27/2018 05:01 PM	

Example 1:

- When clicking on the Objection Letter link, the user will be directed to the Objection Letter sent by the Reviewer.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Objection Letters							
Status	Created By	Created On	Date Submitted	Responded By			
(02) Awaits Company Response	Adams, Ray	08/24/2018	08/24/2018 03:54 PM	27, iuser			

- By clicking the **View Response Letter** button, the user is directed to the Response Letter.

Objection Letter for NAI2-000078530

Close View Response Letter

SERFF Tracking Number: NAI2-000078530 State: Utah
 Filing Company: First Insurance Company State Tracking Number:
 Company Tracking Number:
 TOI: 19.0 Personal Auto Sub-TOI: 19.0001 Private Passenger Auto (PPA)
 Product Name: Auto Test Product
 Project Name:

Objection Letter Status: * (02) Awaits Company Response
 Objection Letter Date: 08/24/2018
 Respond By Date: 09/28/2018
 Submitted Date: 08/24/2018 03:54 PM

Dear Alicia Cook,
Introduction:
 The following issues have been noted with this filing and are not in compliance with state statutes and regulations.

Example 2:

By clicking on the author's name (under Responded by), the user will be able to view the draft Response Letter.

General Information Form Schedule Rate/Rule Schedule Supporting Documentation State Specific Companies and Contact Filing Fees Filing Correspondence

Objection Letters

Status	Created By	Created On	Date Submitted	Responded By
(02) Awaits Company Response	Adams, Ray	08/24/2018	08/24/2018 03:54 PM	27, iuser

Click the **Close** button to close the Response Letter when finished reviewing.

How to Submit the Response Letter

1. Click the **Submit** button to send the Response Letter.

Response Letter for NAI2-000078530

Submit Edit Delete Close View Objection Letter Expand All Collapse All

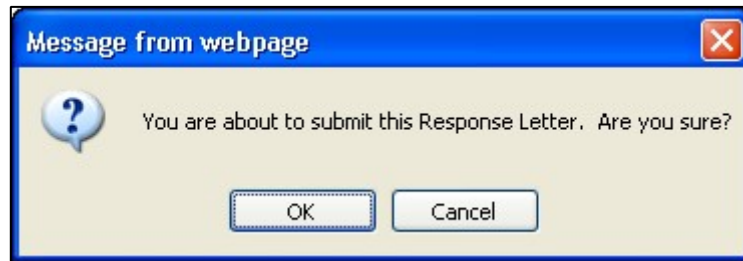
SERFF Tracking Number: NAI2-000078530 State: Utah
 Filing Company: First Insurance Company State Tracking Number:
 Company Tracking Number:
 TOI: 19.0 Personal Auto Sub-TOI: 19.0001 Private Passenger Auto (PPA)
 Product Name: Auto Test Product
 Project Name:

Status : Draft

Dear No primary reviewer set on filing.,

Introduction:
 Hello

2. A confirmation message appears confirming this action.



3. Click **OK** button.

The Response Submitted on Date is now populated with the date sent to the state.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Objection Letters							
Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On	
(02) Awaits Company Response	Adams, Ray	08/24/2018	08/24/2018 03:54 PM	27, iuser	08/27/2018	08/27/2018 05:01 PM	

Amendments

**This is only used when the amendment is not in response to an Objection Letter (i.e. - The filer has decided to add a schedule item).*

Revising/Adding schedule Items

Change Schedule 1. Click button from the filing view.

The screenshot shows the top navigation bar with tabs: Filings, Messages, Billing, Settings, Filing Rules, Templates, and Alerts. Below this is a secondary bar with links: My Workfolder, My Open Filings, My Draft Filings, Search, Create Filing, and EFT Report. The main toolbar contains buttons: Add Authors, Update, Change Schedule Items (highlighted with a red box), Set Confidentiality, Create Reminder, Move to Workfolder, and PDF Pipeline.

2. The filing will be put into “Revise Mode.”

The screenshot shows the same top navigation bar as the previous image. The secondary bar now includes 'My Draft Filings' and 'Search'. The main toolbar now includes 'Save', 'Apply', 'Cancel', and a red button labeled '-- Revise Mode --' which is highlighted with a red box.

3. Click **Revise** to the left of the item to be revised.

The screenshot shows the 'Form Schedule' tab selected. It displays a table with columns: Item No., Schedule Item, Form Name, Form Number, Form Type, Action, Action Specific Data, Readability Score, Attachments, and Submitted. The first row shows a draft item named 'Health Policy' with form number '16', type 'POL', and action 'Initial'. The 'Revise' button is highlighted with a red box. Below the table, there is a 'Previous Version' section showing a previous version of the 'Health Policy' form.

New items may also be added while in ‘Revise mode’ by clicking on the **Ad** button or **Import Template** button.

SERFF Industry Manual

Select	Form Name *	Form Number	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
<input type="checkbox"/>								

When revising a schedule item, a new line (in white) is automatically populated with the information from the original version (in grey) because many of the items may not change. All fields and attachments can be changed.

4. **Attach any appropriate files by clicking on the **Attach Files** button.**

a. Click **Brows** to find the file.

SERFF File Attachment Upload

Attachments larger than 3MB or Microsoft Word(tm) documents cannot be uploaded to SERFF.

File 1:

File 2:

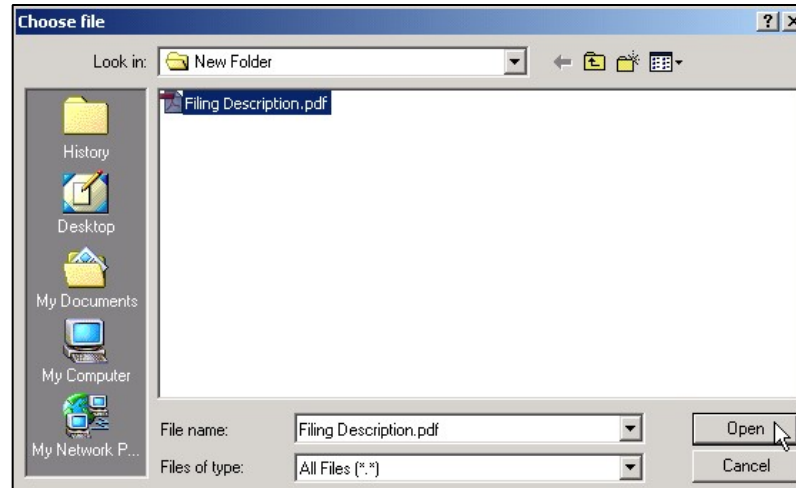
File 3:

File 4:

File 5:

b. After selecting the appropriate file, click **Open** button to add the

attachment to your file list.



c. Click on the **Upload** button.

SERFF File Attachment Upload

Attachments larger than 3MB or Microsoft Word(tm) documents cannot be uploaded to SERFF.

File 1:

File 2:

File 3:

File 4:

File 5:

NOTE: Up to five files can be attached at a time before uploading.

5. Continue in this manner until all the necessary schedule item changes have been made. Be sure to click **Appl** to save your changes periodically.

NOTE:

Clicking on the **Remove** after the attachment will

remove the previous version of the attachment and enable the user to submit an amended file. The user should remove the attachment that is being revised and attach the updated version. The original attachment is still seen below the attachment in the grayed-out area and cannot be removed or changed.

Form Schedule		Rate/Rule Schedule		Supporting Documentation		Filing Correspondence			
Form Count: 1									
Lead Form Number:									
Item No.	Schedule Item Status	Form Name *	Form Number	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
	Undo Draft	Health Policy	16	POL	Initial		50	Attach Files Individual Health Policy.pdf Remove	
Previous Version									
		Health Policy	16	POL	Initial		50	Health Policy Contract.pdf	Date Submitted: 08/01/2018 By: iuser 27

6. Click **Sav** to save changes and exit Revise mode.

Build the Amendment

1. Click on the Filing Correspondence tab.
2. Click the **Create Amendment** button.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
---------------------	---------------	--------------------	--------------------------	----------------	-----------------------	-------------	-----------------------

Objection Letters
No Objection Letters

Amendments
No Amendments
[Create Amendment](#)

Post Submission Updates
This filing does not support post-submission updates.

Dispositions
No Dispositions

Filing Notes
No Filing Notes
[Create Filer Note](#) [Create Note to Reviewer](#)

Reminders
No Reminders
[Create Reminder](#)

3. Enter Comments in the Comment field.

Amendment of NAI2-000078534

[Save](#) [Apply](#) [Cancel](#)

SERFF Tracking Number:	NAI2-000078534	State:	Alabama
Filing Company:	ABC Insurance Company	State Tracking Number:	
Company Tracking Number:			
TOI:	H16G Group Health - Major Medical	Sub-TOI:	H16G.001A Any Size Group - PPO
Product Name:	PPACA Test Product		
Project Name:	Test		

Date Submitted:

Comments: *

Changed Items:

No Form Schedule items changed.

No Rate/Rule Schedule items changed.

No Supporting Documents changed.

[Add Schedule Item\(s\)](#)

[Save](#) [Apply](#) [Cancel](#)

4. To make an association between draft schedule Items and the Amendment, click **Add Schedule Item(s)** and select schedule item changes that belong with the update.

SERFF Industry Manual

Amendment of NAI2-000078534

Save Apply Cancel

SERFF Tracking Number:	NAI2-000078534	State:	Alabama
Filing Company:	ABC Insurance Company	State Tracking Number:	
Company Tracking Number:			
TOI:	H16G Group Health - Major Medical	Sub-TOI:	H16G.001A Any Size Group - PPO
Product Name:	PPACA Test Product		
Project Name:	Test		

Date Submitted:

Comments: * Here is my amendment.

Changed Items:

No Form Schedule items changed.

No Rate/Rule Schedule items changed.

No Supporting Documents changed.

Add Schedule Item(s)

Save Apply Cancel

5. From the 'Draft schedule Items for Filing' window, select the draft items to be included in the Response Letter. Click **Add**

Draft Schedule Items for Filing
SERFF Tracking No: NAI2-000078534

☐ 16, Policy/Contract/Fraternal Certificate, Health Policy (Form)

Select All

Deselect All

Add Item(s)

[Close this Window](#)
 (You may also click anywhere outside this window)

6. Throughout the process, click **Appl** to periodically save updates.
7. Click **Sav** once all updates have been made.
8. The user may then Submit, Edit, Delete or Close the Amendment.

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



Amendment of NAI2-000078534

SERFF Tracking Number:	NAI2-000078534	State:	Alabama
Filing Company:	ABC Insurance Company	State Tracking Number:	
Company Tracking Number:			
TOI:	H16G Group Health - Major Medical	Sub-TOI:	H16G.001A Any Size Group - PPO
Product Name:	PPACA Test Product		
Project Name:	Test		

Date Submitted:

Comments: * Here is my amendment.

Changed Items:

Form Schedule Item Changes								
	Form Name	Form Number	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
	Health Policy	16	POL	Initial		50	 Individual Health Policy.pdf	
Previous Version								
	Health Policy	16	POL	Initial		50	 Health Policy Contract.pdf	Date Submitted: 08/01/2018 By: user 27

The Date Submitted field is now populated with the date and time the Amendment was sent to the state.

Amendments			
Comment	Created By	Created On	Date Submitted
 Here is my amendment....	27, iuser	08/28/2018	08/28/2018 04:41 PM
There are no draft Schedule Items to submit in an Amendment.			

Post Submission Update

The Post Submission Update feature of SERFF gives industry users the ability to update various filing fields after the filing has been submitted. Depending upon a state setting, these updates will be allowed on open filings, both open and closed filings, or not at all. Once received, the state will review the request and allow or disallow the changes.

NOTE: The filer will only be able to submit post submission updates if the state allows the functionality on their instance. If the state does not accept updates, the link will be replaced by explanatory text.

The screenshot shows the SERFF interface with the 'Filing Correspondence' tab selected. The interface includes a top navigation bar with tabs: General Information, Form Schedule, Rate/Rule Schedule, Supporting Documentation, State Specific, Companies and Contact, Filing Fees, and Filing Correspondence. The main content area lists several sections: Objection Letters (No Objection Letters), Amendments (No Amendments, There are no draft Schedule Items to submit in an Amendment), Post Submission Updates (highlighted with a red box, with the text 'This filing does not support post-submission updates.' below it), Dispositions (No Dispositions), Filing Notes (No Filing Notes, with buttons 'Create Filer Note' and 'Create Note to Reviewer'), and Reminders (No Reminders, with a 'Create Reminder' button).

Creating a Post-Submission Update

1. Click on the Filing Correspondence tab.
2. Click on **Create Post-Submission Update** button.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
---------------------	---------------	--------------------	--------------------------	-----------------------	-------------	-----------------------

Objection Letters
No Objection Letters

Amendments
No Amendments
There are no draft Schedule Items to submit in an Amendment.

Post Submission Updates
No Post-Submission Updates
[Create Post-Submission Update](#)

Dispositions
No Dispositions

Filing Notes
No Filing Notes
[Create Filer Note](#) [Create Note to Reviewer](#)

Reminders
No Reminders
[Create Reminder](#)

The Post Submission Update request will show the fields available for update. All fields on the General Information, Rate/Rule Schedule, and State Specific tab can be updated via Post Submission Update. The current values of the fields will be displayed. Please note that there will be slight differences between filings of different business types.

NOTE:

If you chose the incorrect PPACA Value option when creating your original PPACA filing, you must use the Post-Submission Update feature to make changes to your filing.

Post-Submission Update for NAI2-000078534

This state accepts post-submission updates.
Status: Draft

General Information

Product Name: * PPACA Test Product
Project Number:

Project Name:

PPACA: *
☐ Not PPACA-Related
☒ Non-Grandfathered Immed Mkt Reforms
☐ Grandfathered Immed Mkt Reforms

[What is PPACA?](#)

Include Exchange: ☐ Yes ☒ No
Intentions?:

Status of Filing in Domicile: Authorized
Domicile Status Comments:

Requested Filing Mode: * Review & Approval
Market Type: * Group
Group Market Size: * Small
Group Market Type:
☐ Association
☐ Blanket
☐ Discretionary
☒ Employer
☐ Non Employer Group
☐ Other
☐ Trust

Explanation For Other Group Market Type:

Implementation Date Requested: * ☐ ☒ On Approval
Corresponding Filing Tracking Number:

Rate Information

Rate Info Applies: ☒ Yes ☐ No

Filing Method: Review and Approval
Rate Change Type: --Please Select--
Overall Pct. of Last Revision:

Effective Date of Last Revision:

Filing Method of Last Filing:

SERFF Tracking Number of Last Filing:

Company Name:	Company Rate Change: *	Overall % Indicated Change:	Overall % Rate Impact:	Written Premium Change for this Program:	Number of Policy Holders Affected for this Program:	Written Premium for this Program:	Maximum % Change (where required):	Minimum % Change (where required):
ABC Insurance Company	New Product	%	%	\$		\$	%	%

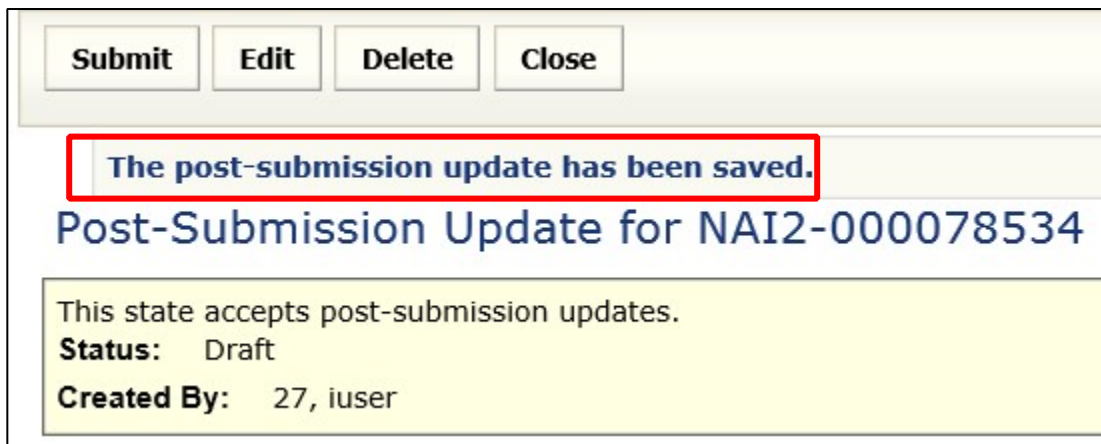
☒ [Edit Rate Review Detail](#)

Icon Legend: ✔ - Complete Rate Review Detail ⚠ - Incomplete Rate Review Detail

3. Update the fields as needed and click the Save button.

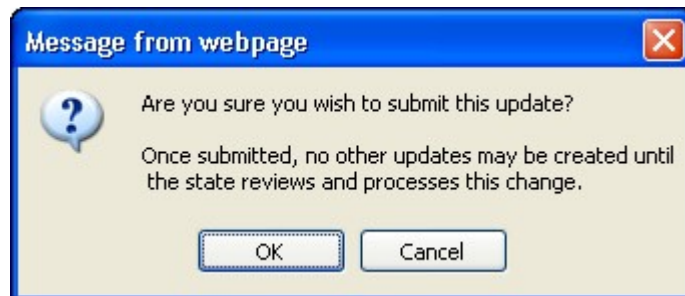
NOTE: Rate Data can be added or updated on a Post Submission Update, regardless of whether it was included on the original filing.

4. After saving the update the author will receive confirmation that the submission has been saved.



The screenshot shows a web interface for a "Post-Submission Update for NAI2-000078534". At the top, there are four buttons: "Submit", "Edit", "Delete", and "Close". Below these buttons, a red-bordered box contains the text "The post-submission update has been saved." in blue. Underneath this box, the title "Post-Submission Update for NAI2-000078534" is displayed in a large blue font. At the bottom, a yellow box contains the text "This state accepts post-submission updates." followed by "Status: Draft" and "Created By: 27, iuser".


5. Click the **Submit** button to send to the state.



6. Click the **OK** button to submit.

NOTE: Once submitted, the request cannot be changed, and another request cannot be created until the state acts on the current one.

Filings with pending Post Submission Updates will have an icon above Filing at a Glance. The full request can be accessed from the Correspondence tab.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
My Workfolder	My Open Filings	My Draft Filings	Search	Create Filing	EFT Report	
<div> Add Authors Update Change Schedule Items Set Confidentiality Create Reminder Move to Workfolder PDF Pipeline </div>						
<div>  This filing has a pending post submission update. </div>						

On the Filing Correspondence tab, the filing author can view the Post Submission Update that was submitted to the state.

Post Submission Updates						
Status	Created By	Created On	Submitted By	Date Submitted	Processed By	Date Processed
 Submitted	27, iuser	08/10/2018	27, iuser	08/10/2018 04:09 PM		

Once the state has reviewed your Post Submission Update, the filer will receive a message in your SERFF Message Center advising that your request has been allowed or disallowed.

Message

Return to Messages
Remove Message
Move to Workfolder

Post-Submission Update ALLOWED for Filing NAI2-000078534 Attn: iuser 27

SERFF Tr Num: [NAI2-000078534](#)
Co Tr Num:
State Tr Num:

Company: ABC Insurance Company
Contact: Mark Vincent
State: Alabama

Event Detail: Post-Submission Update(125011606) for Filing NAI2-000078534 to Alabama was ALLOWED. State Comment: NONE.

Product Name: PPACA Test Product
Type Of Insurance: H16G Group Health - Major Medical
Sub-Type Of Insurance: H16G.001A Any Size Group - PPO
Filing Type: Rate
From: Ray Adams
Message Received: 08/10/2018 04:10 PM

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After allowing the update, the icon and wording in Filing at a Glance changes, as does the status of the request. If the request is disallowed, the icon above Filing at a Glance is removed and the request status is changed to Disallowed.



Post Submission Updates							
	Status	Created By	Created On	Submitted By	Date Submitted	Processed By	Date Processed
	Allowed	27, iuser	08/10/2018	27, iuser	08/10/2018 04:09 PM	Adams, Ray	08/10/2018

When a request is approved, the applicable fields on the filing are updated. Fields that has been changed post submission will have an icon next to them representing changed data. This icon does not appear if the change was not approved.

View Approved Post Submission Updates

1. Click on the schedule tab to view the approved updates.

Filing at a Glance Example:

Implementation Date Requested: * 09/10/2018

Prior Value:

Changed By: iuser 27

Change Date: 08/10/2018

[View Related Update](#)

2. Clicking the icon for a field with changes will trigger the display

of the history of changes for that field, including prior values and the date the field was changed.

3. The user can click the [View](#) link to be taken to the Post Submission Update for that change.

NOTE: The post submission update will show the changes in bold.

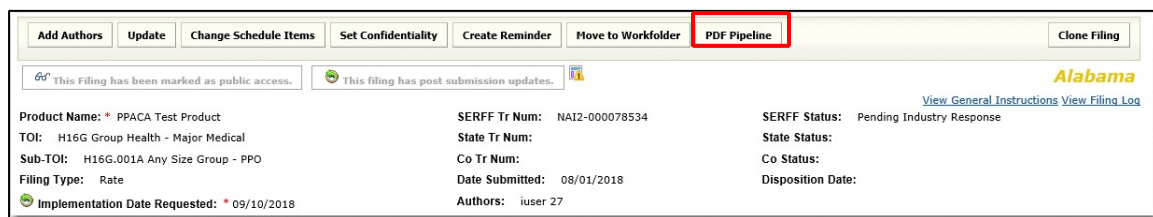
PDF Pipeline

PDF Pipeline provides users with the ability to create a single PDF file of their entire filing or selected parts of their filing. The PDF Pipeline is generated on demand. The results will be displayed instantly and the user can save the PDF locally to their network, review online or print.

All schedule Items and Correspondence including Reviewer Notes and Filer Notes will be available to PDF Pipeline.

Generate PDF

1. Open the SERFF filing.
2. Click the **PDF Pipeline** button.



The screenshot shows the SERFF filing interface. At the top, there is a navigation bar with buttons: Add Authors, Update, Change Schedule Items, Set Confidentiality, Create Reminder, Move to Workfolder, **PDF Pipeline** (highlighted with a red box), and Clone Filing. Below the navigation bar, there are two status messages: "This Filing has been marked as public access." and "This filing has post submission updates." On the right side, there is a link to "View General Instructions View Filing Log" and the word "Alabama" in yellow. The main content area displays filing details in a table format:

Product Name: * PPACA Test Product	SERFF Tr Num: NAI2-000078534	SERFF Status: Pending Industry Response
TOI: H16G Group Health - Major Medical	State Tr Num:	State Status:
Sub-TOI: H16G.001A Any Size Group - PPO	Co Tr Num:	Co Status:
Filing Type: Rate	Date Submitted: 08/01/2018	Disposition Date:
Implementation Date Requested: * 09/10/2018	Authors: iuser 27	


When selecting the Form, Rate and Supporting Documentation schedules, at least one item must be selected for the schedule to print. If just an item from the schedule is chosen and not the schedule itself, only the attachment and/or details for that item will generate. Nothing will print if just the schedule is selected and no items.

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A dialog box will appear that lists all of the pieces of the filing that can be included in the PDF.





Generate PDF for NAI2-000078534


Generate PDF **Cancel** **Select All** **Select None**

Select the portions of the filing to include in the generated PDF. 

☐ Filing Information




☒ Form Schedule Summary

<input type="checkbox"/> Detail for All Items	Date Submitted
<input type="checkbox"/>   16, Policy/Contract/Fraternal Certificate, Health Policy	08/28/2018
<input type="checkbox"/>   16, Policy/Contract/Fraternal Certificate, Health Policy	08/01/2018




☐  Rate Information

☐ Rate Review Detail for all Companies




☒ Rate/Rule Schedule Summary



<input type="checkbox"/> Detail for All Items	Date Submitted
<input type="checkbox"/>   Health	08/01/2018
<input type="checkbox"/>  Rates Schedule	

☒ Supporting Document Schedule Summary

<input type="checkbox"/> Detail for All Items	Date Submitted
<input type="checkbox"/>   Actuarial Memorandum - Life & Health	Satisfied 08/01/2018
<input type="checkbox"/>  Authorization Letter- Life & Health	Bypassed 08/01/2018

☒ Filing Correspondence Summary

<input type="checkbox"/> Detail for All Items	Date Submitted
<input type="checkbox"/>  Objection Letter	08/24/2018
<input type="checkbox"/>  Amendment Letter	08/28/2018
<input type="checkbox"/>  Post Submission Update Request	08/10/2018

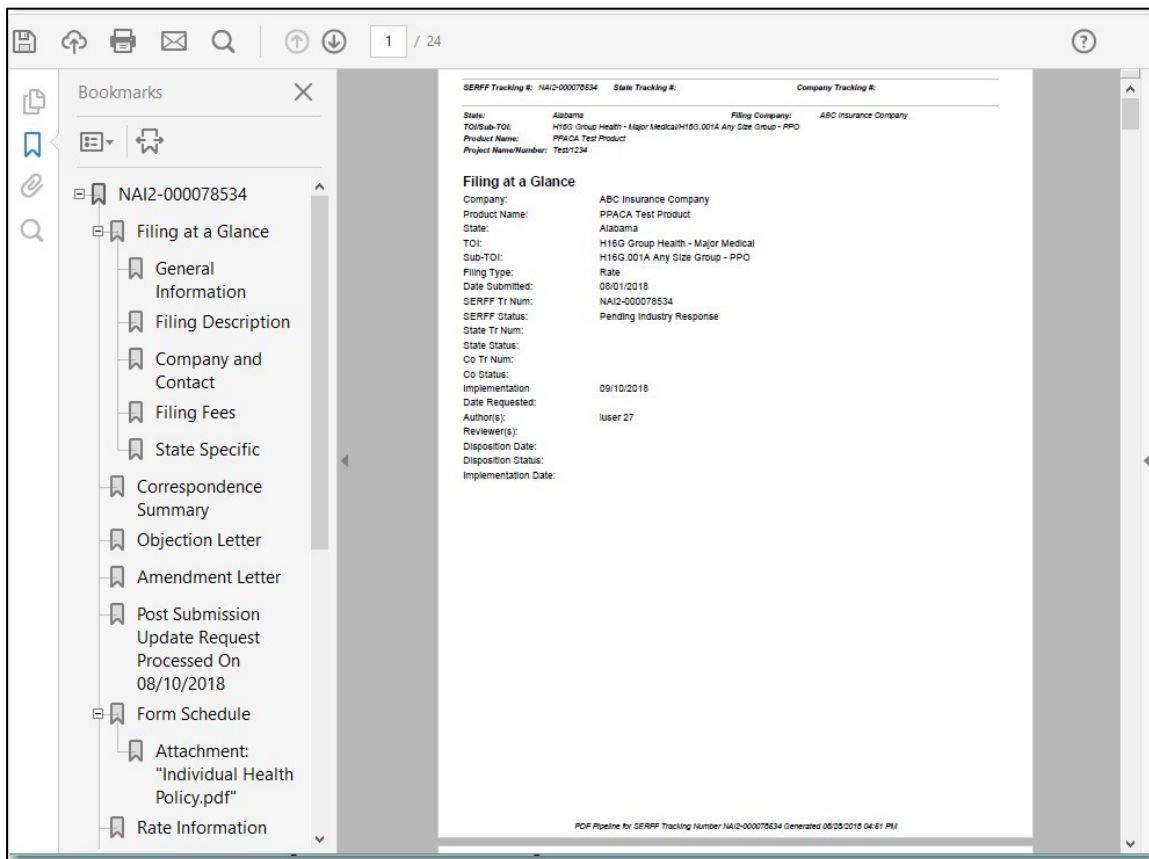
Legend:
 - Filing Element contains one or more attachments that may be included in the Pipeline result file.
 - Filing Element contains one or more attachments that cannot be included in the Pipeline result file.

3. Select the individual items or click the **Select** button.

4. Click **Select** button to deselect all the items.


5. Click **Cancel** button to cancel the action.


6. Click the **Generate PDF** button to create the PDF.



After clicking on the **Generate PDF** button the PDF file will open in a new window. Click on the individual bookmarks to navigate to the different sections of the filing.



Click on the  button to save the PDF file outside of the SERFF system. Non-PDF attachments and attachments that are larger than 3 MB are not compatible with PDF Pipeline.

A Non-PDF attachment will be displayed with a  symbol. That symbol indicates the attached file is not a PDF document. If the box is checked prior to selecting the

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Generate PDF button it will display Non-PDF attachment in the bookmarks and on the page.

Generate PDF for NAI2-000078534

Generate PDF **Cancel** **Select All** **Select None**

Select the portions of the filing to include in the generated PDF.

☐ Filing Information

☒ Form Schedule Summary

☐ Detail for All Items

	Date Submitted
<input type="checkbox"/> 16, Policy/Contract/Fraternal Certificate, Health Policy	08/28/2018
<input type="checkbox"/> 16, Policy/Contract/Fraternal Certificate, Health Policy	08/01/2018

☐ Rate Information

☐ Rate Review Detail for all Companies

☒ Rate/Rule Schedule Summary

☐ Detail for All Items

	Date Submitted
<input type="checkbox"/> Health	08/01/2018
<input type="checkbox"/> Rates Schedule	

Rate Information

Rate Review Detail

☒ Rate/Rule Schedule

Failed Non-PDF Attachment: "Schedule of Rates.xlsx"

Attachment: "Health Policy Contract.pdf"

☒ Supporting Document Schedules

SERFF Tracking #: NAI2-000078534 State Tracking #: Company Tracking #:

State: Alabama Filing Company: ABC Insurance Company

TO/Sub-TO: H100 Group Health - Major Medical/H100.001A Any Size Group - PPO

Product Name: PPSICA Test Product

Project Name/Number: Test1234

Attachment Schedule of Rates.xlsx is not a PDF document and cannot be reproduced here.

Filer Note

A Filer Note is internal communication. Only those users who have access to the filing will be able to read the note. Filer Notes can be added to a draft, open or closed filing.

The screenshot shows the 'Filing Correspondence' tab selected in the top navigation bar. The main content area displays several sections: 'Objection Letters' (No Objection Letters), 'Amendments' (No Amendments, There are no draft Schedule Items to submit in an Amendment), 'Post Submission Updates' (No Post-Submission Updates, with a 'Create Post-Submission Update' button), 'Dispositions' (No Dispositions), 'Filing Notes' (No Filing Notes, with a 'Create Filer Note' button highlighted by a red box and a 'Create Note to Reviewer' button), and 'Reminders' (No Reminders, with a 'Create Reminder' button).

Create Filer Note

1. Click the **Filing Correspondence** tab.
2. Click the **Create Filer** button.
3. Type a subject in the Subject Field (this is a Required Field).
4. Type a comment in the comments field (the comments section can contain up to 4000 characters and is a required field).
5. Click the **Attach Files** button to attach related files.
6. Click the **Save** button to save the Filer Note.
7. Click the **Cancel** button to cancel the Filer Note.

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Filer Note for NAI2-000078534

Save Apply Cancel

SERFF Tracking Number:	NAI2-000078534	State:	Alabama
Filing Company:	ABC Insurance Company	State Tracking Number:	
Company Tracking Number:			
TOI:	H16G Group Health - Major Medical	Sub-TOI:	H16G.001A Any Size Group - PPO
Product Name:	PPACA Test Product		
Project Name:	Test		

Submitted by: N/A

Subject: * Status

Comments: * What is the status of this filing?

Attach Files

Save Apply Cancel

After clicking **Save**, the user can then click on the Filer Note subject link. The user can then Edit, Delete, or close the Filer Note.

Filer Note for NAI2-000078534

Edit Delete Close

SERFF Tracking Number:	NAI2-000078534	State:	Alabama
Filing Company:	ABC Insurance Company	State Tracking Number:	
Company Tracking Number:			
TOI:	H16G Group Health - Major Medical	Sub-TOI:	H16G.001A Any Size Group - PPO
Product Name:	PPACA Test Product		
Project Name:	Test		

Created by: iuser 27 on 08/28/2018 04:56 PM

Submitted by: N/A

Subject: * Status

Comments: * What is the status of this filing?

Edit Delete Close

All Filer Notes are located under the Filing Correspondence tab of the filing. The Filing Notes section lists all notes, whether it is a Filer Note, Note to Filer or Note to Reviewer.

Filing Notes					
Subject	Note Type	Created By	Created On	Submitted On	Submitted By
Status	Filer Note	27, iuser	08/28/2018		
Create Filer Note Create Note to Reviewer					

Note to Reviewer

A Note to Reviewer is sent to the Reviewer from the Filer. It becomes part of the filing.

Create Note to Reviewer

1. Click the **Filing Correspondence** tab.
2. Click the **Create Note to Reviewer** button.

The screenshot shows a web application interface with a top navigation bar containing tabs: General Information, Form Schedule, Rate/Rule Schedule, Supporting Documentation, Companies and Contact, Filing Fees, and Filing Correspondence. The 'Filing Correspondence' tab is selected. Below the tabs, the interface is divided into several sections:

- Objection Letters**: No Objection Letters
- Amendments**: No Amendments. There are no draft Schedule Items to submit in an Amendment.
- Post Submission Updates**: No Post-Submission Updates. A button labeled 'Create Post-Submission Update' is present.
- Dispositions**: No Dispositions
- Filing Notes**: No Filing Notes. Two buttons are present: 'Create Filer Note' and 'Create Note to Reviewer'.
- Reminders**: No Reminders. A button labeled 'Create Reminder' is present.

3. Type a subject in the Subject Field (this is a required field).
4. Type a comment in the Comments Field (the comments section can contain up to 4000 characters and is a required field).
5. Click the **Attach Files** button to attach related files.
6. Click the **Sav** button to save the Filer Note.
7. Click the **Cancel** button to cancel the Filer Note.

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Note To Reviewer for NAI2-000078534

SaveApplyCancel

SERFF Tracking Number:	NAI2-000078534	State:	Alabama
Filing Company:	ABC Insurance Company	State Tracking Number:	
Company Tracking Number:			
TOI:	H16G Group Health - Major Medical	Sub-TOI:	H16G.001A Any Size Group - PPO
Product Name:	PPACA Test Product		
Project Name:	Test		

Submitted by: N/A

Subject: *

Comments: *

Attach Files

SaveApplyCancel

After clicking on the **Save** button a preview of the note is displayed. The user can Submit, Edit, Delete, or Close the note.

Note To Reviewer for NAI2-000078534

SubmitEditDeleteClose

SERFF Tracking Number:	NAI2-000078534	State:	Alabama
Filing Company:	ABC Insurance Company	State Tracking Number:	
Company Tracking Number:			
TOI:	H16G Group Health - Major Medical	Sub-TOI:	H16G.001A Any Size Group - PPO
Product Name:	PPACA Test Product		
Project Name:	Test		

Created by: iuser 27 on 08/28/2018 05:13 PM

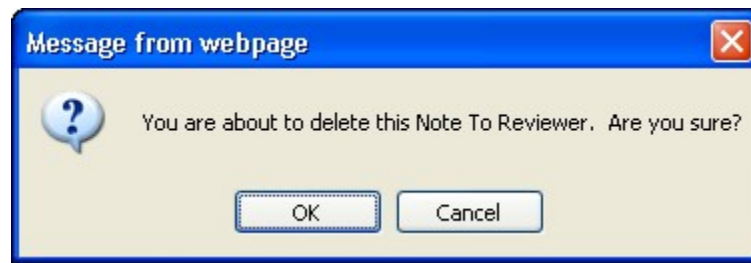
Submitted by: N/A

Subject: * Notice

Comments: * Notice to reviewer.

SubmitEditDeleteClose

1. Click the **Edit** button to edit the Reviewer Note.
2. Click the **Delete** button to delete the Reviewer Note.
3. A confirmation message appears confirming this action.

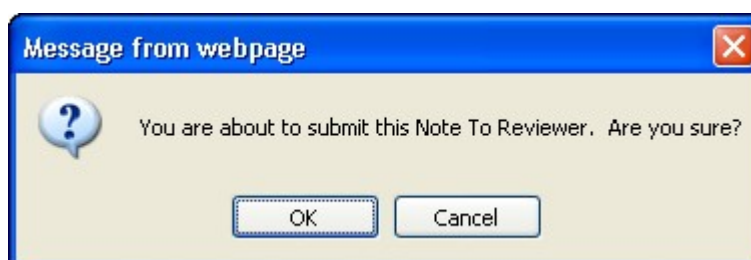


4. Click the **OK** button.
5. If you choose not to Delete, click the **Close** button to save the Note to Reviewer as a draft.

The Submitted-On field is blank. When the Note to Reviewer has been submitted, the Submitted On field will be populated with the date submitted and the draft icon will no longer be displayed.

Filing Notes					
Subject	Note Type	Created By	Created On	Submitted On	Submitted By
 Notice	Note To Reviewer	27, iuser	08/28/2018		

6. Click the **Submit** button to send the Note to Reviewer.



7. A confirmation message appears confirming the action.

A Note to Reviewer may be sent with the original submission of the filing, as well as on a closed filing (provided the states have not disabled this option). Submitting a Note to Reviewer on a closed filing is beneficial if the user needs to change an

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effective or implementation date or to ask that the filing be re-opened for another purpose. ***It is important to note that attachments may not be added to a Note to Reviewer on a closed filing.***

When States Restrict Note to Reviewer on Closed Filings

Some states will not accept a 'Note to Reviewer' on a Closed Filing. In this instance, there will not be a 'Create Note to Reviewer' button at the bottom of the page. Some states may provide an explanation in place of the button, if there is no explanation, then that area will just be left blank.

Reminders

Reminders are user defined messages that will be sent to the Message Center are there due date.

Create a reminder

Add Authors	Update	Change Schedule Items	Set Confidentiality	Create Reminder	Move to Workfolder	PDF Pipeline
-------------	--------	-----------------------	---------------------	-----------------	--------------------	--------------

1. Open the filing, click the **Create Reminder** button.

Reminder for NAI2-000078534

SERFF Tracking Number:	NAI2-000078534	State:	Alabama
Filing Company:	ABC Insurance Company	State Tracking Number:	
Company Tracking Number:			
TOI:	H16G Group Health - Major Medical	Sub-TOI:	H16G.001A Any Size Group - PPO
Product Name:	PPACA Test Product		
Project Name:	Test		

Subject: *

Due Date: *

Comments:

Send To: ☒ Creator ☐ All

Generate Reminder on Closed Filing: ☐ Yes ☒ No

2. Type the Subject and Due Date (required fields) and comments.

Send To:

☒ Creator
 ☐ All

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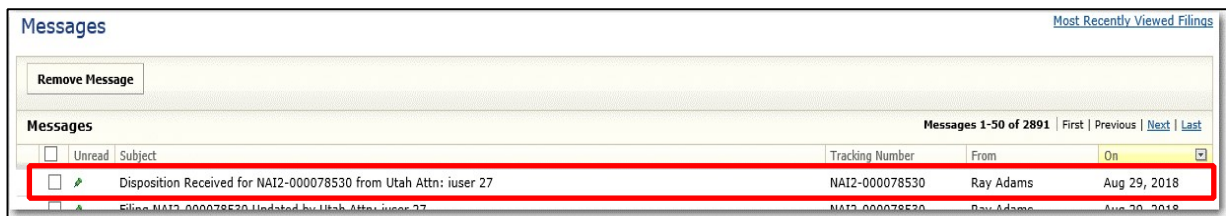
3. If the creator radio button is selected upon creation, then the message will appear in the creator message center, if the all radio button is selected, then everyone who has access to the filing will receive the message in their message center, including any Filing Managers on the instance.
4. Click the **Sav** button.
5. The reminder will be displayed under the filing correspondence tab.

Reminders				
Subject	Created By	Created On	Date Due	Processed
Reminder	27, iuser	08/29/2018 04:14 PM	09/01/2018	

Dispositions

When a Disposition Report is created for a filing, the SERFF status of that filing is changed to "Closed." The filing is then removed from the "My Open Filings" view. The user can find any closed filings by using the Advanced Search. The user receives a message in the Message Center indicating a Disposition on the filing and the Disposition Report is located on the Filing Correspondence Tab.

View a Disposition



1. To open a message, move the pointer to the message. Click when the message to be read is highlighted in yellow.
2. The message will display.

Return to Messages
Remove Message
Move to Workfolder

Disposition Received for NAI2-000078530 from Utah Attn: iuser 27


SERFF Tr Num:	NAI2-000078530	Product Name:	Auto Test Product
Co Tr Num:		Type Of Insurance:	19.0 Personal Auto
State Tr Num:		Sub-Type Of Insurance:	19.0001 Private Passenger Auto (PPA)
		Filing Type:	Form/Rate
Company:	First Insurance Company	From:	Ray Adams
Contact:	Alicia Cook	Message Received:	08/29/2018 04:17 PM
State:	Utah		
Event Detail:	Disposition(36698) for Filing NAI2-000078530 was Submitted with a Status of (02) Approved . Public Access Status has been set by Default.		

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3. To open the filing referenced in the message, click the blue, underlined SERFF Tracking Number.
4. Click on the Filing Correspondence tab.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
---------------------	---------------	--------------------	--------------------------	-----------------------	-------------	-----------------------

5. Click the blue link under Dispositions

Dispositions			
Status	Created By	Created On	Date Submitted
 (02) Approved	Adams, Ray	08/29/2018	08/29/2018 04:17 PM

The Disposition is now viewable.

Disposition for NAI2-000078530													
<div>Close</div>													
SERFF Tracking Number:		NAI2-000078530		State:		Utah							
Filing Company:		First Insurance Company		State Tracking Number:									
Company Tracking Number:													
TOI:		19.0 Personal Auto		Sub-TOI:		19.0001 Private Passenger Auto (PPA)							
Product Name:		Auto Test Product											
Project Name:													
Disposition Date: 08/29/2018													
Effective Date (New):													
Effective Date (Renewal):													
Status: * (02) Approved													
Comments:													
Company Rate Information													
Company Name:	Overall % Indicated Change:	Overall % Rate Impact:	Written Premium Change for this Program:	Number of Policy Holders Affected for this Program:	Written Premium for this Program:	Maximum % Change (where required):	Minimum % Change (where required):						
First Insurance Company	%	%	\$		\$	%	%						
Change Period for Approved Rate:													
Schedule Items													
Item Type	Item Name			Item Status		Public Access							
Supporting Document	Actuarial Memorandum			(01) Approved		No							
Supporting Document	Letter of Authorization			(01) Approved		Yes							
Supporting Document	State Requirement			(01) Approved		No							
Form	[No number], [No date], Policy/Coverage Form, Auto Policy			(01) Approved		No							
Form	[No number], [No date], Policy/Coverage Form, Auto Policy			(01) Approved		No							
Rate	Schedule of Rates, [No rule/page number]			(01) Approved		Yes							

LESSON 6

This lesson covers the search functionality of SERFF. Search is available to all users.

SERFF offers two levels of search – a Simple Search that provides quick access to a particular filing and an Advanced Search that allows queries of the filings database based on several criteria.

This lesson covers the following topics:

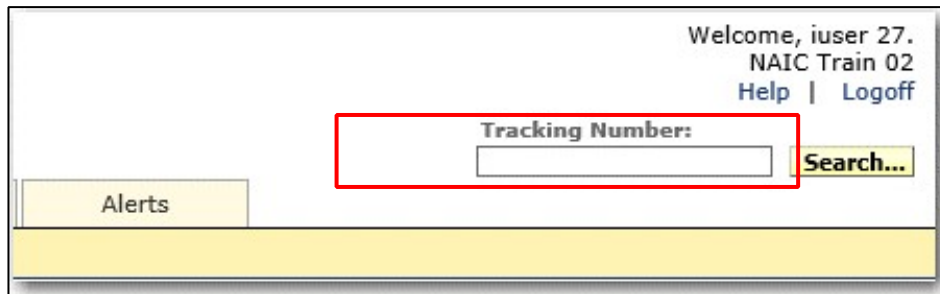
- Simple Search



- Advanced Search

Simple Search

The Simple Search box displays in the upper right portion of the SERFF workspace. This search will use the value entered to search the SERFF Tracking Number, State Tracking Number, or Company Tracking Number fields.



NOTE: If users are not sure of the entire Tracking Number, a wild card (*) can be used before and/or after the criteria string.

Running a Simple Search

1. Click in the  field.

2. Enter the SERFF Tracking Number, State Tracking Number, or Company Tracking Number of the filing being sought.



3. Click the **Search** button, and then select the type of Tracking Number.

Tracking Number:	
UNSE-000014037	Search...
SERFF Tracking Number	
State Tracking Number	
Company Tracking Number	

If only one match is found for the Tracking Number entered, the user will be taken directly to the filing. However, it is possible that the search will bring back two or more filings. In such a case, the search results screen will display and the user must select a filing.

Advanced Search

Advanced Search allows users to search their instance on one or more pre-defined criteria options. To access this feature, click on the Search link from the workspace. For some users, the link may be called Search/Export.

Filings	Messages	Billing	Settings	Filing Rules	
My Workfolder	My Open Filings	My Draft Filings	Search	Create Filing	EFT Report

Advanced Search Screen

From Advanced Search, the user can enter criteria, execute the search, and save and maintain frequently used searches. As discussed later in this lesson, authorized users can also export data from filings based on their search criteria.

Advanced Search utilizes several field types, including text fields, date ranges, select lists, source-target lists, and radio buttons. All fields are optional, but at least one field must be used to execute a search.

The following screens show the criteria available in Advanced Search:

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Users can search for filings based on three Tracking Numbers: SERFF, State, and Company. If users are not sure of the entire Tracking Number, a wild card (*) can be used before and/or after the criteria string.

Text Fields

The text search fields include Form Number, Product Name, Company Name, Group Code, NAIC Company Code and Project Name. When using any of these fields to search, remember that unless a wild card is used, the search will be looking for an exact match. An asterisk (*) can be used as a wildcard before or after the criteria string.

Date Ranges

The date ranges available in Advanced Search include Submission Date, State Disposition Date, Date Status Last Changed, Correspondence Submission Date, and Respond by Date. These date fields are inclusive, meaning the date entered will be part of the search. For instance, a search for Submission Date that starts with 01-01-2018 will include filings submitted *on* 01-01-2018.

Select Lists

The select lists in Advanced Search are State, Date Status Last Changed Type and Correspondence Submission Date Type. The State list includes all states available for paper or electronic filing. The Correspondence Submission Date type includes all types of Correspondence. Only one value from each of these lists may be chosen for each search.

Source-Target Lists

The source-target lists for Advanced Search are SERFF Status, Company Status, Product Type and Filing Authors. The SERFF Status options are those status indicators used by the system. The Users on a Filing list includes all active and inactive users on the current instance with the authority to create a filing. The search results may be filtered according to the user that was the author, the creator or the submitter of the filing(s). To use these lists, move one or more of the options from the source box on the left to the target box on the right. If more than one option is selected, the system will search for filings that contain *either* selection.

Radio Buttons

There are three sections with radio buttons: Filing Medium, Business Type and Additional Benefits. All three are set to the user's default settings and can be changed by clicking a different option in the set. Filing Medium allows you to choose between electronic filings, paper filings or both. Business Type has the option for you to search based on Life, Accident, Health/Annuity and Credit (LAH) filings, Property and Casualty (P&C) filings, or both. Additional Benefits lets you search based on filings that include additional benefits, no additional benefits or both.

Check Boxes

There are two sections with check boxes: Draft Schedule Items and Patient Protection and Affordable Care Act (PPACA). Under Draft Schedule Items you can choose to search for draft items on the Form Schedule, Rate/Rule Schedule, Supporting Documents or Statement of Intent. The PPACA check boxes let you search based on whether your filing is Not PPACA-Related, Non-Grandfathered Immediate Market Reforms, Grandfathered Immediate Market Reforms or a Pre- PPACA Submission.

Running an Advanced Search

1. Click the 'Search' or 'Search/Export' link on the Workspace.

Filings	Messages	Billing	Settings	Filing Rules
My Workfolder	My Open Filings	My Draft Filings	Search	Create Filing
			EFT Report	

2. The Advanced Search page displays.
3. Enter the desired search criteria.
4. Click the **Search** button at the top of the page or bottom of the page.

The Search Filings screen displays the search criteria and all the filings that match the criteria. Click on any row to open a filing.

Search Results

The results screen for Advanced Search is similar to the others views used in the system, such as My Open Filings. From the search results page, the user can start a new search, refine the current search, open a filing, or move one or more filings to the Workfolder.

The search results screen also displays the criteria used for the search and shows the number of filings found. All of the columns in the search results page can be sorted.

Search Filings [Most Recently Viewed Filings](#)

...where SERFF Status is 'Closed' and Business Type is 'LAH' and State is 'Utah' and Submission Date between '09/01/2017' and '09/01/2018'

Filings 1-6 of 6 | First | Previous | Next | Last

		State	Filing Date	TOI/Sub-TOI	Filing Type	SERFF Status	SERFF Tracking #	Company Status	Company Tracking #
	<input type="checkbox"/>	Utah	May 1, 2018	H16I Individual Health - Major Medical/H16I.005B Individual - Point of Service (POS)	Form	Closed-Approved	NAI2-000077899		
	<input type="checkbox"/>	Utah	May 1, 2018	H16I Individual Health - Major Medical/H16I.005B Individual - Point of Service (POS)	Form	Closed-Approved	NAI2-000077898		
	<input type="checkbox"/>	Utah	Apr 30, 2018	H10G Group Health - Dental/H10G.000 Health Dental	Form	Closed-Approved	NAI2-000077889		
	<input type="checkbox"/>	Utah	Apr 30, 2018	H10G Group Health - Dental/H10G.000 Health Dental	Form	Closed-Approved	NAI2-000077888		
	<input type="checkbox"/>	Utah	Jan 23, 2018	H20G Group Health - Vision/H20G.000 Health - Vision	Form/Rate	Closed-Approved	NAI2-000077231	In Progress	NAI100-01000100
	<input type="checkbox"/>	Utah	Oct 3, 2017	H10G Group Health - Dental/H10G.000 Health Dental	Form/Rate	Closed-Approved	NAI2-000076612		

Refine Search

The Refine Search button on the search results page takes the user back to the search criteria screen without erasing the search criteria previously entered. The search can be refined without having to re-enter the existing criteria.

Search Filings [Most Recently Viewed Filings](#)

...where SERFF Status is 'Assigned'

Filings 1-9 of 9 | First | Previous | Next | Last

		State	Filing Date	TOI/Sub-TOI	Filing Type	SERFF Status	SERFF Tracking #	Company Status	Company Tracking #
	<input type="checkbox"/>	California	Dec 29, 2010	H0rg02I Individual Health Organizations - Health Maintenance (HMO)/H0rg02I.005D Individual - HMO	Rate	Assigned	NAI2-000041508	TRAN-NEW	
	<input type="checkbox"/>	Michigan	Jan 12, 2016	01.0 Property/01.0002 Personal Property (Fire and Allied Lines)	Form	Assigned	NAI2-000070816		

Saving an Advanced Search

Users can also save frequently run searches. The Saved Searches are user specific and can be updated or deleted as needed.

1. Set up an Advanced Search as previously described.

The screenshot shows the 'Search Filings' interface. On the left, there are input fields for 'Tracking Number' (with a dropdown set to 'SERFF'), 'Form Number', 'Product Name', 'Project Name', 'State' (dropdown), 'Company Name', 'Group Code', and 'NAIC Company Code'. Below these are radio buttons for 'Filing Medium': 'Electronic', 'Paper', and 'Both' (selected). On the right, there is a 'Search Tips' box with instructions. Below that is the 'Saved Searches' section, which includes a dropdown menu currently showing '-- No Saved Searches --', a 'Load' button, a 'Save As...' text box, and a 'Save' button. At the bottom right, there is a 'SERFF Status' section with a list of statuses: 'Closed', 'Draft', 'Pending Industry Response', 'Pending State Action', and 'Reopened'. To the right of this list are navigation buttons: '>>', '>', and '<'. A blue box labeled 'Assigned Submitted to State' is visible next to the status list.

2. Enter a name to identify this search in the Search Name text box.

This is a close-up of the 'Saved Searches' section from the previous screenshot. It shows the 'Searches:' dropdown menu with '-- No Saved Searches --'. Below it, the 'Save As...' text box is highlighted with a red rectangle, and the 'Save' button is also visible.

3. Click the **Sav** button.

Loading a Saved Search

1. From the Advanced Search, click on the drop-down arrow in the Saved Searches field and select a search to load.

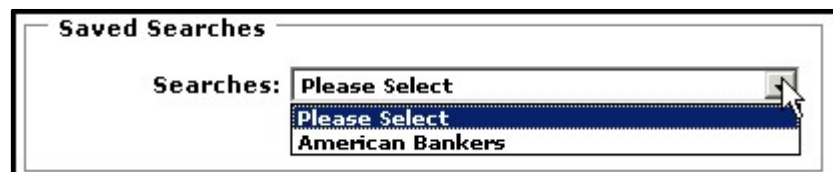


2. Click the **Loa** button.
3. The screen will be updated to show the criteria for this search. The criteria may be modified without affecting the saved search.
4. Click the Search button as with any search.

To modify an existing saved search, update the criteria and re-enter the same name in the Search Name box, then click Save. The system will prompt for confirmation to overwrite the existing search.

Deleting a Saved Search

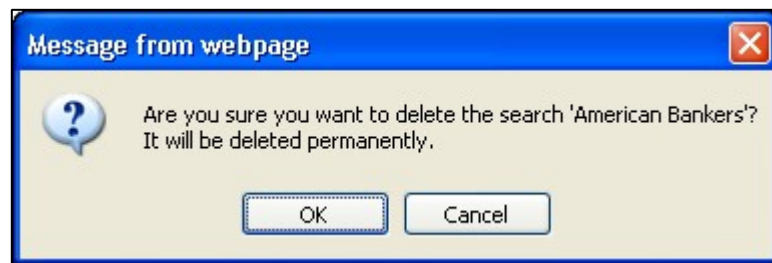
1. Go to the Advanced Search screen.
2. Click on the drop-down arrow in the Saved Searches field and select the search to be deleted.



3. Click the **Loa** button.



4. Click the **Delete** button.



5. A confirmation message appears confirming this action. Click **OK** button to delete.

LESSON 7

This lesson will cover the Settings features of SERFF as seen by Configuration Managers.

The Configuration Manager role allows the user to maintain Instance Preferences, Companies and Contacts areas in SERFF.

This lesson covers the following topics:

- Settings
- Instance Preferences
- Companies and Contacts



Settings

Message Settings

User Message Settings can be managed for those with the Filing Manager role. Only messages specific to the selected filing activity and user will be created and submitted to the Message Center.

A screenshot of a web application interface for 'Message Settings'. The interface has a top navigation bar with tabs: Filings, Messages, Billing, Settings (selected), Filing Rules, Templates, and Alerts. Below this is a sub-navigation bar with links: User Preferences, Instance Preferences, Companies, Contacts, User Administration Report, Request New User, Request User Update, and Request User Deactivate. On the left side, there is a sidebar with 'Contact Information' and 'Message Settings' (highlighted with a red box). The main content area is divided into two sections. The top section is 'Filing Activity Messages' with a link to 'Filing Activity Messages Help'. It contains a list of messages on the left (e.g., 'Billing Low Block Warning') and a list of actions on the right (e.g., '>>', '>', '<', '<<'). The bottom section is 'User Message Settings' with a link to 'User Message Settings Help'. It contains a list of users on the left (e.g., 'NAIC Train 02') and a list of actions on the right (e.g., '>>', '>', '<', '<<'). The 'User Message Settings' section is highlighted with a red box.

Select the User(s) for which you would like to receive messages by moving them from the lists on the left to the lists on the right. Remove users for which you no longer wish to receive messages by moving them back to the lists on the left.

NOTE: All Message Settings options are specific to each individual user. Users can update their Message Settings at any time by following the steps above.

Instance Preferences

Instance Preferences define industry specific options for using SERFF. Most of the preferences here can be set by an Industry Configuration Manager, but a few must be set by the SERFF Help Desk.

- Switch Instance
- Settings
- Status Options

The current instance for the SERFF user always displays just below the user's name on the upper right hand corner of the SERFF Workspace.



Configuration Managers will have an Instance Preferences link on the Settings tab. Click this link to view and or edit Instance Preferences.

Switch Instance

This setting allows a user with access to industry instances to move between them. If a user has only one instance available, the system will default to that instance and Switch Instance will not be an option.

To change the selected instance, on the Settings tab, click the Instance Preferences link. The user clicks the Switch Instance drop down and chooses an instance. They will be directed to that instance immediately.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts			
<div>Edit</div>						
<div>Switch Instance</div>						
<div>Settings</div>						
<div>Status Options</div>						
<div>Industry Instance Profile</div>						
<div>Prefix: NAI3</div>						
<div>Instance Name: NAIC Train 03</div>						
<div>Switch Instance:</div>						
<div>NAIC Train 03</div>						

NOTE: Users without the Configuration Manager role but having access to multiple instances can switch between instances by clicking on the User Preferences link, User Preferences section; use Current Instance drop down arrow to select instance. Then click **Save** button.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts			
Contact Information						
Message Settings						
User Preferences						
<div>User Preferences</div>						
<div>Current Instance</div>						
<div>NAIC Train 02</div>						
<div>NAIC Train 03</div>						
<div>Default Business Type for New Filings</div>						
<div>-Please Select-</div>						
<div>Subscriptions:</div>						
<div><input checked="" type="checkbox"/> SERFF Newsletter</div>						
<div><input checked="" type="checkbox"/> Tutorial Notification</div>						
<div>Save</div>						
<div>Cancel</div>						

Settings

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts			
<div>Edit</div>						
<div>Switch Instance</div>						
<div>Settings</div>						
<div>Status Options</div>						
<div>Industry Instance Profile</div>						
<div>Prefix: NAI3</div>						
<div>Instance Name: NAIC Train 03</div>						
<div>Preference Settings for NAIC Train 03</div>						
<div>Is Advisory/Rating Organization:</div>						
<div>No</div>						
<div>Is Third Party Filer:</div>						
<div>No</div>						
<div>Is SERFF License Agreement Required:</div>						
<div>No</div>						
<div>Data Hosted:</div>						
<div>EDS</div>						

The Settings section lists the following information about your Instance Profile:

- Is Advisory/Rating Organization
- Is Third Party Filer
- Is SERFF License Agreement Required
- Data Hoster
- License Check Required & View of License Permitted

Please contact the SERFF Help Desk for assistance with your Industry Instance Profile Preference Settings.

Phone: (816) 783-8990

Email: serffhelp@naic.org

Status Options

The Status Options are specific keywords used to assist the industry in managing their filings. In addition, these status indicators communicate the progress of a filing to the Filer. The Configuration Manager is responsible for adding and editing Status Options.

NOTE: The Company Status field is an optional field for industry users and cannot be viewed by the State.

To update:

1. On Settings tab, Instance Preferences link, Click **Edit** button.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts			
<div>Edit</div>						
Switch Instance						
Settings						
Status Options						
Industry Instance Profile						
Prefix: NA13			Instance Name: NAIC Train 03			
Preference Settings for NAIC Train 03						
Is Advisory/Rating Organization:			No			
Is Third Party Filer:			No			
Is SERFF License Agreement Required:			No			
Data Host:			EDS			

2. Click the **Status Options** button. Make edits within Edit Status Options window.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts			
Settings						
Status Options						
Industry Instance Profile						
Prefix: NA13			Instance Name: NAIC Train 03			
Status Options:						
<div>Edit Status Options</div> <div>closed/approved closed/declined In progress Submitted but waiting for rate data pending state response needs action 1 pending manager approval 2 manager approved 3 under review at State [TYPE IN YOUR NEW STATUS]</div> <div>Save Cancel</div>						

3. Click the **Save** button when all changes have been entered.

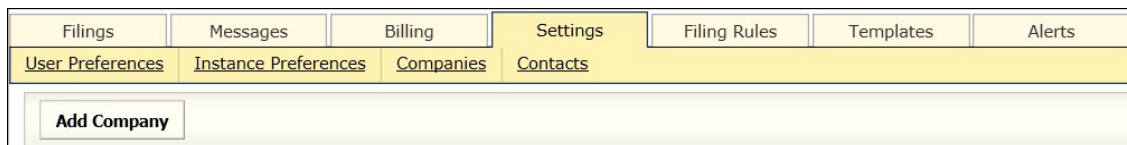
Companies and Contacts

The Companies and Contact links store company information for the industry instance. One or more companies/contacts will need to be set up before filings can be made. Companies/contacts can be added, updated, activated, or deactivated.

Companies

Company information for an instance can be accessed and edited by clicking the Companies link. When creating a filing, the information for the company/companies specified comes from data entered in the Companies view. Most SERFF users will only be able to view company information.

Users must have the Configuration Manager role assigned to their ID in order to have the Add Company button available in SERFF.



Add Company

1. From Settings tab, select Companies link.



2. Click on the Add Company button.

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Result:

The screenshot shows a web form titled "CoCode". It has a label "Industry Instance" with the value "NAIC Train 03". Below it is a checkbox labeled "Allow Empty CoCode" which is currently unchecked. To the right of the checkbox is a text input field labeled "CoCode". Below the input field are two buttons: "Create" and "Cancel". On the right side of the form, there is a yellow box titled "Search Tips" with a question mark icon. The text inside the box reads: "Enter a CoCode to add or edit a company. If the CoCode you enter is already assigned to a company, you will be allowed to view, and if you choose, modify or add, the company."

3. Enter CoCode (NAIC Company Code Number) or check box to proceed without adding a CoCode.

This screenshot is identical to the one above, but a red rectangular box highlights the "Allow Empty CoCode" checkbox and the "CoCode" text input field. The "Create" and "Cancel" buttons are also visible below the input field.

4. Click **Creat** button.

If company code exists, select link to edit.

The screenshot shows a confirmation message at the top: "Company code exists please choose one to edit or press 'Continue to Create'." Below this message are two buttons: "Continue Create" (highlighted with a red box) and "Cancel". Below the buttons is a table with the following columns: Company Name, Company Type, CoCode, Group Name, Group Code, FEIN Number, State of Domicile, and Id. The first row of data in the table is: "America's Best Insurance Company", 12345, 0, 12-3456789, Missouri. The "America's Best Insurance Company" text is highlighted with a red box.

Company Name	Company Type	CoCode	Group Name	Group Code	FEIN Number	State of Domicile	Id
America's Best Insurance Company		12345		0	12-3456789	Missouri	

If the CoCode already exists, company information will display and the user will be given the option of editing the company information or deactivating the company. Again, the user must have the Configuration Manager role assigned to their SERFF login ID to see these two functions.

Edit	Deactivate	Back to Search Results
-------------	-------------------	-------------------------------

Company Information

Instance: NAIC Train 03

CoCode: 12345

Company Name: America's Best Insurance Company

Address: 123 Main , Kansas City , Missouri 64108

Telephone Number: (123)456-7890

Fax Number:

Company Type:

Group Code: 0

Group Name:

FEIN Number: 12-3456789

State of Domicile: Missouri

Active: Active

Licensed States:

State	State ID Number	HIOS Issuer ID	NCQA Org ID	URAC App Number
Kansas	123			
Minnesota				
Utah				

5. Click **Edi** button to make updates to an existing company profile.

Company Information

Instance: * NAIC Train 03

CoCode: 12345

Company Name: * America's Best Insurance Company

Address: * 123 Main

City: * Kansas City

State: * Missouri

Postal Code: * 64108

Telephone Number: * (123)456-7890 **Ext.** Ex: (123) 555-4567

Fax Number: Ex: (123) 555-4567

Company Type:

Group Code:

Group Name:

FEIN Number: * 12-3456789 Ex: 22-7777777

State of Domicile: * Missouri

Licensed States :

State	State ID Number	HIOS Issuer ID	NCQA
AIIG Submissions			
Kansas	123		
Minnesota			
Utah			

Save **Cancel**

6. Click **Save** button to update the company information.

Response:

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts			
Company updated.						

NOTE: If there are any draft filings associated to the company being edited, the user will be notified upon saving. In order to continue, the user will click **Save** again. The changes made to the company profile will update draft and future filings, but not filings already past the draft state.

The draft filings/binders below are associated with the company you have edited. Click Save to continue with your company update and change the company information for these filings/binders, or click cancel to cancel your changes.

SERFF Tracking Index	Product Name	Reference Title	Reference Number
NAI3-000039416	Homeowner Rate/Form		
NAI3-000045157	Automobile Product Launch		
NAI3-000043319	Automobile Product Launch		
NAI3-000043318	automobile product launch		
NAI3-000040768	Auto Insurance Stuff		
NAI3-000055988	Data call		
NAI3-000060212	HMO		
NAI3-000060213	HMO		
NAI3-000059004	LAH April JLP Group Health		
NAI3-000059003	LAH April JLP Group Health		
NAI3-000059006	LAH April JLP Group Health		
NAI3-000061650	Pet Product Launch		

SERFF Tracking Number	Binder Name	Plan Year	Binder Type

Save **Cancel**

If the CoCode does not exist or the user selected **Continue Create**, the user will be taken to the data input screen to create the new company. By entering the company information here, the company will be stored in the instance and available when creating a SERFF Filing.

- 1. Click on the Settings tab.**
- 2. Click on the Companies link.**
- 3. Click the **Add Company** button.**
- 4. Enter the NAIC Company Code (CoCode) for the company to be added or check “Allow Empty CoCode” if the company to be added does not**

have an NAIC Company Code.

Please check Allow Empty CoCode checkbox or enter a CoCode.

CoCode

Industry Instance: aaalifeinsurancecompany

Allow Empty CoCode: ☐

CoCode:

Search Tips

Enter a CoCode to add or edit a company. If the CoCode you enter is already assigned to a company, you will be allowed to view, and if you choose, modify or add, the company.

5. Click the **Creat** button.

6. Complete the first section, Company Information. Fields denoted with a red asterisk (*) are required.

Company Information

Instance: * NAIC Train 03

CoCode: 22055

Company Name: *

Address: *

City: *

State: *

Postal Code: *

Telephone Number: * Ext. Ex: (123) 555-4567

Fax Number: Ex: (123) 555-4567

Company Type:

Group Code:

Group Name:

FEIN Number: * Ex: 22-7777777

State of Domicile: *

Licensed States :

State	State ID Number	HIOS Issuer ID	NCQ
Alabama <input type="text" value="v"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Instructions

Field labels followed by an asterisk * are required.

- The last section of the company profile is used to indicate the state(s) in which the company is licensed. To indicate a company is licensed in each state, select that state from the drop-down list. Enter a State ID Number if applicable and click the Add State button to save the change.

Licensed States :				
State	State ID Number	HIOS Issuer ID	NCQA Org ID	URAC App Number
<div> <div>AIIG Submissions</div> <div>▼</div> </div>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Alabama	AL-100	15468	47856	49653
				<div>Add State</div> <div>Remove State</div>
<div>Save</div> <div>Cancel</div>				

- Each state added will appear under the entry boxes and each will have a Remove State button. To change the State ID number, the state must be removed and added back with the correct number.

- This section is optional, but the list of licensed states is used in the Filing Wizard and the State ID Numbers will be displayed for the appropriate state filings.

- When you are done adding and updating information, click the **Sav** button. SERFF will acknowledge the creation of a new company added to the system and available to users when entering a paper filing.

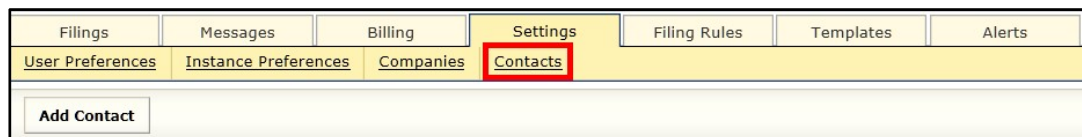
Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts			
<div>Company created.</div>						

Adding Contacts

Contact information for an instance can be accessed and edited by clicking the 'Contacts' link under the Settings tab. At least one contact must be set up before any filings can be created. The contact is the person whom the state should contact if they must communicate outside of SERFF. Contacts may also be users, but they must still be set up as directed below. Users must have the Industry Configuration Manager role assigned to their ID to add or edit contact information.

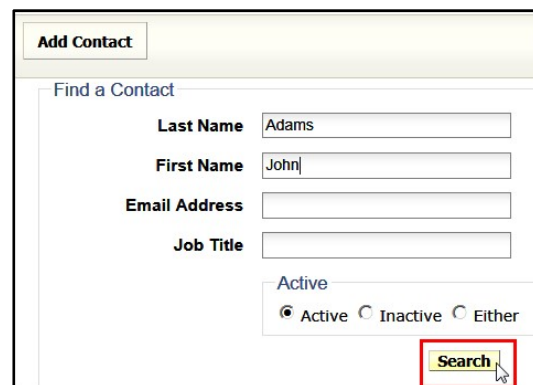
Users must have the Configuration Manager role assigned to their ID for the **Add** **Contact** button to be accessible.

1. From Settings tab, select Contacts link.



A screenshot of the SERFF settings menu. The menu is organized into two rows of tabs. The first row contains 'Filings', 'Messages', 'Billing', 'Settings', 'Filing Rules', 'Templates', and 'Alerts'. The second row contains 'User Preferences', 'Instance Preferences', 'Companies', and 'Contacts'. The 'Contacts' link is highlighted with a red rectangular box. Below the tabs, there is a button labeled 'Add Contact'.

2. Enter in contact information in one or all fields and click **Search** button.



A screenshot of the 'Add Contact' form. The form has a title 'Add Contact' at the top. Below the title is a section titled 'Find a Contact'. This section contains four input fields: 'Last Name' (with 'Adams' entered), 'First Name' (with 'John' entered), 'Email Address', and 'Job Title'. Below these fields are three radio buttons labeled 'Active', 'Inactive', and 'Either'. The 'Active' radio button is selected. At the bottom right of the form, there is a 'Search' button, which is highlighted with a red rectangular box.

Once it is confirmed that the name you would like to add is not already in the system, proceed to Step 3.

3. Click Add Contact button.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts			
Your search returned no results. Please try again.						
Add Contact						

4. Complete all required fields.

Contact Information

Industry Instance: * NAIC Train 03

First Name: *

Last Name: *

Job Title:

Email Address: *
Ex: name@domain.com

Address: *

City: *

State: *

Postal Code: *

Telephone Number: *
Ext.
Ex: (123) 555-4567

Fax Number:
Ex: (123) 555-4567

Save
Cancel

NOTE: Email Address, Telephone Number and Fax Number must be entered in correct format as seen in examples.

5. When completed, click **Save**.

Response:

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts
User Preferences	Instance Preferences	Companies	Contacts			
Contact saved.						

New User/Update Request Form

Authorized users on the instance will be able to make requests to the SERFF help desk to add/update users.

Filings	Billing	Settings	Filing Rules	Templates		
User Preferences	Instance Preferences	Companies	Contacts	Request New User	Request User Update	Request User Deactivate

Request New User

1. Click the **Request New User** link.
2. Complete the Information for a new user. Fields denoted with a red asterisk (*) are required.

New User Request

Submit

Reset

Requestor E-mail: *

New User's First Name *

New User's Last Name *

New User's E-Mail *

Attention

Please be aware that this request will send an email to the Help Desk and they will process the request.

The Help Desk will contact you when the new request has been processed.

Appropriate Roles: *

Rate and Form Roles:

☐ Industry Filer - Allows the user to create, submit, modify, and view Filings for which the user is an author.
 ☐ Industry Manager - Allows the user to create and submit new Filings as well as modify and view any Filing in the Instance.
 ☐ Rate and Form Read Only User - Allows the user to view, but not edit, any Filing on the Instance, unless combined with another role.
 ☐ Industry Export - Allows the user to extract data from SERFF using the Export Tool. (Data Hosted ONLY)
 ☐ Industry Compact Filer - Industry users that can create compact filings.
 ☐ Industry Record Retention - Allows an Industry user to access the data retention features.

Plan Management Roles:

☐ Industry Plan Management User - Allows the user to create, submit, modify, and view any Binder in the Instance.
 ☐ Industry Plan Management Read Only User - Allows the user to view, but not edit, any Binder in the Instance, unless combined with another role.
 ☐ Binder Pipeline User - Allows the user to generate a PDF of a Binder.

EFT Roles:

☐ EFT User - Allows the user to submit Filings that include a state EFT payment.
 ☐ EFT Report - Allows the user to generate EFT reports.

Instance Management Roles:

☐ Industry Configuration Manager - Allows the user to maintain Instance Preferences including: Company Statuses, Companies, and Contacts.
 ☐ Read Only Billing User - Allows the user to view the Billing Profile and generate the Billing Export for their Instance.
 ☐ User Admin Request User - Allows the user to request, update, and deactivate users for their Instance.

Subscriptions:

☒ SERFF Newsletter
 ☒ Tutorial Notification

Additional Info:

☐ * By checking this box you are requesting that the NAIC give certain access rights/authority to the individuals specified above and you are affirming these specified individuals are acting on behalf of your organization when accessing the SERFF system. You agree that once these specified individuals are granted access any actions they take while using the SERFF system shall be attributed to your organization and you assume sole liability for their actions. Should you want the specified access rights for any individual to change or be removed entirely, you may submit that request using this form or contact the SERFF Help Desk at 816.783.8990 or serffhelp@naic.org.

* indicates a required field.

Submit

Reset

3. Click the **Submit** button.

Message from webpage

×

?

Please verify that your email address is ttrain@naic.org.

This is how the SERFF Help Desk will contact you regarding this request.

If this is not correct, please press cancel to correct it now.

OK

Cancel

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- Click **OK** button to verify the request.

After the request has been submitted the submitting user will receive confirmation that their request was successfully processed. The SERFF Help Desk will contact you when the new request has been processed.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts	
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update	Request User Deactivate

Thank you! Your user request has been submitted. The SERFF Help Desk will notify you when your request has been successfully processed.
Would you like to make another user request?
[Request New User](#)
[Request User Update](#)
[Request User Deactivate](#)

Request User Update

- Click the **Request User** link.

Update Existing User Request

Requestor E-mail: *

User: *

-- Please Select --
Bryan Hartwell (bhartwellindustry)
Connor MacLeod (iuser33)
Courtney Mayorga (CMayorgaIndustry)
Danielle Oxendine (iuser03)
Elly Wang (iuser02)
Grayling Yarbrough (iuser20)
iuser 10 (iuser10)
iuser 11 (iuser11)
iuser 12 (iuser12)

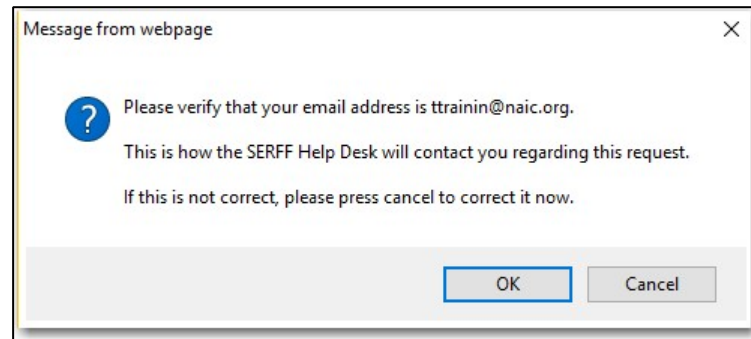
Appropriate Roles: *

☐ Industry Filer - A
an author.
☐ Industry Manager -

Rate and Form Roles:

filings for which the user is
as well as modify and

- Select the user from the drop-down list.
- Select the roles that you want to change or add.
- Click the **Submit** button.



5. Click **OK** button to verify the request.

After the request has been submitted the submitting user will receive confirmation that their request was successfully processed. The SERFF Help Desk will contact you when the new request has been processed.



Request User Deactivate

1. Click the **Request User Deactivate** link.
2. Select the user.

Deactivate User Request

Submit Reset

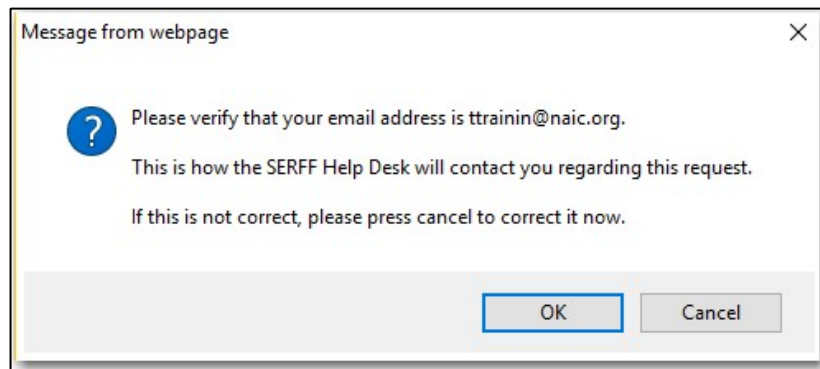
Requestor E-mail: * ttrainin@naic.org

User: * -- Please Select --

Additional Info:

Bryan Hartwell (bhartwellindustry)
Connor MacLeod (iuser33)
Courtney Mayorga (CMayorgaIndustry)
Danielle Oxendine (iuser03)
Elly Wang (iuser02)
Grayling Yarbrough (iuser20)
iuser 10 (iuser10)
iuser 11 (iuser11)
iuser 12 (iuser12)
iuser 13 (iuser13)
iuser 26 (iuser26)

5. Click the **Submit** button.



6. Click **OK** button to verify the request.

After the request has been submitted the submitting user will receive confirmation that their request was successfully processed. The SERFF Help Desk will contact you when the new request has been processed.

Filings	Messages	Billing	Settings	Filing Rules	Templates	Alerts	
User Preferences	Instance Preferences	Companies	Contacts	User Administration Report	Request New User	Request User Update	Request User Deactivate

Thank you! Your user request has been submitted. The SERFF Help Desk will notify you when your request has been successfully processed.

Would you like to make another user request?

[Request New User](#)
[Request User Update](#)
[Request User Deactivate](#)

APPENDIX A

Data Host

Many companies use the services of a Data Host. There are many benefits to using a Data Host; like Disaster Recovery and special SERFF functionality only available to Data Host users.

This lesson covers the following topics:

- Export Tool
- Reports
- Paper Tracking



Export Tool

The Export Tool is available to authorized industry users from their Data Hosting site. If a user has access to the Export Tool, the link in the Workspace on the Filings tab will read 'Search/Export' rather than 'Search'.

The Export Tool utilizes the Advanced Search feature as the mechanism to write the query and identify filings to be exported. *Refer to the sections on creating and running Advanced Searches for more information.*

Running an Export

1. In the Advanced Search screen, enter the search criteria or load a saved search.
Before exporting data, it's a good idea to run the query as a search and validate that the desired results are being returned.
2. Click the **Export** button on the Advanced Search screen.

Users that do not have the Export role will not have this button and cannot run exports.

3. Select the objects to be included in the export. Each object has a defined set of fields. See the next section for a list of the fields.

Select Export Objects

Objects

- ☐ Filing
- ☐ Company
- ☐ Supporting Document Schedule Item
- ☐ Form Schedule Item
- ☐ Rate/Rule Schedule Item
- ☐ Company Rate Data

Export Cancel

4. For each object selected, a 'sub-level' of options becomes available. The User may choose which fields should be in the result file and what order those fields should

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be in. (See example below.) The user should utilize the arrow buttons to determine which fields will be included and the up and down buttons to determine the order in which the fields should appear.

Objects

☐ Filing

☐ Company

☒ Supporting Document Schedule Item

Supporting Document Name
Supporting Document Status
Supporting Document Bypass E
Supporting Document Commen
Supporting Document Review S

>>
>
<
<<

Field Ordering

Up
Down

☐ Form Schedule Item

☐ Rate/Rule Schedule Item

☐ Company Rate Data

Export Cancel

5. Click the **Export** button.
6. The File Download dialog opens.

File Download

Some files can harm your computer. If the file information below looks suspicious, or you do not fully trust the source, do not open or save this file.

File name: filing-export.xls
File type: Microsoft Excel Worksheet
From: serff-int.naic.org

Would you like to open the file or save it to your computer?

Open Save Cancel More Info

☒ Always ask before opening this type of file

7. Choose an action.
 - a. Open launches Microsoft Excel and displays the export results.
 - b. Save prompts the user to save the export file to a local or network drive.
 - c. Cancel returns the user to the Select Export Objects screen.
 - d. More Info provides more information for the user.

Export Objects

The objects available for export are Filing, Company, Supporting Document schedule Item, Form schedule Item, Rate/Rule schedule Item, and Company Rate Data. Some objects, such as the Filing Object, only occur once per filing while others, like the Company Object, may return several records per filing.

Understanding the Export Result File

When a single object is exported, the resulting file is relatively easy to manage. The fields are listed in the columns and each row is a new occurrence of the object. For instance, if the Filing object is selected, each row in the result is a filing that met the search criteria.

If additional objects are selected, the columns showing the fields for the second object do not start until the end of the fields for the first object.

In the example below, parts of the Filing Object, Company Object, and Supporting Document Object were all exported.

The first three fields, SERFF Tracking #, TOI, and Product Name, are from the Filing Object. The two tracking numbers represent the two filings returned. The third column starts the Company Object fields – Cocode and Company Name. The first filing has one company, the second filing has two. Finally, the last two columns are from the Supporting Document schedule Item Object.

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Note that the cell is empty for columns that do not apply for the row. Thus, the first three columns and the last two columns have no data for the rows that contain the Company Object.

SERFF Tracking #	TOI	Product Name	Co-Code	Company Name	Supporting Doc. Name	Supporting Doc. Status
KIER-000500245	Life	LAH Test				
			12345	Life Ins Co of Kansas		
					Transmittal/ Filing Fee Form	Satisfied
					Readability - Life	Satisfied
					Forms - Life & Credit	Satisfied
					Third Party Filing authorization - Life	Bypassed
					cover letter - Life & Credit	Satisfied
KIER-000500666	Credit Life	Form Filing Test				
			12345	Life Ins Co of Kansas		
			65987	SERFF Ins Co		
					Forms - Life & Credit	Satisfied
					Third Party Filing authorization - Life	Bypassed

					Readability - Life	Satisfied
					cover letter - Life & Credit	Satisfied

Quick Export Tool

As with the Export Tool, Quick Export is available to authorized industry users from their Data Hosting site. If a user has access to Quick Export, the link in the Workspace on the Filings tab will read 'Search/Export' rather than 'Search'.

Quick Export utilizes the Advanced Search feature as the mechanism to pull back data on the filings that meet the criteria entered. Refer to the sections on creating and running Advanced Searches for more information.

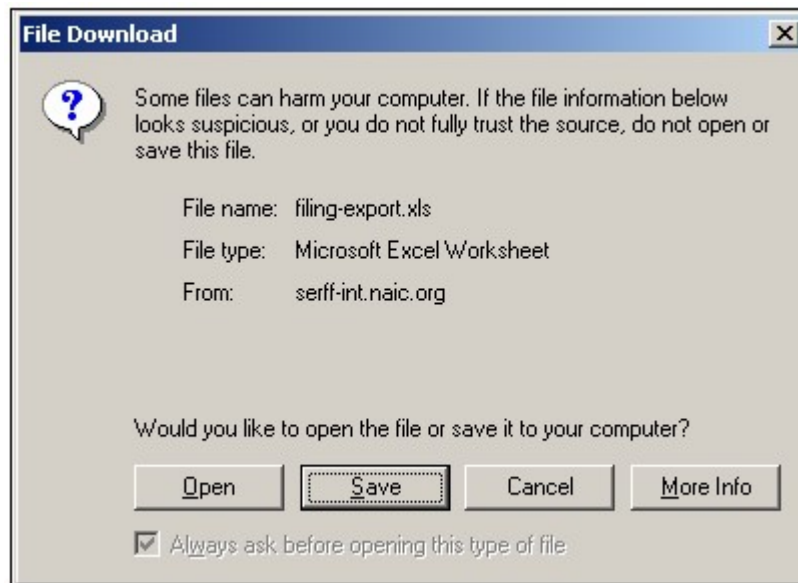
Quick Export will always pull back the same fields. The data is exported into an Excel spreadsheet, allowing users to create custom reports.

Running a Quick Export

1. In the Advanced Search screen, enter the search criteria or load a saved search.
Before exporting data, it's a good idea to run the query as a search and validate that the desired results are being returned.
2. Click the **Quick Export** button on the Advanced Search screen.

Users that do not have the Export role will not have this button and cannot run exports.

3. The File Download dialog opens.



4. Choose an action:

- a. Open launches Microsoft Excel and displays the quick export results.
- b. Save prompts the user to save the file to a local or network drive.
- c. Cancel returns the user to the Advanced Search screen.
- d. More Info provides more information for the user.

Fields

The fields returned, contained to one row per filing, via Quick Export are as follows:

- | | |
|--|---|
| <ul style="list-style-type: none"> • State • Company Name • Co-Code • Third Party Filer • SERFF Tracking Number • Company Tracking Number • SERFF Status • SERFF Status Date Changed | <ul style="list-style-type: none"> • Company Status • State Status • State Status Date Changed • TOI, Sub-TOI • State TOI • State Sub-TOI • Filing Type • Primary Reviewer • Other Reviewers • author • Filing Contact Name |
|--|---|

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- Overall Fee Amount
- Submitted Date
- Disposition Status
- Disposition Date
- Effective Implementation Date Request (New or Renew)
- Effective Date (New or Renewal)
- Requested Filing Mode
- Requested Filing Mode Explanation
- Product Name
- Project Name
- Project Number
- Form Number
- Form Count
- Rule Number
- Deemer Date

Reports

The Reports tab is where authorized users can run reports on their filings. There are four reports available to industry users.

The Export Tool and Quick Export tools are a good way to create custom reports if none of the reports meet the user's needs.



Disposition Report – Provides a list of all the filing with a Disposition in the given date range.

Filing Status – Provides a summary of all open filings.

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Metrics by Filer – Provides an aging report of open filings by filer.

Productivity – Provides the number of filings submitted, Objection Letters received, and response sent by filer.

Generating a Report

1. Click the Reports tab.
2. Click the link for the report to run.
3. Set the report criteria. Criteria may include:
 - a. Date Ranges – enter a start date and end date. Dates are inclusive.
 - b. Filing Medium – choose to include paper or electronic filings, or both.

SERFF Industry Productivity Report

Submit **Cancel**

Please choose the parameters for your report.

Begin Date (inclusive): 12/15/2010

End Date (inclusive): 12/15/2010

Report format:

- ☒ PDF file
- ☐ Excel file
- ☐ CSV file
- ☐ Xml file

Submit **Cancel**

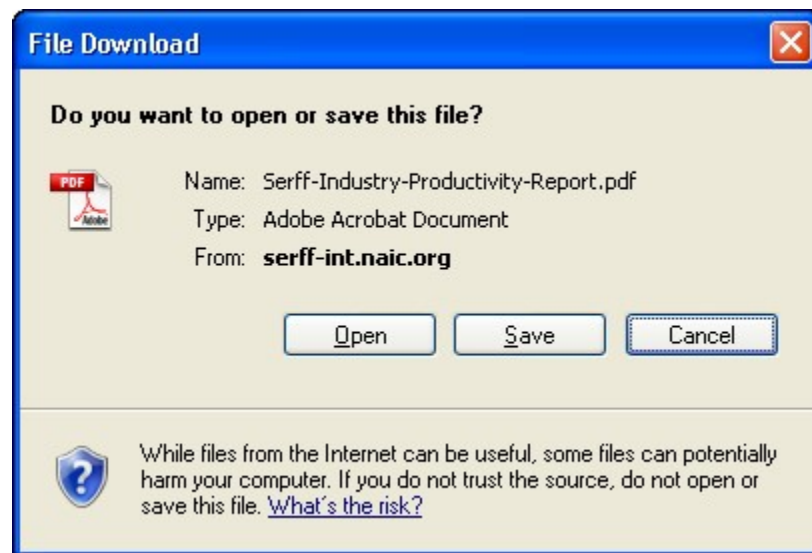
4. Select the Report Format.
 - a. PDF file – Portable Document File that can be opened by Adobe Reader, Adobe Acrobat, or similar PDF software tools.
 - b. Excel file – A file that can be opened in Microsoft Excel or similar spreadsheet tools.
 - c. CSV file – Comma Separated Value file that defaults to Microsoft Excel, but can be opened in any word processing, spreadsheet or database applications.
 - d. XML file – Extendible Markup Language that can be opened in any browser window.
5. Click the **Submit** button to run this report or click **Cancel** to return to the Reports main page.
6. A notification page appears asking the user to wait.

Your Report Has Been Started

Your report has been started and will begin downloading shortly...

When you are done with the report, and would like to return to the report home-page, please [click here](#).

8. The File Download dialog opens.



9. Click the **Ope** button to open the file.
10. Click the **Sav** button to save the file.
11. Click the **Cancel** button to cancel this action.

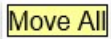
Paper Filings

Industry users have the flexibility to enter their paper filings into SERFF, making SERFF their sole repository for all filings. Using the Paper Tracking feature SERFF allows users to have all filings, both electronic and those submitted to states via other filing mediums, stored in one place.

Searching, Reporting, and the Export Tool can be used to gather metrics on paper filings as well as SERFF filings. The look and feel is much the same as an electronic

filing and the industry has the option to enter as much or as little data as they deem necessary.

Paper Filing Wizard Definitions:



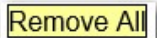
Move all states to the right column.



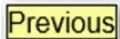
Move the selected states to the right column.



Remove the selected states from the right column.



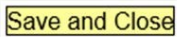
Remove all states from the right column.




To go back a step in the Filing Wizard.

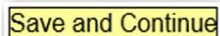


To advance to the next step in the Filing Wizard.



This button will save the Filing under the My Draft Filings link and close the view. The author may then

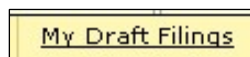
access the Filing from the  link under the Filings tab.



This button is available after Step 6 of the Filing Wizard. This button will allow the author to save the filing. Once this button is clicked, changes to the prior Filing Wizard values cannot be changed.



This will save the paper filing under the

 link.



Cancels the Filing Wizard

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Create a Paper Filing

Paper filings are similar to electronic filings in many ways. Each paper filing created will have a SERFF Tracking Number. The primary difference between an electronic filing and a paper filing is that the paper filing does not contain Supporting Documentation and is not visible to the state. The process to create a paper filing is similar to creating an electronic filing - they both utilize the Filing Wizard.



Simply click on Create Paper Filing link under the Filings tab to begin using the Filing Wizard.

Step 1- Create a Paper Filing

The first step in the Paper Filing Wizard is to accurately complete the following fields:

- **Business Type:** In accordance with the NAIC Speed to Market tools, there are two business types: Property & Casualty and Life, Accident/Health, Annuity, Credit. These are lines of business under which an insurance company is licensed by its state of domicile. The business type can be predefined in the User Preferences area of SERFF, located by clicking on the Settings tab. Once set within User Preferences, this field will default to the defined business type without the user selecting it on each filing. The author has the ability to change business types as some authors will work across multiple business areas and thus require this flexibility.
- **Product Name:** The author enters the name of the product that they are submitting. This is a required field on the filing.


- **Project Name:** The author may enter a project name for this filing. This is not a required field, but the author is encouraged to complete it if they use Project Names within their organization.
- **Project Number:** The author may enter a project number. This is not a required field, but the author is encouraged to complete it if they use Project Number within their organization.
- **Other authors:** The creator or 'author' of the filing may assign Other authors to a filing(s). Once given permission as an 'Other author', full access to the Filing is granted. An author may also be removed from a filing.


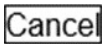
Step 1 – Create a Paper Filing

1. Click on the 'Business Type' drop down box and select appropriate 'Business Type' for the Filing. If setting has been pre-determined in the user's 'User Preferences', the field will be automatically populated, but can be changed if needed.
2. Enter Product Name for filing.
3. Enter Project Name for filing. This is not a required field.
4. Enter Project Number for filing. This is not a required field.
5. Assign Other authors if needed. Other authors can also be added and removed later in the process. Highlight the name of the other author and


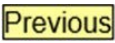
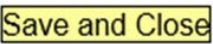

click on the button.

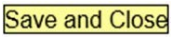
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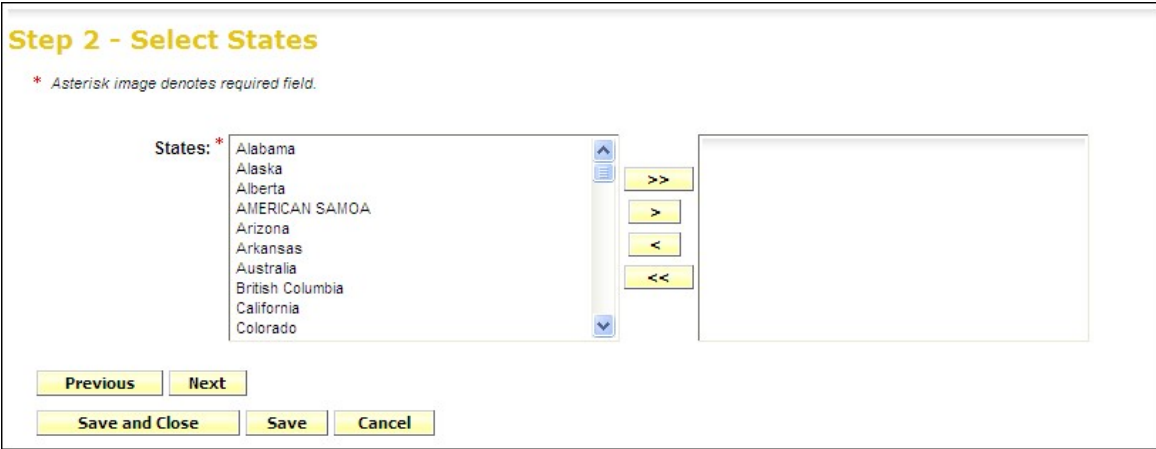
- Click on  the button to advance to Step 2.

Note:  Click on the  button to cancel the process. Canceling the Filing Wizard now will discard what was entered in Step 1.

Step 2-Select State

- Select the states using the **CTRL** or **SHIFT** key for this filing.
- Click the  button to continue to advance to Step 2.
- Click the  button to change data entered on Step 1.
- Click the  button to save changes and continue to work on your Filing later.
- Click the  button to cancel Filing entirely.

Note: The “**In Process Filing Constructors**,” found by clicking the  link, is where all filings are stored if the author has not completed all of the Filing Wizard Steps. When the author is ready to resume the draft filing, simply click on the Filing and the Filing will open to last updated step in the Wizard.



The screenshot shows the 'Step 2 - Select States' interface. At the top, it says 'Step 2 - Select States' in yellow. Below that is a note: '* Asterisk image denotes required field.' The main area has a label 'States: *' followed by a list of states: Alabama, Alaska, Alberta, AMERICAN SAMOA, Arizona, Arkansas, Australia, British Columbia, California, and Colorado. To the right of the list are four buttons: '>>', '>', '<', and '<<'. At the bottom, there are five buttons: 'Previous', 'Next', 'Save and Close', 'Save', and 'Cancel'.

Step 3- Select Types of Insurance

As with electronic filings, Step 3 demonstrates SERFF's use of the NAIC Uniform Product Coding Matrices, a key Speed to Market and uniformity tool, in the Wizard Type of Insurance Selector. This is a nice enhancement for paper filings if the company has submitted the same forms to multiple states.

Note: The Wizard Type of Insurance Selector will only display on multi- state filings. The author can select from the "Wizard type of Insurance Selector" or select from the TOI drop down next to each state.



Wizard Type of Insurance Selector: The author selects the Type of Insurance (TOI) from the Wizard Type of Insurance Selector drop down. For those states that have implemented the Product Coding Matrix and accept the (TOI) specified, the information will auto populate for each state selected.

Note: For the states that haven't implemented the Product Coding Matrix, the author will have to click on the drop-down arrow next to the TOI for those to select the TOI for each state.

Add or Remove States

Click the Add State or Remove states button to change the states involved in the filing.

Step 3 - Select Types of Insurance

Type of Insurance Selector:

Please select a value

Selected States	Type Of Insurance *
Alabama	Please select a value
California	Please select a value

Previous

Next

Add or Remove States

Save and Close

Save

Cancel

Step 3 – Select Types of Insurance

1. Click on the drop down arrow next to the “**Wizard type of Insurance Selector**” or to the right of the selected state to select TOI.
2. Select the appropriate TOI.
3. If there is not an exact match for the TOI, when using the Wizard Type of Insurance Selector, click the drop down next to each applicable state and select the appropriate TOI.
4. Click on the **Next** button to advance to Step 4.

NOTE – states can be added or removed at this point by clicking the

Add or Remove States button.

Step 4 – Select Sub-Type of Insurance

Select the Sub-Type of Insurance. The Sub-Type drop down arrow will list the Sub-Type of Insurance that are available based on the TOI selected in the previous step.

Wizard Sub-Type of Insurance Selector: The author selects the Sub-Type of Insurance from the Filing Wizard Sub-Type of Insurance Selector drop down. For those states that have implemented the Product Coding Matrix and accept the Sub-Type of Insurance (Sub-TOI) specified, the information will auto populate for each state selected.

NOTE: For the states that haven’t implemented the Product Coding Matrix, the author will have to click on the drop down arrow next to the Sub-TOI for those to select the Sub-TOI for each state.

Step 4 - Select Sub-Types of Insurance

Sub-Type of Insurance Selector:

Selected States	Sub-Type Of Insurance *
Alabama TOI: 19.0 Personal Auto	<input type="text" value="Please select a value"/>
California TOI: 19.0 Personal Auto	<input type="text" value="Please select a value"/>

Step 5 – Select Filing Types

The Filing Type Selector uses a standard naming convention for the most commonly used Filing Types in SERFF. When Filing Types are selected using the Filing Type Selector, Filing Types will auto populate for those states that have implemented the standard naming convention. The Filing Types listed next to each state contain all of the Filing Types that have been setup by the state and are based on the TOI and Sub-TOI selected.

Step 5 - Select Filing Types

Filing Type Selector: ☐ Advertising ☐ Form ☐ Form/Rate ☐ Form/Rate/Rule ☐ Form/Rule ☐ Rate ☐ Rate/Rule ☐ Rule

Selected States	Filing Types *
Alabama TOI: 19.0 Personal Auto Sub-TOI: 19.0000 Personal Auto Combinations	<input type="checkbox"/> Advertising <input type="checkbox"/> Form <input type="checkbox"/> Form/Rate <input type="checkbox"/> Form/Rate/Rule <input type="checkbox"/> Form/Rule <input type="checkbox"/> Rate <input type="checkbox"/> Rate/Rule <input type="checkbox"/> Rule
California TOI: 19.0 Personal Auto Sub-TOI: 19.0000 Personal Auto Combinations	<input type="checkbox"/> Advertising <input type="checkbox"/> Form <input type="checkbox"/> Form/Rate <input type="checkbox"/> Form/Rate/Rule <input type="checkbox"/> Form/Rule <input type="checkbox"/> Rate <input type="checkbox"/> Rate/Rule <input type="checkbox"/> Rule

Step 6 – Confirm Selections

Step 6 displays a summary of the Filing for review and confirmation of all the data

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entered in previous steps. Click on the **Previous** button to make changes to the Filing, prior to saving. Once the **Save and Continue** button is clicked, changes to the prior Filing Paper Wizard values cannot be changed.

Step 6 - Confirm Selections

State	TOI	Sub-TOI	Filing Types
Alabama	19.0 Personal Auto	19.0000 Personal Auto Combinations	Form/Rate
California	19.0 Personal Auto	19.0000 Personal Auto Combinations	Form/Rate

Previous **Save and Continue**

Save and Close **Save** **Cancel**

Step 7 – Select Companies

The author selects the contact and company, or companies, for the Filing. Go to the Companies view to create Companies and the Contacts view to create contacts. All contacts and companies need to be created prior to completing the Filing Paper Wizard. The Configuration Manager will be able to create contacts and companies. Refer to Lesson 2 for instructions.

Step 7 - Select Companies and Contact

* Asterisk image denotes required field.

Contact: *

Companies: *

AAA Life Insurance Company
Auto Club Life

>> **>** **<** **<<**

Next

Save and Close **Save** **Cancel**

Step 8 – Select Companies for States

When multiple states are selected in the Filing the author will select the companies for each state. Clicking on the **Select All Companies** button places a check(s) next to each company. Clicking on the **De-Select All Companies** button will remove the check(s). Choose the appropriate companies for each state.

Step 8 - Select Companies for States

Reset Select All Companies De-Select All Companies

+ - Multiple companies accepted on a filing

Alabama +

☐ AAA Life Insurance Company

☐ Auto Club Life

California +

☒ AAA Life Insurance Company

☒ Auto Club Life

Previous Save and Continue

Save and Close Save Cancel

Step 9 – Default Filing Data

Step 9 in the Filing Paper Wizard is where the author will enter the description of the Filing. In addition, the fields in this step will vary by Business Type. These fields can also be modified at a later time.

- **Filing Description:** This area can be used in lieu of a cover letter or Filing Memorandum and is free-form text. This is a required field.
- **Effective Date Requested (New or Renewal):** This is the effective date the company is requesting for their product to be available to sell. It is not necessarily the date the filing officially becomes effective. The state insurance department will determine the actual effective date. This is also where the company can indicate the different effective dates for new or renewal business. (P&C only). This is a not required field.
- **Status of Filing in Domicile:** Field to indicate the status of companies' authorization to file in a state. This is not a required field.

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- **Domicile Status Comments:** Free-form text field for company to supplement Domicile Status. For example, if company license is pending in a state where filings will be accepted. This is not a required field.
- **Reference Organization (if applicable):** The name of the advisory organization -i.e. ISO, NCCI, AAIS, etc. or an Insurance Company name if “me too filing” is permitted. Some states allow companies to reference another company’s filing. A “me too” filing is when one company adopts another company’s filing. Usually they are not part of the same group. You should check with each state to determine their rules on these filings. If permitted, use this area to indicate either an advisory organization name or “me too” company name. This is not a required field.
- **Reference Organization Number & Title (if applicable):** This is the unique number that the reference organization gives to the Filing. It is generally not the same number as the circular number. This is not a required field.
- **Advisory Org Circular:** This is a unique number that references the circular number. This is not a required field.

Step 9 - Default Filing Data

Filing Description:

Company Tracking Number:

Effective Date Requested (New): ☒ ☐ On Approval

Effective Date Requested (Renewal): ☒ ☐ On Approval

Add Rate Data?: ☐ Yes ☒ No

Status of Filing in Domicile:

Domicile Status Comments:

Reference Organization:

Reference Number:

Reference Title:

Advisory Org. Circular:

Step 10 – Final Filing Summary

This is the final step in the Filing Paper Wizard and represents a summary of the filing(s) for review and confirmation by the author. By clicking the **Previous** button, the author is able to navigate back to the step in the Filing Paper Wizard where companies are selected for states if changes need to be made.

Step 10 - Final Filing Summary

State	TOI	Sub-TOI	Filing Types	Companies
Alabama	19.0 Personal Auto	19.0000 Personal Auto Combinations	Form/Rate	AAA Life Insurance Company Auto Club Life
California	19.0 Personal Auto	19.0000 Personal Auto Combinations	Form/Rate	AAA Life Insurance Company Auto Club Life

At this point you have selected your state(s), TOI, Sub-TOI, Filing Types and added companies and contact. Your Filing container has been created. The next step is to add the filing documentation if desired.

Draft Filings for Product: Auto Product

State	TOI	Sub-TOI	Filing Types	Companies
Alabama	19.0 Personal Auto	19.0000 Personal Auto Combinations	Form/Rate	AAA Life Insurance Company Auto Club Life
California	19.0 Personal Auto	19.0000 Personal Auto Combinations	Form/Rate	AAA Life Insurance Company Auto Club Life


Draft Paper Filings

After completing the Filing Paper Wizard process, the Filing Paper Wizard automatically generates the number of draft filings to be prepared for the selected states.


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Placing the cursor over a Filing in the Draft view, highlights that Filing and the Filing can be opened by clicking anywhere on that line.

	<input type="checkbox"/>	Kansas	Paper Manual	Sep 18, 2006	Thea Cook	Draft
	<input type="checkbox"/>	Iowa	Homeowner's Filing	Sep 18, 2006	Thea Cook	Draft
	<input type="checkbox"/>	Kansas	Homeowner's Filing	Sep 18, 2006	Thea Cook	Draft

The  indicates that this is a Paper Filing

Open a Paper Filing

1. To open the filing, click anywhere on the Filing.
2. Click the  button to update the Filing.

SaveApplyCancel

Alabama

[View General Instructions](#) [View Filing Log](#)

Product Name: * Auto Product

SERFF Tr Num: AAAL-126885557

SERFF Status: Draft

TOI: 19.0 Personal Auto

State Tr Num:

State Status:

Sub-TOI: 19.0000 Personal Auto Combinations

Co Tr Num:

Co Status: -- Please Select --

Filing Type: Form/Rate

Date Submitted:

Disposition Date:

Effective Date Requested (New):

Effective Date Requested (Renewal):

Authors: Frances Stuart

On Approval

On Approval

General Information

Form Schedule

Rate/Rule Schedule

Supporting Documentation

Companies and Contact

Filing Fees

Filing Correspondence

Paper Information

Project Name:

Project Number:

Status of Filing in Domicile: -Please Select-

Domicile Status Comments:

Filing Status Changed: 12/15/2010

State Status Changed:

Company Status Changed:

Reference Organization:

Reference Number:

Reference Title:

Advisory Org. Circular:

Assigned To:

Created By: Frances Stuart

Submitted By:

Corresponding Filing Tracking Number:

Filing Description:

General Information Tab

Unlike electronic filings, ***all*** the data on the General Information Tab of a Paper Filing can be modified at any time in the filing process. On a Paper Filing, the SERFF Status field is author-generated and not system-generated. This allows the author to change the status to match feedback they may be receiving from the state, outside of the SERFF system.

Note: The TOI, Sub TOI and Filing Type fields may be changed on a paper filing after it has been created. However, if TOI is changed, a new Sub TOI and Filing Type fields must be selected before saving the filing.

Other Paper Filing Tabs

The Rate/Rule schedule, Form schedule, Companies and Contacts and Filing Fees Tabs all work the same in Paper Filings as they do in Electronic Filings.

State Specific Tab

There is no information required on the Paper State Specific Tab.

<div> Add Authors Edit Move to Workfolder Generate PDF </div>						
Rhode Island						
Product Name: Paper Filing for Manual 2 TOI: A01 Annuities - Assumption Agreement Sub-TOI: A01.000 Annuities - Assumption Agreement Filing Type: Form Implementation Date Requested:			SERFF Tr Num: JEM1-000501015 State Tr Num: Co Tr Num: Date Submitted: Not Submitted Authors: Joy User , Filer User		SERFF Status: Draft State Status: Co Status: Disposition Date:	
General Information	Rate/Rule Schedule	Form Schedule	Companies and Contact	Filing Fees	Supporting Documentation	State Specific
Filing Correspondence	Paper Information					
No state specific information required.						

Paper Filing Completion

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At this point, SERFF offers several options depending on company workflow. One option would be to complete the Filing requirements by adding a scanned copy of the submitted paper filing to the Supporting Documentation Tab. For other companies, it may be enough to add a Filer Note with a description or filing locator explaining where the hard copy filing resides. A third option is to attach the individual forms and rates, the same process followed when creating an electronic SERFF filing. The author now adds any supporting documentation to the paper filing prior to sending the paper company to the state.

Add Supporting Documentation

1. Click on the Supporting Documentation tab.
2. Click on the Add Supporting Documentation link.

The screenshot displays the SERFF application interface. At the top, there is a navigation bar with tabs: General Information, Form Schedule, Rate/Rule Schedule, Supporting Documentation (which is the active tab), Companies and Contact, Filing Fees, Filing Correspondence, and Paper Information. Below the navigation bar, there are several action buttons: Expand All, Collapse All, Bypass Multiple, and View Additional Info. Below these buttons are two more buttons: Add Supporting Documentation and Import Template. At the bottom of the interface, there is an 'Icon Legend' box containing the following information: a yellow triangle icon for 'No Action Taken', a green checkmark icon for 'Satisfied', a red circle icon for 'Bypassed', a blue person icon for 'User Added', a yellow document icon for 'Draft Schedule Item', and a blue document icon for 'Open Objection'.

3. Add the Supporting Document Information. (See Lesson 4 for details on completing requirements).
4. Repeat steps 2 and 3 for each item needed for the paper filing.

Expand All
Collapse All
Bypass Multiple
View Additional Info

☐

Name:

Comment

☐ No Attachment Required

Attach Files

Remove

Add Supporting Documentation
Import Template

Filing Correspondence Tab

authors may use the Filing Correspondence Tab to record correspondence to and from states as the paper filing goes through the review process. All correspondence is added via the 'Create Filer Note' link on the Filing Correspondence Tab. Multiple Filer Notes can be created if desired.

General Information
Form Schedule
Rate/Rule Schedule
Supporting Documentation
Companies and Contact
Filing Fees
Filing Correspondence
Paper Information

Dispositions

Filing Notes

No Filing Notes

Create Filer Note

Reminders

No Reminders

Create Reminder

Filer Notes

1. Click the Filing Correspondence tab.

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2. Click the Create Filer Note link.

Filer Note for AAAL-126885557

Save Apply Cancel

SERFF Tracking Number:	AAAL-126885557	State:	Alabama
First Filing Company:	AAA Life Insurance Company ,...	State Tracking Number:	
Company Tracking Number:			
TOI:	19.0 Personal Auto	Sub-TOI:	19.0000 Personal Auto Combinations
Product Name:	Auto Product		
Project Name:			

Submitted by: N/A

Subject: *

Comments: *

Attach Files

Save Apply Cancel

3. Type a subject in the Subject Field (this is a Required Field).
4. Type a comment in the comments field (the comments section can contain up to 4000 characters and is a required field).
5. Click the **Attach Files** button to attach related files.
6. Click the **Save** button to save the Filer Note.
7. Click the **Cancel** button to cancel the Filer Note.

After clicking the **Save** button a preview of the Filer Note is displayed. The author can then edit, delete, or close the Filer Note.

Filer Note for AAAL-126885557			
<div> <div>Edit</div> <div>Delete</div> <div>Close</div> </div>			
SERFF Tracking Number:		AAAL-126885557	
State:		Alabama	
First Filing Company:		AAA Life Insurance Company ,...	
State Tracking Number:			
Company Tracking Number:			
TOI:		19.0 Personal Auto	
Sub-TOI:		19.0000 Personal Auto Combinations	
Product Name:		Auto Product	
Project Name:			
Created by: Frances Stuart on 12/15/2010 09:20 AM			
Submitted by: N/A			
Subject: * Author Status			
Comments: * This is my note.			
<div> <div>Edit</div> <div>Delete</div> <div>Close</div> </div>			

Paper Information Tab

This tab contains fields that are not on the electronic version of a SERFF filing. Unlike the electronic version, all fields on this tab and every other tab in SERFF can be modified at any time.

The **Date Mailed to State** field is used as the Filing Date when the filings are categorized in the views.

1. Click on the Paper Information tab.
2. Complete the Paper Information Page.
3. Click the **Save** button.

APPENDIX B

This appendix covers SERFF terminology, common acronyms and submission errors. Submission errors section provides the filer with information on how to address errors when submitting a filing.

This lesson covers the following topics:

- SERFF Glossary
- SERFF Acronyms
- Submission Errors



Glossary

Company

A Company record is used to store all the pertinent information about an individual company. When creating a filing, the information for the company specified comes from data entered in the company record, via the Companies link. Users must have the Industry Configuration Manager role assigned to their ID in order to have the “Add Company” option available in SERFF. A SERFF filing must have at least one but can have many companies listed on it, depending on the states’ requirements for multi-company filings.

Contact

A contact is the authorized person responsible for the filing. Most Industry SERFF users will only be able to view contact information. Users must have the Industry Configuration Manager role assigned to their ID in order to have the “Add Contact” option available in SERFF. A SERFF filing must have one, and only one, Contact.

Disposition

When a Disposition is created for a filing; the SERFF status of that filing is changed to "Closed". The filing is then moved from the “My Open Filings”. The user can find any closed filings by using Search/Export. Dispositions can be found on the Filing Correspondence tab of the filing.

Filing

A filing is a package of information sent from an insurance company to a state rate and form filing review department. A filing contains one or more schedules—including a Supporting Documentation schedule and Notes from the insurance company. The state reviewer may add Notes, Objection Letters and Dispositions as responses. All of the pieces make up the SERFF filing.

Filing Types

Type	Definition
Rate	A filing that contains a company's proposed rates and documents that support the rate filing.
Rule	A filing that contains a company's proposed rules and documents that support the rule filing.
Form	A filing that contains a company's proposed forms and documents that support the form filing.
Advertisement	A filing that contains a company's proposed advertisements and documents that support the advertisement filing
Multi	A filing that contains items from more than one filing type. Ex. Rates/Rules, Rates/Forms

Filing Wizard

A component of SERFF that helps guide a user through the initial creation of a single or multi-state filing. The Filing Wizard leverages uniformity found with the Product Coding Matrix and the standard Filing Types.

General Instructions

Each state/state instance has a General Instructions document. The General Instructions document provides basic information from the state on how to submit SERFF filing in that state. Users are encouraged to read through the General Instructions before filing in a state for the first time and periodically after that in case the state makes changes.

Instance Preference

Instance Preferences are settings that apply to all users of that instance. Settings for things like EFT, Company Status Options, and Data Host are found on the Instance Preference. Only users with the Configuration Manager Role have access to modify the Instances Preferences—some settings can only be modified by the SERFF Help Desk. The Instance Preferences can be found on the Settings Tab.

Message

A Message is used to notify a filer about the activity of a filing. Messages can be viewed and deleted from the Message Center located under the Message tab.

Messages are shared notifications. If two filers or reviewers receive messages on the same filing, and one person deletes the message, it will still be available for the other filer. A status indicator in the left column of the Messages view lets the filer know if he/she has read that message. Filers are encouraged to read and then delete messages. There is no information on a Message that is not in the filing itself.

Multi-State Filing

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A Multi-State Filing is a filing intended for multiple states. A filer creates the filing and identifying all the states to which they would like to submit their filing. The Filing Wizard walks the filer through the creation process, selecting the base information on a filing that might be the same for all the states selected. Once the Filing Wizard is completed, the filer can go back through the filings and add state specific information.

Notes

Notes are ways of communicating between filer and reviewer, or internally on either the state or industry side. A Note is created from the filing and becomes part of the filing.

Type	Definition
Note to Reviewer	Sent from the company to the state where it will be read by the reviewer and becomes a part of the filing. This is more general communication to the reviewer.
Note to Filer	Sent from the state to the company, this is information a reviewer may want to add to a filing outside of other reports. More general communication to the filer.
Reviewer Note	Created on the state side. For internal use only, this note is not seen by the industry.
Filer Note	Created on the industry side. For internal use only, this note is not seen by the state.

Report

Communication from the reviewer to the filer about a specific filing will be done with Reports. A Report is created to reference the entire filing or only specific pieces of the filing. There are two types of Reports a reviewer may send to a filer.

Type	Definition
Objection Letter	Sent from the state to the company where it will be read by the filer and becomes a part of the filing.
Disposition Report	Sent from the state to the company, this is information a reviewer may want to add to a filing outside of other reports.

Requirement

A Requirement identifies an individual requirement that can be requested by the state. Requirements are used when creating Submission Requirements.

A Requirement can be used in multiple Submission Requirement documents.

Schedule

A schedule contains the actual documents submitted for review. It will be attached to the “Form” or “Rate/Rule” schedule in PDF format.

SERFF Filing Status

Status	Definition
Draft	Filing has been assigned a tracking number but has not been completed and submitted to the state.
Submitted	Filer has chosen to submit filing and the filing has passed all applicable system validations. State can now access the filing.
Assigned	State has assigned the filing to one or more reviewers, but no additional action has been taken.
Pending Industry Response	There are one or more open Objection Letters on the filing that need a response from industry.
Pending State Action	One or more Response Letters have been created and fulfilled by industry. Filing is still open.

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Closed - *	The state has created a Disposition indicating the final action on the filing. The asterisk indicates that the state Disposition status (i.e., Approved, Acknowledged, Disapproved) will be appended to the SERFF status.
Closed - Rejected	The filing has been rejected by the state and is closed.

SERFF Tracking Number

To ensure uniqueness and provide audit capabilities, the SERFF tracking number collectively represents several meaningful identifying components for each company filing. Each industry instance will be assigned their own code for this portion of the tracking number.

Instance Identifier - Random, Unique Alpha/Numeric Characters		
ABCD	-	12A34B56C

- Instance Identifier: A four alpha character representation of the first four characters of the company name.
- Random Number: This overall filing number is a combination of nine alpha/numeric characters.

SERFF Workspace

The SERFF Workspace is the active window for the filings database where the SERFF users will create, review filings and check the status of filings. The SERFF Workspace is the first screen accessed by users to perform most SERFF related tasks.

State Specific Fields

State Specific fields are text only fields and are not fixed-length. There are up to 10 fields that can be used for Electronic/Paper filings. States may provide information regarding the expected entry for those fields in their General

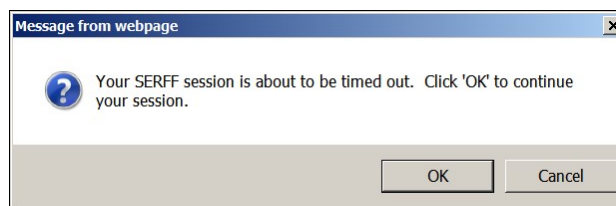
Instructions. Any company submitting through SERFF to your state will have a State Specific Fields tab on their filing that contains the fields specified on the state instance view.

Submission Requirements

For each filing combination (Type of Insurance/SubType/Filing Type) there is a set of Submission Requirements that must be met for the state to receive the filing for review.

Time Out

SERFF is set to log a user off after 30 minutes of inactivity. After 25 minutes of inactivity, SERFF will display a warning.



Click **OK** button to continue working in SERFF. A new 30 minute countdown will begin.

Type of Insurance

A Type of Insurance is used to organize the lines of insurance, which a state is accepting through SERFF and any sub-types that fall under them.

User Preferences

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A User Preference is designed to allow the SERFF Application to be customized to the specific needs and work processes for a single user of SERFF. The User Preferences inherits some of its values from the Instance Preference.

The User Preferences contains the following information:

- Contact Information update users' contact information and set security questions.
- Message Settings update users' filing activity messages selection and user message settings for filing managers.
- User Preferences set Instance and Default Business Type.

SERFF Acronyms

CCIO	Center for Consumer Information and Insurance Oversight
CMS	Center for Medicare and Medicaid Services
EHB	Essential Health Benefits
HFAI	Health Filing Access Interface
HHS	Health and Human Services
HIOS	Health Insurance Oversight System – Federal System
HIPR	Health Insurance Premium Review
HIX	Health Insurance Exchange Plan management
MPM	Marketplace Plan Management
NCQA	National Committee for Quality Assurance
PPACA	Patient Protection and Affordable Care Act
PMPM	Premium Amount Per Month

QHP	Qualified Health Plan
RBIS	Rate Benefit Information System (This is the HIOS system for sending plans to the exchange)
URAC	Utilization Review Accreditation Commission (formerly known as)

Submission Errors

Common SERFF errors received when submitting a filing.

ERROR: 1005 A description is required on each filing.	Location
Filing Description is a required field prior to submitting a filing. This area is in lieu of a cover letter.	General Information

ERROR: 1006 A product name is required.	Location
Product Name is a required field prior to submitting a filing. Please enter your Product Name.	General Information

ERROR: 1012 A previous filing id is required if the Submission Type (LAH Only) is RS (Resubmission).	Location
When Submission type selected is "Resubmission", Previous Filing Number field added. This field must be completed prior to submission.	General Information

ERROR: 1014 PPACA must be specified for this filing.	Location
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This field is used to identify filings that are being submitted to comply with the requirements of the Patient Protection and Affordable Care Act PPACA.	General Information
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ERROR: 1016 Group Market Size is required. (PPACA)	Location
When “Group” is selected for Market Type, Group Market Size is added and this field must be selected from drop down (▼).	General Information

ERROR: 1017 Market Type is required. (PPACA)	Location
<p>Market Type must be selected from drop down (▼).</p> <ul style="list-style-type: none"> – Selecting Individual – will trigger one additional required field > Individual Market Type – Selecting Group – will trigger two additional required fields > Group Market Size and Group Market Type 	General Information

ERROR: 1019 Company Rate Change is required.	Location
On PPACA filings, Company Rate Change must be selected from drop down (▼).	Rate/Rule

ERROR: 1020 One or more of the Rate Review Detail Data fields have not been completed. (PPACA)	Location
Incomplete Rate View Detail exists. Click View Rate Review Detail link and complete required fields that will be used by the state to report to HHS. Fields marked with an asterisk are required fields that will vary depending on the Company Rate Change selection.	Rate/Rule


ERROR: 1021 Requested Filing Mode is required on PPACA filings.	Location
Requested Filing Mode must be selected from drop down (▼).	General Information

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ERROR: 1022 Implementation Date Requested is required on PPACA filings.	Location
PPACA filings require that the Implementation Date Requested filed be answered with a date (mm/dd/yyyy) or “On Approval” to be selected.	Filing at a Glance

ERROR: 1101 One or more of the state specific fields have not been completed.	Location
State required question(s) have not been answered. The State may ask up to ten questions and require an answer before you submit your filing.	State Specific

ERROR: 1102 Rate Data applies to this filing but no rate data has been entered.	Location
If “Add Rate Data?” is answered with Yes, you must enter a filing method.	Rate/Rule

ERROR: 4001 Supporting Documentation item_is required. (e.g. <i>Actuarial Memorandum</i>)	Location
Action must be taken for all Supporting Documentation items required by the State. Select the  appropriate item with and select “Satisfy” or “Bypass”.	Supporting Documentation

ERROR: 6001 EFT fee amount to state instance_is invalid for company_(null) (e.g. state instance <u>Utah</u> & company <u>MO Insurance</u>)	Location
If your company has been set up for electronic funds transfer (EFT), then you must enter an amount or select <input type="checkbox"/> "bypass EFT for this company".	Filing Fees

ERROR: 6002 EFT validation with CECI failed.	Contact
This error indicates that there is an issue with the EFT set up for the company.	SERFF Help Desk

ERROR: 6003 Unld null for company XYZ Insurance Company (12345) is not valid.	Contact
The company entity in SERFF is not configured to use EFT.	SERFF Marketing / Implementation team

ERROR: 6005 Original Submission has already completed for Filing SERF-123456789	Contact
An application error indicating a problem with the SERFF filing itself.	SERFF Help Desk