Industry Record Retention Summary

SERFF has developed a Record Retention feature which allows a state to remove filings from the SERFF user interface in order to comply with its record retention laws.

With the release of this functionality, you will have ample time to review your instance's filings in order to determine if they must be saved in accordance to your company's own record retention policy. Authorized industry users are able to easily search for, view, and save filings approaching their Destruction Date.

Filings will not be deleted at any data hosted site or Oracle Insurance Compliance Tracker.

Your Record Retention Workspace

In your Record Retention workspace, you are able to:

- View filings approaching their Destruction Date.
- Generate a PDF Pipeline or .zip file of a single filing.
- Generate a PDF Pipeline or .zip file of multiple filings at one time by using the 'Batch Generate' option.
- Indicate a filing has been 'Reviewed.'

Viewing a Filing's Destruction Date

You are able to view a filing's Destruction Date from the Filing-at-a-Glance or a filing's Disposition.

Search by Destruction Date

Industry users have the ability to search for filings using the Destruction Date by entering a start and/or end date.

Record Retention Alerts

Once a filing's Destruction Date is within 90 days of the current date, a SERFF Alert will be sent to your Alerts tab. This alert will note how many of your instance's filings require action, as well as how many are critical.

Alerts will be deleted and regenerated every day in order to provide the most accurate filing counts.

Only users with the Industry Record Retention role will receive these alerts.

Additional Information

- Once a filing is marked as 'Reviewed,' it will be hidden from the workspace view. However, by selecting 'Include Reviewed,' the hidden filings will reappear in the workspace.

- Generated files will be deleted after seven calendar days. If needed, files may be regenerated.

- Filings containing schedule items associated to a plan within a binder will not be deleted from the SERFF user interface.