#### Lesson 7

This lesson covers the Paper Tracking feature in SERFF. State users have the flexibility to enter their paper filings into SERFF for those companies that are not yet filing via SERFF. Using the Paper Tracking feature, SERFF allows states to have all filings, both electronic and those submitted to states in paper, 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 state has the option to enter as much or as little data as they deem necessary.

A Paper Filing can be assigned to a reviewer the same way an electronic filing is assigned and reviewed in SERFF. Although there is no direct communication within SERFF to the company on a paper filing, much of the workflow is the same.

#### This lesson covers the following topics:

- Adding a Company
- Adding a Contact
- <u>Creating a Paper Filing with the Filing Wizard</u>
- Draft Paper Filings



#### Companies

The Companies link stores company information for the state instance. 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 State Configuration Manager role assigned to their ID in order to have the 'Add Company' button available in SERFF.

Filings	Settings	Filing Rules	Rep	orts			
User Preferences Instance		Preferences Quick Text		<u>xt</u> <u>Co</u>	Companies Conta		

## Add Company

- 1. Click on Settings tab.
- 2. Click on Companies link.
- 3. Click **Add Company** button. A CoCode field will display.

Please	check Allow Empty CoCode checkbox or enter a CoCode.	
— CoCo	de	
State Ins	ance Alabama	Search Tips
	Allow Empty CoCode	
	CoCode	Enter a CoCode to add or edit a company. If the CoCode you enter is
	Create Cancel	already assigned to a company, you will be
		you choose, modify or add, the company.

- 4. Enter the CoCode (NAIC Company Code Number).
- 5. Click the **Create** button.

Company co	de exists please choose one to edit or press "Continue to Create".
Continue Create	Cancel

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 State Configuration Manager role assigned to their SERFF login ID to see these two functions.

Edit Deactivate	
— Company Informati	on ————
Company Name:	GEICO
Address:	123 West 10th, Kansas City, Missouri 64108
Telephone Number:	(816)555-1212
Fax Number:	
Company Type:	
Group Code:	1
Group Name:	test
CoCode:	22055
FEIN Number:	12-1234567
State of Domicile:	Maryland
Active:	Active

If the CoCode does not exist, 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 Paper Filing. Bold field names and red asterisks indicate places where data is required.

— Company Information —	
Instance: *	Alabama
CoCod	le: 22055
Company Name: *	Geico
Address: *	1010 Main
City: *	Kansas City
State: *	Missouri
Postal Code: *	64108
Telephone Number: *	(816)555-1212 Ext.
Ex: (123) 555-4	1567
Fax Numbe	er:
Ex: (123) 555-4	1567
Company Typ	e:
Group Cod	le:
Group Nam	ie:
FEIN Number: *	12-7654321
Ex: 22-7777777	,
State of Domicile: *	Missouri
Save	e Cancel

- 6. Click on **Edit** button to make updates to an existing company profile.
- 7. Click the **Save** button at the bottom of the screen when you are done adding and updating information. SERFF will acknowledge the creation of a new company added to the system and add that company to the list of companies available to when entering a paper filing.

Filings	Settings		Filing Rules	Reports
User Preferen	User Preferences Instan			<u>Quick Text</u>
Compa	ny c	reated.		

NOTE: If there are draft filings associated to the company being edited, the user will be notified upon clicking. 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.

SERFF Tracking Index	Product Name	Reference Title	Reference Number
MTIC-000500500	test		
MTIC-000500640	test		
MTIC-000500644	Test	ref title	ref num

#### **Searching for Companies**

You can enter a company name, or the beginning of a company name, and return a search. You can also use the '%' (wildcard) to enter a partial name and return results.

<sup>C</sup>Note: Any combination of fields may be used.

Fields in **bold** must match exactly. All other fields will match partial entries, starting with whatever text is typed. 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.

- Company Soarch		
Company Search		
Company Name	%ban	Search Tips
Company Type		Any combination of fields
Group Code		may be used.
Group Name		Fields in <b>bold</b> must match exactly. All other fields will match partial entries,
CoCode		starting with whatever text you type. If you do not
FEIN Number		make an entry in a field, no attempt to match on that field will be made.
Ex: 22-777777		Filling out no fields will
State of Domicile	Alabama Alaska Alberta AMERICAN SAMOA	return all companies you can view.
	C Active C Inactive C Either	
Search	Reset	

Searching for Companies

- 1. Click the Companies link to search for a company.
- 2. Enter Company name, or use wildcard (%).

Filings	Settings	Filing Rules	Reports	;						
User Preferenc	es <u>Instance</u>	Preferences	<u>Quick Text</u>	<u>Companies</u>	<u>Contacts</u>					
Add Company New Search Edit Search										
	·									
Company	Name	Comp	any Type	CoCode	Group Name	Group Code	FEIN Number	State of Domicile	Instance	Active
Geico				22005		0	12-1234567	Rhode Island	Utah	Active
TGB Insur	ance Company			11223		0	12-9876543	Missouri	Utah	Active
-										

- 3. The **Edit Search** button takes you back to the previous search criteria entered and displays and preserves the search criteria previously entered. You can refine your search without having to re-enter search parameters.
- 4. Click the button to erase all search field entries and start a fresh company search.

## Contacts

The Contacts link behaves much like the Companies. Begin by searching for the contact name you would like to add. This helps to prevent the addition of duplicate contacts to the instance. You may use the wildcard (%) in this search as well. For example,'% lea' entered into the Last Name field below.

Filings	Settings	Filing Rules	Reports	;		
User Preference	es <u>Instance</u>	Preferences	<u>Quick Text</u>	<u>Companies</u>	<u>Contacts</u>	
Add Contac	t					
— Find a (	Contact —					
	Last Name	Cleaver				
	First Name					
	Email Address					
	Job Title					
51	ate Instances	Utah UtahH				
		- Active	e O <sub>Inactive</sub>	CEither		_
		Sea	rch			

# Adding Contacts

- 1. Type in contact information in one or all fields.
- 2. Click on **Search** button.
- 3. Once it is confirmed that the name you would like to add is not already in the

system, click the **Add Contact** button and enter the contact information.

You may search on contacts that are active, inactive or both. A State Configuration Manager can modify the status of an existing contact to active or inactive.

- Contact Information
Asterisk image denotes required field.
State Instance: * UtabH
First Name: *
Last Name: *
Job Title:
Email Address: *
Ex: name@domain.com
Address: *
State: *
Postal Code: *
Telephone Number: * Fxt.
Ex: (123) 555-4567
Fax Number:
Ex: (123) 555-4567
Save Cancel

- 4. The following fields are required when adding a new contact:
  - a. First Name
  - b. Last Name
  - c. Email Address
  - d. Address
  - e. City
  - f. State
  - g. Postal Code
  - h. Telephone Number
- 5. Click the **Save** button, at the bottom of the page, after completing the required fields.

	Filings	Settir	ngs	Filing Rules	Report	s			
Us	er Preferend	<u>es Ins</u>	tance	<u>Preferences</u>	<u>Quick Text</u>	<u>Co</u>	<u>mpanies</u>	<u>Contacts</u>	
	Contact	saved.							

6. SERFF will confirm that the Contact information entered was saved.

<sup>C</sup> Note: State Configuration Managers can deactivate a contact at any time.

However, contact information remains in the instance for historical reference. Also, inactive contacts will remain on any SERFF filings for which they were designated the contact. Inactive names will no longer be available for selection from drop down lists. Contacts may be reactivated at a later time if needed. When searching for a contact to reactivate, be sure to set the active status to 'Inactive' or to 'Either'.

— Find a Contact ——	
Last Name	
First Name	
Email Address	
Job Title	
	- Active
	C Active 💽 Inactive C Either
	Search

## Creating 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 are that there is no communication via SERFF on the filing. The process to create a paper filing is similar to creating an electronic filing. They both utilize the Filing Wizard.

Click on Create Paper Filing link under the Filing tab to begin using the

#### Filing Wizard.

Filings	Billing	Settings	Filing	Rules				
<u>My Workfolder</u>	<u>Mγ Open Fili</u>	ngs <u>My Dra</u>	<u>ft Filings</u>	Messages	<u>Search</u>	<u>Create Filing</u>	<u>Create Paper Filing</u>	
My Workfolder							4m)	

#### **Definition of Filing Wizard Buttons:**

Move All	Move all items to the right column.
>	Move the selected items to the right column.
<	Remove the selected items from the right column.
Remove All	Remove all items from the right column.
Previous	To go back a step in the Filing Wizard.
Next	To advance to the next step in the Filing Wizard.
Save and Close	This button will save the Filing under the Intake Filings link and close the view. The Author may then access the Filing
	from the Intake Filings link under the Filings tab.
Save and Continue	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 within the Filing Wizard.
Save	This will save the paper filing under the <u>Intake Filings</u> link.
Cancel	Cancels 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. 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 in 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 in their organization.

Step 1 - Create a PAPER Filing					
* Asterisk image d	enotes required field.				
Business Type:	* Please Select				
Product Name:	*				
Project Name:					
Project Number:					
Next					
Cancel					

Click on the **Next** button to advance to Step 2.

Wizard now will discard what was entered in Step 1.

#### Step 2- Select Type of Insurance

Step 2 - Select	/pes of Insurance	
Selected States	Type Of Insurance	
New Hampshire	Please select a value	_
Previous Next	Please select a value 33.0 Other Lines of Business 34.0 Title 35.0 Interline Filings Aircraft	
Save and Close	Cand Boiler & Machinery Commercial Auto Commercial Multi-Peril Credit-PC Crime Earmowners Multi Peril	•1

- 1. Click on the drop down arrow next to the Type of Insurance label to select TOI.
- 2. Select the appropriate TOI.
- 3. Click on the **Next** button to advance to Step 3.

Note: In order for a TOI to show in the drop down box on a paper filing, the TOI must have been marked as a Paper TOI in Filing Rules. See Lesson 3 for information on making TOI's available for use on Paper Filings.

## Step 3 – Select Sub-Type of Insurance

Select the Sub-Type of Insurance. The Sub-Type drop down arrow will list the Sub-Types of Insurance that are available based on the TOI selected in the previous step.

Step 3 - Select Sub-Type of Insurance Sub-Type Of Insurance	
New Hampshire TOI: 19.1/21.1 Private Passenger Auto Previous Next	Please select a value Please select a value Please select a value 19.1001 PPA No-Fault (PIP) Only 19.1001/21.1000 PPA No-Fault (PIP) and Physical Damage Combination 19.1002 PPA Liability Only
Save and Close Save Cancel	19.1002/21.1000 PPA Liability and Physical Damage Combination 21.1000 PPA Physical Damage Only

## Step 3 – Select Sub-Type of Insurance

- 1. Select the Sub-TOI.
- 2. Click on the **Next** button to advance to Step 4.
- 3. To save the filing here, click the **Save and Close** link.

Note: The 'In Process Filing Constructors' can be found by clicking the

**Save and Close** link and selecting the **Intake Filings** tab. This is where all paper filings are stored if the Author has not completed all of the Filing Wizard steps. When the Author is ready to resume the draft paper filing, simply click on the Filing and the Filing will open to last updated step in the Wizard.

#### Step 4 – Select Filing Types

The Filing Type Selector uses a standard naming convention for the most commonly used Filing Types in SERFF. Any non-standard Filing Types listed have been setup by your state and are displayed based on the TOI and Sub-TOI selected.

Stop 4 - Salact Filing Types	
Step 4 - Select Hing Types	
Selected States	Filing Types
New Hampshire TOI: 19:1/21:1 Private Passenger Auto Sub-TOI: 19.1002/21.1000 PPA Liability and Physical Damage Combination	□ Form □ Loss Cost □ Rule
Previous Next	
Save and Close Save Cancel	

## Step 4 – Select Filing Types

- 1. Place a checkmark next to the Filing Type(s) applicable to the filing.
- 2. Click on the **Next** button to advance to Step 5.

#### Step 5 – Confirm Selections

Step 5 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 5 - Co	nfirm Selections		
State	тоі	Sub-TOI	Filing Types
New Hampshire	19.1/21.1 Private Passenger Auto	19.1002/21.1000 PPA Liability and Physical Damage Combination	Form
Previous Save and Clos	Save and Continue		

## Step 5 – Confirm Selections

1. Click on the **Save and Continue** button to advance to Step 6.

#### Step 6 – Select Companies

All contacts and companies need to be created in both the Companies and Contacts views under the Settings tab prior to completing the Filing Wizard. All companies and contacts must be set up in SERFF by the State Configuration Manager prior to creating Paper Filings. Only the Configuration Manager will be able to add contacts and companies.

Step 6 - Select	Companies and Contact
Select a Contact:	* Michael Adams
Companies:	* Adams Insurance Company  Move All  Remove All
Next	
Save and Close	Save Cancel

# Step 6 – Select Companies

- 1. Select the contact from the drop down list.
- 2. Select the company or companies and click on the or **Move All** button. Multiple companies can be added at one time by holding down the Ctrl or Shift buttons on your keyboard.

Step 6 - Select	t Companies and Contact	
Select a Collider		
Companies:	* Adams Insurance Comparison	ny
Next Save and Close	Save Cancel	

3. Click Next to advance to Step 7.

#### Step 7 – Selecting Companies

States have the option to select multiple companies on a filing. Clicking on the



appropriate companies for each state.

Note: States may set the option to pre-determine if multiple companies are

allowed on a single filing on the Settings tab of the Instance Preferences. If the state has this set for multiple companies, companies fields will auto populate.

Step 7 - Select Companies For States					
Reset	Sel	ect All Companies	De-Select All Companies		
		* - Multiple co	mpanies accepted on a filing		
New Hamp Adams I	shire * Insurance	Company			
Previou	15	Save and Continue			
Save	and Close	Save Canc	el		

Step 7 – Select Companies for States

1. Click on the **Save and Continue** button to advance to Step 8.

#### Step 8 – Default Filing Data

Step 8 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. None of the information on this step is required. The state should enter data that is important to their review and data that might be important for reporting.

- Filing Description: This area can be used in lieu of a Cover Letter or Filing Memorandum and is free-form text.
- 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 state can indicate the different effective dates for new or renewal business. (P&C only).
- Status of Filing in Domicile: Field to indicate the status of company's filing in their state of domicile.
- **Domicile Status Comments:** Free-form text field for company to supplement Domicile Status.
- 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. If permitted, use this area to indicate either an advisory organization name or "me too" company name.
- 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.
- Advisory Org Circular: This is a unique number that references the circular number.

Step 8 - Default Filing Data				
Filing Description:				
Effective Date Requested (New):	© O On Approval			
Effective Date Requested (Renewal):	© © On Approval			
Status of Filing in Domicile:	-Please Select-			
Domicile Status Comments:				
Reference Organization:				
Reference Number:				
Reference Title:				
Advisory Org. Circular:				
Previous Next				
Cancel				

# Step 8 – Default Filing Data

- 1. Complete the Filing Data page as desired.
- 2. Click on the **Next** button to advance to Step 9.

#### Step 9 – 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 if changes need to be made.

Step 9 - F	inal Filing Summary			
State	тоі	Sub-TOI	Filing Types	Companies
New Hampshire	19.1/21.1 Private Passenger Auto	19.1002/21.1000 PPA Liability and Physical Damage Combination	Form	Adams Insurance Company
Previous Cancel	Finish			

## Step 9 – Final Filing Summary

1. Click **Finish** button to complete the Filing Paper Wizard process. The completed filing(s) is available via the Intake Filings link.

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.

Filings Settings Filing Rules Reports	
My Workfolder My Open Filings Intake Filings Messages	Search/Export Create Paper Filing
Save Apply Cancel	
	Utah
	View Filing Log
Filing Company Geico	SERFF Tr Num: UNSET-000032688
TOI: 19.0 Personal Auto	SERFF Status: Submitted to State
Sub-TOI: 19.0001 Private Passenger Auto (PPA) 🔽	State Tr Num:
Filing Type: Form/Rate/Rule	State Status: Please Select 🗸
Assigned To:	Co Tr Num:
Date Submitted: 01/04/2010	Disposition Date:
State Filing Description:	

## **Deleting Paper Filings**

If a Paper Filing needs to be deleted, find it in the Intake Filings tab, open the filing and

then click on Delete Filing button.

Assign Reviewers Edit Set Public Access Create Objection Create Reminder	Move to Workfolder PDF Pipeline	Delete Filing
		Iltah
		otan
		View Filing Log
Filing Company Geico TOI: 19.0 Personal Auto Sub-TOI: 19.0001 Private Passenger Auto (PPA) Filing Type: Form/ Rate/ Rule	SERFF Tr Num: UNSET-000032688 SERFF Status: Submitted to State State Tr Num: State Status:	
Assigned To:	Co Tr Num:	
Date Submitted: 01/04/2010	Disposition Date:	
State Filing Description:		

## Paper Filings

After completing the Filing Paper Wizard process, the Filing Paper Wizard automatically generates the number of draft filings needed.

Scrolling over a Filing in the <u>Intake Filings</u> view, highlights that Filing and the Filing can be opened by clicking anywhere on that line.

Ir	ntake	e Fi	lings			Most	Recently Viewed Filings
P	love to	Wor	kfolder Assign Reviewers				
Ur	nassign	ned	Filings			Filings 1-15 of 15   First	Previous   Next   Last
66		Π.	Company Name	Filing Date 🗵	TOI	Sub-TOI	Filing Type
			Geico	Jan 4, 2010	19.0 Personal Auto	19.0001 Private Passenger Auto (PPA)	Form/ Rate/ Rule

The indicates that this is a Paper Filing.

## Open a Paper Filing

1. To open the filing click anywhere on the Filing.

Filings	Settings	Fil	ling Rules	Rep	ports								
My Workfolder	My Open F	lings	Intake Fi	lings	Messages	Search/	Export	Create Pape	r Filing				
Assign Re	viewers Ed	it	Set Public A	ccess	Create O	ojection	Create	e Reminder	Move to W	/orkfolder	PDF Pipeli	ine	Delete Filing
													Utah
													View Filing Log
Filing Comp	any Geico								SERFF Tr	Num: UNS	ET-0000326	88	
TOI: 19.0 Pe	rsonal Auto								SERFF St	atus: Subm	itted to Stat	e	
Filing Type:	Form/ Rate/ F	asser ule	nger Auto (F	PA)					State Ir	Num: Itus:			
Assigned To	:								Co Tr Nu	m:			
Date Submi	tted: 01/04/20	10							Dispositi	on Date:			
State Filing	Description:												
General Informa	Form Sched	ule	Rate/Ru Schedule	le s	Supporting Documentati	on Sp	ate ecific	Companies and Contact	Filing Fees	Filing Corresp	oondence	Paper Information	
Produc	t Name: * 4	uto						De	emer Date	2:			

1. Click the **Edit** button to update the Filing.

Save Apply Cancel	
	Utah
	View Filing Log
Filing Company Geico	SERFF Tr Num: UNSET-000032688
TOI: 19.0 Personal Auto	SERFF Status: Submitted to State
Sub-TOI: 19.0001 Private Passenger Auto (PPA) 🔽	State Tr Num:
Filing Type: Form/Rate/Rule	State Status: Please Select 💌
Assigned To:	Co Tr Num:
Date Submitted: 01/04/2010	Disposition Date:
State Filing Description:	
General Form Rate/Rule Supporting Information Schedule Schedule Documentation	Specific And Contact Fees Correspondence Information
Product Name: * Auto	Deemer Date:
Project Name:	Project Number:
Effective Date   Requested (New): On Approval	Effective Date  Requested (Renewal): On Approval

## Filing At A Glance

The Filing at a Glance contains the following fields:

- First Filing Company: First company on the filing. When followed by an ellipses,
  - '....', this indicates there are multiple companies on a filing.
- SERFF Tracking (Tr) Num: This is the unique tracking number defined by SERFF.
- **SERFF Status:** For Paper Filings, this value can be set by the Author.
  - **Submitted to State:** The filing has been received and has passed all applicable validations. State can now review 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 responded to by industry. Filing is still open.
- **Closed:** The state has created a Disposition Report indicating the final action of the filing.
- **TOI:** Type of Insurance.
- **SUB TOI:** Sub-Type of Insurance.
- State Tracking (Tr) Num: The state will enter their tracking number, if applicable.
- State Status: The state will enter their status of the filing.
- **Tracking Number (Co Tr Num):** Enter the company tracking number for this filing, if provided.
- Filing Type: Defined in the Filing Wizard during the preparation on the filing.
- Assigned To: Reviewer assigned to review the filing.
- **Date Submitted:** The date the filing is submitted to the state.
- **Disposition Date:** The date the Disposition Report was submitted to company and final action taken.
- **State Description:** This field is intended for the state to use however they deem necessary. They can enter state specific comments, track data, etc.

## **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 reviewer 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. At this point, SERFF offers several options depending on state 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 states, it may be enough to add a Reviewer 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 just as is done when creating an electronic SERFF filing. Additionally, the Author can create Objections and Objection Letters or just create a Disposition to show the final action on a paper filing. SERFF allows the states the flexibility to adjust the Paper Filing process to best complement the individual state's workflow.

#### Form Schedule

The Author may choose to add all Form-related attachments to the Form Schedule tab.

- 1. Form Name Enter name of Form being submitted.
- 2. Form Number Enter Form Number of Form being submitted.
- 3. Edition Date Enter the month and year the form was developed.
- 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.
  - o New
  - o Replacement
  - o Withdrawn

#### Action Specific Data:

- Replaced Filing 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

## Form Schedule

Gener Infor	ral Form mation Schedule	Rate/Rul Schedule	le Suppo Docur	orting mentation	State Specific	Companies and Contac	s Filing ct Fees	Filing Correspondence	Paper Information	
	Form Count: 0									
Select	Schedule Item Status	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specifi Data	c Readability Score	Attachments	Submitted
		Delete Selecte	ed Ad	ld						
Form Tyj Al Br Cf Fr P(	pe Legend: DV = Advertising ND = Bond ER = Certificate SC = Disclosure/Noti ND = Endorsement/A CF = Policy/Coverag	ce mendment/Co e Form	nditions		ABE CNF DEC ERS OTH	E = Application R = Canc/NonF C = Declaratio S = Election/Re H = Other	n/Binder/Enrollı Ren Notice ns/Schedule ajection/Supple	ment mental Applications		

- 1. Click the **Add** button to initiate a row where Form data will be entered.
- 2. Complete the fields listed above.
- 3. The Author attaches all forms related items on the Form Schedule tab. The Author may upload up to 5 files per line item at one time.
- Attach Files 4. Click on the button.
- 5. 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						
	ot the energy isto file and slick on Open						

6. Select the appropriate file and click on

Choose file		<u>?×</u>
Look jn:	- IA 💌 🛧 🖬 -	
History Desktop My Documents My Computer My Network P	HealthCompAffidavit.pdf   HealthTransmittal2003-07-24.pdf   hipaainst_worksheet.pdf   File name:	n .
	Files of type: All Files (*.*)	

- 7. Click the **Upload** button when all files are uploaded.
- 8. Continue to click on **Add** button to add additional rows to attach forms.

## Rate/Rule Schedule – P&C

The Author may choose to complete any Rate/Rule Schedule items under the Rate/Rule Schedule tab.

- **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.
- Company Rate Information
  - 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.
  - 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.

• Effect of Rate Filing – Number of Policyholders Affected – Number Policyholders impacted.

<sup>C</sup> If there are multiple companies on a filing, the Overall Rate Information

(Premium and Policyholders) will automatically calculate for the user.

General	Fo	rm Ra	te/Rule	Supporting	State	Companies	Filing	Filing	Paper		
Informa	ation Scl	hedule So	hedule	Documentat	tion Specific	and Contact	Fees	Correspondence	Information		
Add Rate I	Data? 💽 Y	es 🖸 No									
Filing Met	thod:								]		
Rate Chai	nge Type:					-	Please Select-	*			
Overall P	ercentage	of Last Rate	Revision:						%		
Effective	Date of La	st Rate Revi	sion:						]		
Filing Met	thod of Las	t Filing:							]		
					Со	mpany Rate I	Informatio	n			
Company Name:	Overall % Change:	Indicated	Overall 9 Impact:	% Rate	Co Written Premi Change for thi Program:	mpany Rate um # of Po s Holder for thi	Informatio olicy rs Affected s Program :	N Written Premiu this Program:	ım for Maximu (where	m % Change required):	Minimu (where
Company Name: Geico	Overall % Change:	o Indicated	Overall 9 Impact:	% Rate	Co Written Premi Change for thi Program: \$	mpany Rate : um # of Po s Holder for thi	Informatio olicy rs Affected s Program :	n Written Premiu this Program: \$	Im for Maximu (where	m % Change required): %	Minimu (where
Company Name: Geico	Overall % Change:	• Indicated % • Exhibit I	Overall 9 Impact:	% Rate % Rule# or Pag	Co Written Premi Change for thi Program: \$	mpany Rate : um # of Pr Holder for thi	Informatio olicy rs Affected s Program :	n Written Premiu this Program: \$	Attach Docume	m % Change required): % nt: Submit	Minimu (where
Company Name: Geico Select St	Overall % Change: chedule Iten tatus	Indicated     %     Exhibit I     Delete end:    A - Dri	Overall 9 Impact:	% Rate % Rule# or Pag Add e Item 1% - Op	Co Written Premi Change for thi Program: \$ \$ ge #: Rate Ar been Objection	mpany Rate : um # of Pr s for thi	Informatio olicy *S Affected S Program :	n Written Premiu this Program: \$	Attach Docume	m % Change required): % nt: Submit	Minimu (where

## **Companies and Contact**

This is the section of the filing where the Author views the company and contact information.

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	Paper Information
Filing Contac	Informatio	1:						
Change Contac	t:	ame@domain.cr	Change	]				
12 West 20th Providence, RI	( 12121 [	123)555-4567 e: FAX]	kt. [Phone]					
Filing Compa	ny Informati	on:						
Add Company:	TGB Insurance C	ompany	Add					
Geico 12 West 10th				CoCode	22005			
Balitmore, MD (123)555-1212	56565 ext [Phone]			Group Code	:			
(120)000 1212	axe [rinone]			Group Name				
			F	of Domicile	r: 12-1234567			
Remove			5.616	mnany Type	. Knode Island			

# 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 fees can be recorded. There are no required fields on the Filing Fees tab.

- 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.
- Fee Explanation: Enter the explanation of where the state filing fee was derived.

General Form Rate/Rule Supporting State Comp. Information Schedule Schedule Documentation Specific and Co	anies Filing Filing Paper ontact Fees Correspondence Information
Overall Fee Required? Fee Amount: s Retaliatory? Retaliatory?	Checks There is no check information entered on this filing. Add Check
Fee Calculation Explanation :	EFTThis filing is NOT eligible for EFT

# Filing Fees Required

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

# Adding a Check to Filing Fees

- 1. Click the Add Check
- 2. Complete the appropriate fields.

Checks			
Check Number	Check Amount	Check Date	<u>Remove</u>
	Add Check		

#### **Supporting Documentation Tab**

The Author of a state Paper Filing may choose to scan the complete paper submission or one or more documents and attach them on the Supporting Documentation Tab.

## Add Supporting Documentation

- 1. Click on the Supporting Documentation tab.
- 2. Click on the **Add Supporting Documentation** button.

General Form Information Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence	Paper Information	
Expand All     Collapse All     Bypass Multiple       Add Supporting Documentation     Schedule Item Status:							
Legend: 🔺 - No Action Taken 🥯 - Satisfied 🧐 - Bypassed 🕾 - User Added							

- 3. Add the Supporting Document Information.
- 4. Attach files by clicking on the **Attach Files** link.
- 5. You may attach up to 5 files per requirement. 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.

6. Repeat steps 2 and 3 for each item needed for the paper filing.

	General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence	Paper Information	
Expand All Collapse All Bypass Multiple								Schedule Item Status:	
	🔲 🕾 🗆 Name								-Please Select- 💌
	Comment								
	🗆 No Atta	achment Requ	ired						
	Attach F Remove	iles							
	Add Suppor	rting Documenta	ation						
			Legend	d: 🔺 - No Action Tak	en 📀 - Satisfied 🖉	- Bypasse	d 🚨 - User Added		

SERFF File Attachment Upload							
File 1:	C:\Data\Adobe Files\Ret Browse						
File 2:	Browse						
File 3:	Browse						
File 4:	Browse						
File 5:	Browse						
L	Ipload Cancel						

Comments may be added to the Comment box 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.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence	Paper Information	
Expand All	Collapse All	Вура	ss Multiple					Schedule Item
	. I att wish Manage	ware et an						Status:
Comment	; pactunal memo	nandum						-Please Select- 💌
Type your cor	nments in the text	box. The text box	has a grey background wh	nen editing is not availa	ble.			
Actuaria	l Memorandum	.pdf Remove						
Attach F	iles							
Add Supporting Documentation								
		Legen	d: 🔺 - No Action Tak	en 🥝 - Satisfied 🗵	- Bypasse	d 🝣 - User Added		

When creating supporting documentation, the Author must either attach a file or check the 'No Attachment Required' box and add a Comment.

## State Specific Tab

The state has the option to set State Specific Fields for paper filings that may be different than those set for electronic filings. To edit State Specific Field labels, a State Configuration Manager should go to the Settings tab. No information is required on the paper State Specific Tab.

General Form Rate/Rule Supporting State Information Schedule Schedule Documentation Specific	Companies Filing Filing Paper and Contact Fees Correspondence Information
Is this filing compliant with the new filing procedure rule? :	*
Are all filing requirements met? :	*
Type YES here to confirm you have reviewed the appropriate content standards. http://www.insurance.utah.gov/Standards_P&C.html :	•
Type YES here to certify that the filing has been properly completed AND is in compliance with Utah laws and rules. :	*

## Filing Correspondence Tab

Authors may use the Filing Correspondence Tab to record correspondence to and from companies as the Paper Filing goes through the review process. Correspondence may be added via the Create Reviewer Note, Create Objection Letter and Create Disposition Report links on the Filing Correspondence Tab. For help creating state Correspondence on a filing, please refer to Lesson 5.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence	Paper Information	
No Pending Obj	ections								
No Objection Le	tters								
Create Objection L	Letter								
No Amendment	s								
No Post-Submis	sion Update	5							
No Dispositions									
Create Disposition	1								
No Filing Notes									
Create Reviewer N	Note								
No Reminders									

# 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, as well as every other tab in a SERFF Paper Filing, can be modified at any time.

Note: The Date Filing Received 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.

Save Apply Cancel	
	Utah
	View Filing Log
Filing Company Geico	SERFF Tr Num: UNSET-000032688
TOI: 19.0 Personal Auto	SERFF Status: Submitted to State
Sub-TOI: 19.0001 Private Passenger Auto (PPA) 🔽	State Tr Num:
Filing Type: Form/Rate/Rule	State Status: Please Select V
Assigned To:	Co Tr Num:
Date Submitted: 01/04/2010	Disposition Date:
State Filing Description:	

# Assigning Paper Filings

States may assign Paper Filings to Reviewers in the same manner as electronic filings. Assigning a Paper Filing moves it from the Intake View to the My Open Filing View of the assigned Reviewer. Please refer to Lesson 4 for more on assigning filings.