Lesson 6

This lesson covers the Search and Export functionality of SERFF. Search is available to all users, but the Export Tool is only available to users with an Export Role on their User ID.

SERFF offers two levels of Search – a Tracking Number Search, which offers quick access to a particular filing, and an Advanced Search, which allows queries of the filing database based a wide range of criteria.

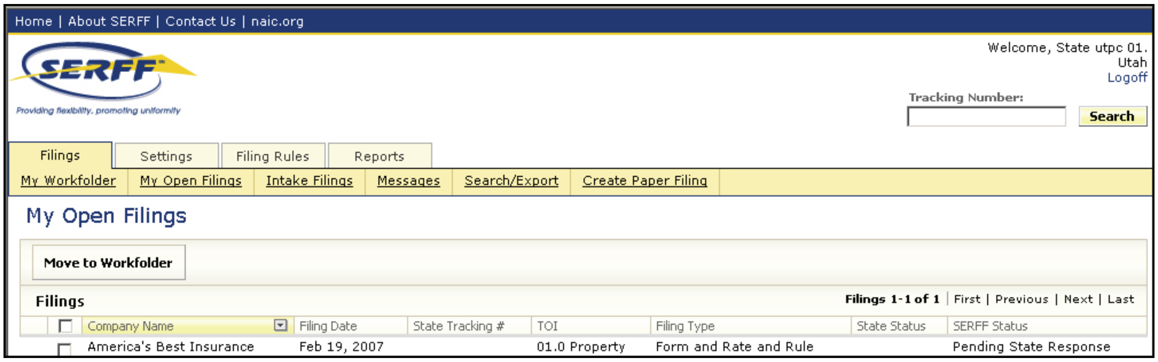
The Export Tool allows users to export data from the results of an Advanced Search. Users can get data on the overall filing and on sub-components of the filing.

This lesson covers the following topics:

- Tracking Number Search
- Advanced Search
- Export Tool
- Reports

Tracking Number Search

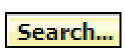
The Tracking Number Search box displays in the upper right portion of the SERFF Workspace. This search will use the value entered to search the SERFF Tracking Number, State Tracking Number, and Company Tracking Number fields.



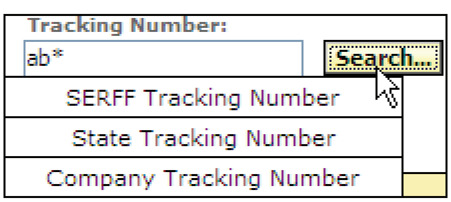
Running a Tracking Number Search

1. Click in the  field.

2. Enter either the **SERFF Tracking Number, the State Tracking Number,** or the **Company Tracking Number** of the filing being sought.

3. Click the  button.

4. Select the type of number from the drop down list.



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 will pick the correct filing.

A wildcard may be used in SERFF to take the place of the part of the number that you don't know. In the Tracking Number search, the wildcard is (*). For example, if 'UNSE-000014*' is entered, it will produce all filings that begin with 'UNSE-0014'. You can use the wildcard at the beginning of the number also.

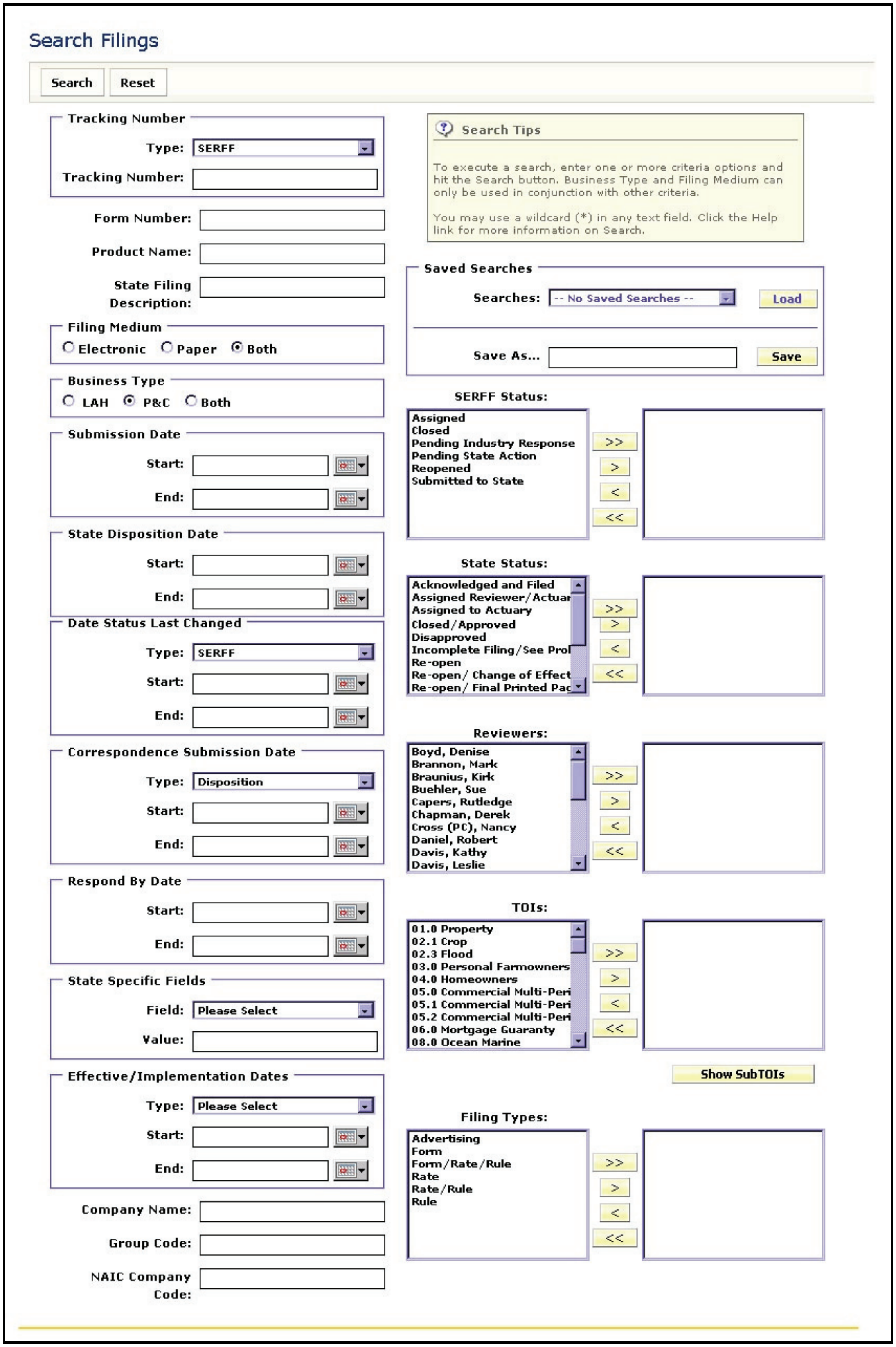
Advanced Search

Advanced Search allows users to search their filings database on one or more pre-defined criteria options. To access this feature, click on the Search link from the Workspace. For users with an Export Role, the link will be labeled Search/Export.

The Advanced Search Screen

From Advanced Search, the user can enter search 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 different 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.


Search Filings
Search
Reset
Tracking Number
Type: SERFF
Tracking Number:
Form Number:
Product Name:
State Filing Description:
Filing Medium
Electronic
Paper
Both
Business Type
LAH
P&C
Both
Submission Date
Start:
End:
State Disposition Date
Start:
End:
Date Status Last Changed
Type: SERFF
Start:
End:
Correspondence Submission Date
Type: Disposition
Start:
End:
Respond By Date
Start:
End:
State Specific Fields
Field: Please Select
Value:
Effective/Implementation Dates
Type: Please Select
Start:
End:
Company Name:
Group Code:
NAIC Company Code:
Search Tips
To execute a search, enter one or more criteria options and hit the Search button. Business Type and Filing Medium can only be used in conjunction with other criteria.
You may use a wildcard (*) in any text field. Click the Help link for more information on Search.
Saved Searches
Searches: -- No Saved Searches --
Load
Save As...
Save
SERFF Status:
Assigned
Closed
Pending Industry Response
Pending State Action
Reopened
Submitted to State
State Status:
Acknowledged and Filed
Assigned Reviewer/Actuar
Assigned to Actuary
Closed/Approved
Disapproved
Incomplete Filing/See Prol
Re-open
Re-open/ Change of Effect
Re-open/ Final Printed Pac
Reviewers:
Boyd, Denise
Brannon, Mark
Braunius, Kirk
Buehler, Sue
Capers, Rutledge
Chapman, Derek
Cross (PC), Nancy
Daniel, Robert
Davis, Kathy
Davis, Leslie
TOIs:
01.0 Property
02.1 Crop
02.3 Flood
03.0 Personal Farmowners
04.0 Homeowners
05.0 Commercial Multi-Peri
05.1 Commercial Multi-Peri
05.2 Commercial Multi-Peri
06.0 Mortgage Guaranty
08.0 Ocean Marine
Show SubTOIs
Filing Types:
Advertising
Form
Form/Rate/Rule
Rate
Rate/Rule
Rule

Tracking Number

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 or after the criteria string.

Text Fields

The text search fields include Form Number, Product Name, and State Filing Description. 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, Respond By Date, and Effective/Implementation 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 01-01-2006 will include filings submitted *on* 01-01-2006.

State Specific Fields

If your State Instance has State Specific Fields, requesting additional information from the industry, you will have the ability to run an Advance Search on those specific fields.

Source-Target Lists

The source-target lists in Advanced Search are SERFF Status, State Status, Reviewer, TOI, and Filing Type. The SERFF Status options are those status indicators used by the system. The State Status list comes from the Instance Preference. The Reviewer list includes all users on the current instance with the authority to review a filing. 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 can contain *either* selection.

Radio Buttons

The two radio button search options are Filing Medium and Business Type. Both are set to a default of “Both” and can be changed by clicking a different option in the set. Searching by either of these fields requires the use of at least one other criteria item.

Running an Advanced Search

1. Click the Search/Export link on the Workspace.

2. The Advanced Search page displays.

3. Enter the desired search criteria.

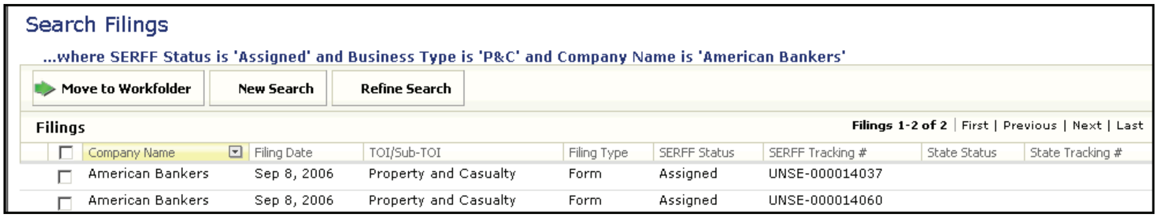
4. Click the Search button.

The Search Filings screen displays the search criteria and all the filings that match the criteria. Click on any row to open the filing displayed.

Company Name	Filing Date	TOI/Sub-TOI	Filing Type	SERFF Status	SERFF Tracking #	State Status	State Tracking #
American Bankers		Property & Casualty	Rate	Draft	UNSE-000014033		
American Bankers		04.0 Homeowners	Form	Draft	UNSE-000014035		
American Bankers		Property and Casualty	Rate	Draft	UNSE-000014036		
American Bankers	Sep 8, 2006	Property and Casualty	Form	Assigned	UNSE-000014037		
American Bankers		04.0 Homeowners	Form	Draft	UNSE-000014053		
American Bankers		04.0 Homeowners	Form	Draft	UNSE-000014055		
American Bankers		Property & Casualty	Rate	Draft	UNSE-000014057		

Refine Search

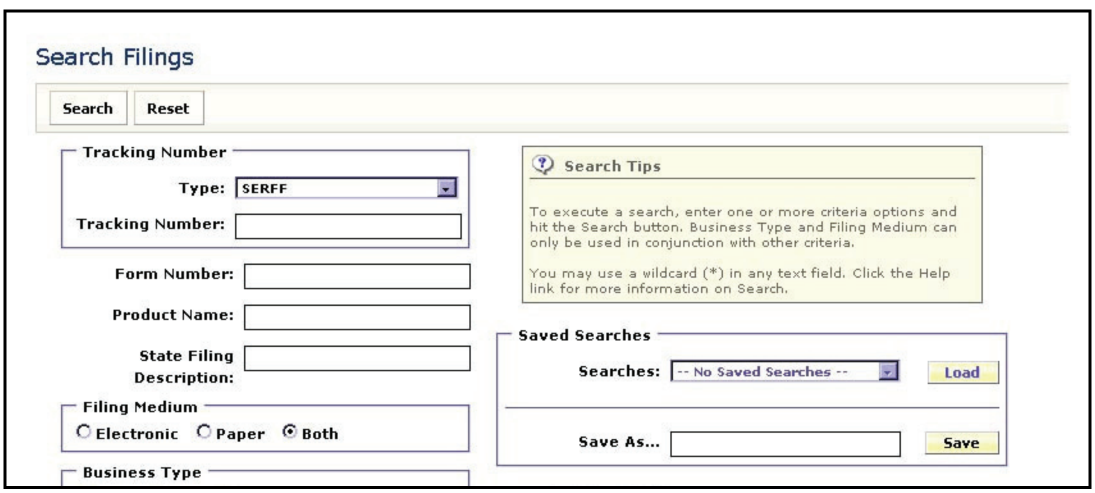
The Refine Search button on the search results page takes the user back to the search criteria screen without erasing the search criteria previously entered. The search can be refined without having to re-enter the existing criteria.



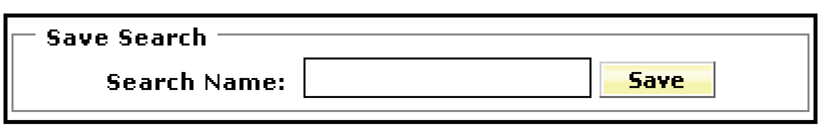
Saving an Advanced Search

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.



2. Enter a name to identify this search in the Search Name text box.



3. Click the  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  button.

3. The screen will be updated to show the criteria for this search. The criteria may be modified without affecting the saved search.

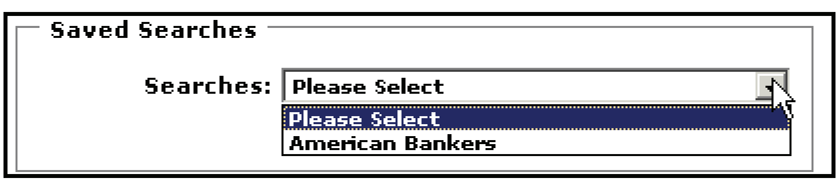
4. Click the  button.

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

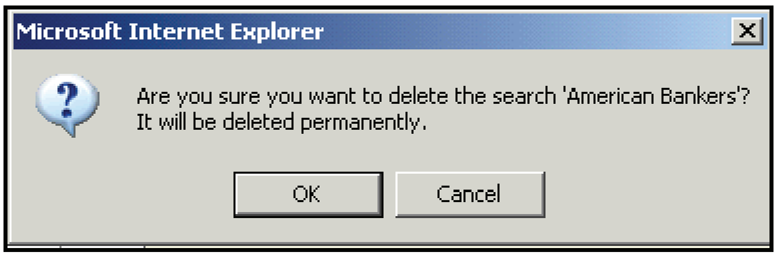
1. Go to the Advanced Search screen.

2. Click on the drop down arrow in the Saved Searches field and select the search to be deleted.



3. Click the  button.

4. Click the Delete button.

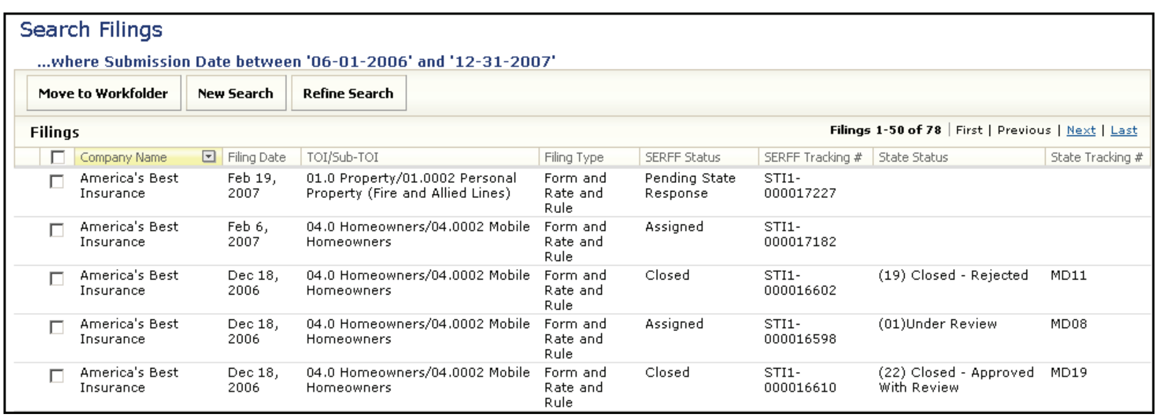


5. A confirmation message appears confirming this action. Click OK to delete.

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 recaps the criteria used for the search and shows the number of filings found. All the columns in the search results page are sortable.



Export Tool

The Export Tool is available to authorized state users. If a user has the Export Role, the link in the Workspace will read ‘Search/Export’ rather than ‘Search.’

The Export Tool offers a Quick Export option as well as the ability to utilize the Advanced Search feature to write the query identifying the filings to be exported. Refer to the sections on creating and running Advanced Searches for more information.

Quick Export

The Quick Export Tool allows users to pull a defined set of data based on the search criteria chosen. 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 Quick Exports.

3. The query will automatically export the data into an Excel spreadsheet.

Running an Export

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

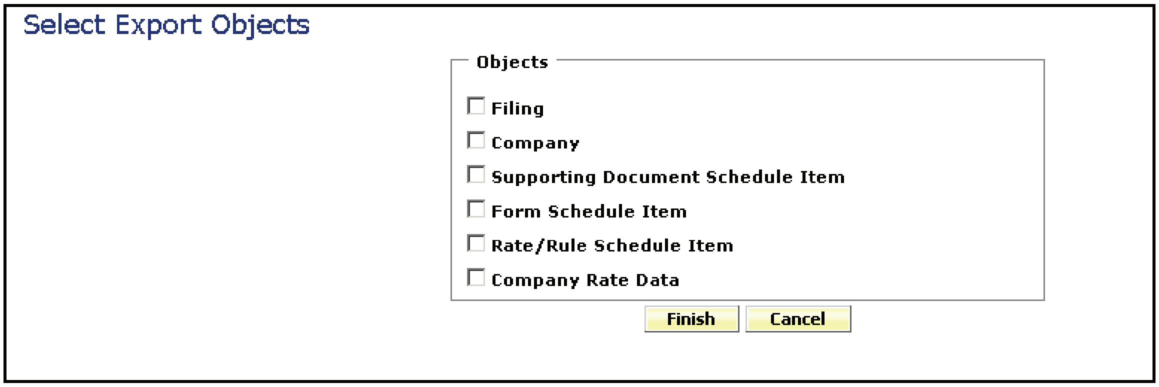
   Before exporting data, it’s a good idea to run the query as a search and validate that the desired results are being returned.

2. Click the 

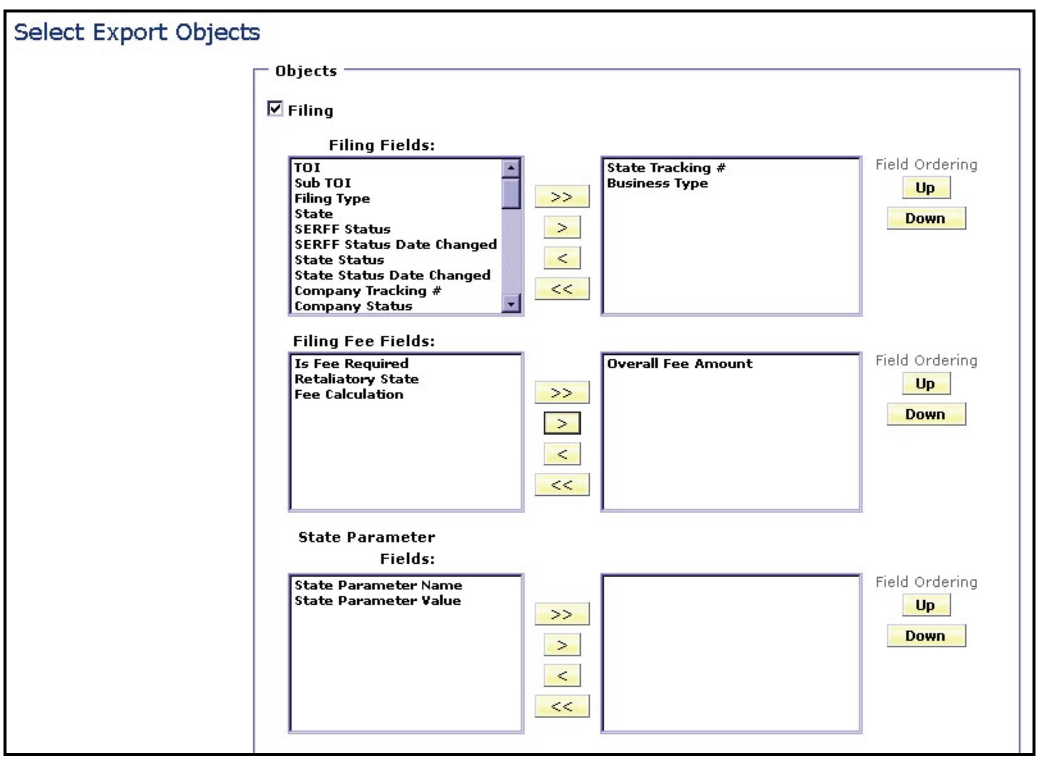
button on the Advanced Search screen.

☞ 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 sections for a list of the fields.



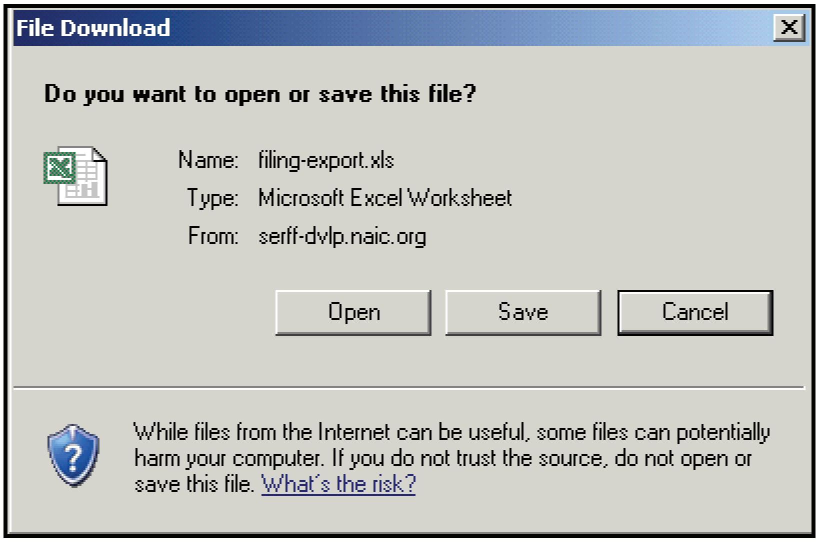
4. When an object is selected, a "sub-level" of options becomes available. This feature allows users to select which fields they wish to be included in their Export file.



5. Users can select each object and “sub-level” option, and then click the 

button.

6. The File Download dialog opens.



7. Choose an action.
   - Open launches Microsoft Excel and displays the export results.
   - Save prompts the user to save the export file to a local or network drive.
   - Cancel returns the user to the Select Export Objects screen.

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 in order 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, the Filing Object, Company Object, and Supporting Document Object were all exported. A number of fields have been removed to aid illustration.

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 fourth 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.

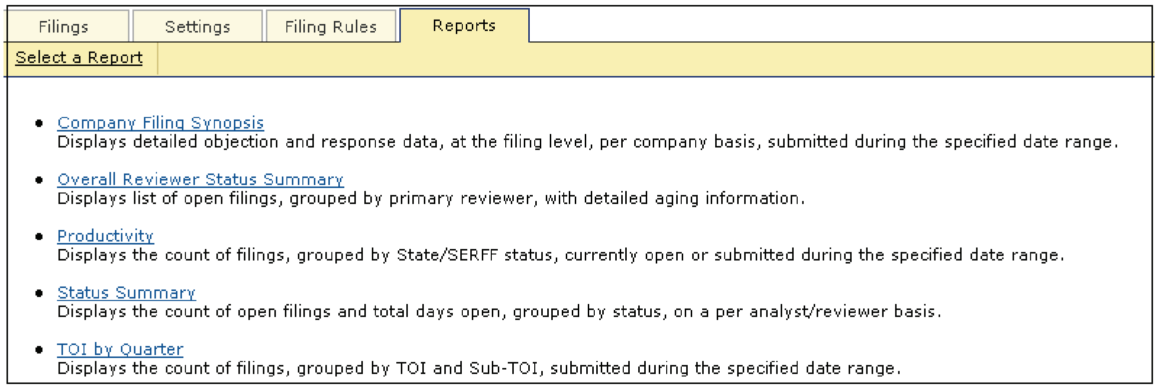
Note that the cell is empty for columns that do not apply for that row. Thus, the first three columns and the last two columns have no data for the rows that contain the Company object.

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

Reports

The Reports tab is where authorized users can run reports on their filings. There are five reports available to state users.

The Export Tool is a good way to create custom reports.



Company Filing Synopsis – Provides detailed Objection & Response information at the filing level, on a per Company/TOI basis, over a given date range.

Overall Reviewer Status Summary – Provides a list of open filings by Reviewer and lists the filing status along with the number of days since the filing was assigned to the Reviewer.

Productivity – Provides a count of filings received and filings closed in a given date range, along with a count of all open filings by status.

Status Summary – Provides a count of open filings by status for each Reviewer or a selected Reviewer.

TOI by Quarter – Provides a count of filings received by Type of Insurance for each quarter in the selected year.

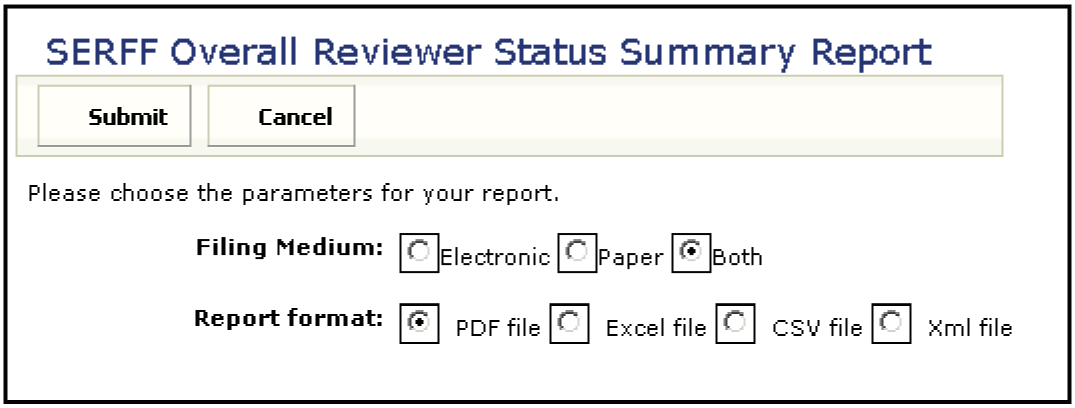
Generating a Report

1. Click the Reports tab.
2. Click the link for the report to be 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.

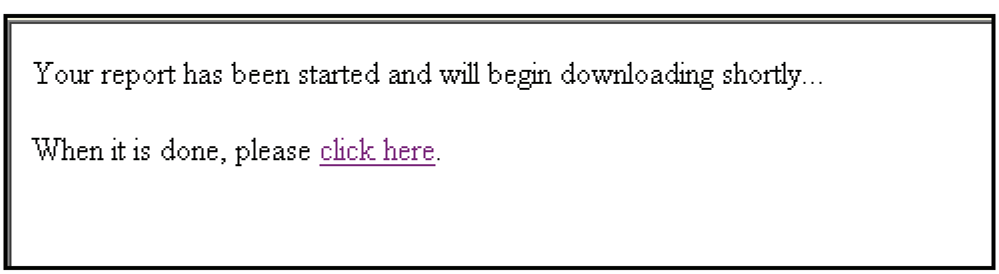
c. Primary Reviewer – Select a specific Reviewer or leave to the default of All Reviewers.

d. Year – Select the year for which to run the report.

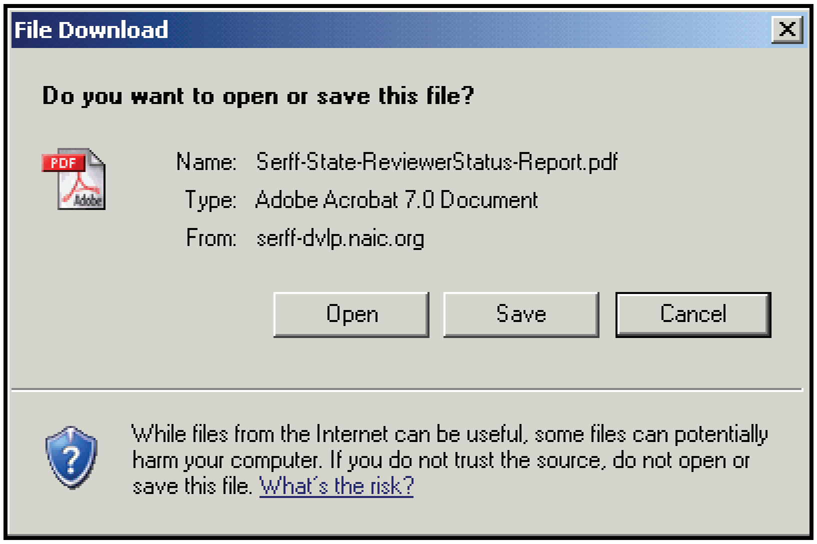
☞ Not all criteria are available for all reports. The screenshot below shows the Overall Reviewer Status Summary Report.



4. Select the Report Format.
   a. PDF file – Portable Document File that can be opened by Adobe Reader or Adobe Acrobat.
   b. Excel file – A file that can be opened in Microsoft Excel.
   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.



7. The File Download dialog opens.



8. Click the 

button to open the file.

9. Click the 

button to save the file.

10. Click the 

button to cancel this action.