Table of Contents

- Roll Call – page 3
- 7.66 Release – page 4
- SERFF Modernization
  - Project Update – page 5
  - Industry Focus Group Survey – page 6
  - Engagement Activity Summary – page 7
  - Engagement Activity Questions – pages 8-12
- SERFF PSC Membership Form – page 13
- Next Call Dates – page 14
- Engagement Activity Results – pages 15-71

Roll Call

- Roll will only be called for current PSC members

- Interested parties who wish their attendance to be recorded can email lbandle@naic.org

7.66 Release – May 5

- Filings
  - Bug Fix: Correct validation error text on Overall Percentage of Rate Indicated field
  - Bug Fix: URRT fields no longer showing on Response Letter when URRT question is set to 'No'
  - Bug Fix: Rate Schedule item format is correct in correspondence
  - Add URRT validation when submitting multiple filings
  - Added validation if a state determination is submitted when there is a draft URRT validation

- Binders
  - Bug Fix: Correct validation error text when submitting additional EFT fees
- Templates
  - Bug Fix: Can now add forms to Form Schedule Templates for P&C filings
- Settings
  - Bug Fix: Navigation goes to the Settings tab if 'Settings' is double-clicked
- Rate Change Report
  - Bug Fix: Rate Change Report now includes all applicable filings

SERFF Modernization Update

- Month 2 underway
- Completed four days of planning & design sessions
- Work in progress:
  - Legacy system:
    - Building our OpenSearch Index and preparing for integration
    - Conducting analysis of production attachments
  - New platform:
    - Development for Instances, Organizations (new feature), and Filing Configurations (fka Filing Rules)
    - Design discussions for single sign and user management
    - Discussion on managing component shared between legacy and new platform (ie Companies)
    - Requirements gathering for Fee Management and Compact Registration

Industry Focus Group Survey

- **Link: [Focus Group Survey](#)**
- **Only for industry users**
  - **State users are being contacted separately for focus group participation**
- **Focus groups will be spun up gradually during the project**

SERFF Modernization Engagement Activity

- Used online tool – Menti
- 70 PSC attendees participated
- Main topics covered: Companies, Industry Organizations, and Home Dashboards
- Questions from the activity are on pages 8-12
- Results from the Menti Activity start on page 15
- **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 Lauren (lbandle@naic.org) and Bridget (bkieras@naic.org)**
- **If you would like to participate in a focus group on the topic of Company Set-up and Management, please email Lauren (lbandle@naic.org) or Bridget (bkieras@naic.org)**

Engagement Activity Questions: Company Info Uses

When answering, please provide what type of user you are (state or industry) and how often you use SERFF (daily, weekly, etc).

- **On a scale of 1-5, with 5 being very important, how important/relevant are the following ways you use company address?**
  - Time zone/ when to contact filers
  - Mailing Documents
  - Billing/refunds
  - Distinguishing between companies w/ similar names
  - Other (please specify)
- **When you call a company, are you calling the company, or a specific person related to the filing?**
  - Options: 'calling the company', 'calling a specific person', or 'I don't contact by phone'

- **Can we remove the fax number field and remove historical data for this field?**
  - Options: 'Yes to both', 'Remove the field but keep the data', or 'Do not remove the field or data'
- **Can we remove the company type field and remove historical data for this field?**
  - Options: 'Yes to both', 'Remove the field but keep the data', or 'Do not remove the field or data'

Engagement Activity Questions: Company Set-Up/Management

- **Imagine a new 'add company' workflow for companies that have an NAIC CoCode. The new workflow would have you search for the CoCode and then the system would pull the company's demographic info (name, address, phone, etc.) from the NAIC Company database, rather than you having to manually enter that info into SERFF. What problems could arise with this process? (ex. Incorrect data, missing data, etc.)**

- **Who updates the company information? (ex. 1 person for all companies on the instance, 1 person per company, regional, etc.)**

- **How seamless is the maintenance process? When do you know that updates need to be made to a company? (ex. Internal notification, when an objection letter is received, etc.)**

- **Would it be helpful to be able to associate contacts with companies rather than filings?**

Engagement Activity Questions: Company Validation on Filing Intake

- **What company demographic information is verified on filing intake?**
  - This does not include company licensing
- **How often is a filing rejected because of incorrect company demographic information?**
  - This does not include company licensing
  - Options: Never, Rarely, Sometimes, Often, Always

- **What company demographic information should be able to be correct post submission?**
- **What type of entities to you receive true rate/form product filings from besides insurance companies with NAIC CoCodes?**
  - Ignore filings like Annual Reports for this questions.

Engagement Activity Questions: Industry Organizations

- **Description:**
  - Industry Organization is a new concept we are introducing in the SERFF Modernization.
  - It will allow large entities that have multiple industry instances to group those instances under one organization.
  - It will also allow us to introduce some functionality that can cross multiple instances.

- **What cross-instance features would you like to see with industry organizations? (ex. Specific reports, searches, filing access, etc.)**

Engagement Activity Questions: Home Dashboards

- **Description:**
  - Forget for a minute what the current SERFF layout looks like and imagine when you log into SERFF there is a page that has sections (widgets) with different pieces of information displaying.
  - We want this page to be customizable, but we also want to present a default view that is a good starting point depending on your user role.
  - These two questions will help us start to identify any common widgets for the different user roles.

- **What is your role in your state/company?**
  - Options:
    - Industry Filer
    - Industry Manager
    - State Intake
    - State Form/Rate Analyst
    - State Actuary
    - State Regulatory Manager
    - State Assistant Commissioner, Director, Commissioner
    - State Market Conduct
    - Other (please specify)
- **What are the top pieces of information you want to see on your homepage? (ex. Filings w/outstanding correspondence, draft filings, open filings per reviewer, etc.)**

PSC Membership Interest Form

- **Link: [PSC Membership Form](#)**

- **There are 10 state member seats and 10 industry member seats. We also try to balance the different business types.**

- **Members serve a 3-year term and are expected to attend PSC meetings and provide feedback when asked.**

- **All other attendees are 'interested parties' and while encouraged to attend and provide feedback, are not required to do so.**

- **5 state seats and 1 industry seat up are up for new membership in 2022**

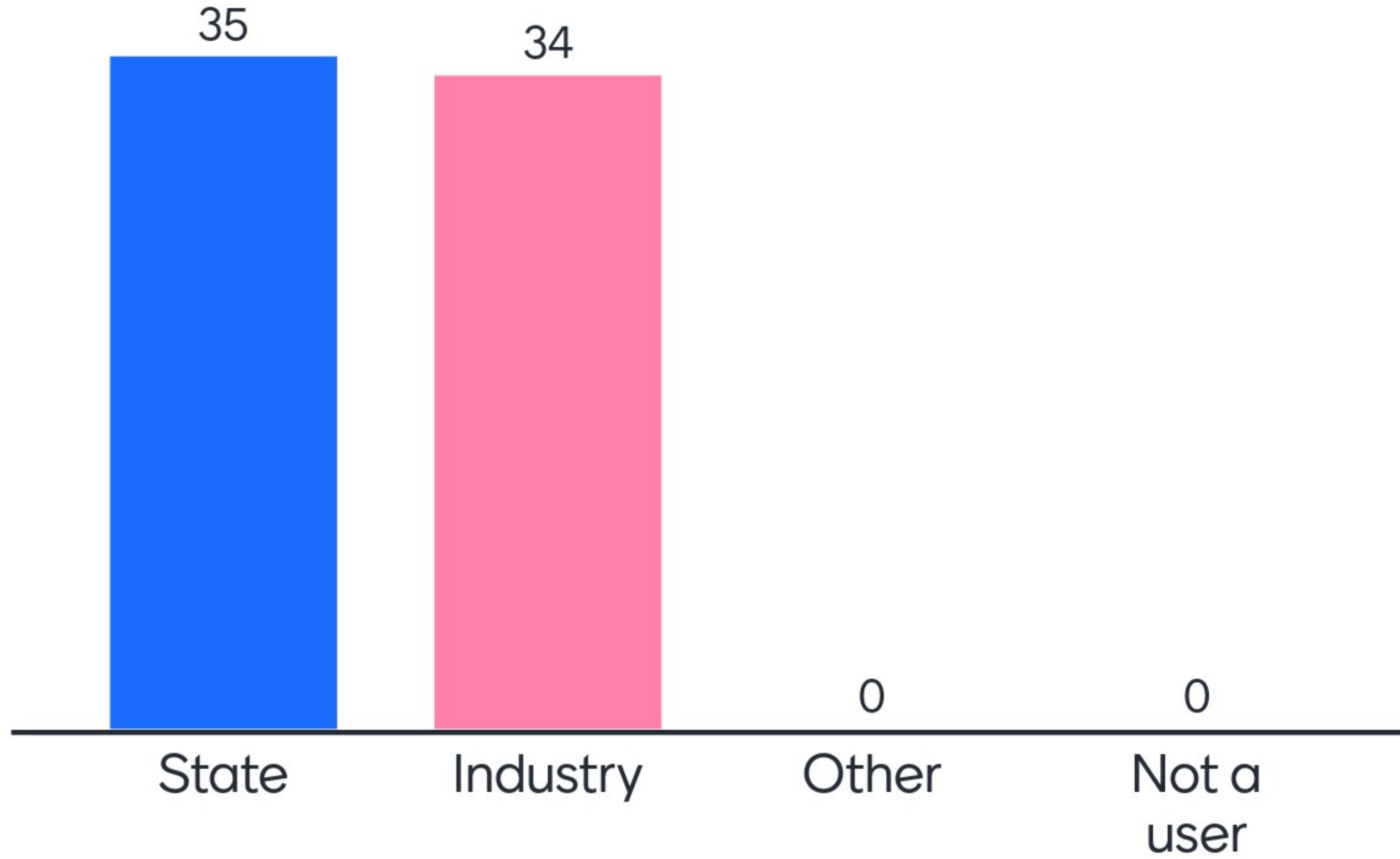- **We will use this form to pull membership nominations going forward.**

2022 Call Dates –
all calls start at 12:30 Central

- **Rescheduled** –
  Thursday, May 26th
- June 22nd
- July 20th
- August 17th

- September 14th
- October 19th
- November 16th
- December 14th

April SERFF PSC Engagement Activity

How often do you use SERFF?

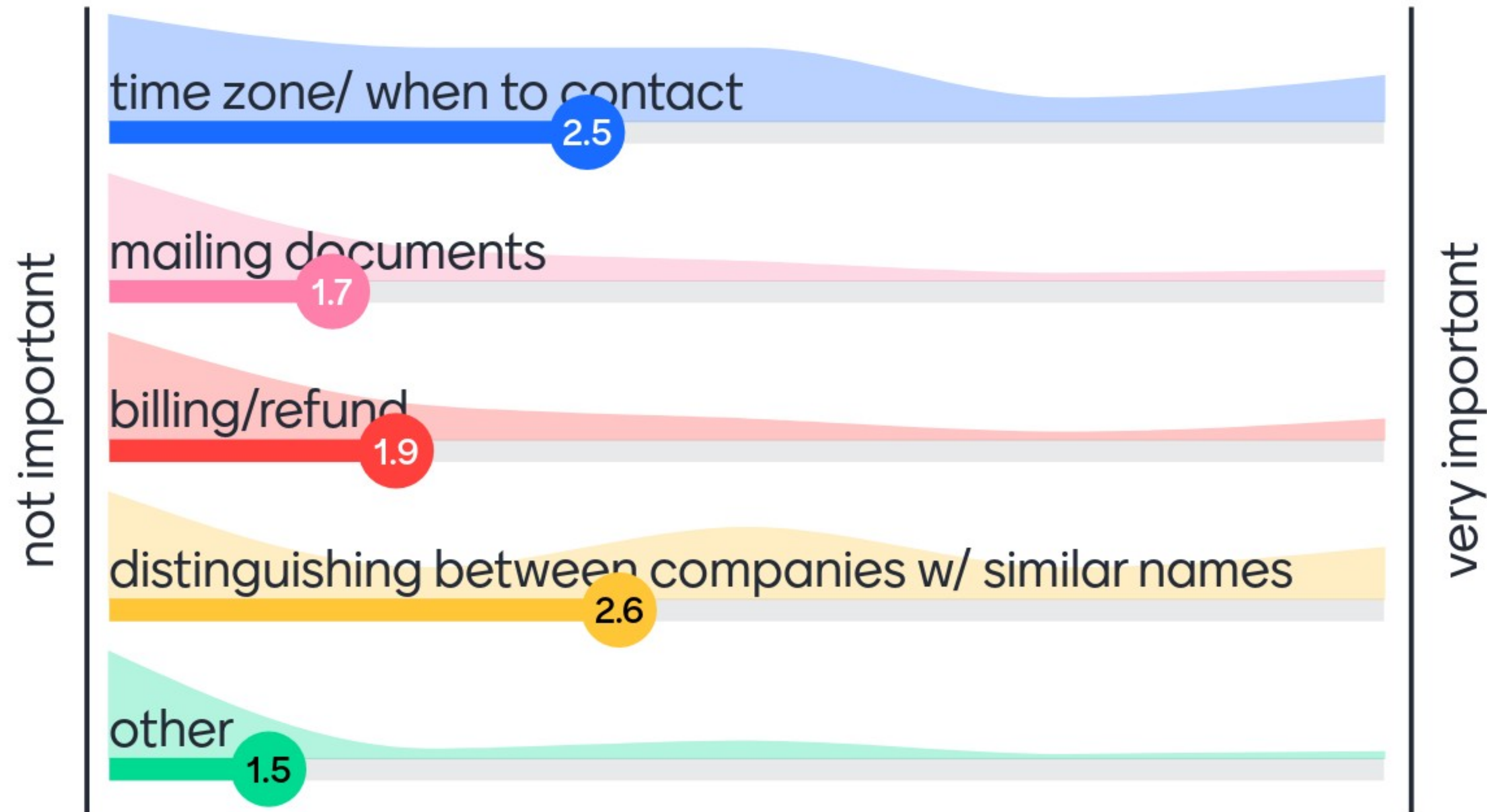| Daily	Weekly	Once a month or less	Not a user
62	4	3	0

69
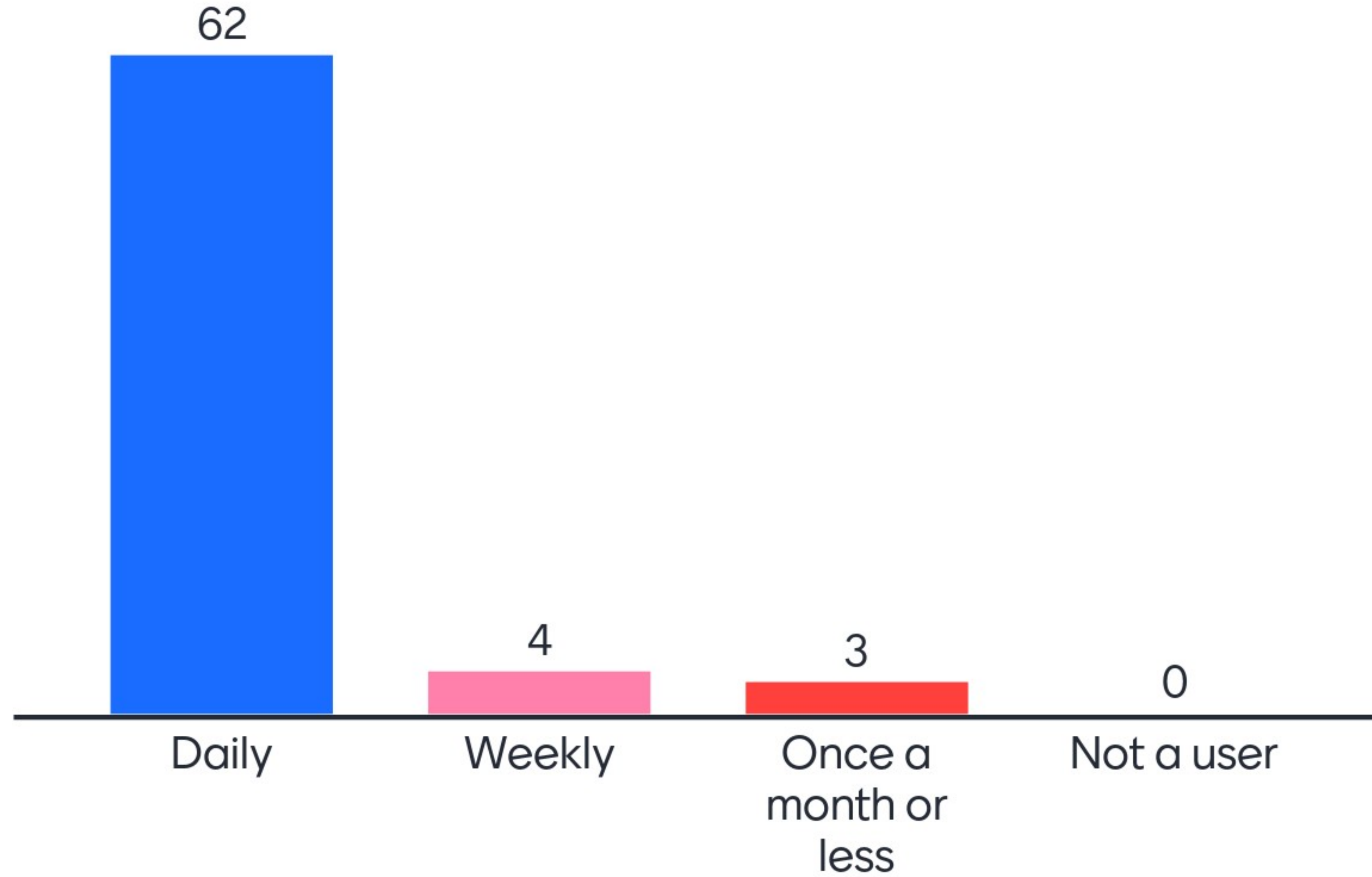
Company Information Uses

How important are the following ways you use company address?

not important — very important

- time zone/ when to contact — 2.5
- mailing documents — 1.7
- billing/refund — 1.9
- distinguishing between companies w/ similar names — 2.6
- other — 1.5

Mentimeter

63

When you call a company, are you calling the company as a whole or a specific person related to the filing?
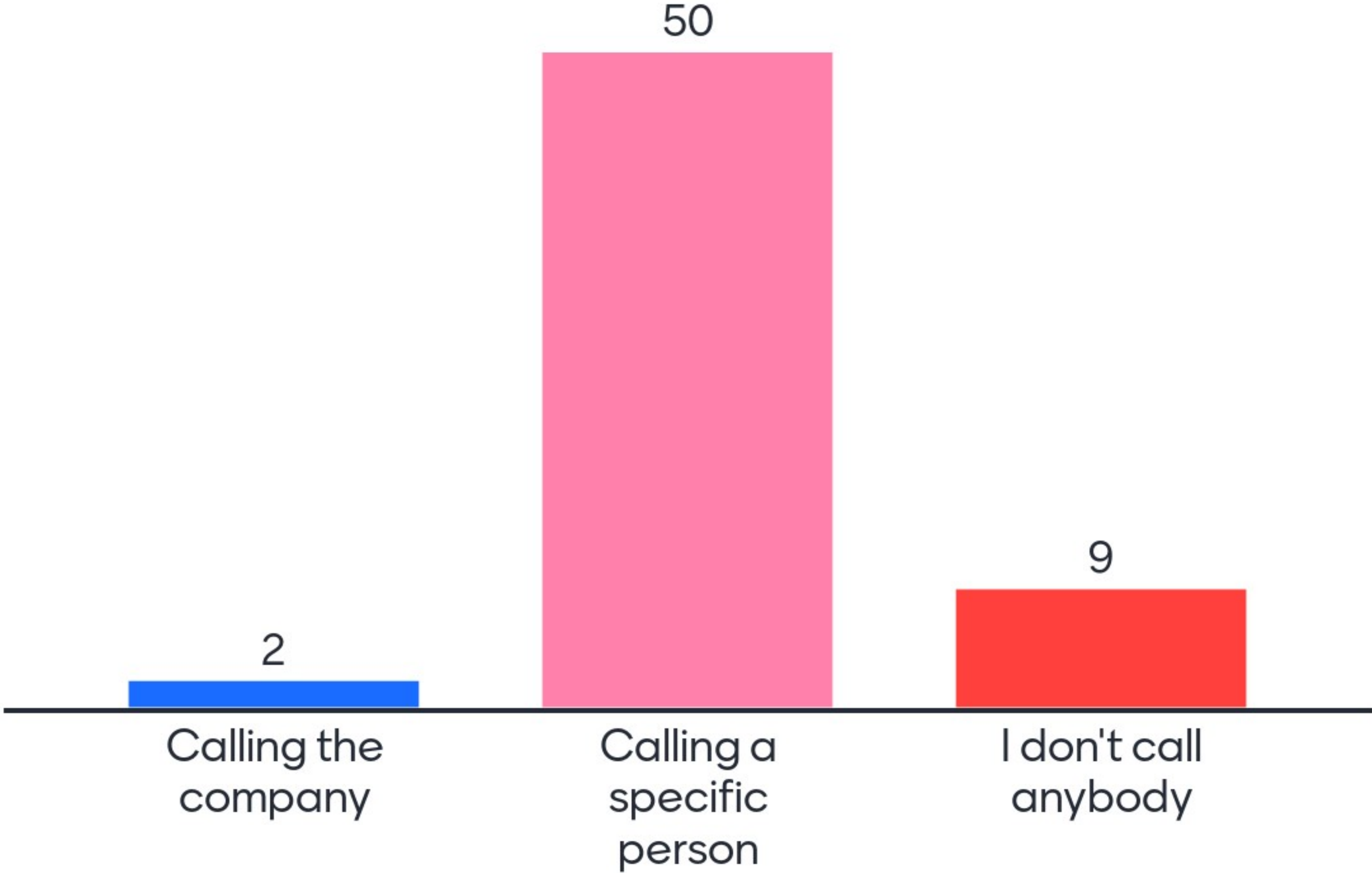
2	50	9
Calling the company	Calling a specific person	I don't call anybody

Can we remove the fax number field and remove historical data for this field?

45	11	7
Yes, you can remove the field and data	Remove the field, keep the data	Do not remove the field or data

63

Can we remove the company type field and remove historical data for this field?

Yes, you can remove the field and data	Remove the field, keep the data	Do not remove the field or data
11	4	40

55

Company Set-Up/Management

4
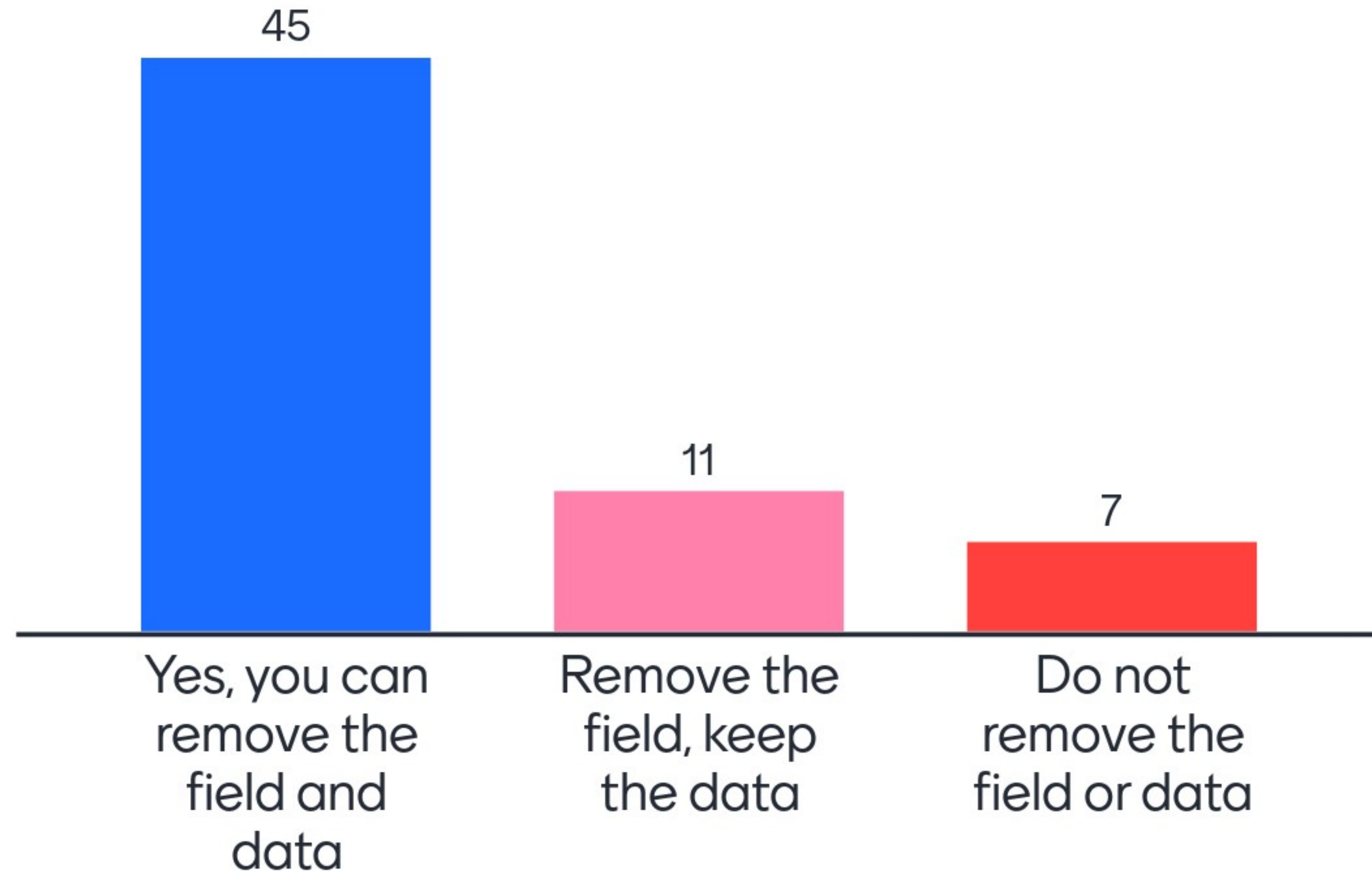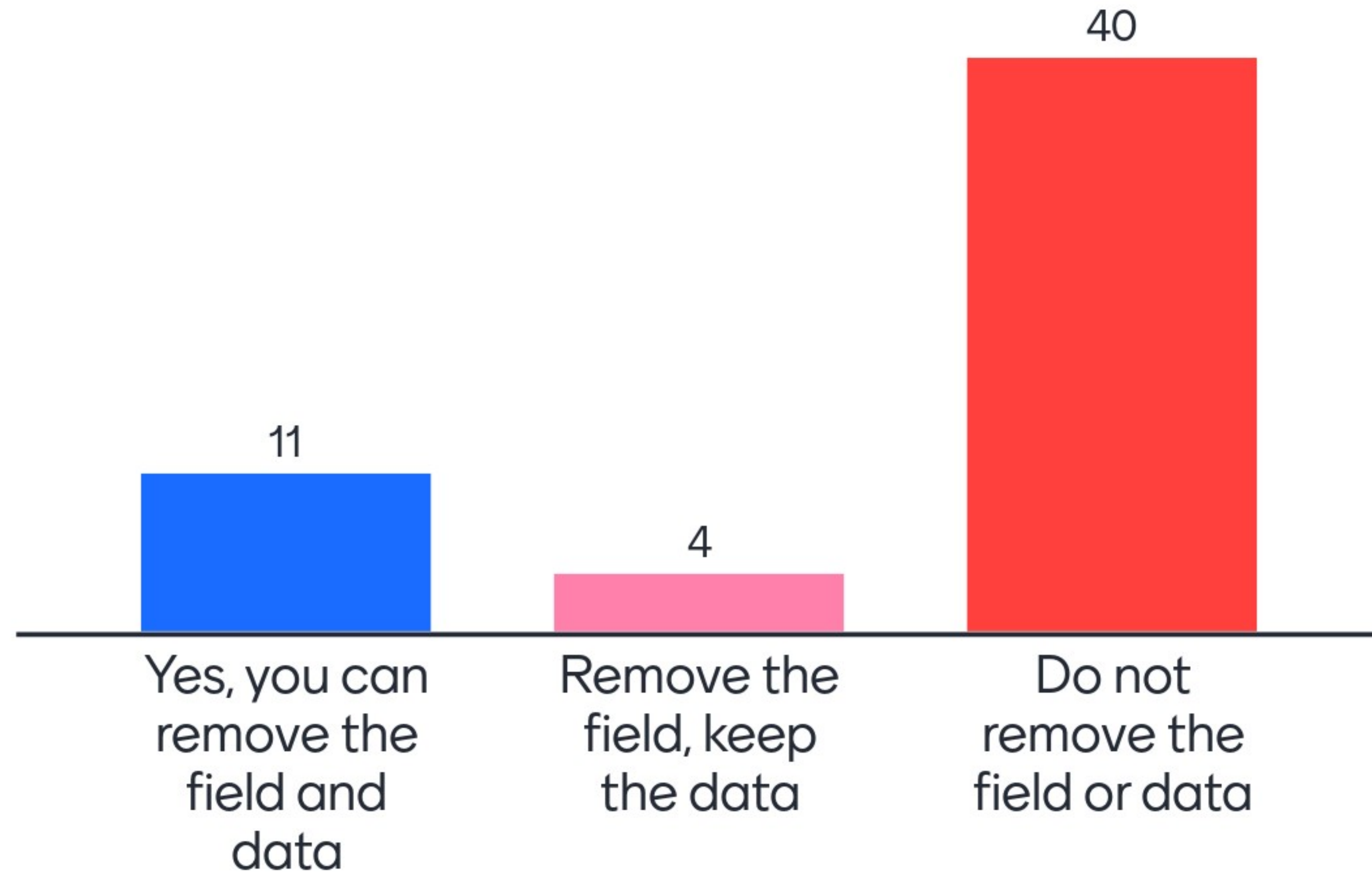
What problems could arise if we pull company demographic data from the NAIC Company database?

Group information could not be correct if NAIC does not update it on their end. Happened a few times to us.

Unfortunately we often find the company contact information is not updated - frequently causes problems

Depends on what the demographic data is used for

The phone number for the company is not always the same as a specific phone number for the contact of the filing being submitted.

If you are talking auto populating, the wrong office/contact could be listed in the company contact information (if I am understanding this question correctly).

With our companies, there is a different address and phone # for our filings unit than the statutory address associated with the company.

Inaccurate information due to a lack of updates or user error

The contact and phone numbers for SERFF may be different than the NAIC Company database.

Differences between operating address and state of domicile.

What problems could arise if we pull company demographic data from the NAIC Company database?

I don't see any issues with this

Depends on the search

many things, such as phone numbers, contact info. and more things I am sure may not be correct.

contact info may not be updated which may pose a problem for fees if domicile state is not correct

Not a problem. How often would this be done, as we occasionally change our address info. Also, we have just been acquired by another company and most likely our addresses for our various companies will be updated.

NAIC number may have been used for another company where the company name changed.

What if the CoCode does not exist and there is no NAIC number related to the entity filer then nothing would pull back.

Wrong company could be selected.

may not have a co code, if acquiring another company

28

What problems could arise if we pull company demographic data from the NAIC Company database?

Sometimes the company will elect to use an address and phone number that is different than the address and phone number associated with their domiciliary address.

What if there was a name change? Or a name change is in process.

Skip - I use SERFF as a State Regulator.

If the company is already set up on another instance, would there be problems getting it approved for the new instance?

N/A if this is just for setting up companies - but a thought that it could be problematic because of the multiple types of address/contact information stored in NAIC database - might not correspond to company's form/rate filing context.

When setting up from acquisition information may not be correct.

What if we have a merger or name change?

not all companies or parties in the NAIC database

If the company changes their name, address, phone number, etc., how would that be updated in SERFF?

What problems could arise if we pull company demographic data from the NAIC Company database?

Config Mgr

28

Who updates the company information?

I agree with the other comments

Config Manager

N/A

Skip - I use SERFF as a State Regulator.

Our SERFF account manager updates this data.

One person for all Companies.

The State Filing Manager / SERFF Administrator

The SERFF administrator.

n/a

40

Who updates the company information?

Administrator for all instances.

n/a

Not certain

One person at the incidents level

One person from Filings Unit

Depends on the information being updated. We have several individuals who update this info.

One person for all companies

One person is responsible in our organization.

anyone that is an author can

40

Who updates the company information?

our SERFF admin

state filings manager

Administrator

Assigned Analyst to file.

SERFF administrator

Im assuming the config editor for that company

One person - SERFF account manager

I think should be admin for company(s), would not want a lot of people doing this.

Anyone with the Industry Configuration role - multiple users are assigned this role to support multiple instances

40

Who updates the company information?

State Filings Supervisor or Regulatory Services Officer.

We have one person that updates the company information for SERFF.

We don't know and sometimes the filers don't know who updates that information.

SERFF Administrator for the Instance.

Depends on how the company has been organized. Could be one or multiple people

Appears to come from the annual & quarterly statements

Config Mgr

Configuration Manager - Usually one person within our group of companies.

We have one admin for all of our instances, for the entire company(s).

40

Who updates the company information?

Industry Configuration Manager - Normally department manager

The information is updated when we experience internal changes. The SERFF Administrator is notified and the changes are made.

Changes are made on an as needed basis.

From a regulator standpoint, it would be nice to know "current contact/contact info" for historical filings.

40

How does the maintenance process go? When do you know that updates need to be made?

n/a

N/A

When the client knows we need to update the information, or when we are made aware of a change in address, change in name, etc.... As often as needed.

Updates made as company changes are implemented.

Not experienced enough to answer this.

not sure

Company changes do not change that often, but when it does happen it is usually communicated via our management staff to our SERFF Config Manager.

Changes made on as needed basis, when advised by Business

Not sure

How does the maintenance process go? When do you know that updates need to be made?

varies

as needed basis

not sure

Depends on the updates being made, can come from meetings and discussion of new company, or changes to existing, or may be notified from other areas of company.

Either when we are aware of changes internally and we handle proactively OR for those pickier states, when they send an objection to indicate that the name got cut off or something odd.

Legal, Company Licensing

very simple to update. A Filing lead will communicate the need for the update

This is not a difficult process to make a change. Typically a corporate legal dept person will notify me that a change is needed

When, based on when we are notified by accounting. Never had an issue from an objection.

How does the maintenance process go? When do you know that updates need to be made?

As we are made aware by our clients, updates are made in SERFF.

When i am made aware of changes such as a new address i generally know ahead of time because of all the other affects items

If a filing is reviewed at Intake the Company filers may have typed in the wrong company name or not the full legal name of the company, they would go back to their configuration manager to have it corrected before resubmitting a filing.

A company person tells us about the amended information.

Should be identified as an action item for any project involving company information change.

When we discover an error.

Usually, when it is noticed by either a filer or a state reviewer that it needs an update.

The SERFF Administrator would need to be notified by the company when changes have been made.

Rarely a company name change was needed if a filing did not match the info on the company license

How does the maintenance process go? When do you know that updates need to be made?

When something changes (like a move to a new address).

Doesnt SBS house this info?

I normally get a email from a person in insurance institutions they notify me when a Name Change, or some sort of update to their Changes to busness operations has occured and I follow up with an email to that person,

Failure to pay filing fees, incorrect TOIs and Sub/TOIs, Incorrect filing types

Intake will review whether there is a five digit cocode and will look up the StateID number in the state system to verify both belong to same company

Upon submission, I'll also add incorrectly uploading forms.

33

Would it be helpful to associate contacts with companies rather than filings?
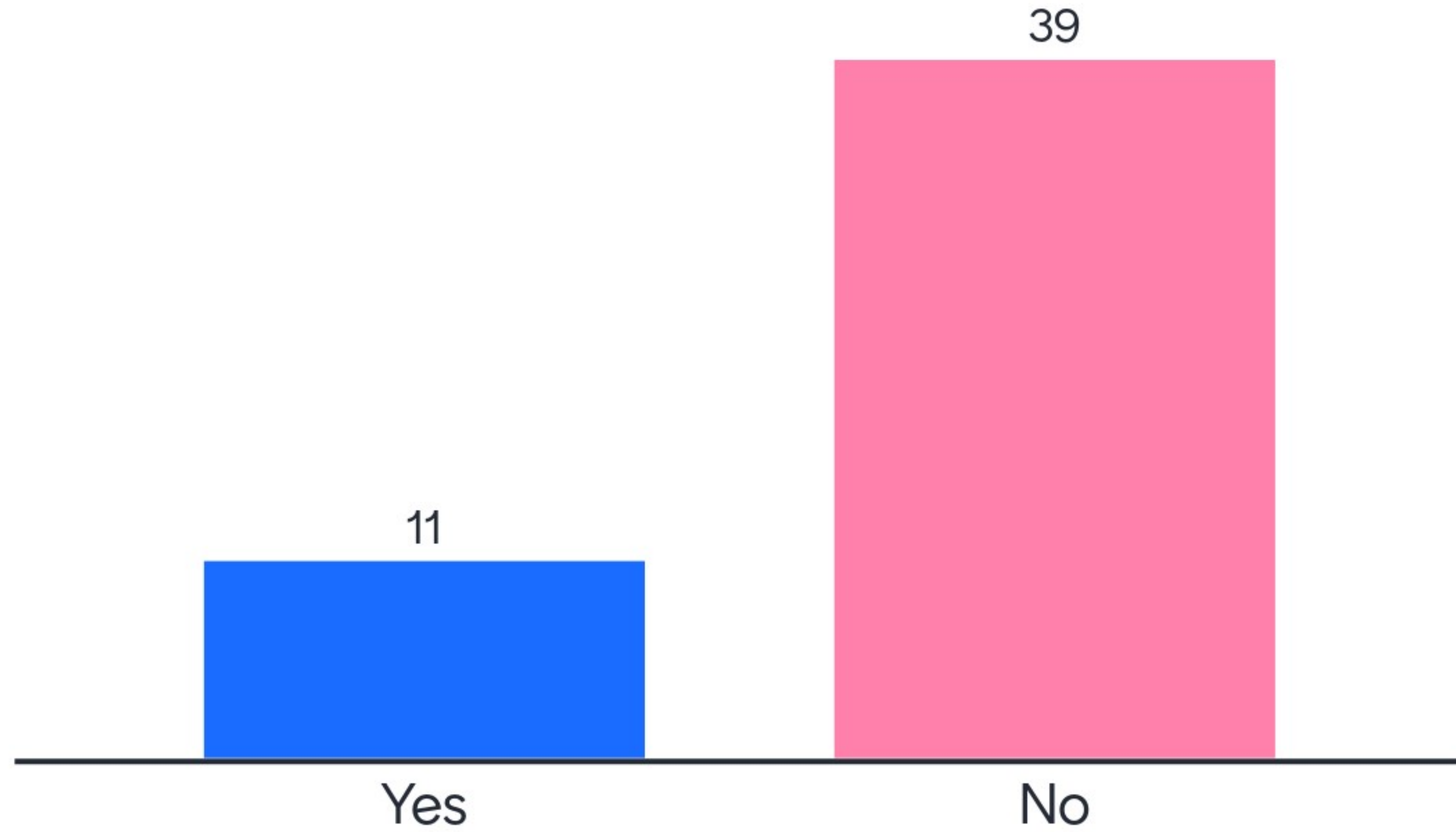
11
Yes

39
No

50

Company Validation on Filing Intake

What company demographic information is verified on filing intake?

skip

None

N/A

not a state user

N/A

None

skip

N/A

N/A

48

What company demographic information is verified on filing intake?

N/A

N/A

CoCode/NAIC number and StateID number

CoCode, Group Number, lines of authorized business

None

Name, EIN, CoCode, Group Nbr, certificates of authority

N/A

Ensure the company is licensed for the TOI.

State licensure for TOI

48

What company demographic information is verified on filing intake?

State of Domicile

Is the license active

Don't usually verify until ready to contact

Is insurer licensed with proper authority for product being submitted.

CoCode, State ID

None

State LicensesCoCodesActual number of companies included

n/a

Company licensed for TOI

48

What company demographic information is verified on filing intake?

As an industry user, if an automatic verification process was put in - that would be helpful.

licensing for LOB per State

Look for lines of insurance, correct company name, licensed in State

cocode - NAIC# - grp# - COA - full correct name

Company line of insurance matches TOI/Sub-TOI of filing

License Data

Company name, are they licensed in our state for that product, do they have a 3rd party submitting the filing, etc

TOI Code: Line of BusinessFiling TypeCompany name

It is used to verify that the company is using the formal name of the company and not the DBA.

48

What company demographic information is verified on filing intake?

ein, cocode, active, group no, name

recently - group name

Filing Company name matches licensed name, Filing Type correct, TOI/Sub-TOIs correct

NAIC #, TOI

Compact compares included states vs licensure reported in annual registration

Third Party Info

also licensed for the line of insurance being filed

Legal company name, corresponding NAIC/Cocode, licensing and lines of business in relation to product being filed.

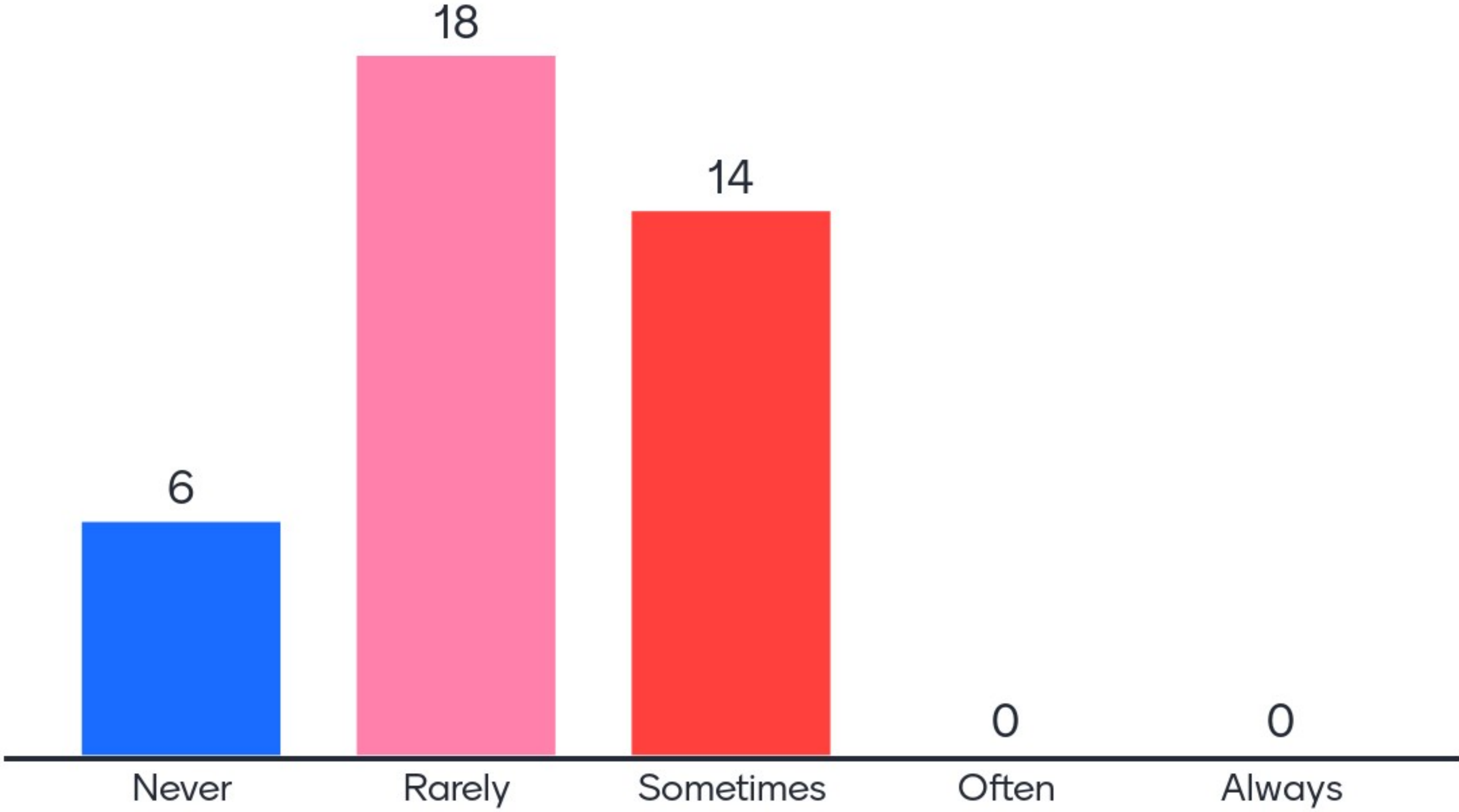Is the company authorized to write.

48

What company demographic information is verified on filing intake?

Cover letter, Licensure,

group name and group code

any

48

How often is a filing rejected because of wrong company demographic information?

What company demographic information should be able to be corrected post submission?

Group Name, Group Number

Group information

all

all

all

All info.

Filing contact

All

all

What company demographic information should be able to be corrected post submission?

all

any

filing company, company contact

Addresses, Contacts, phone numbers

all

NAIC group name and group code/number

all

Any of it from an industry perspective.

All

47

What company demographic information should be able to be corrected post submission?

all

All

All

Filing contact

All

Any

Insurer Name, so not forced to w/d when select wrong one.

filing should be withdrawn, info corrected and resubmitted properly

Filing TypeName of CompanyTOI code

What company demographic information should be able to be corrected post submission?

Co name, CoCode, State of Domicile

all

contact name, address, and phone number when there are changes in the company and that information was not updated to departure

Filing contact information, State of Domicile

Contact names, phone numbers and email addresses

group information, address, contact and phone numbers

Best contact person and their phone no. for this filing/product

filing contact,

addition or change of companies

What company demographic information should be able to be corrected post submission?

Perhaps if it changes the domicile and fees, could be an issue.

All

to add or remove a company rather than withdraw a filing

Filing contact

Third party information - some companies clone the same information and the third party information is not updated.

Would like company name and NAIC/CoCode to be updatable but might need validation against the main company information set up in SERFF - wouldn't want the issuer to just change to any free text value.

Add/Remove Insurers to filing submission

included companies for multi-company filings

N/A

What company demographic information should be able to be corrected post submission?

advisory orgs

Number of filings

47

Who do you receive true rate/form filings from besides insurance companies with NAIC cocodes?

n/a

n/a

Rate service organizations

None

N/A

N/A

Agent/MGA partners, Title Agencies

None

Rating Orgs

38

Who do you receive true rate/form filings from besides insurance companies with NAIC cocodes?

Warranty companies (I think) from an industry perspective.

advisory organiztions

warranty companies

Advisory Organizations

Rate Service Organizations, Service Contracts, GAP Waivers

warranty companies

Preneed providers

Consulting Firms

Rate Service Orgs, Warranty plans

38

Who do you receive true rate/form filings from besides insurance companies with NAIC cocodes?

Rate service organizations, third parties

A third party consulting firm wishing to submit genericly on behalf of a potential client wondering if something will fly

Advisory Organizations

Life/viatical settlement, title agencies, HCBM companies

Advisory Organizations

health care benefit managers, vehicle service contractors, life settlement companies, charitable gift annuity organizations, associations, state specific entities

Third party filers under their own instance

consulting firms, advisory orgs

Rating and Advisory Organizations

38

Who do you receive true rate/form filings from besides insurance companies with NAIC cocodes?

Our Annual Required files there is a list of them on our Sub-toi's.

Third-party administrators

PIP vendors, Vendors, Rating Bureaus (e.g. ISO)

Service Contract providers

Rating Bureaus/Rating OrganizationsFAIR Plan/Assigned Risk PlanMine Subsidence AssocAdvisory Organizations filing models, such as UBI

Rate Service Organizations

Warranty entities, but those filings are not acceptable via SERFF for our state

Title Companies / JUAs

Washington Surveying Rating Bureau (WSRB), Insurance Services Office (ISO), Washington State Health Insurance Pool (WSHIP)

38

Who do you receive true rate/form filings from besides insurance companies with NAIC cocodes?

Rating bureaus

Don't think we receive/accept rate/form filings from entities that do not have NAIC CoCodes, except maybe self-insured MEWAs, but not completely sure without checking on L&H side - and not sure on P&C side.

38

Are you interested in participating in a Company focus group
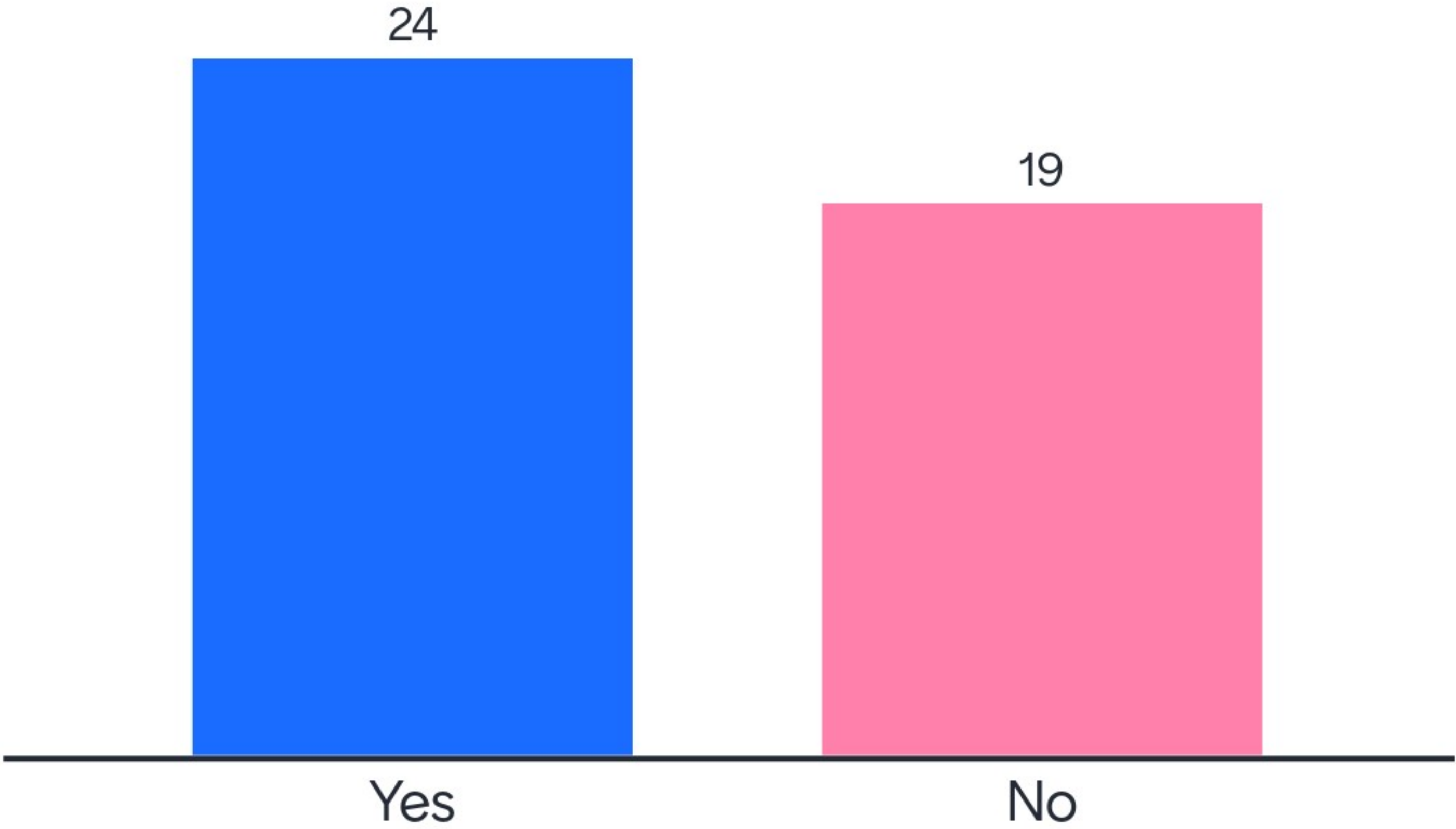
24

19

Yes

No

43

Industry Organizations

5

What cross-instance features would you like to see with industry organizations?

searching for filings

search filings in both instances

Number of filings made by each author

reports and exports would be great

Only use one instance.

Filing Search

search across instances

serff retention to be together

searches in both instances

29

What cross-instance features would you like to see with industry organizations?

Searching for filings. Running reports within all instances

Searches is the big one.....

Ability to search for filingsReports

filing searches

Allow for some users to only view / edit / search all filings for a given TOI

production, form, rate, and/ or rule searches across instances.

filings by author, number of days from submission to disposition

search for filings by various fields in the filing

N/A

29

What cross-instance features would you like to see with industry organizations?

N/A

Search and exports

search filings across instances for specific periods of time; by state

1 password per individual regardless of instance; searches as long as the individual has the proper permission. For example - let's say a third party user we would only want them to have search permission in 1 instance.

Allow only some users to only have access to certain type of filings (reports, rates, forms, etc)

Reporting options: pending/open filings across instances. Search key words in filing descriptions. Group search on project names across instances.

SERFF User Roles

N/A

As regulator, as mergers take place, it would be nice to know the appropriate "current" contact especially for products that have very little filing activity so product submissions are pretty old.
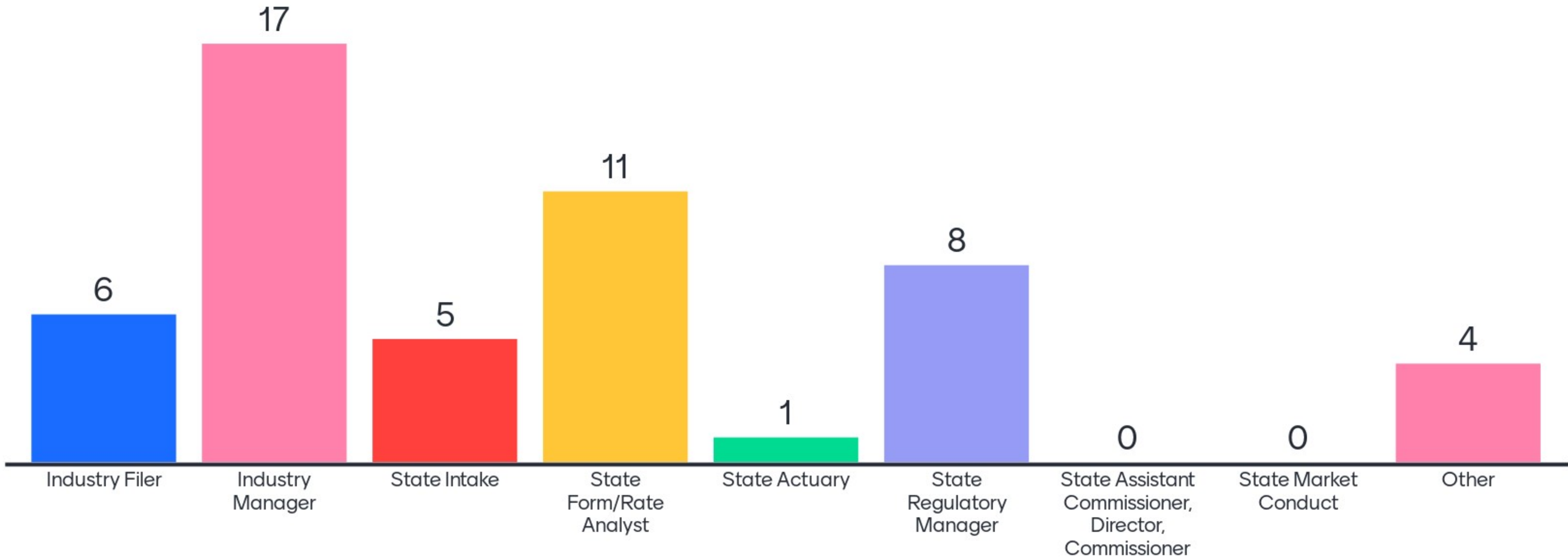
29

What cross-instance features would you like to see with industry organizations?

competitor filings from serff filing access

customize user roles by company

29

Home Dashboards

What is your role in your state/company?

What are the top pieces of information you want to see on your homepage when you first login?

Due dates on replies.

Filings with new correspondence/status changes

Any new messages, especially objections.

if there are new ALERTS or Messages

List of filings I am working on

List of filings pending industry response.

Objections

List of active filings

Objection due dates

63

What are the top pieces of information you want to see on your homepage when you first login?

Filings in Tech Pending status waiting for correction before assignment

List of recently approved filings.

outstanding obections with due date,

List of active filings

My open filings

new messages

objections

I like the current view of items on the homepage

Objections per user

63

What are the top pieces of information you want to see on your homepage when you first login?

My filings (workfolder) in categories (draft, pending industry response, pending state response, closed, etc)

Messages

Alerts

messages

New filing assignments, response to objections, new filings received (intake)

Alerts, Messages, Open filings by status, due dates.

New filings, filings with new correspondence, if there are any messages, due dates

Filings that are Pending Industry Response and respective due datesFilings with new messages

Objection due including filing number and due date

63

What are the top pieces of information you want to see on your homepage when you first login?

New filings in intake, filings with a certain state status, oldest filings, filings awaiting state action

Active filings, Filings pending state action, New replies, filings overdue from industry

Objections due; Messages; Pending Filings with Objs due; older filings

List of filings I am working on, sorted by pending status and date received

List of pending filings (sorted by due dates if any that are in our court (whether company or regulator).

List of filings with filing dates

all open filings with ability to set follow up date

List of filings with pending responses, objection response dates, notes from filer

Filings with dispositions and Objection Letters received

63

What are the top pieces of information you want to see on your homepage when you first login?

Messages to filer

Open filings

Open filings, Due dates for objection responses, new messages

objections in due date order

All filings in date order.

messages, due dates for objections, alerts, open filings

Separate list of filings Submitted to State but not in Tech Pending status

list of open filings, SERFF status, and any that have changed since last login

ability to sort by project name

63

What are the top pieces of information you want to see on your homepage when you first login?

SERFF messages; list of open filings; list of filings with outstanding objections; list of filings past requested effective date.

Company name, filing date, status, tracking number, filing type

Open Filings that have received responses, objection due dates, newly assigned submissions

Messages that have come in, workfolder,

Filings with a past due response, alerts, filings with upcoming deemer dates

list of open filings by author

Messages: Maybe separate sections with Approvals in one section and objections in another and all other messages one another......

What's sitting in intake?What needs assigned?How many open filings are in my staff's workbasket by SERFF & State Status

My Open filings that require my attention

63

What are the top pieces of information you want to see on your homepage when you first login?

Messages on open filings

From mgmt perspective - number of filings & status by user

Messages applicable to me, my open filings, current open filings per analyst, current draft filings per analyst. Would love a feature to be able to tag or track specific filings and any notifications on those designated filings would be helpful.

manager view (how many filings did my filers submit, respond to objections, closed per a time period (month, year, etc)

Messages that have not been read yet

Assigned filingsList with company names and number of new messages (e.g., XYZ Company (3))

Outstanding Correspondence (i.e. objections, notes, etc.)Dispositions for last 5 business days

A way to separate high priority filings at Intake to work first, then second priority, third priority

Key filings for whatever reason like current Workfolder, i.e. filings I select

63