**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.

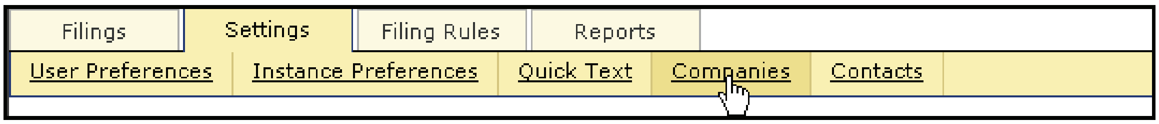
A Paper Filing can be assigned to a reviewer the same way an electronic filing is assigned and reviewed in SERFF.  Although there is no direct communication within SERFF to the company on a paper filing, much of the workflow is the same.

**This lesson covers the following topics:**

- Adding a Company
- Adding a Contact
- Creating a Paper Filing with the Filing Wizard
- Draft Paper Filings

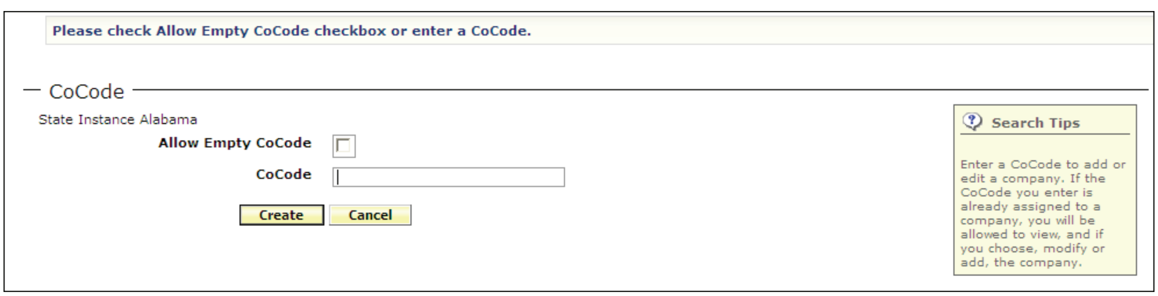
### *Companies*

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.

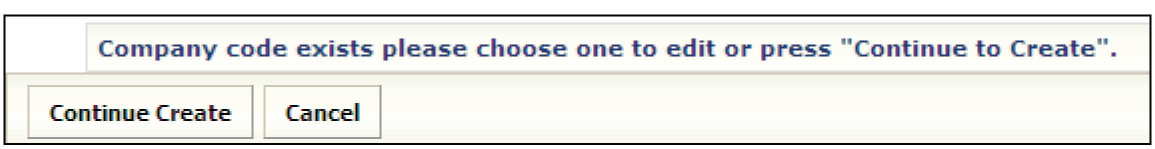



### Add Company

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

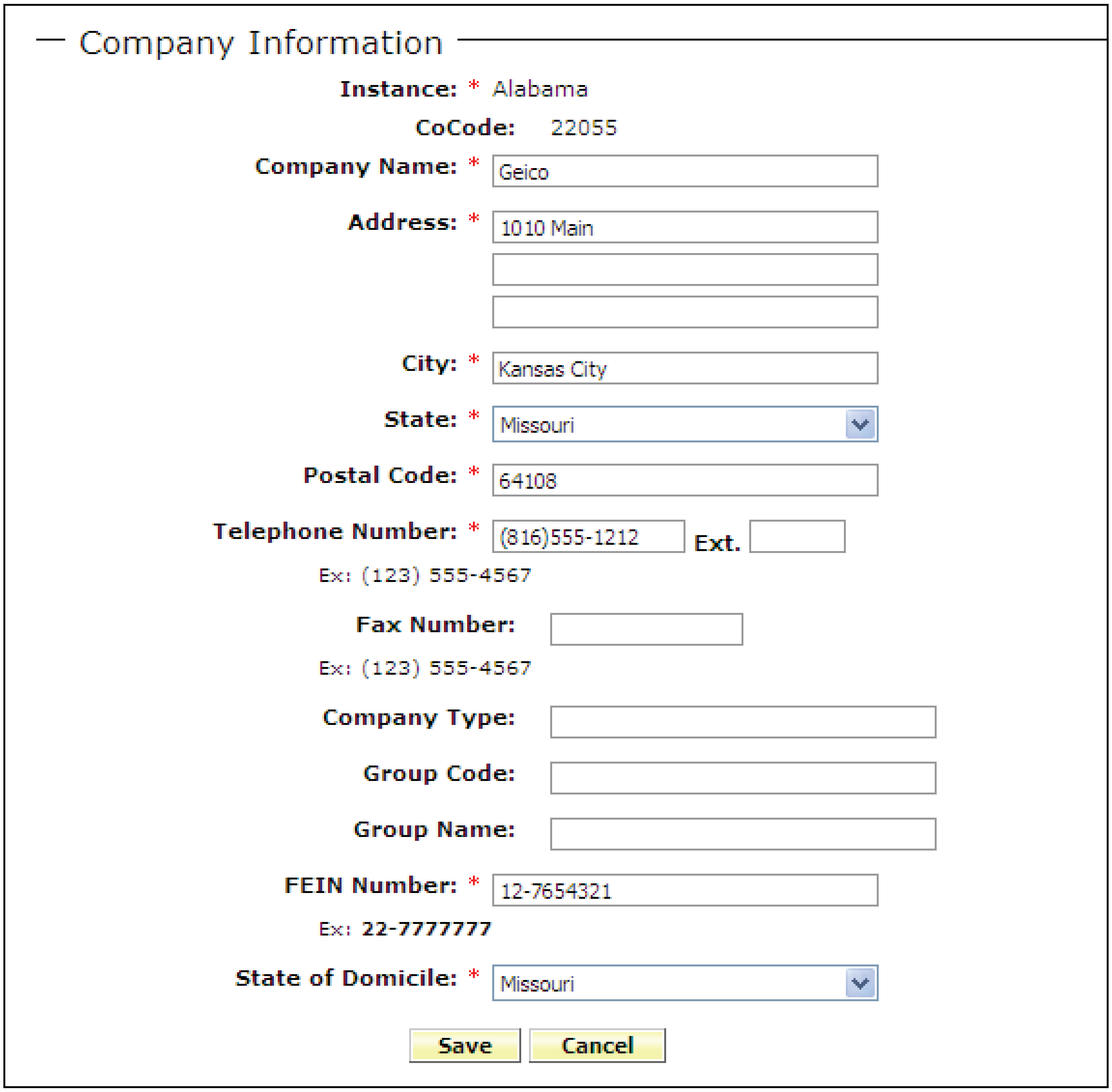



4. Enter the CoCode (NAIC Company Code Number).
5. Click the   button.

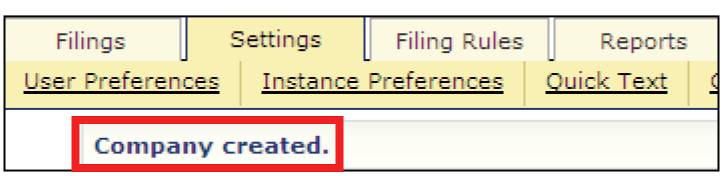



If the CoCode already exists, company information will display and the user will be given the option of editing the company information or deactivating the company. Again, the user must have the State Configuration Manager role assigned to their SERFF login ID to see these two functions.

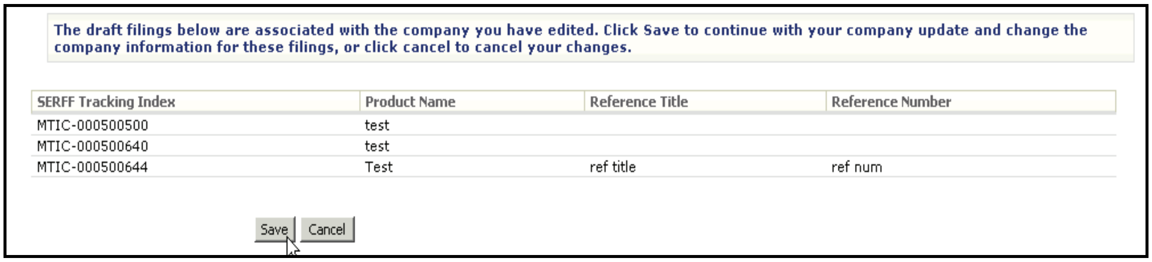

If the CoCode does not exist, the user will be taken to the data input screen to create the new company. By entering the company information here, the company will be stored in the instance and available when creating a SERFF Paper Filing. Bold field names and red asterisks indicate places where data is required.




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.



☞ **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.



The draft filings below are associated with the company you have edited. Click Save to continue with your company update and change the company information for these filings, or click cancel to cancel your changes.

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

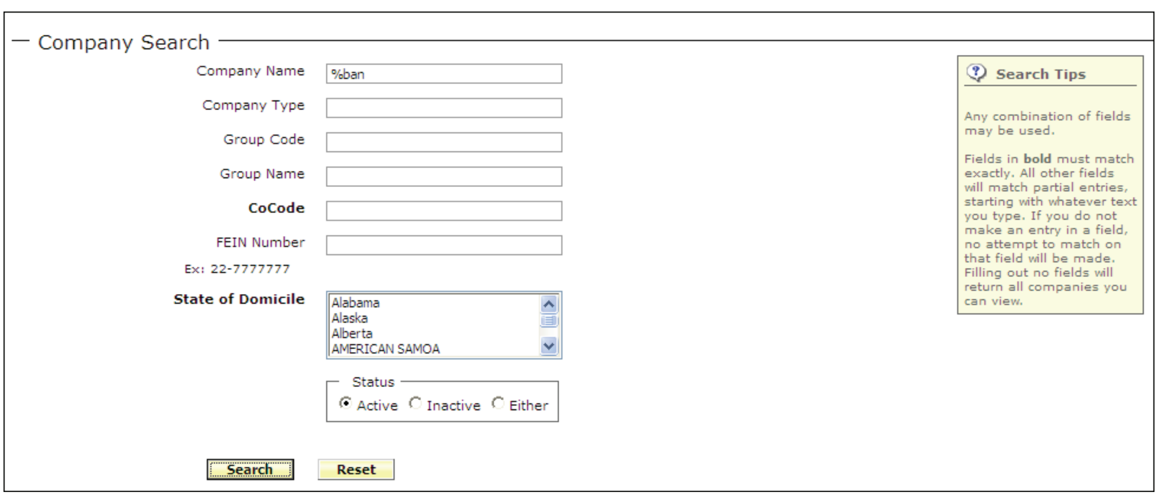
Save Cancel

**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.

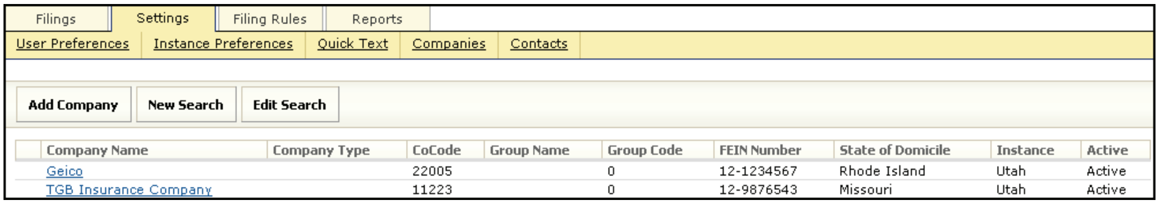
☞ Note: Any combination of fields may be used.

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.




☞ **Searching for Companies**

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




| Company Name | Company Type | CoCode | Group Name | Group Code | FEIN Number | State of Domicile | Instance | Active |
|---|---|---|---|---|---|---|---|---|
| Geico | | 22005 | | 0 | 12-1234567 | Rhode Island | Utah | Active |
| TGB Insurance Company | | 11223 | | 0 | 12-9876543 | Missouri | Utah | Active |

3. The 

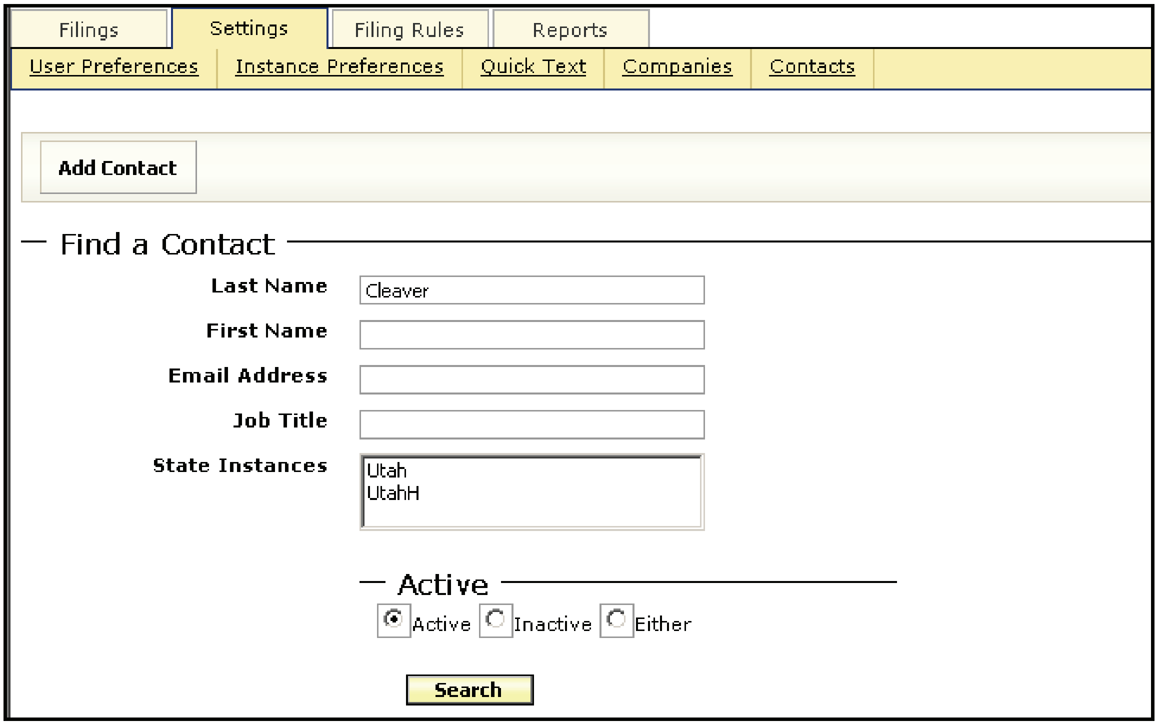
button takes you back to the previous search criteria entered and displays and preserves the search criteria previously entered. You can refine your search without having to re-enter search parameters.

4. Click the 

button to erase all search field entries and start a fresh company search.

***Contacts***

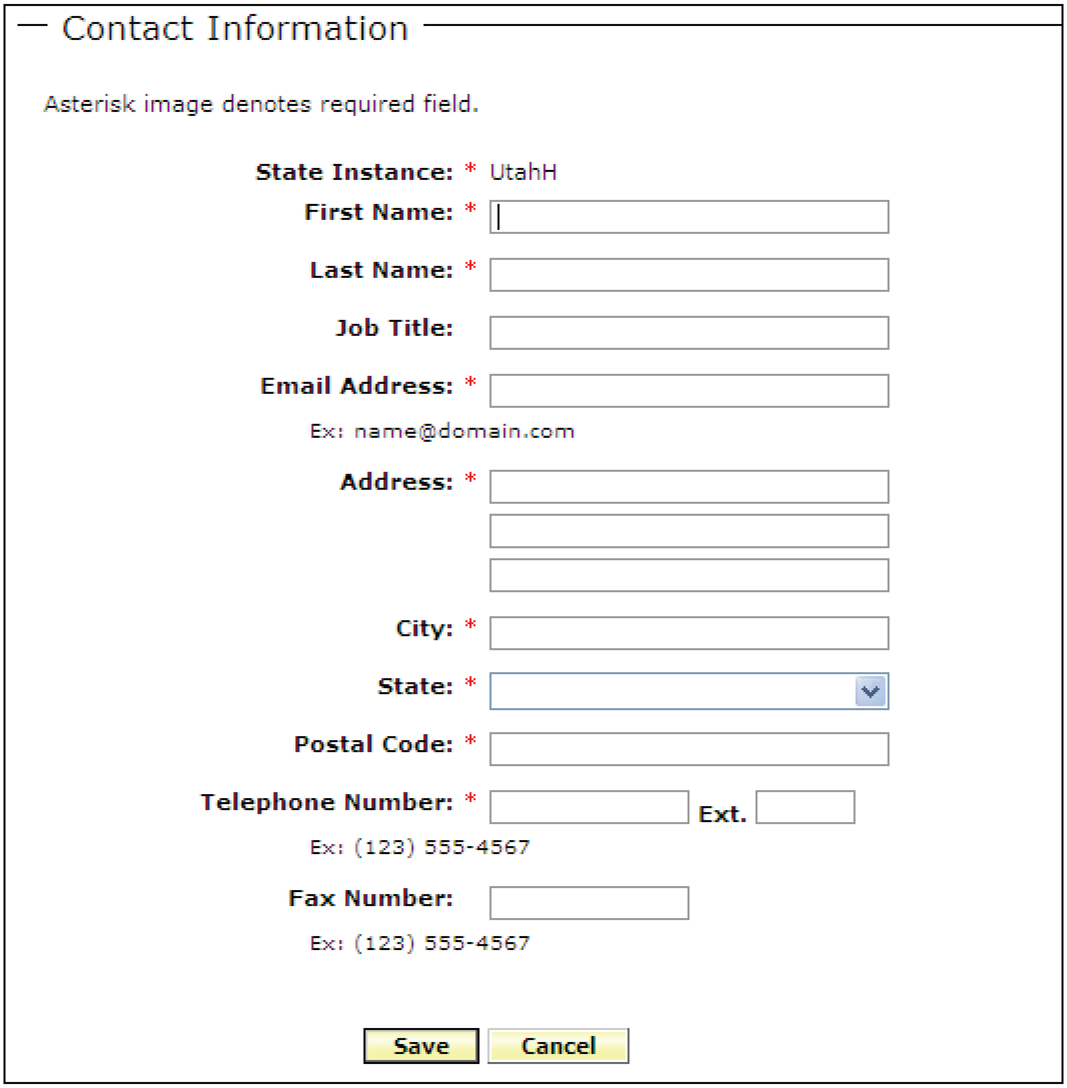
The Contacts link behaves much like the Companies. Begin by searching for the contact name you would like to add. This helps to prevent the addition of duplicate contacts to the instance. You may use the wildcard (%) in this search as well. For example,'% lea' entered into the Last Name field below.




### 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: * UtahH

First Name: *

Last Name: *

Job Title:

Email Address: *

Ex: name@domain.com

Address: *

City: *

State: *

Postal Code: *

Telephone Number: * Ext.

Ex: (123) 555-4567

Fax Number:

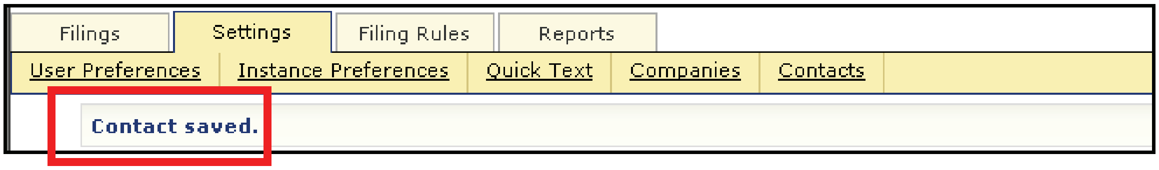
Ex: (123) 555-4567

Save Cancel

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 

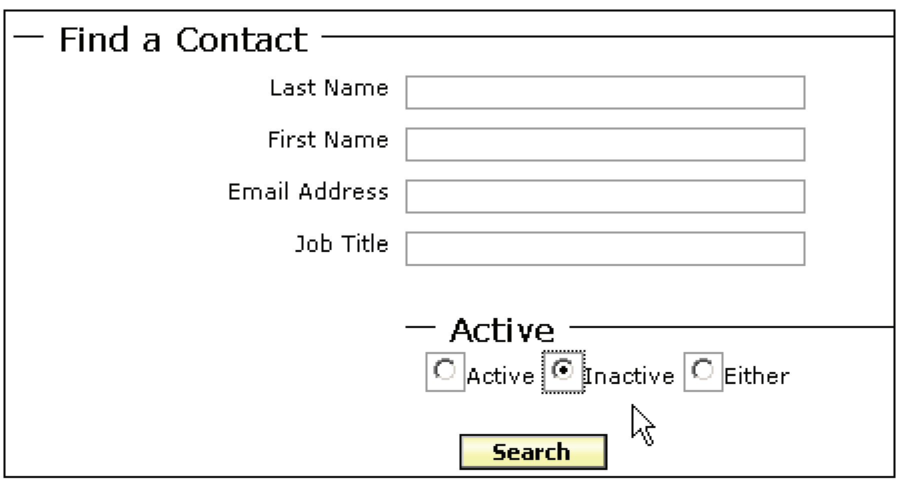
button, at the bottom of the page, after completing the required fields.




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

☞ Note: State Configuration Managers can deactivate a contact at any time.

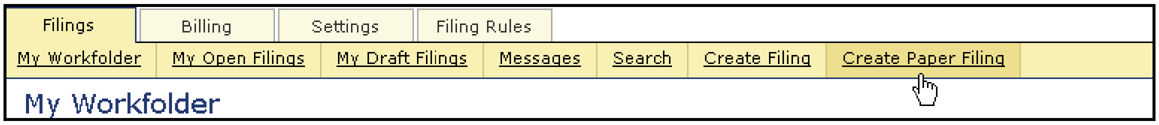
However, contact information remains in the instance for historical reference. Also, inactive contacts will remain on any SERFF filings for which they were designated the contact. Inactive names will no longer be available for selection from drop down lists. Contacts may be reactivated at a later time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




***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.**




**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 Intake Filings link. |
| Cancel | Cancels the Filing Wizard. |

**Step 1- Create a Paper Filing**

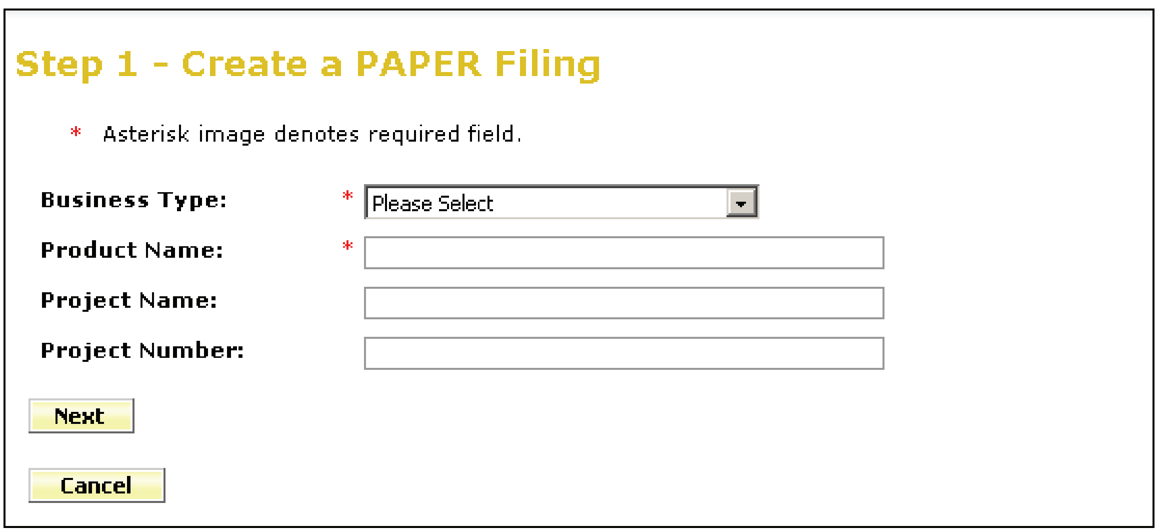
The first step in the Paper Filing Wizard is to accurately complete the following fields:

- **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.

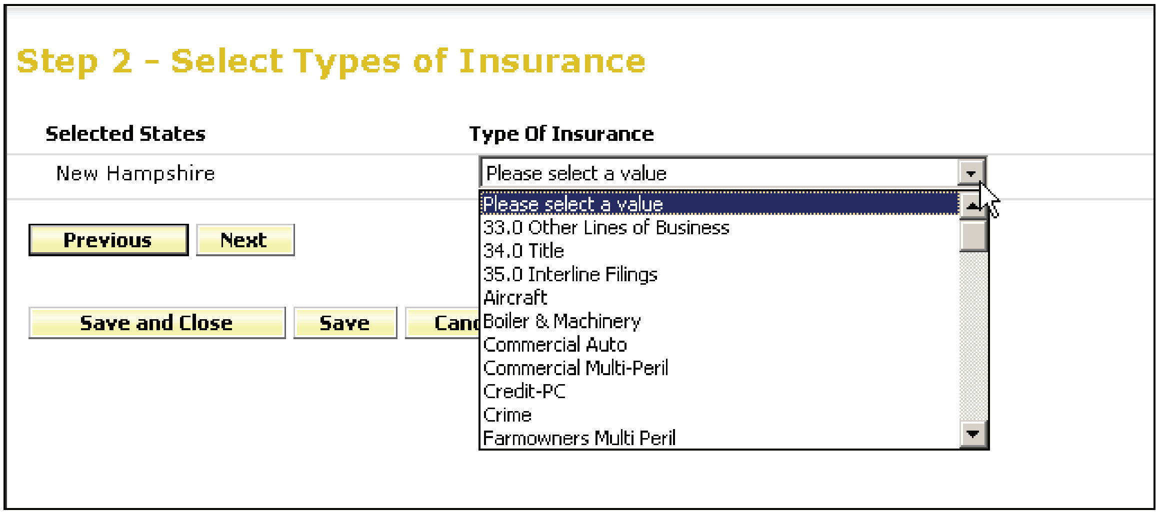
- **Project Number**: The Author may enter a Project Number. This is not a required field, but the Author is encouraged to complete it if they use Project Number in their organization.




Click on the Next button to advance to Step 2.

☞ Note: Click on the Cancel button to cancel the process. Canceling the Filing Wizard now will discard what was entered in Step 1.

**Step 2- Select Type of Insurance**



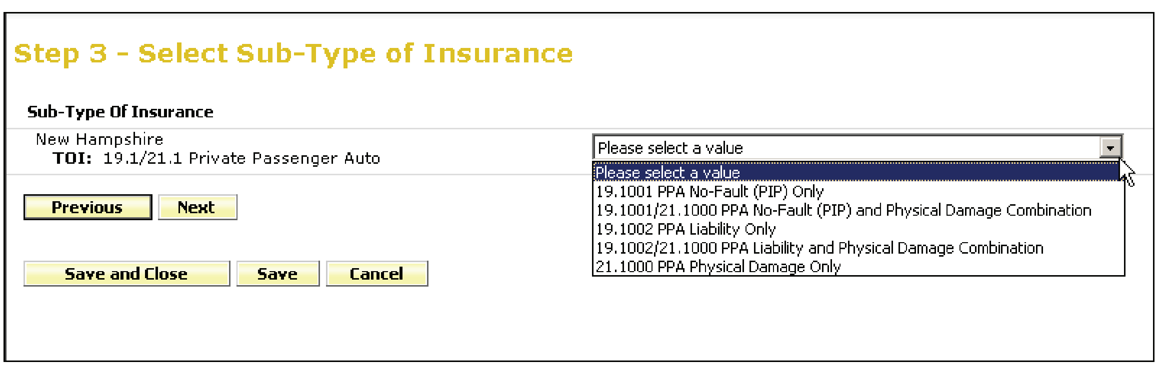

1. Click on the drop down arrow next to the Type of Insurance label to select TOI.
2. Select the appropriate TOI.
3. Click on the 

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

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

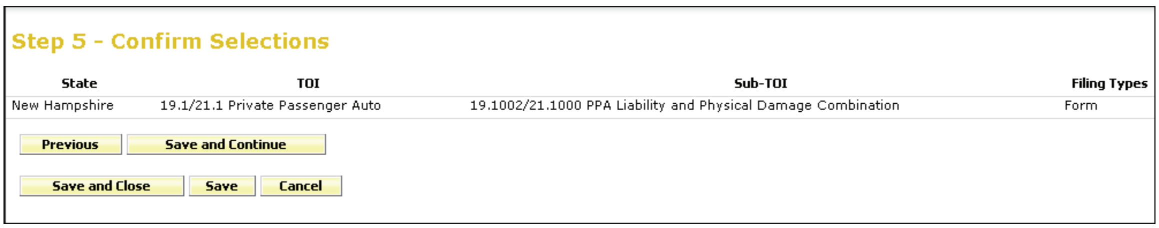
**The Filing Type Selector uses a standard naming convention for the most commonly used Filing Types in SERFF.** Any non-standard Filing Types listed have been setup by your state and are displayed based on the TOI and Sub-TOI selected.


### 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 - Confirm Selections

| State | TOI | 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 Continue

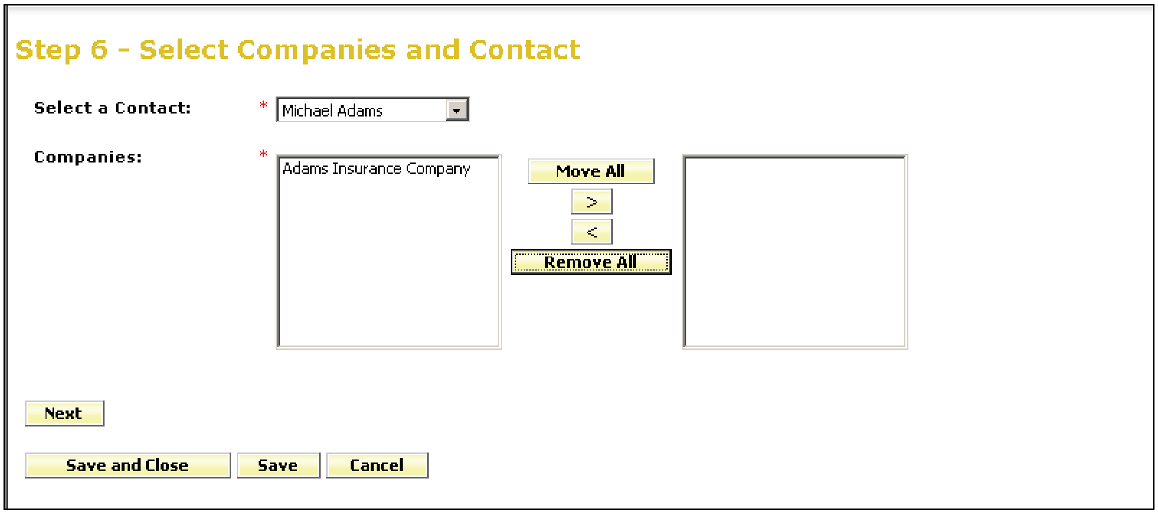
Save and Close | Save | Cancel

### Step 5 – Confirm Selections

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

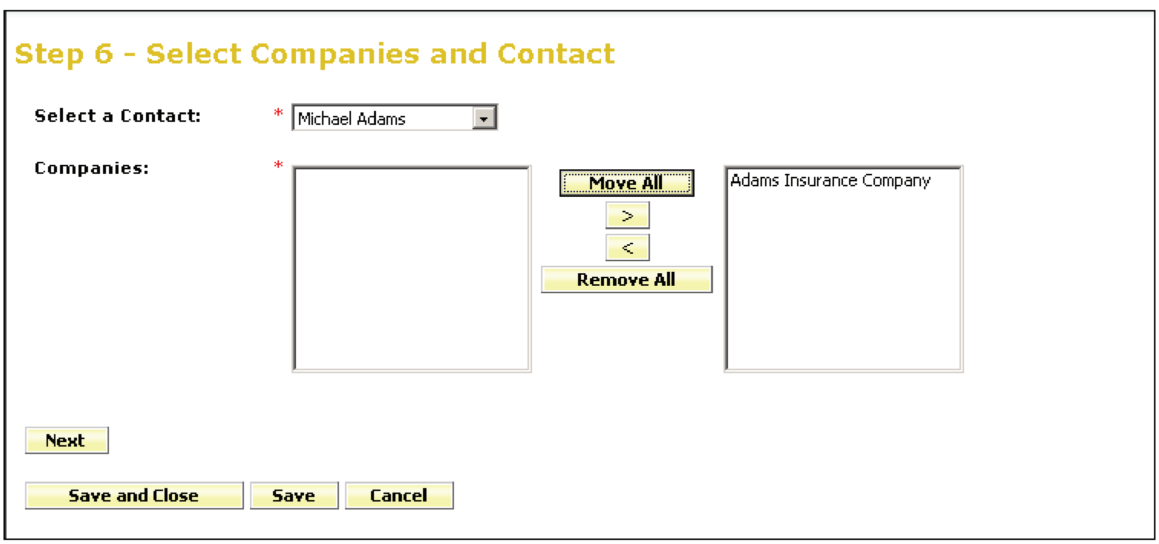
### Step 6 – Select Companies

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

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.

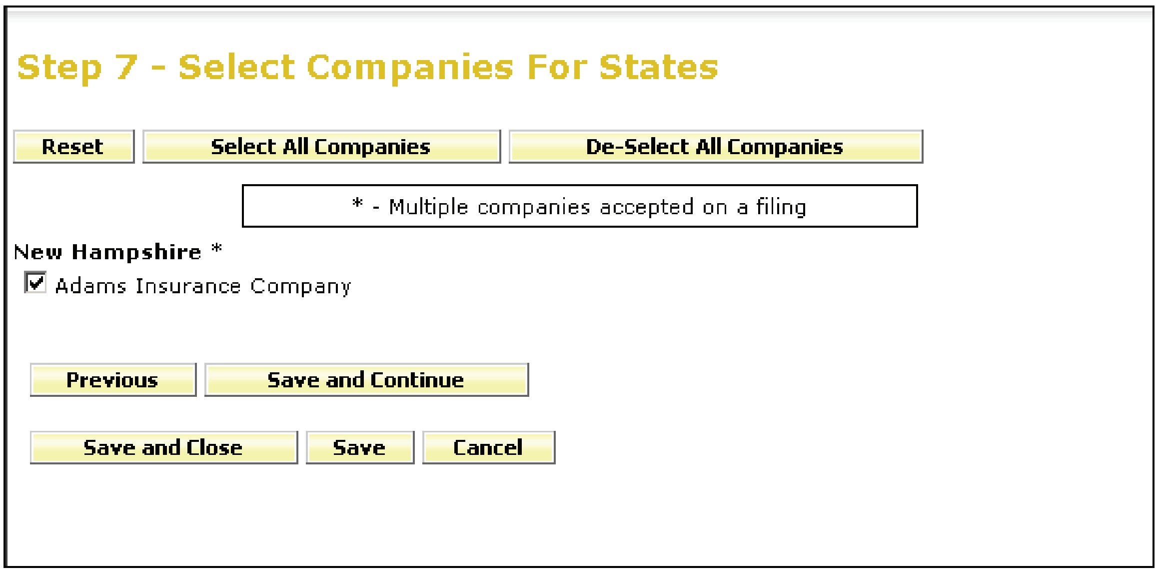



3. Click Next to advance to Step 7.

**Step 7 – Selecting Companies**

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

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.



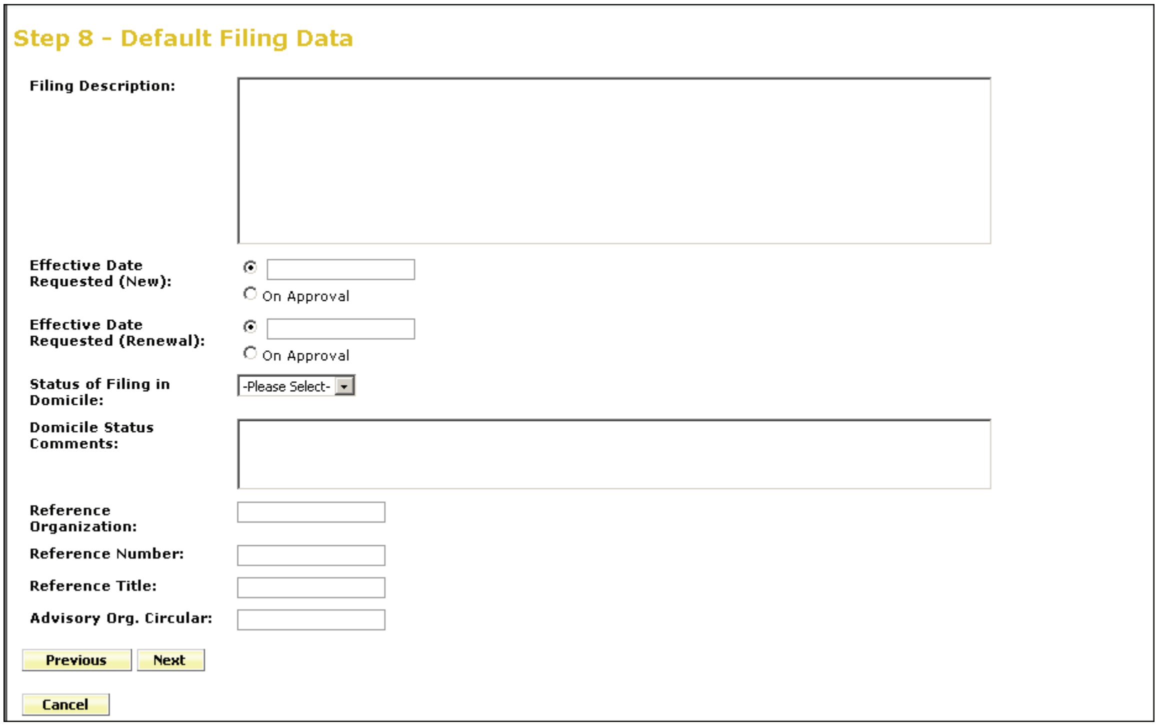

**Step 7 – Select Companies for States**

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

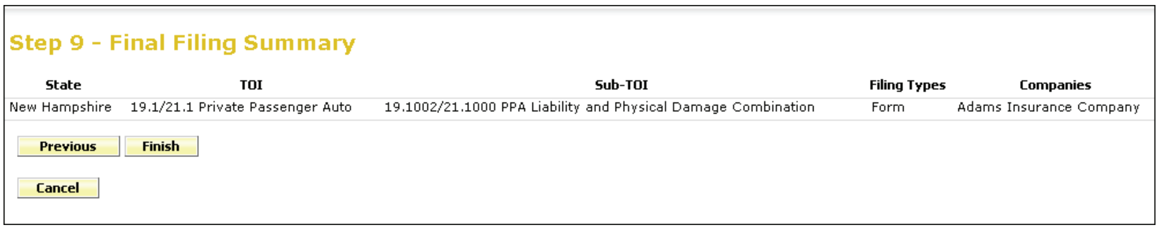
1. Complete the Filing Data page as desired.
2. Click on the 

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 

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.

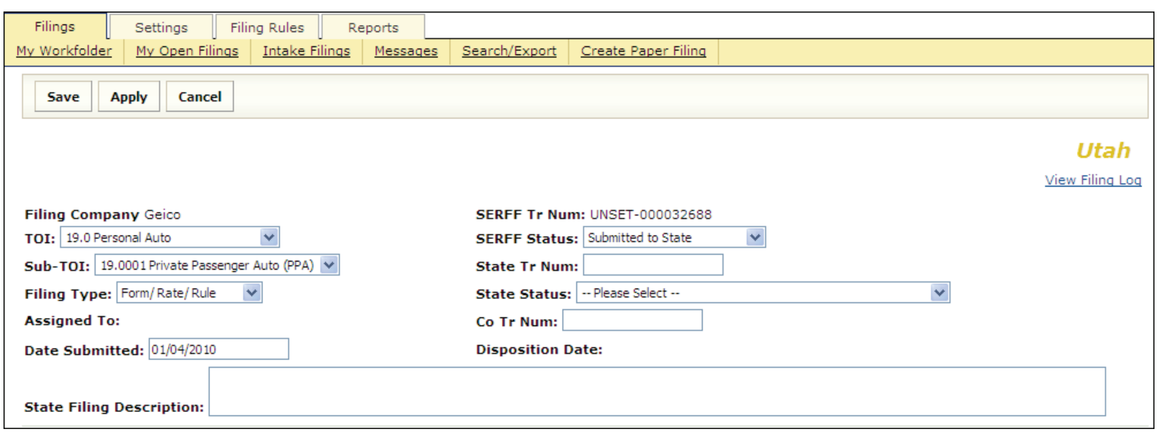



## Step 9 – Final Filing Summary

1. Click 

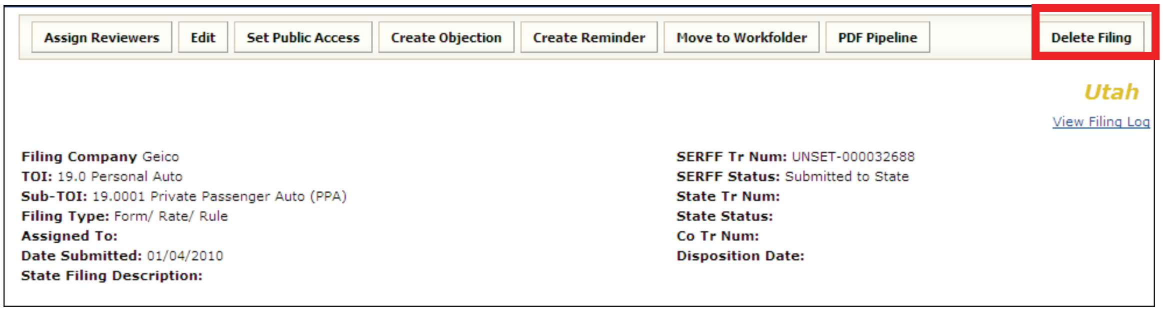
button to complete the Filing Paper Wizard process. The completed filing(s) is available via the Intake Filings link.

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.



### *Deleting Paper Filings*

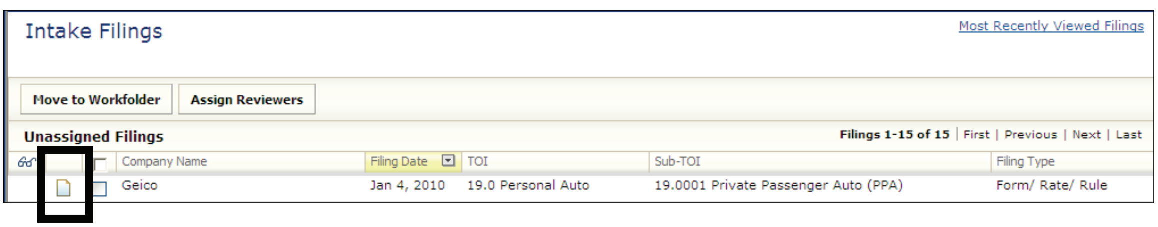
If a Paper Filing needs to be deleted, find it in the Intake Filings tab, open the filing and then click on **Delete Filing** button.




### *Paper Filings*

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

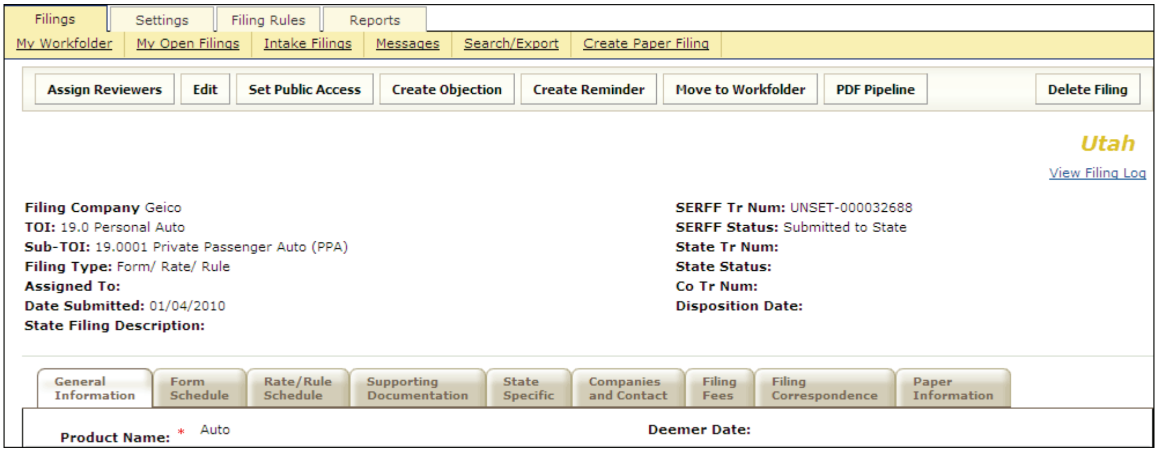
Scrolling over a Filing in the Intake Filings view, highlights that Filing and the Filing can be opened by clicking anywhere on that line.

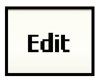



☞ The  indicates that this is a Paper Filing.

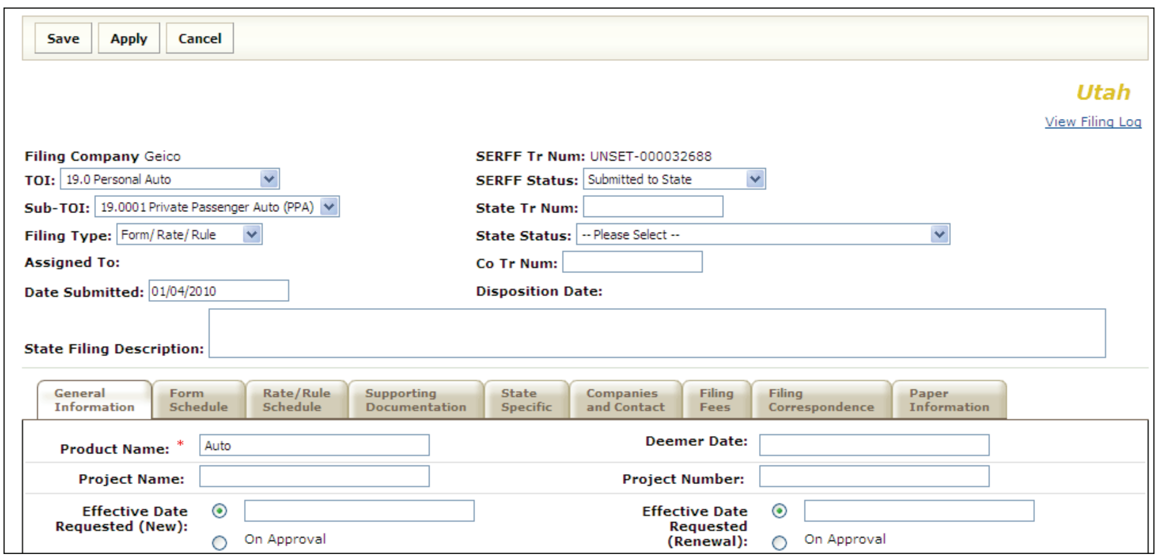
### ☞ **Open a Paper Filing**

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




1. Click the 

button to update the Filing.




## 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**

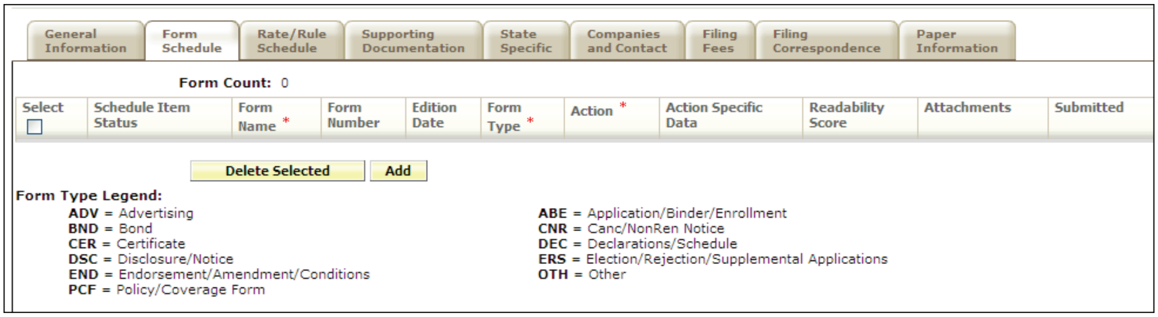
The Author may choose to add all Form-related attachments to the Form Schedule tab.

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.
4. **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.
5. **Action –** Click the Action selection box and select appropriate action for this filing.
    - New
    - Replacement
    - Withdrawn

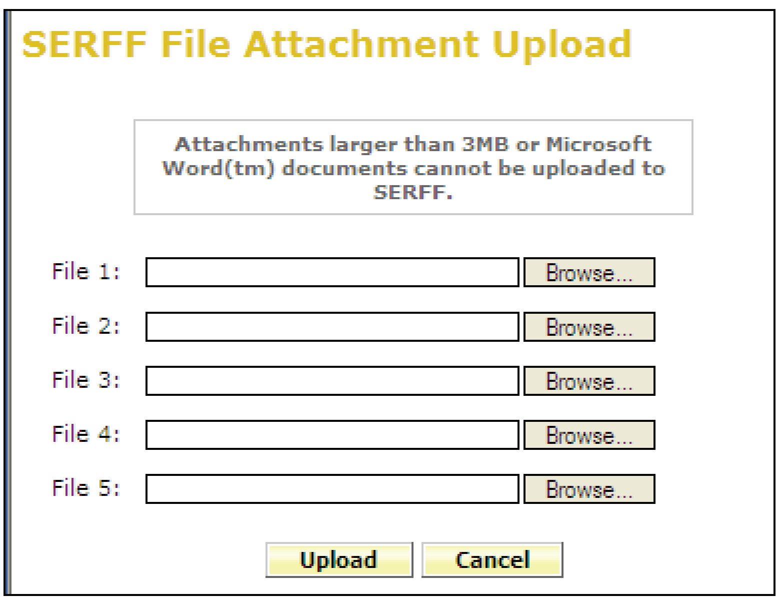
**Action Specific Data:**

- **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

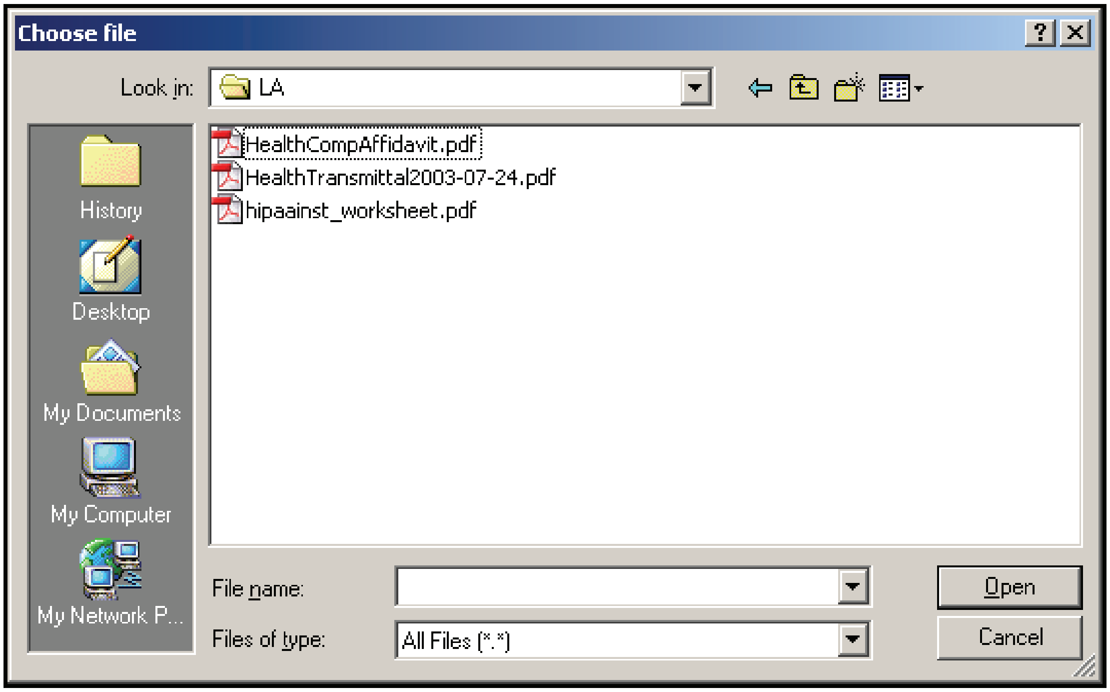
## Form Schedule




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.
4. Click on the **Attach Files** button.
5. Click on the **Browse...** button.




6. Select the appropriate file and click on **Open**.




7. Click the **Upload** button when all files are uploaded.

8. Continue to click on **Add** button to add additional rows to attach forms.

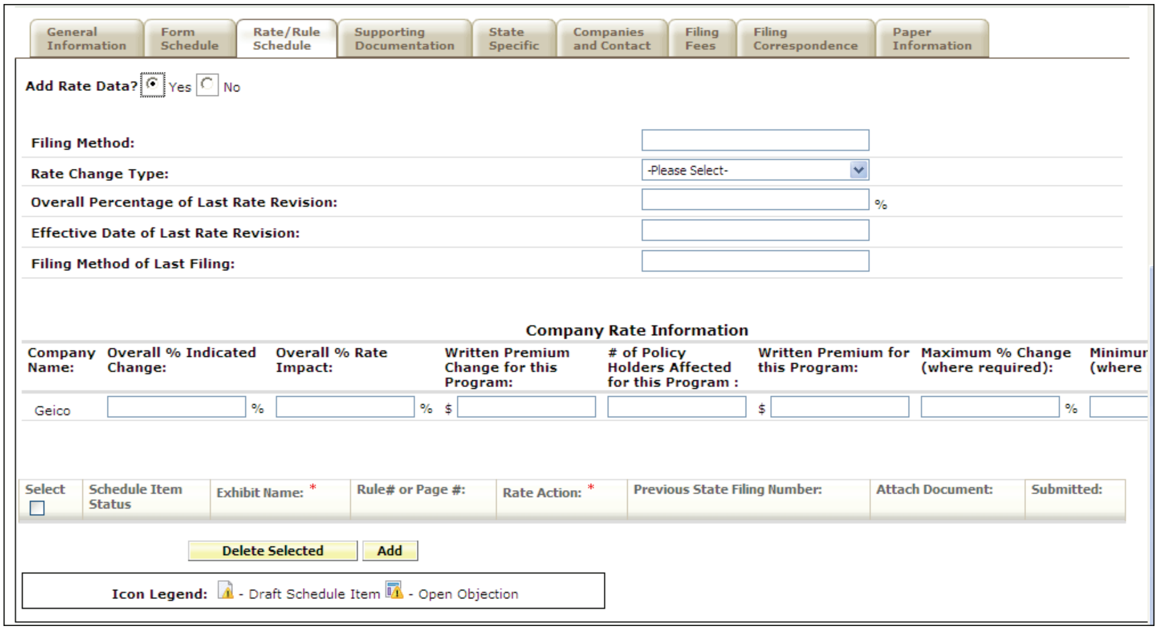
**Rate/Rule Schedule – P&C**

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.

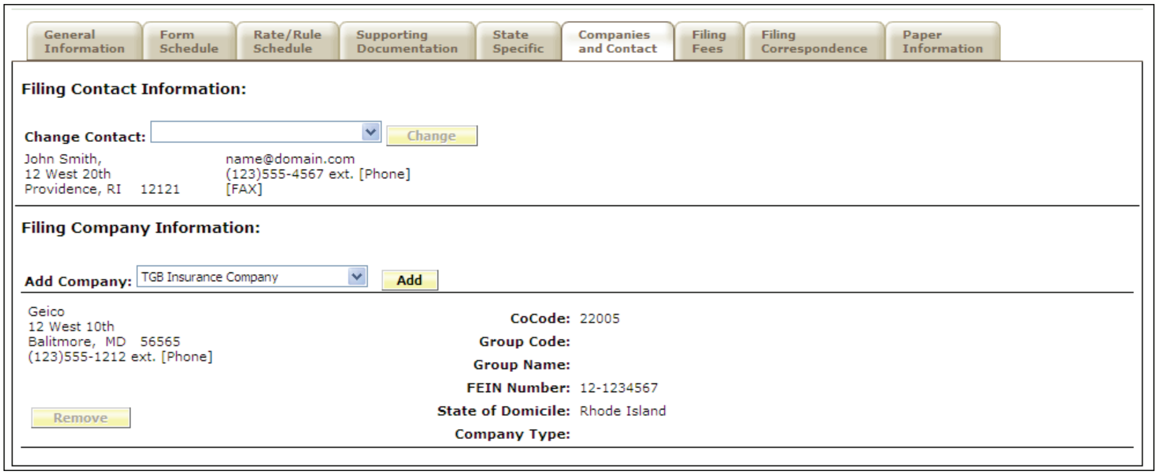
If there are multiple companies on a filing, the Overall Rate Information (Premium and Policyholders) will automatically calculate for the user.




### 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.




## 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

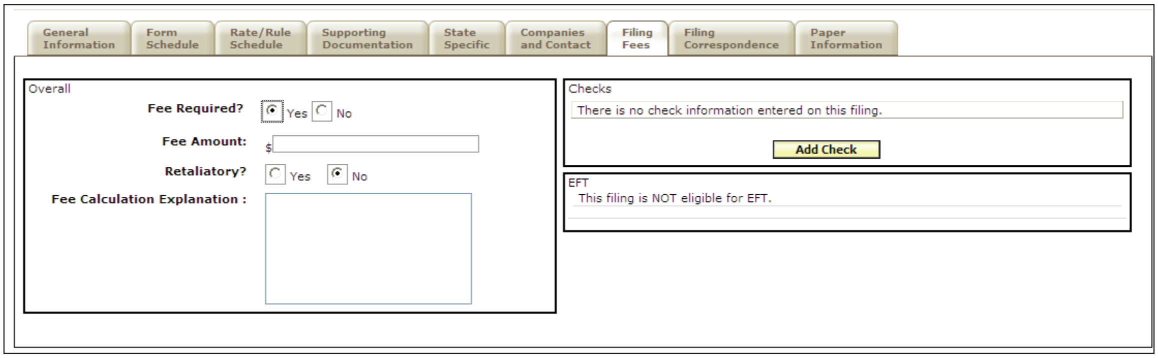
This is the section where fees can be recorded. There are no required fields on the Filing Fees tab.

- **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.

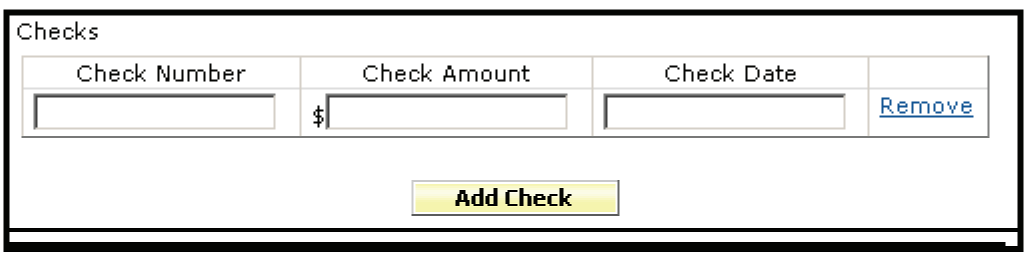



### Filing Fees Required

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.

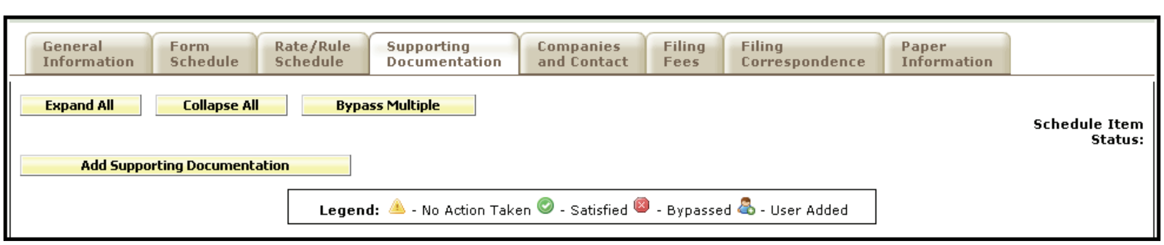



## Supporting Documentation Tab

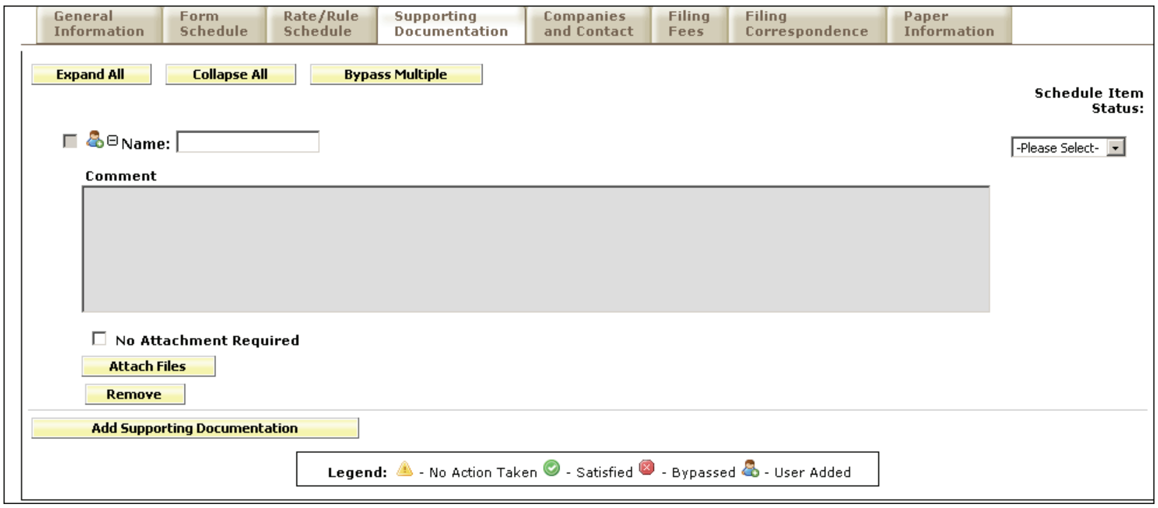
The Author of a state Paper Filing may choose to scan the complete paper submission or one or more documents and attach them on the Supporting Documentation Tab.

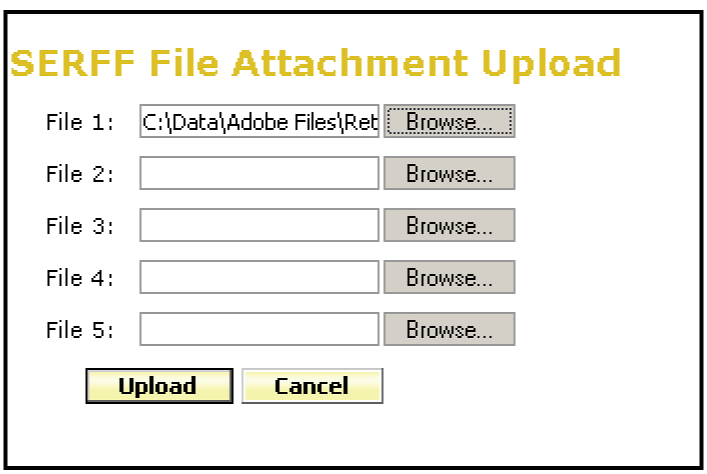
### Add Supporting Documentation

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



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.



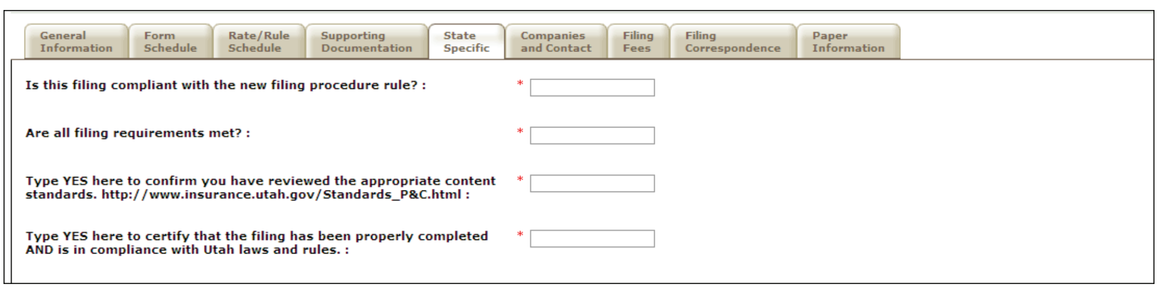




Comments may be added to the Comment box after files have been attached. The attached files are listed below the Comment box, adjacent to the file Remove option. Attached files may be removed from the requirement by clicking on the 'Remove' link.


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.



## 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.

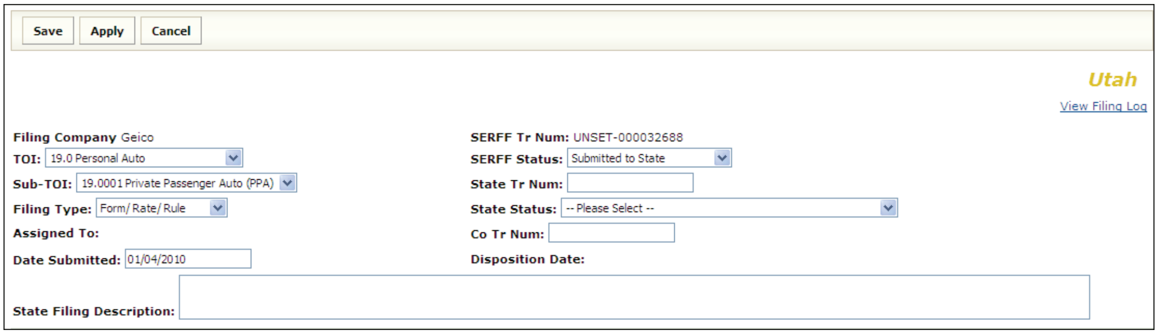

## Paper Information Tab

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.




### 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.