# SERFF Product Steering Committee Meeting

Wednesday, October 23

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Meeting Recording Link:
https://naic.webex.com/naic/ldr.php?RCID=741ace3120a4e95119c5aa30cba36dcb

# 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

- Defect correction and clean-up
- Preparing for Release 1
- Started training sessions for Compact Filers

# End User Reporting

- Custom reporting tool
- NAIC provides data sets – 3 to start
  - Basic Filing Data
  - Payments and Fees
  - Compliance Issues and Amendments
- Reports can be scheduled
- Reports can be shared within and outside the organization
- NAIC will provide a couple of reports that can be copied and customized

- Demo timestamp: 9:28-17:00

# SERFF Modernization Engagement Activity

- Used online tool – Menti
- About 125 PSC attendees participated
- Main topics covered: End User Reporting
- Questions from the activity are on page 8
- Results from the Menti Activity start on page 13
- **If you were not able to participate in the activity or would like to expand on your answers, feel free to email responses to the questions to serffmodernizationquestions@naic.org**
    - Please include what type of SERFF user you are (state, industry, or other) and how frequently you use SERFF (daily, weekly, once a month or less) with your answers.

# Engagement Activity Questions – End User Reporting

- Do you run reports in SERFF? (Either the canned reports or the filing export that you turn into a report)

- What other data sets or reporting scenarios would you like to see included?
  - We are already implementing these three data sets: Basic Filing Data, Payments and Fees, Compliance Issues and Amendments

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

- November 13
- December 11

# October 2024 PSC Meeting Q&A

## Release and Training

- What is the date of the first release?
  - We know our users are excited about the first release of the new SERFF platform - we are too! We want it to be a great experience for everyone involved so we've decided to take a bit longer to ensure that. We are making sure the platform works and looks great and we're practicing our rollout tasks until we have them down pat.
  - As a reminder, the first release only impacts filings to the Interstate Compact (https://www.insurancecompact.org/.) It also introduces a self-service user management module. We'll continue to share updates and information to help everyone prepare for these changes.
  - We don't have a new go-live date just yet, but we know that information is important to you, and we are working hard to provide a new timeline. We'll continue to communicate our progress and share the new go-live date as soon as we can. You may be wondering how this delay will impact the rest of our schedule. We're working hard to minimize future delays and will make sure to communicate changes to the project timeline as we move forward. As always, we value your input. If you have any questions, feel free to reach out to us at serffmodernizationquestions@naic.org.
- Will we have compact registration as part of the training?
  - It won't be covered in the training sessions, but the workflow has been simplified to just what is necessary for registration, and we will provide a lot of documentation.
- Will there also be training on the reports in the official training sessions?
  - We do not have any current plans to add reports to the official training, but we will provide documentation and help text about the feature to assist users.

## Reporting in SERFF

- For scheduled reports, is there the option to auto-send to someone outside of SERFF?
  - Currently you can only set the reports to email SERFF users, but we will investigate this option.
- Will the Search Export we have today still be available?
  - It is still available in the Legacy platform, but we are not recreating that in the new platform.
- When lines are added to new SERFF how will the current reports we use be affected?
  - The canned reports in Legacy SERFF will only run for filings in Legacy and the reports in the new Appian platform will only run for filings in the Appian platform. When a business type is moved to the new platform, all submitted filings for that business type will be migrated as well, so you will run reports on those filings in the new system, while continuing to run reports in Legacy for business types that have not moved over.
- Is End User Reporting going to be available for states for the upcoming compact release? If not, what option do we have to download compact filings?
  - Yes, we are working on it and intend for it to be available in the first release.
- Will the state filing description still be a field you can request in a report?
  - We will add this to the list of requested fields.
- Will user groups be engaged for reporting still?
  - Yes, we will look into engaging a reporting focus group.
- What is tableau?

    - Tableau is a reporting tool that shows data in many different visual ways (graphs, charts, etc.). We implemented Tableau Dashboards earlier in the project and have developed multiple state and industry dashboards. For more information, or to gain access to Tableau, email serffmodernizationquestions@naic.org.
- What options will states have for accessing SERFF data outside of using these end user reports? Direct connection with Tableau?
    - If this interests you, please email serffmodernizationquestions@naic.org to discuss your specific use case and options.
- Are you able to update us on the dashboard status sometime soon?
    - We have made a few tweaks to the existing dashboards based on user feedback.
- Can all users create reports or is it dependent on the user authorization?
    - Currently there is no restriction on who can create reports. That could change as we get feedback from users.

## Appian Platform Features

- Will Statement of Intent templates be migrated? We have a ton of information in our templates.
    - Templates are not part of the first release. We are still analyzing the template feature to determine if that is the best way going forward or if there is something better we can implement. Whichever way we go, we will provide a lot of communication and work to migrate the data from your current templates.
- Since the Template will not be in the first release, how will the Statement of Intent be completed?
    - It is currently a manual process, but we are working on a couple of solutions to make this process easier.
- Will we be able to include a screenshot within the compliance issue or will this continue to be available via attaching an item?
    - We have not implemented an option to add an attachment to compliance issues because the Compact only uses text and Quick Text. As we move into other business types, we will be talking to the states about your workflows to determine what adjustments should be made.
- Will it be possible to include edition dates when searching for forms?
    - We will add this to the request list.
- Will there still be Filing Rules by each State?
    - Yes, the terminology is changing to ‘Filing Configurations’ instead of ‘Filing Rules’, but every state will have their own, consistent with the current Legacy functionality.
- Can we include contact information for examiners such as email addresses?
    - We will look into adding this.
- In the new system will we be able to upload revised PDF's for a form when there is an objection?
    - Yes, you will be able to upload a revised PDF for a form as a response to a compliance issue in the new platform.
- Will there be a way to limit filing memorandums when the information would be included in the filing description, rate/rule manual or the actuarial memo?
    - We will work with states on your specific business rules and what customizations can be added.
- Maybe I missed this, but will there be any change to public SERFF access?
    - We are developing a new public access portal along with the new SERFF platform.
- Will the new version open a different window for each document I open on the filing?
    - The new platform opens some elements of the filing in a new tab but not everything.

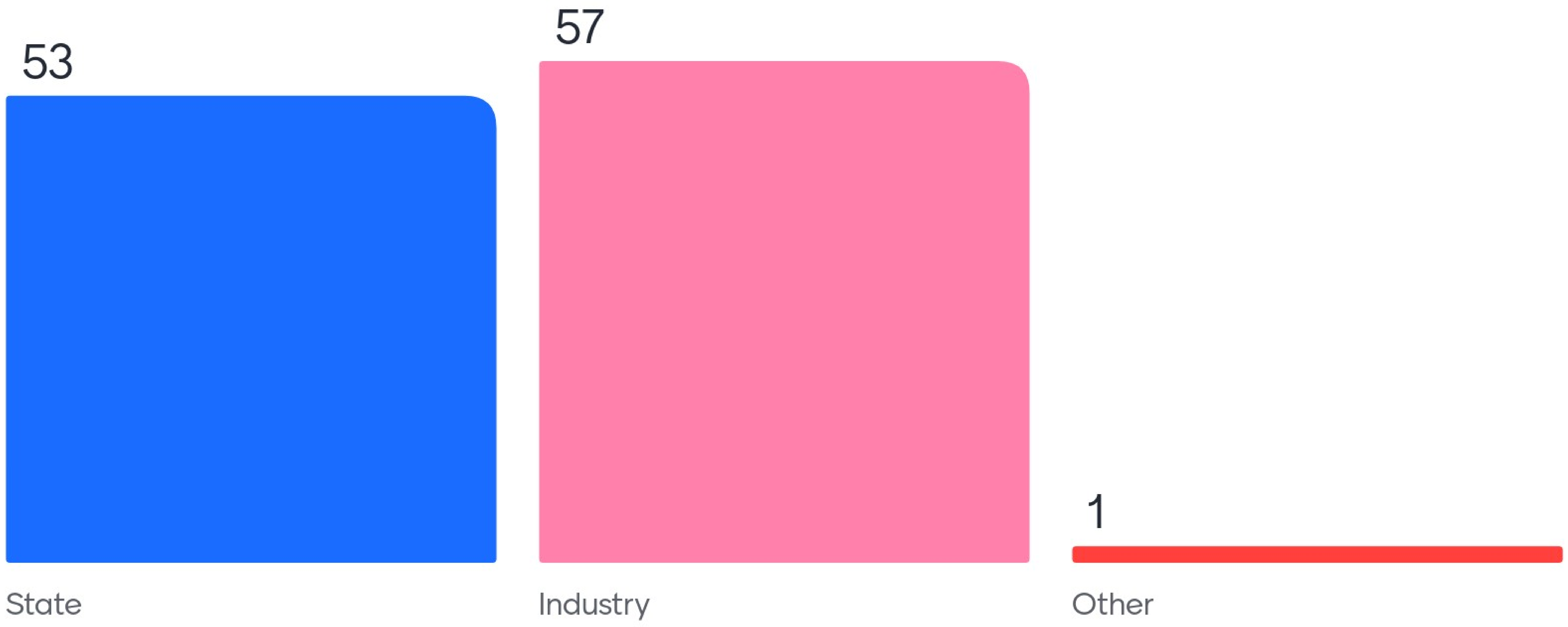
- When we open more tabs in the current SERFF, it causes a lot of issues, especially if you try to have two filings open. Will you be able to have two filings open on the new platform?
    - You can have different filings open in separate tabs or windows in the new platform.
- Can we adjust the parameters for being automatically logged out?
    - These parameters are set by our security department, but we have implemented some features that will hopefully keep you within SERFF, so this problem is reduced.
- Will the updatable fields remain the same for Appian? Such as if they submit under an incorrect TOI, they must resubmit.
    - Yes, you can update the fields in Appian that you can in the Legacy system. You will also be able to update TOI and Sub-TOI.
- Will it still have pdf pipeline as it currently exists, and the document compare feature?
    - PDF Pipeline will be added, but probably not for the first release. The new platform does have document compare and that feature has been expanded to let you compare documents from different filings.
- In legacy SERFF we use the apply feature to save information in a filing so that when we are automatically locked out the information is saved. Will we have an apply button in the new platform?
    - There isn't an apply button, but in the new platform, you edit sections of the filing at a time, rather than all at once, so there should be less risk of a lock out losing a lot of in progress work.
- Will filing fees automatically be calculated and applied?
    - Yes, we have added automatic fee calculation. There may be some cases where the fee rule is more complicated, so it hasn't been implemented. In those cases, the fee will need to be 'self-calculated'. Calculated fees can also be overridden if you find that the calculation is incorrect.
- Will the ability to update information without submitting an amendment/post-submission update be expanded?
    - For filers, all changes to the filing besides notes, will be made through the amendment workflow, but changes to the industry only fields (status and tracking number) will be automatically applied and will not need to be reviewed by a regulator.
- Right now you cannot open someone else's reviewer note while you are typing up your own. Is this going to be fixed in the new platform?
    - We have made changes to the notes feature, so you should be able to view the content of another note if you are adding a new note or comment.

## Miscellaneous

- Thank you for including Massachusetts in the Public SERFF Portal. Are there any plans to include the missing jurisdictions like Puerto, Guam, and others?
    - Participation in the public access portal is up to the states.

# October SERFF PSC

# What type of user are you?



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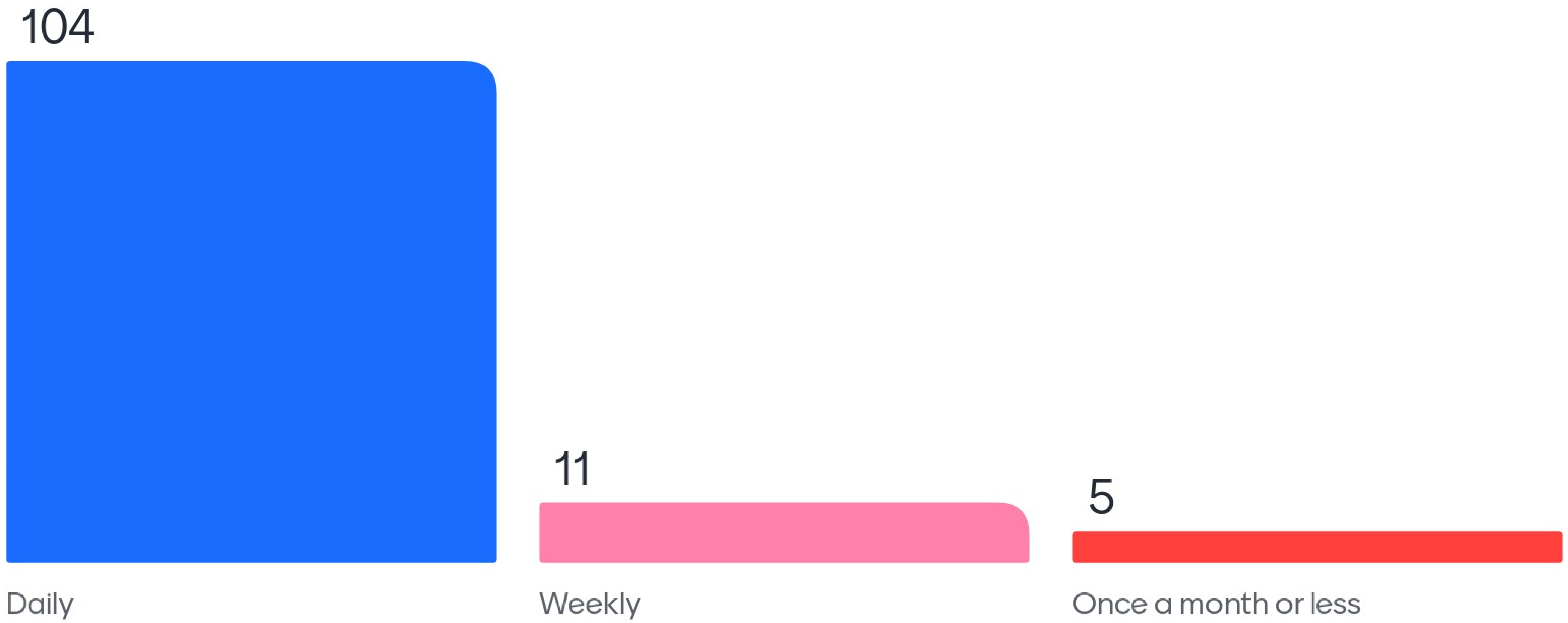
Mentimeter

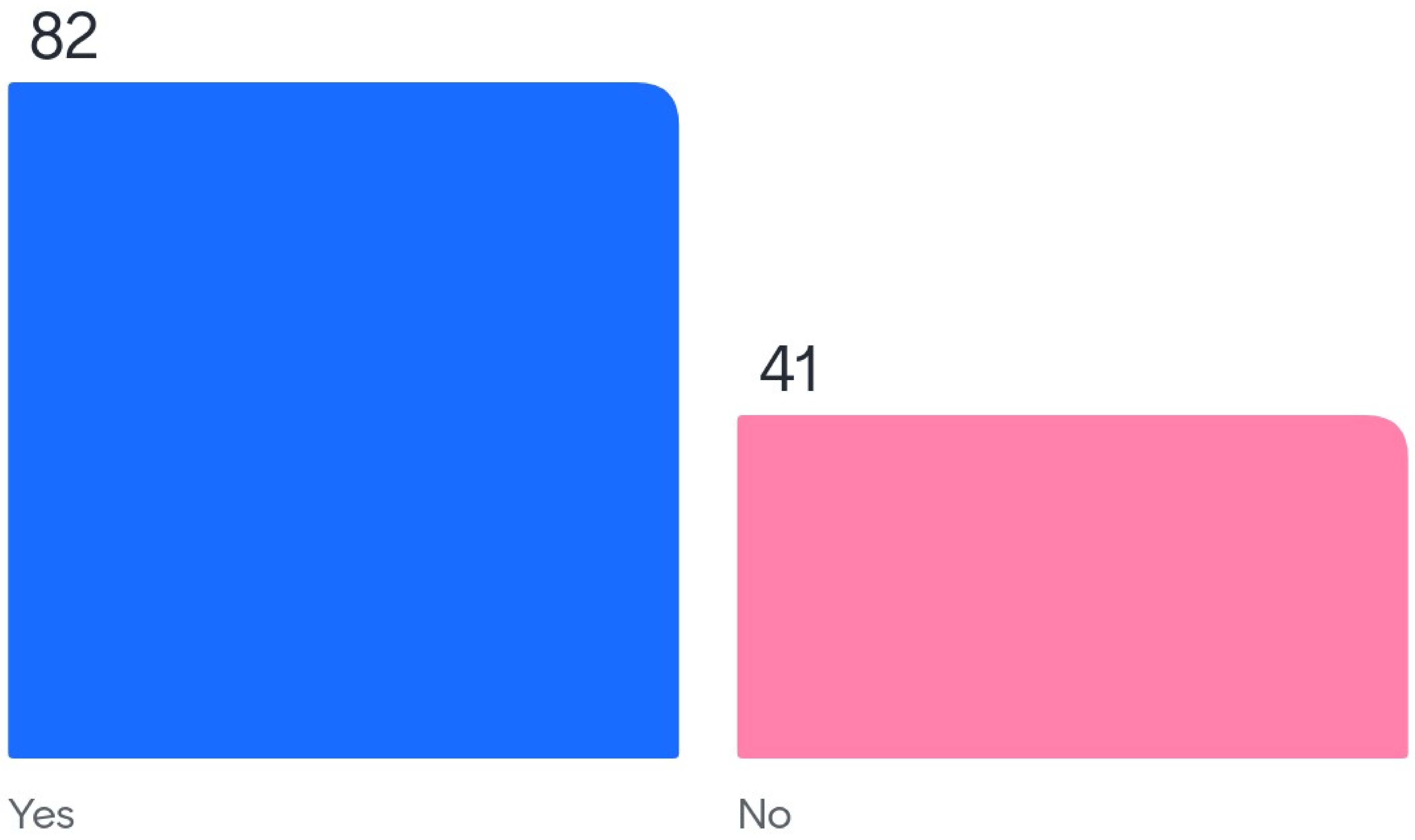
# How often do you use SERFF?




120

Mentimeter

# Do you run reports in SERFF? (canned reports or filing export that is turned into a report)

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Mentimeter

# What other data sets or filing scenarios would you like to see included?

deemer dates for form filings

filing type

Not sure where this fits in - the Templates we need included

Timeframes ie. a report that shows data surrounding time between when a filing is submitted in serff and when it is approved.

number of days assigned

Need to see filings close to the deemer date

Public Access Date, including Null Value

Being able to query information about a custom list of filings that you enter.

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# What other data sets or filing scenarios would you like to see included?

How many days a filing has been open with no action from the state.

Rate changes

SERFF State Turnaround Report like we have available today separted by Life, Health, PC.

Productivity of individual users , and rate changes tracking

Deemer dates

time in process

Not sure I don’t run regular reports

Project Status Report (state status, dates, F/R/R info and status)

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Mentimeter

# What other data sets or filing scenarios would you like to see included?

- number of days to approval
- Timeframe from draft of filing to submission.
- deemer dates
- number of forms/rates/rules or advs for a specific date range
- TOI and SubTOI
- number of objections and time between responses
- Filer production report
- How long the filing has been with the department

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Mentimeter

# What other data sets or filing scenarios would you like to see included?

Date filed, date approved, objection points, either by project or by state. Approval Status.

Examiner disposition vs. actuarial disposition dates

How many Life, Annuity, and LTC filings in an instance were submitted in a quarter.

log-on information for each user? Date, how long...

how long a filing has sat untouched so management can follow up and ask why?

P&C - reports that include data points to forward to our business clients - effective date, companies filed, TOIs, filing type, status, etc.

Filing type

were any forms/rates modified in the filing

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# What other data sets or filing scenarios would you like to see included?

Filing Status by project

status of a particular filing (for rating organization) in all states

days since last action

How many days a filing has been open with no action from the state.

number of days assigned to Intake, a reviewer, or actuary

How many incomplete filings are submitted

Rate Change Report like we have available today.

history of indicated/selected rate change including an overall aggregate change

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# What other data sets or filing scenarios would you like to see included?

I supplied the detailed information about reports I use to you folks already

number of objections

compliance turnaround - days from submission, compliance question to response to approval

Objection questions and responses. We enter these manually into a database today. Be nice to integrate and be able to track within SERFF.

The ability to use business days instead of calendar

Detailed individual statistics by secondary reviewers

Objections unresponded to over certain amount of time

I mainly use the canned reports.

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# What other data sets or filing scenarios would you like to see included?

# of days between when a filing is suited and when an objection is rec'd Also time from when an objection is responded to and the state next communicates in serff

time from submitted to approval

Reports for Individual filers

Objections counts by company compared to average for instance and or LOB

Assertions of Confidentiality/Trade Secret, especially overrides

filing fees submitted per month

Objection reports by state and by FilerElapsed time from filing to state approval or acknowledgement

business days vs, calendar days

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# What other data sets or filing scenarios would you like to see included?

Need Current Reviewer Status Summary and Turnaround reports set up in there as exist today

Ability to sort and see filings with state inquiries and and when they are due, for everyone on that instance

forms library report - all filing data around a particular form or group of formssame for Rates and Rules

Number of objections submitted on a particular filing

Objections and responses would be awesome to capture by project and by state and a time line

Filings containing confidentiality

Rate filings with savings from post submission update. Being able to create reports from labels used.

Total number of filings received to date.

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# What other data sets or filing scenarios would you like to see included?

repeated objection issues

Ability to pull objections/compliance issues and responses by TOI or filing type

Filings pending company response over x number of days

filings submitted per quarter

EFT Report that can be slimmed to a particular project number

Actual objections and responses for filings

Calculating time frames - time in current status, time waiting on reviewer, time waiting on filer, how many days old is an open filing, counts of filings by labels, averages, etc.

Total number of processed filings to date; able to set date range when needed.

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# What other data sets or filing scenarios would you like to see included?

automatic letters that will go out after 30 days

Be able to pull objection text from the API

Will the reports that are currently available, productivity still be available?

Number of days took to complete and approve a filing

Filings which include information to respond to new statutue(s)

companies per filing

company contact info for multiple companies in a particular TOI

Filing fees by state

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# What other data sets or filing scenarios would you like to see included?

Rate filings with savings from post submission update. Being able to create reports from labels used.

would love a snapshot of a project (including paper/exempt filings)

Filings with specific language in them.

Filer Reports - How many objections per filer

Filing fee data

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