

SERFF Glossary

Company – A Company record is used to store all the pertinent information about an individual company. When creating a filing, the information for the company specified comes from data entered in the company record, via the Companies link. Users must have the Industry Configuration Manager role assigned to their ID in order to have the “Add Company” option available in SERFF. A SERFF filing must have at least one but can have many companies listed on it, depending on the states’ requirements for multi-company filings.

Contact – A contact is the authorized person responsible for the filing. Most Industry SERFF users will only be able to view contact information. Users must have the Industry Configuration Manager role assigned to their ID in order to have the “Add Contact” option available in SERFF. A SERFF filing must have one, and only one, Contact.

Disposition – When a Disposition is created for a filing; the SERFF status of that filing is changed to “Closed”. The filing is then moved from the “My Open Filings”. The user can find any closed filings by using Search/Export. Dispositions can be found on the Filing Correspondence tab of the filing.

Filing – A filing is a package of information sent from an insurance company to a state rate and form filing review department. A filing contains one or more Schedules—including a Supporting Documentation schedule - and Notes from the insurance company. The state reviewer may add Notes, Objection Letters and Dispositions as responses. All of the pieces make up the SERFF filing.

Filing types –

Type	Definition
Rate	A filing that contains a company's proposed rates and documents that support the rate filing.
Rule	A filing that contains a company's proposed rules and documents that support the rule filing.
Form	A filing that contains a company's proposed forms and documents that support the form filing.
Advertisement	A filing that contains a company's proposed advertisements and documents that support the advertisement filing.
Multi	A filing that contains components from more than one filing type. Ex. Rates/Rules, Rates/Forms.

Filing Wizard – A component of SERFF that helps guide a user through the initial creation of a single or multi-state filing. The Filing Wizard leverages uniformity found with the Product Coding Matrix and the standard Filing Types.

General Instructions – Each state/state instance has a General Instructions document. The General Instructions document provides basic information from the state on how to submit SERFF filing in that state. Users are encouraged to read through the General Instructions before filing in a state for the first time and periodically after that in case the state makes changes.

Instance Preference – Instance Preferences are settings that apply to all users of that instance. Settings for things like EFT, Company Status Options, and Data Host are found on the Instance Preference. Only users with the Configuration Manager Role have access to modify the Instance Preferences—some settings can only be modified by the SERFF Help Desk. The Instance Preferences can be found on the Settings Tab.

Message – A Message is used to notify a filer about the activity of a filing. Messages can be viewed and deleted in the Message Center view on the SERFF Workspace page.

Messages are shared notifications. If two filers or reviewers receive messages on the same filing, and one person deletes the message, it will still be available for the other filer. A status indicator in the left column of the Messages view lets the filer know if he/she has read that message. There is no information on a Message that is not in the filing itself; so filers are encouraged to read and then delete messages.

Multi-State Filing – A Multi-State Filing is a filing intended for multiple states. A filer creates the filing and identifying all the states to which they would like to submit their filing. The Filing Wizard walks the filer through the creation process, selecting the base information on a filing that might be the same for all the states selected. Once the Filing Wizard is completed, the filer can go back through the filings and add state specific information.

Notes – Notes are ways of communicating between filer and reviewer, or internally on either the state or industry side. A Note is created from the filing and becomes part of the filing.

Type	Definition
Note to Reviewer	Sent from the company to the state where it will be read by the reviewer and becomes a part of the filing. This is more general communication to the reviewer.
Note to Filer	Sent from the state to the company, this is information a reviewer may want to add to a filing outside of other reports. More general communication to the filer.
Reviewer Note	Created on the state side. For internal use only, this note is not seen by the industry.
Filer Notes	Created on the industry side. For internal use only, this note is not seen by the state.

Report – Communication from the reviewer to the filer about a specific filing will be done with Reports. A Report is created to reference the entire filing or only specific pieces of the filing. There are two types of Reports a reviewer may send to a filer.

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

Requirement – A Requirement identifies an individual requirement that can be requested by the state. Requirements are used when creating Submission Requirements. A Requirement can be used in multiple Submission Requirement documents.

Schedule – A schedule contains the actual documents submitted for review. It will be attached to the “Form” or “Rate/Rule” schedule in PDF format.

SERFF filing status –

Status	Definition
Draft	Filing has been assigned a tracking number but has not been completed and submitted to the state.
Submitted	Filer has chosen to submit filing and the filing has passed all applicable system validations. State can now access the filing.
Assigned	State has assigned the filing to one or more reviewers, but no additional action has been taken.
Pending Industry Response	There are one or more open Objection Letters on the filing that need a response from industry.
Pending State Action	One or more Objection Letters have been created and fulfilled by industry. Filing is still open.
Closed - *	The state has created a Disposition indicating the final action on the filing. The asterisk indicates that the state Disposition status (i.e., Approved, Acknowledged, Disapproved) will be appended to the SERFF status.
Closed - Rejected	The filing has been rejected by the state and is closed.

SERFF Tracking Number

To ensure uniqueness and provide audit capabilities, the SERFF tracking number collectively represents several meaningful identifying components for each company filing. Each industry instance will be assigned their own code for this portion of the tracking number.

Instance Identifier	Random Unique Alpha/Numeric Characters
ABCD	12A34B56C

- Instance Identifier: A four alpha character representation of the first four characters of the company name.
- Random Number: This overall filing number is a combination of nine alpha/numeric characters.

SERFF Workspace – The SERFF Workspace is the active window for the filings database where the industry users will create new filings and check the status of submitted filings. The SERFF Workspace is the first screen accessed by industry users to perform most SERFF related tasks.

State Specific Fields – State Specific are unique fields to an Electronic and Paper Filings. Any company submitting through SERFF to your state will have a State Specific Fields tab on their filing that contains the fields specified on the state instance view. These fields are text only fields and are not fixed-length fields. There are up to 10 fields that can be used for Electronic/Paper filings. States may provide information regarding the expected entry for those fields in their General Instructions document.

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

Type of Insurance – A Type of Insurance is used to organize the lines of insurance, which a state is accepting through SERFF and any sub-types that fall under them.

User Preferences – A User Preference is designed to allow the SERFF Application to be customized to the specific needs and work processes for a single user of SERFF. The User Preferences inherits some of its values from the Instance Preference.

The User Preferences contains the following information.

- Contact Information – update users' contact information.
- Industry Preferences – set Default Industry instance and Default Business Type