SERFF Product Steering Committee Meeting

Wednesday, September 25

NAIC NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS

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Meeting Recording Link:
https://naic.webex.com/naic/ldr.php?RCID=27a44796fcee40ab388b805efe4a500b

Roll Call

- Roll was called for current PSC members
- Interested parties who called in and wish their attendance to be recorded can email lbandle@naic.org

SERFF Modernization Project Update

Phase 3.1 - Interstate Compact

- Finishing up feature work
- Defect correction and clean-up
- Preparing for Release 1

Release 1

Interstate Compact & User Management

Release Weekend

- SERFF "Legacy" brought down around 5pm CT on a Friday
  - Systems unavailable for ALL users during the release window
- Project team begins code deployments and data migration
- Project team will verify migration and deployment success
- By Monday at 7am CT, new platform opened for use, legacy SERFF back online

Impacted Users

- Compact staff
- Regulators who view Compact filings
- Industry that file to the Compact
- Interested parties that view public Compact filings
- NAIC Support staff

User Outreach & Communication

Compact Member States	Industry Users
• All states have been assigned a liaison to help them prepare for the new platform • The liaison will provide individualized assistance, answer questions, gather requirements, and help with training • Liaisons currently focused on preparation for Compact release and requirements for Life/Annuity/Credit release	• Key contacts for Compact filing groups have been gathered • These contacts will help distribute information to other users and provide feedback • General communication provided across multiple forums

Training

- User Management – recorded and written training materials
- Compact staff and member state regulators trained by project team
- Industry users – live training for Compact filing companies
- Recorded and written training materials to supplement
- No fees for 3.1.1 training

Warranty Period - November & December

- Address migration questions and issues
- Assist users with new features
- Release "hot fixes" if necessary
- Establish release cadence – weeks not months
- Begin work on Phase 3.2

Q&A Summary

- Thank you to everyone for the great questions and discussion!
- If you have any other questions about the SERFF Modernization project, please email serffmodernizationquestions@naic.org.
- The 31 questions and answers start on page 14.

2024 Call Dates – Wednesdays 12:30-2pm CT

- October 23
- November 13
- December 11

September 2024 PSC Meeting Q&A

Release, Training, and Project Timeline

- What weekend in November will SERFF be down?
  - The plan is for “Legacy” SERFF to be taken down at 5pm Central on Friday, November 8th, and for both “Legacy” SERFF and the new application to be available for users by 7am Central on Monday, November 11th.
- When will key contacts for companies be notified?
  - Communication to the key contacts for instances that file to the compact has already started. If you would like to confirm who your key contacts are, you can email serffmodernizationquestions@naic.org.
- How do we find out who our state liaison is for assistance/questions?
  - Email serffmodernizationquestions@naic.org
- With these releases will the updates only be available to the Compact Group? Or will some of the changes be available in the Legacy System for all other users?
  - These releases are only for the new platform. We are maintaining and supporting the Legacy platform, but not enhancing it significantly any longer because it will be retired at the end of the project.
- Are there any specific concerns about the initial launch that have come up during testing?
  - Not really. We have a lot of people testing including: the project team, our engagement partner, other NAIC support team staff, a compact filing company, and some of the Compact staff. Things are going well in that testing. We are finding defects, but we're correcting those and there's nothing found that has been alarming. The one thing that we're really spending some time on is performance. In the beta environment it is slower than we would like, so we're working on tuning that to make sure that the production environment performs well. Everything is looking pretty good.
- How long after the first release will the second release occur?
  - We are currently planning for there to be a scheduled release every 2 weeks through the end of the year. There may also be hot fixes that come more frequently for defect corrections that can’t wait for a scheduled release.
- When is the first release training webinar?
  - The hands-on training begins October 14th and there will be multiple sessions a week for three weeks after that. An email with more detail will be sent to the key contacts. There are restrictions on that, so please don't take up those spots if you do not file to the Compact.
- Are the user administrators going to receive training or manuals?
  - We will not have any formal training for user management, but there will be documentation. It’s a very straightforward workflow and we will be rolling it out gradually. We are still working on the implementation plan for that, but not everyone will go live on self-service user management right away. We will phase that in.
- Will the warranty period be the same for each of the lines when they come over so that users can see their filings in both platforms?
  - Yes, each business type release will have a warranty period.
- When will P&C be released?

    - We anticipate that each business type will follow in 6-8 month increments after the first release. The order of the business types is: Compact, Life Annuity Credit, Property & Casualty, Health, and Plan Management. We estimate that the P&C release will be about a year after the first release, but we do not have any definitive dates.
- Do we have an estimated timeframe for regulator training?
    - Regulator training for the first release will be targeted to your ability to log in and view compact filings, so we are going to host a webinar for all states where we'll do that demonstration and then take questions. We are also preparing documentation for the first release. We're not going to do hands on training for regulators because the impact is very small, but you can work with your assigned liaison if you have questions, or you need some extra help getting ready for the first release. We have not finalized training plans for the subsequent releases which will be much more impactful to regulators.
- Are the administrators still moving with Release 1 and if so, will they be trained separately?
    - Most of the tasks specific to administrators are configurations such as managing companies or filing statuses. Most of these configurations are staying in the Legacy system for the first release and the information will be replicated to the new platform if it's something the new platform needs.
- When "hot fixes" are being done, will that create a system interruption or down time?
    - It will not.
- Will users get a separate username for the new and legacy system?
    - There will be separate usernames for the two SERFF platforms. However, the new platform is part of the NAIC's single sign-on, so if you use another NAIC application that uses the single sign-on, your username for the new SERFF platform will be the same as that.
- Will draft items in the Legacy platform be deleted or just locked down/not migrated?
    - Draft filings will not be deleted, they will be switched to read-only.

Filing Notifications and Emails

- Will the notifications feature be ready in time for the first release since individual notifications from message center for things like note to reviewer/filer are going away?
    - The task management feature will send email notifications when tasks are created. We have also set-up email notifications for some informational messages like a filing being reopened or a disposition being submitted. We do not have any notifications set-up for note to reviewer/filer for the first release, but we will collect feedback and continue to build on this functionality.
- Will the "SERFF" emails be coming into our regular email system or a "SERFF" email/message area like it is currently?
    - They will be coming to your regular email address that is associated to your user.
- Will we get a task if a Reviewer sends a note to filer?
    - Not in the first release, but we will be adjusting and expanding these features as we receive feedback from users and move into future business types.
- How will a filer know when a Reviewer sends a note to filer besides viewing it in the actual SERFF filing?
    - For the first release, users will have to look in the filing, but we will be adjusting and expanding these features as we receive feedback from users and move into future business types.
- For notification e-mails, are filers able to customize which e-mails they receive?
    - For the first release, users will not be able to customize which emails they receive, but we will be adjusting and expanding these features as we receive feedback from users and move into future business types.

Other Filing Questions

- Will PDF Pipeline be available in the first release?
  - It will not be available in the first release, but we know it's an important feature for our users so we will be working to implement it soon after.
- Will we be able to PDF all compliance report and download them for sharing within the organization.
  - In the first release, not through a feature like PDF Pipeline, but you can use browser print screen and save as a PDF.
- Can we copy and paste into a Word or Excel document from the Compliance Report?
  - You can copy and paste. You can also use browser print screen and save as a PDF.
- Can we change the SERFF Contact?
  - Yes, you can change the contact on a filing both while the filing is in draft and after it's been submitted.
- In the new system will the current key contact person be able to add others in their company as filers?
  - In the new system, we have taken a different approach to filing access to make it less restrictive, and we have removed the 'author' concept. If a user can access filings as part of their roles, they will now be able to see all filings on the instance. This should work well for compact filings because the filing volume is low. We anticipate that as we move into the Life, Annuity, Credit filings, we may have to adjust this because of the increased filing volume. We will be talking to those users about those use cases as we move into that business type.
- Will we be able to clone a filing from the old system into the new system?
  - Clone filings will not be included in the first release. We are in the process of analyzing how the current cloning feature is used and if that is still the best solution or if there is a better way to accomplish the same end goal in the new platform.
- How many forms can be downloaded to the Forms Schedule tab? Is there a size limitation?
  - There is currently no limit to the total number of form items on the form schedule tab, and 15 forms can be uploaded at one time. There is no file size limit at this time, but one may be implemented to protect the system if needed.
- Will migrated filings be able to be reopened in the new SERFF platform?
  - Yes.
- Will existing Templates come over to the new platform?
  - Not in the first release. We are taking a similar approach to this feature as we are for clone filings. We understand that it's valuable and that it's used, so we will be doing the analysis work to determine the best solution going forward. We're sure we'll have a template like feature coming in a future release and then we'll do our best to migrate your existing templates.
- In the first release, can you confirm if we can create a Payment Report (listing the Filing cost)?
  - Yes, there will be an EFT report available. Reporting will be a little be different in the first release, so we will demo that feature in the October PSC meeting.

Miscellaneous

- Are there any plans to include Florida as a SERFF state in the future?
  - We do not know of any plans for Florida to join SERFF. Another PSC attendee provided this information; "I met with the FL regulator at AICP, and she said they looked into using SERFF recently and decided it would be too costly, so the answer was no."