NAIC SERFF

SERFF Product Steering Committee
April 2, 2025

NAIC NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS

The first release of the new SERFF platform is in production!

A Glimpse into Release Weekend

NAIC **SERFF**
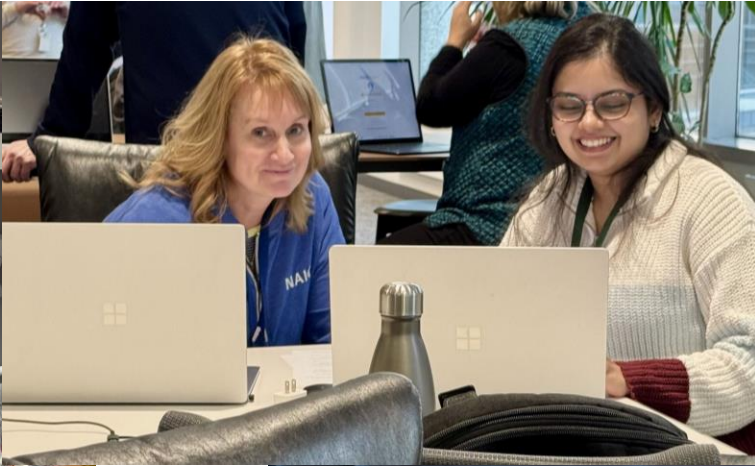
NEW SERFF App

- **05** Applications
- **196** Screens
- **532** Workflows
- **819+** Business Rules
- **200**+ Records
- **39** Integrations
- **20+** Web APIs
- **01** Public Facing Portal

Data Migration

- **16,729** Uer Accounts migrated
- **13,133** Filings migrated
- **330,000** Attachments migrated
- **100+** Tables migrated from Legacy
- **40** Data migration jobs and **20** APIs
- Template-based **PDF file generator** for filing details

Reporting & Analytics

- **07 Tableau** Dashboards revamped
- **23** Snowflake ETL pipelines created/modified
- Migrated existing Data Warehouse to **new Data Warehouse** to support both Legacy & Appian data
- Created New Snowflake DB and APIs to support **Operational** data.
- Created New Snowflake DB and API to support **Public Filing** data.

QA Metrics

- **1,800+** Test Cases created.
- **1,200+** Test Cases Automated.
- **1,000+** Smoke & Regression Suite executed every week.
- **3,000+** Migrated filings validated using Automated Script.
- **06** Performance Scenarios covering major business flows with 200 users

Our First User!

Karen Schutter
Executive Director

Interstate Insurance Product
Regulation Commission

COMPACT

Fail Forward!

- It *definitely* wasn't perfect
  - Okta tokens expired in 18 hours instead of 7 days
  - "Mongo" timed out – Amendments errored
  - License verification data issues
- Code release nearly every day since launch
  - Fixes
  - Enhancements
- Issues addressed in hours, not days
- All-hands on customer support

Onward and Upward!

- Learn and improve
- Continue top notch user support
- Increase communication
- Add additional training options
- Address root causes
- Continue listening and responding

Modernization Roadmap

Time for a Pivot

- Lessons learned from Compact release
- Benefits of a smaller implementation:
  - Close collaboration
  - Manageable migration
- Challenges included:
  - Communication to and training for industry
  - Helping users adjust to change
- Benefits might not scale well, challenges are intensified

Product Adoption Curve
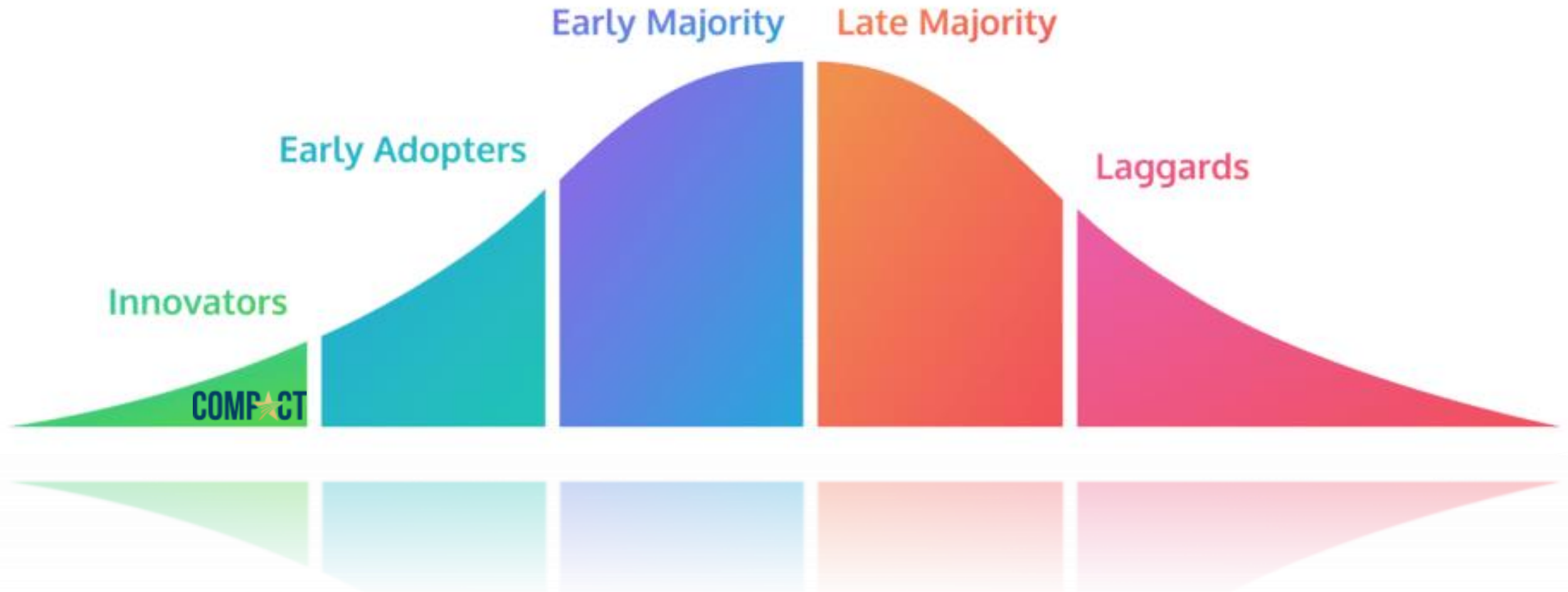
Early Adopters

- Arizona
- Arkansas *
- California +
- Connecticut +
- Maine *

- Missouri +
- Nebraska
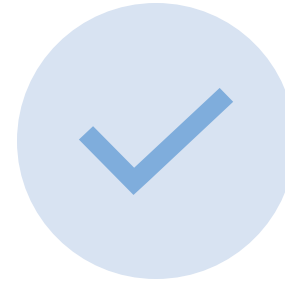- North Dakota *
- Oklahoma +
- Vermont +

(*) Denotes participation in original SERFF Pilot program
(+) Partial state transition

Next Steps

Deliver and improve features for Compact usage

Build release plan for early adopters

Continue working with other states

Expand communication and outreach with industry

The Goal

Introduce meaningful and significant AI capabilities into the modernized SERFF platform by the end of 2025

SERFF's AI Partners

Initiatives Underway

Proof of concept with AWS Generative AI Innovation Center

Evaluate Appian "plug and play" AI capabilities

Expand internal capabilities & build internal POC

Internal POC: Build the Rule

Internal POC: Train & Test the Rule

LLM Rules Engine

Rules **Datasets** Test Runs Dataset Test Runs

Datasets Dashboard

Upload Dataset

Dataset Name	File Count	Last Modified
Test	2	2025-03-18 17:30:24
Beneficiary Policy	2	2025-03-12 20:25:44
Fairness Policy	1	2025-03-12 19:34:34
GP Mixed	5	2025-03-04 19:31:36

LLM Rules Engine

Rules **Datasets** Test Runs Dataset Test Runs

Test Rule: Grace Period Policy

Select Dataset

Choose a dataset...

Run Test   Back to Rules

Test Results

Total files processed: 5

Success rate: 80.00%

	precision	recall	f1-score	support
False	0.67	1.00	0.80	2
True	1.00	0.67	0.80	3
accuracy			0.80	5
macro avg	0.83	0.83	0.80	5
weighted avg	0.87	0.80	0.80	5

What's Next?

- Deploy & prepare for expanded usage
- Leverage NAIC business staff for further testing and feedback
- Onboard Compact staff to train and test rules
- Experiment with early adopter states
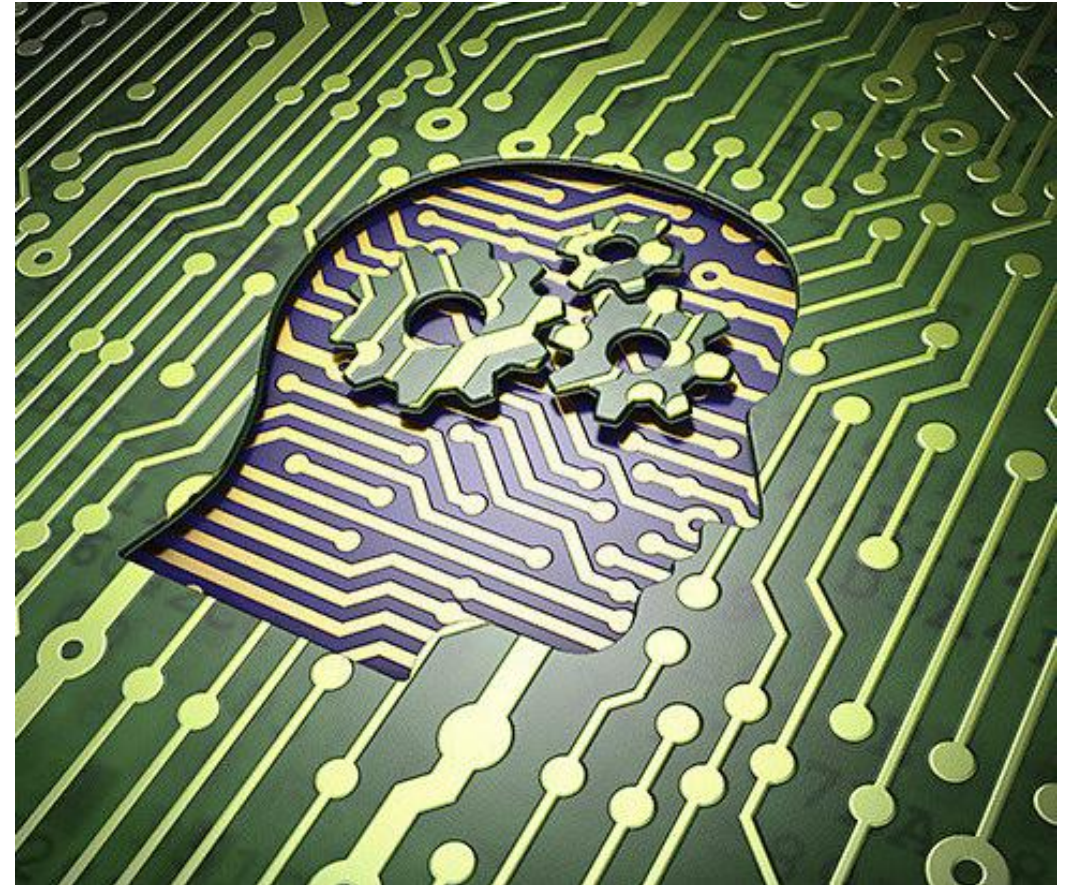
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NAIC SERFF

Questions?

bkieras@naic.org (or state liaison)
serffmodernizationquestions@naic.org

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April 2, 2025 SERFF PSC Q&A Summary:

Q: "What is the timeline for the coming phases of the release?" A: "It will be a series of small releases that add and improve functionality. We will likely start scheduling state implementations late this year. We will give several weeks' notice so that you are prepared."

Q: "Where are we at with PDF pipeline and the statement of intent feature?" A: "We are introducing the statement of intent upload, which is currently in QA. We are still TBD on PDF pipeline, but the public access portal is a good workaround for documentation of final approved filings."

Q: "Are you considering the complexity of states in the early adopter phase?" A: "The complexity doesn't necessarily put us off. We chose states based on technical criteria, such as states that didn't use niche features like state data retention or actively entering paper filings to start getting some states onto the platform."

Q: "Will there be training sessions for the new platform?" A: "Yes, we are currently offering training sessions for Compact filers. We have gotten good feedback on the training and are talking with our training department about new ways to help you prepare for the new system."

Q: "What about the performance lags in the new platform?" A: "There have been some reports of intermittent slowness, particularly in the fees page and the amendments workflow. We anticipate addressing these in the next quarter."

Q: "Will there be APIs for legacy and Appian?" A: "Yes, there will be APIs for legacy and different APIs for the Modernized SERFF platform. If you are an API user, please e-mail serffmodernizationquestions@naic.org."

Q: "Will there be a new public access portal for the compact?" A: "Yes, the compact has a new public access portal. As other states start moving over, they will move to a new portal, and we will continue to enhance it."

Q: "Will there be advanced notice for state implementations?" A: "We committed to four weeks' notice for the compact and would like to have that as the general rule of thumb, at least in the beginning. Once things settle in, we might shorten that to two to three weeks."

Q: "Will there be features to help with deemer date tracking?" A: "Yes, we hope to build in features to help with deemer date tracking."

Q: "Will there be form templates in the new platform?" A: "We understand the purpose of form templates and the value they provide. It may not look exactly like it does today, but we understand that you will need something like that."

Q: "Will there be a consolidated PDF of the general instructions?" A: "Yes, we have a consolidated PDF of the general instructions in the knowledge center. We will send that PDF out to everyone and address it in our next industry blast of compact filers."

Q: "Will there be a user manual and additional training and knowledge center features?" A: "Yes, we will have a user manual and additional training and knowledge center features."

Q: "Will there be a feature enhancement for being a watcher on a filing?" A: "Yes, we will be looking at that feature enhancement."

Q: "Will there be labels in the new SERFF?" A: "Yes, we implemented labels for the compact already."

Q: "Will there be a list of issues identified?" A: "We need to do a better job on this. We had a plan to get a known issues list that you could check, and we will work on that."

Q: "Will there be demos of the new platform?" A: "Yes, we will start doing deep dive demos and component demos using Menti to get your feedback and questions on those particular components."

Q: "Will there be communication and outreach with the industry?" A: "Yes, we will expand communication and outreach with the industry to keep you posted and well prepared."

Q: "Will there be a plan for addressing root causes of issues?" A: "Yes, we always try to look at the root causes of issues to continue to improve and fix them quickly."

Q: "Will there be a plan for improving the usability of the amendments workflow?" A: "Yes, improving the usability of the amendments workflow is our highest priority, and we will focus on that."

Q: "Will there be a plan for addressing the Okta registration issue?" A: "Yes, we have a plan to start going back through instance by instance and working with user managers and other instance contacts to get everyone back in Okta and finish the registration."

Q: "Will there be a plan for addressing the Mongo timeout issue?" A: "Yes, we are looking at the root cause and working with states to address the underlying data and correct the issues."

Q: "Will there be a plan for addressing the license verification tool issue?" A: "Yes, we have a workaround and are almost caught up with the issues. We are reaching out to companies and asking them to try again."

Q: "Will there be a plan for addressing the find filing feature issue?" A: "Yes, we verified the issue and reported it to development, and it was fixed in production within the hour."

Q: "Will there be a plan for addressing the training and learning opportunities?" A: "Yes, we will continue to ramp up on the training and learning opportunities and address feedback on the training agenda."

Q: "Will there be a plan for addressing the feedback from compact filers?" A: "Yes, we are getting a lot of feedback from compact filers and learning how to make the platform better. We will continue to make improvements to the functionality."

Q: "Will there be a plan for addressing the feedback from states?" A: "Yes, we will continue to engage with states and provide opportunities for them to influence the platform."