

## Appendix

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

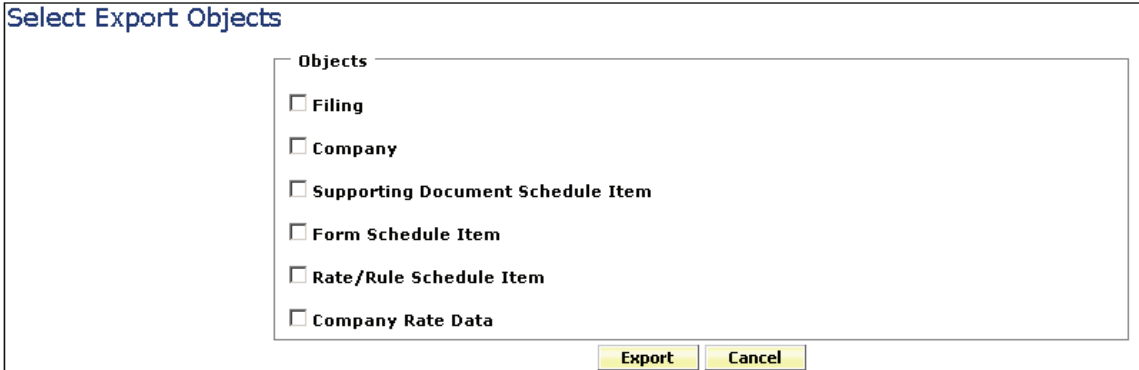
1. In the Advanced Search screen, enter the search criteria or load a saved search.

 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  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

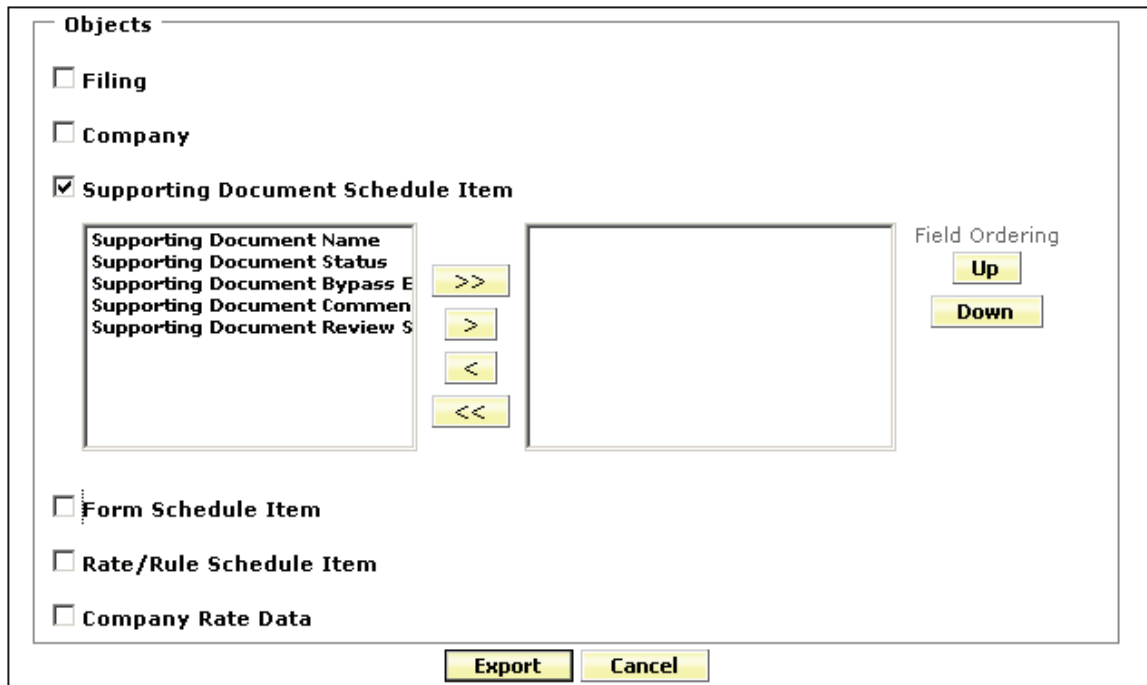
Objects

- Filing
- Company
- Supporting Document Schedule Item
- Form Schedule Item
- Rate/Rule Schedule Item
- Company Rate Data

Export Cancel

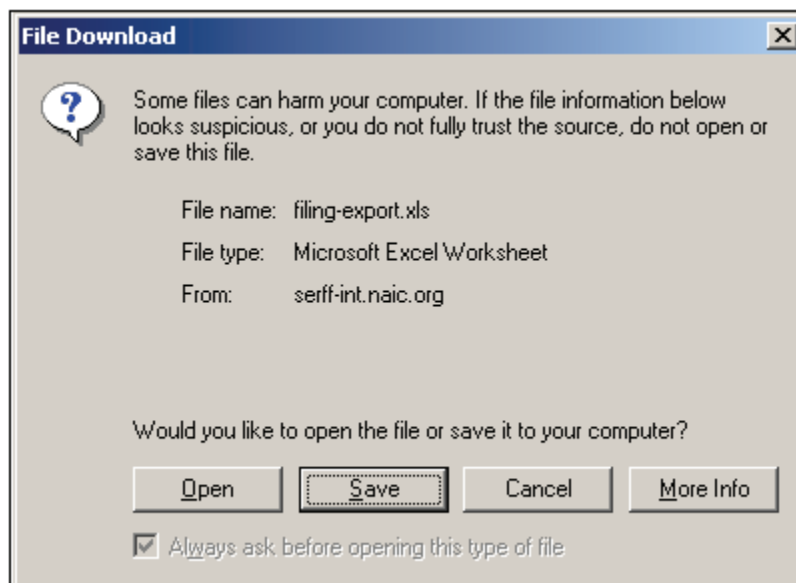
4. For each object selected, a 'sub-level' of options becomes available. The User may choose which fields should be in the result file and what order those fields should be in. (See example below.) The user should utilize the arrow buttons to

determine which fields will be included and the up and down buttons to determine the order in which the fields should appear.



5. Click the **Export** button.

6. The File Download dialog opens.



7. Choose an action.

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- 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.

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 Document Name	Supporting Document 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**

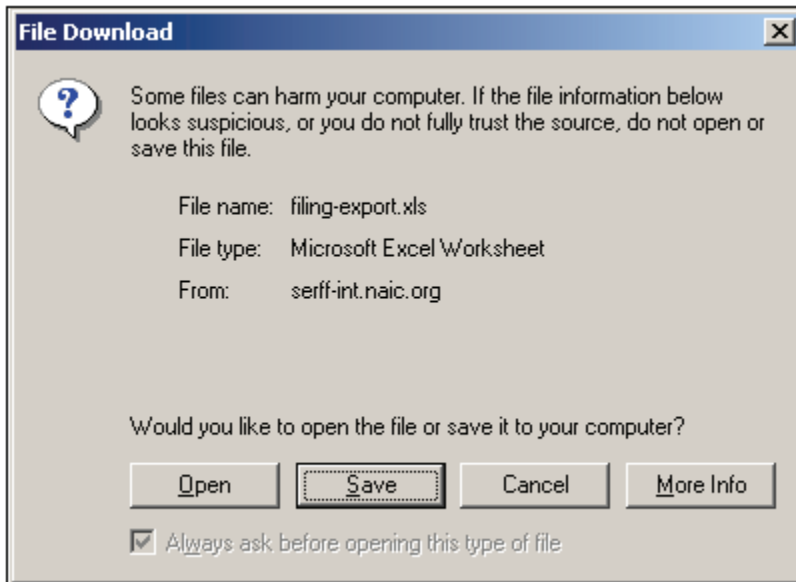
1. In the Advanced Search screen, enter the search criteria or load a saved search.

 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  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:

**State, Company Name, Co-Code, Third Party Filer, SERFF Tracking Number, State Tracking Number, Company Tracking Number, SERFF Status, SERFF Status Date Changed, 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, Overall Fee Amount, Submitted Date, Disposition Status, Disposition Date, Effective Implementation Date Request new, Effective Implementation Date Request Renew, Effective Date New, Effective Date Renewal, Requested Filing Mode, Requested Filing Mode Explanation, Product Name, Project Name, Project Number, Form Number, Form Count, Rule Number and 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.

Filings	Billing	Settings	Filing Rules	Reports	Templates
Select a Report					
<ul style="list-style-type: none"><li>• <a href="#">Disposition</a></li><li>• <a href="#">Filing Status</a></li><li>• <a href="#">Metrics By Filer</a></li><li>• <a href="#">Productivity</a></li><li>• <a href="#">Sample Report</a></li></ul>					

**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.

**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.

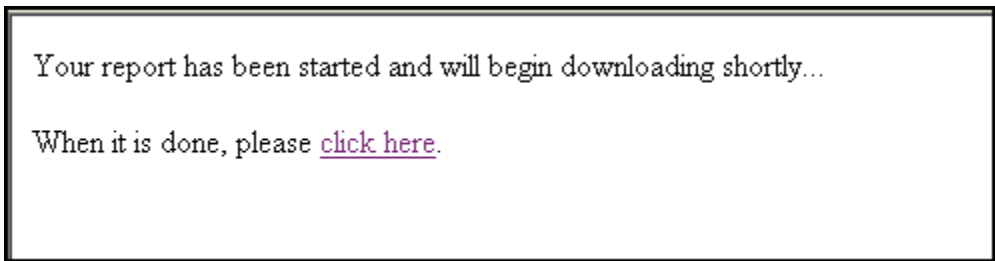
**Begin Date (inclusive):**

**End Date (inclusive):**

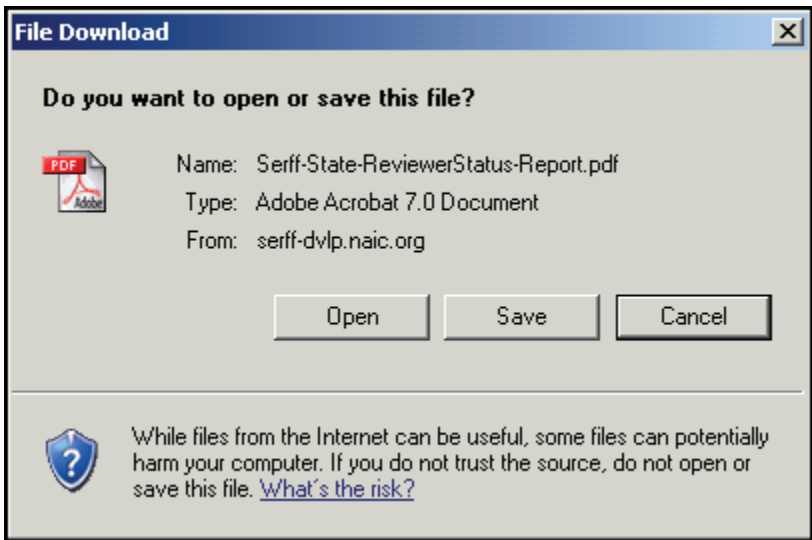
**Report format:**  PDF file  Excel file  CSV file  Xml file

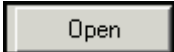
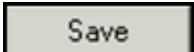
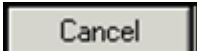
4. Select the Report Format.
  - a. PDF file – Portable Document File that can be opened by Adobe Reader, Adobe Acrobat, or similar PDF software tools.
  - b. Excel file – A file that can be opened in Microsoft Excel or similar spreadsheet tools.
  - c. CSV file – Comma Separated Value file that defaults to Microsoft Excel, but can be opened in any word processing, spreadsheet or database applications.
  - d. XML file – Extensible Markup Language that can be opened in any browser window.

5. Click the  button to run this report or click  to return to the Reports main page.
6. A notification page appears asking the user to wait.



8. The File Download dialog opens.










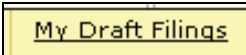
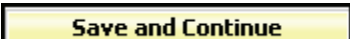
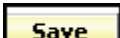
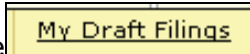

9. Click the  button to open the file.
10. Click the  button to save the file.
11. Click the  button to cancel this action.

**Create a Paper Filing**

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.

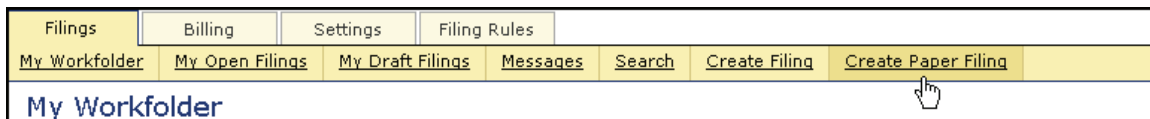
Searching, Reporting, and the Export Tool can be used to gather metrics on paper filings as well as SERFF filings. The look and feel is much the same as an electronic filing and the industry has the option to enter as much or as little data as they deem necessary.

**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

## 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**

\* Asterisk image denotes required field.

**Business Type:** \*

**Product Name:** \*

**Project Name:**

**Project Number:**



**Authors:** \*



Cook, Thea	>>	industry 01, State
	>	
	<	
	<<	

 **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.



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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.
6. 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

1. Select the states using the **CTRL** or **SHIFT** key for this filing.
2. Click the  button to continue to advance to Step 2.
3. Click the  button to change data entered on Step 1.
4. Click the  button to save changes and continue to work on your Filing later.
5. 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.

**Step 2 - Select States**

States: \*


District of Columbia	>>	Iowa
Federated States of Micronesia	>	Kansas
Florida	<	
Georgia	<<	
Guam		
Hawaii		
Idaho		
Illinois		
Indiana		
Kentucky		

Previous    Next

Save and Close    Save    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**

Wizard Type of Insurance Selector: 04.0 Homeowners


Selected States	Type Of Insurance *
Iowa	04.0 Homeowners
Kansas	04.0 Homeowners


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  button to advance to Step 4.

 **NOTE** – states can be added or removed at this point by clicking the

 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-Type of Insurance

Wizard Sub-Type of Insurance Selector: 04.0002 Mobile Homeowners ▼


<b>Sub-Type Of Insurance</b>	
Iowa <b>TOI:</b> 04.0 Homeowners	<span style="border: 1px solid black; padding: 2px;">04.0002 Mobile Homeowners</span> ▼
Kansas <b>TOI:</b> 04.0 Homeowners	<span style="border: 1px solid black; padding: 2px;">04.0002 Mobile Homeowners</span> ▼

Previous
Next

Add or Remove States

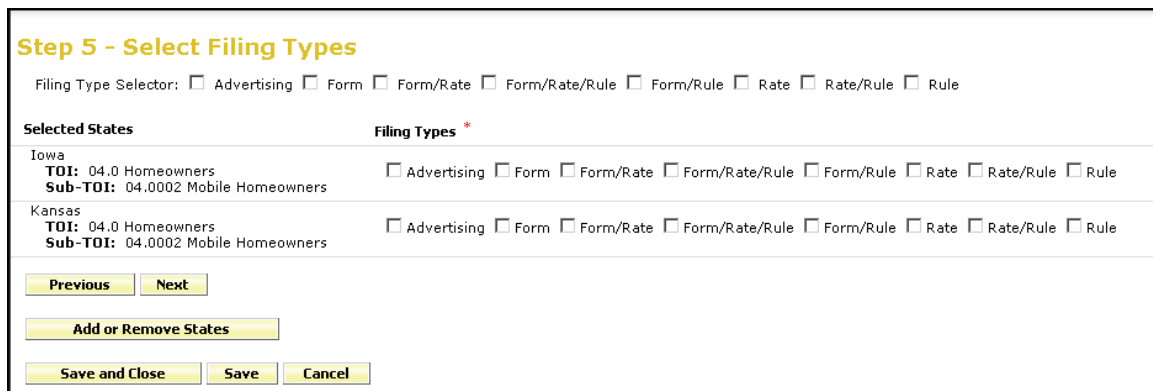
Save and Close
Save
Cancel

 **Step 4 – Select Sub-Type of Insurance**

1. Select the Sub-TOI by using the Wizard Sub-Type of Insurance selector or by individual state.
2. If there is not an exact match for the Sub-TOI, when using the Wizard Sub-Type of Insurance Selector, click the drop down next to each applicable state and select appropriate Sub-TOI.
3. Click on the  button to advance to Step 5.

**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 *
Iowa TOI: 04.0 Homeowners Sub-TOI: 04.0002 Mobile Homeowners	<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
Kansas TOI: 04.0 Homeowners Sub-TOI: 04.0002 Mobile Homeowners	<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 5 – Select Filing Types**

1. Using the Filing Type Selector, place a checkmark next to the Filing Type(s) applicable to the filing. Wherever there is an exact match, the Filing Type for the state will auto-populate. If there are no Filing Type matches, simply select the appropriate Filing Type for each state.

- Click on the **Next** button to advance to Step 6.

### Step 6 – Confirm Selections

Step 6 displays a summary of the Filing for review and confirmation of all the data 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**

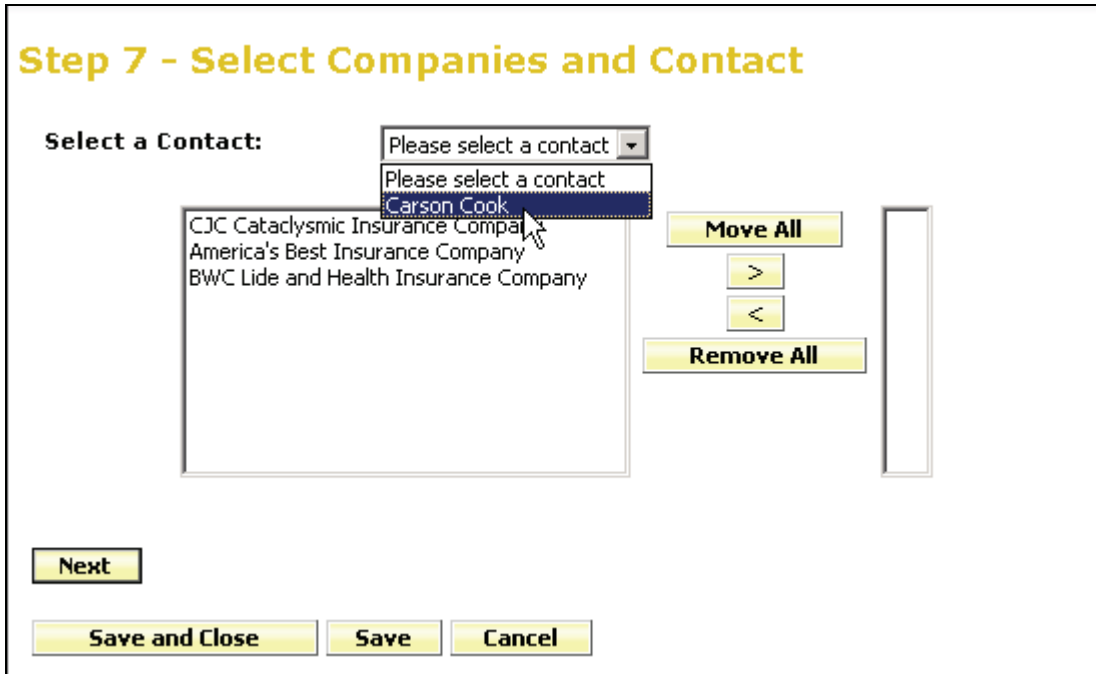
State	TOI	Sub-TOI	Filing Types
Iowa	04.0 Homeowners	04.0002 Mobile Homeowners	Form
Kansas	04.0 Homeowners	04.0002 Mobile Homeowners	Form

### Step 6 – Confirm Selections



- Click on the **Save and Continue** button to advance to Step 7.

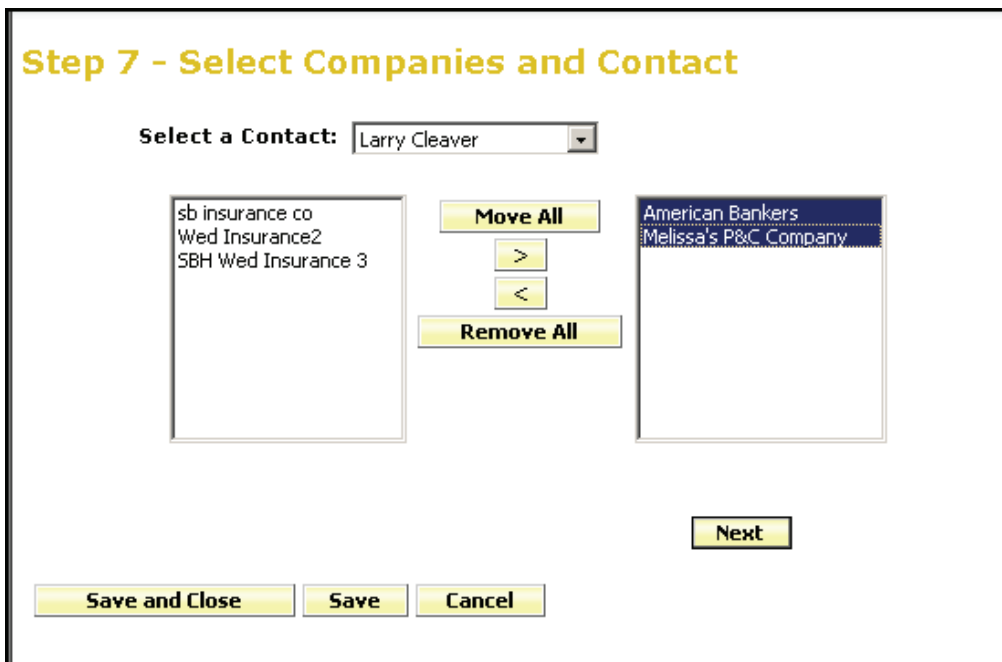
### Step 7 – Select Companies

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.



 **Select the Contact and Company**

1. Select the company or companies and click on the  or  button. Multiple companies can be added at one time by holding down the **Ctrl** or **Shift** buttons on your keyboard.



2. Click **Next** to advance to Step 8.

### 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**

\* - Multiple companies accepted on a filing

<p><b>Iowa *</b></p> <p><input checked="" type="checkbox"/> America's Best Insurance Company</p> <p><input checked="" type="checkbox"/> CJC Cataclysmic Insurance Company</p>	<p><b>Kansas *</b></p> <p><input checked="" type="checkbox"/> America's Best Insurance Company</p> <p><input checked="" type="checkbox"/> CJC Cataclysmic Insurance Company</p>
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

### Step 8 – Select Companies for States

1. Click on the **Save and Continue** button to advance to Step 9.

## 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 not 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.
- **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:**

**Effective Date Requested (New):**    On Approval

**Effective Date Requested (Renewal):**    On Approval

**Status of Filing in Domicile:**

**Domicile Status Comments:**

**Reference Organization:**

**Reference Number:**

**Reference Title:**

**Advisory Org. Circular:**

 **Step 9 – Default Filing Data**

1. Complete the Filing Data page.
2. Click on the  button to advance to Step 10

## 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
Iowa	04.0 Homeowners	04.0002 Mobile Homeowners	Form	Melissa's P&C Company American Bankers
Kansas	04.0 Homeowners	04.0002 Mobile Homeowners	Form	Melissa's P&C Company American Bankers

## Step 10 – Final Filing Summary

1. Click **Finish** button to complete the Filing Paper Wizard process. The completed filing(s) is available from the **My Draft Filings** My Draft Filings link. (see below)

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: Homeowners Product Launch				
State	TOI	Sub-TOI	Filing Types	Companies
Iowa	04.0 Homeowners	04.0002 Mobile Homeowners	Form	Melissa's P&C Company American Bankers
Kansas	04.0 Homeowners	04.0002 Mobile Homeowners	Form	Melissa's P&C Company American Bankers





## 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.

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.

Filings	Billing	Settings	Filing Rules	Reports	Templates			
My Workfolder	My Open Filings	My Draft Filings	Messages	Search/Export	Create Filing	Create Paper Filing		
<div style="border: 1px solid black; padding: 5px;"> <span>Add Authors</span> <span>Edit</span> <span>Amend Filing</span> <span>Move to Workfolder</span> <span>PDF Pipeline</span> </div>								
<b>Kansas</b>								
<b>Product Name:</b> Industry Paper Manual <b>TOI:</b> 04.0 Homeowners <b>Sub-TOI:</b> 04.0003 Owner Occupied Homeowners <b>Filing Type:</b> Form <b>Effective Date Requested (New):</b>		<b>SERFF Tr Num:</b> CCIC-000501030 <b>State Tr Num:</b> <b>Co Tr Num:</b> <b>Date Submitted:</b> Not Submitted <b>Effective Date Requested (Renewal):</b>		<b>SERFF Status:</b> Submitted to State <b>State Status:</b> <b>Co Status:</b> (01) Submitted <b>Disposition Date:</b> <b>Authors:</b> Thea Cook				
General Information	Rate/Rule Schedule	Form Schedule	Companies and Contact	Filing Fees	Supporting Documentation	State Specific	Filing Correspondence	Paper Information
<b>Project Name:</b> Homeowner's 2007 <b>Status of Filing in Domicile:</b> Authorized <b>Domicile Status Comments:</b> <b>Filing Status Changed:</b> 09-18-2006 <b>Company Status Changed:</b> 09-18-2006 <b>Reference Organization:</b> <b>Reference Title:</b> <b>Assigned To:</b> null (primary) <b>Corresponding Filing Tracking Number:</b>			<b>Project Number:</b> 0918-2006 <b>State Status Changed:</b> 09-18-2006 <b>Deemer Date:</b> <b>Reference Number:</b> <b>Advisory Org. Circular:</b>					

2. Click the  button to update the Filing.

Kansas


Product Name: <input type="text" value="Industry Paper Manual"/>		SERFF Tr Num: CCIC-000501030	SERFF Status: <input type="text" value="Submitted to State"/>
TOI: <input type="text" value="04.0 Homeowners"/>	State Tr Num: <input type="text"/>	State Status: <input type="text"/>	
Sub-TOI: <input type="text" value="04.0003 Owner Occupied Homeowners"/>	Co Tr Num: <input type="text"/>	Co Status: <input type="text" value="(01) Submitted"/>	
Filing Type: <input type="text" value="Form"/>	Date Submitted: <input type="text"/>	Disposition Date:	
Effective Date Requested (New): <input checked="" type="radio"/> <input type="text"/>	Effective Date Requested (Renewal): <input checked="" type="radio"/> <input type="text"/>	Authors: Thea Cook	
<input type="radio"/> On Approval		<input type="radio"/> On Approval	

General Information	Rate/Rule Schedule	Form Schedule	Companies and Contact	Filing Fees	Supporting Documentation	State Specific	Filing Correspondence	Paper Information
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Project Name: <input type="text" value="Homeowner's 2007"/>	Project Number: <input type="text" value="0918-2006"/>
Status of Filing in Domicile: <input type="text" value="Authorized"/>	
Domicile Status Comments: <input style="width: 100%; height: 20px;" type="text"/>	
Filing Status Changed: 09-18-2006	State Status Changed: 09-18-2006
Company Status Changed: 09-18-2006	Deemer Date:
Reference Organization: <input type="text"/>	Reference Number: <input type="text"/>
Reference Title: <input type="text"/>	Advisory Org. Circular: <input type="text"/>
Assigned To: null (primary)	
Corresponding Filing Tracking Number: <input type="text"/>	

### 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 style="display: flex; justify-content: space-between;"> <span>Add Authors</span> <span>Edit</span> <span>Move to Workfolder</span> <span>Generate PDF</span> </div>						
						<b>Rhode Island</b>
<b>Product Name:</b> Paper Filing for Manual 2		<b>SERFF Tr Num:</b> JEM1-000501015		<b>SERFF Status:</b> Draft		
<b>TOI:</b> A01 Annuities - Assumption Agreement		<b>State Tr Num:</b>		<b>State Status:</b>		
<b>Sub-TOI:</b> A01.000 Annuities - Assumption Agreement		<b>Co Tr Num:</b>		<b>Co Status:</b>		
<b>Filing Type:</b> Form		<b>Date Submitted:</b> Not Submitted		<b>Disposition Date:</b>		
<b>Implementation Date Requested:</b>		<b>Authors:</b> Joy User , Filer User				
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

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.





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

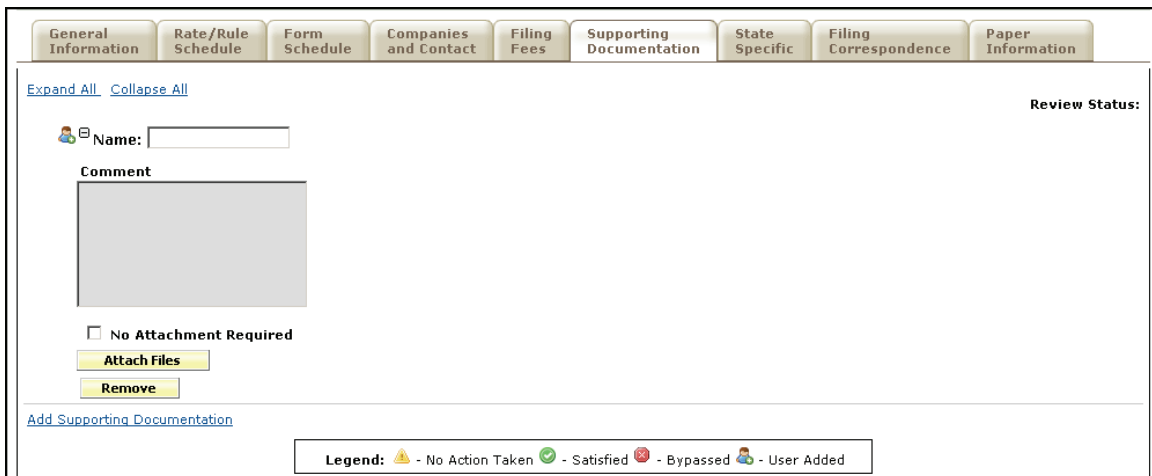
[Expand All](#) [Collapse All](#)

[Add Supporting Documentation](#)

Review Status:

Legend:  - No Action Taken  - Satisfied  - Bypassed  - User Added


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.



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

[Expand All](#) [Collapse All](#)





Review Status:

 Name:

Comment

No Attachment Required

[Add Supporting Documentation](#)

Legend:  - No Action Taken  - Satisfied  - Bypassed  - User Added

## 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.

Rhode Island

**Product Name:** Paper Filing for Manual 2      **SERFF Tr Num:** JEM1-000501015      **SERFF Status:** Draft  
**TOI:** A01 Annuities - Assumption Agreement      **State Tr Num:**      **State Status:**  
**Sub-TOI:** A01.000 Annuities - Assumption Agreement      **Co Tr Num:**      **Co Status:**  
**Filing Type:** Form      **Date Submitted:** Not Submitted      **Disposition Date:**  
**Implementation Date Requested:**      **Authors:** Joy User , Filer User

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

No Disposition Reports Created  
  
 No Filing Notes Available  
  
[Create Filer Note](#)

**Filer Notes**

1. Click the Filing Correspondence tab.
2. Click the Create Filer Note link.

Filer Note for ONYX-000400745

Save
Cancel




**Subject:**


**Comments:**

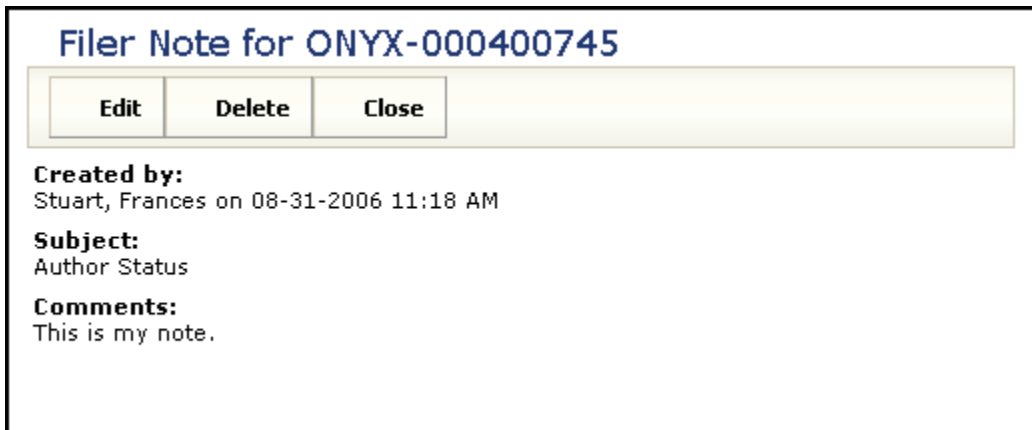
Attach Files

3. Type a subject in the Subject Field (this is a Required Field).

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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  button to attach related files.
6. Click the  button to save the Filer Note.
7. Click the  button to cancel the Filer Note.

After clicking the  button a preview of the Filer Note is displayed. The Author can then edit, delete, or close the Filer Note.



**Filer Note for ONYX-000400745**

**Edit** **Delete** **Close**


**Created by:**  
Stuart, Frances on 08-31-2006 11:18 AM

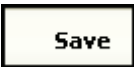
**Subject:**  
Author Status

**Comments:**  
This is my note.

## 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  button.

## SERFF Glossary

**Company** – A Company view 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 view, via the Companies link. Also, when a Contact document is created, a user can specify companies on whose behalf they can file. Users must have the Industry Configuration Manager role assigned to their ID in order to have the “Add Company” option. 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. A SERFF filing can have only one Contact.

**Disposition** – When a Disposition Report 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 the Search tool. Disposition Reports 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 Reports as responses. All of these 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 components 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 in the Message Center view on the SERFF Workspace page.



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. There is no information on a Message that is not in the filing itself. Filers are encouraged to read and then delete messages.

**Multi-State Filing** – 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 used as a means 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 Notes	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.

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Type	Definition
Objection Letter	Reports indicating errors and/or omissions found in schedules during review.
Disposition Report	The results of a review of the filing. A filing rejection is also handled with a Disposition Report.

**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 is one of 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 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 objection letters have been created and fulfilled by industry. Filing is still open.
Closed - *	The state has created a disposition report 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 industry users will create new filings and check the status of submitted filings. The SERFF Workspace is the first screen accessed by industry users to perform most SERFF related tasks.

**State Specific Fields** – State Specific are unique fields to an Electronic and Paper Filings. Any company submitting through SERFF to your state will have a State Specific tab on their filing that contains the fields you specify on the state instance view. These fields are text only fields and are not fixed-length fields. 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 document.

**Submission Requirements** – For each filing combination (Type of Insurance/Sub-Type/Filing Type) there is a set of submission requirements that must be met for the state to receive the filing for review.

**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** – 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.
- Industry Preferences – set Default Industry instance and Default Business Type