

# SERFF Product Steering Committee Meeting

Wednesday, September 14

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# Roll Call

- Roll was called for current PSC members
- Interested parties who wish their attendance to be recorded can email [lbandle@naic.org](mailto:lbandle@naic.org)

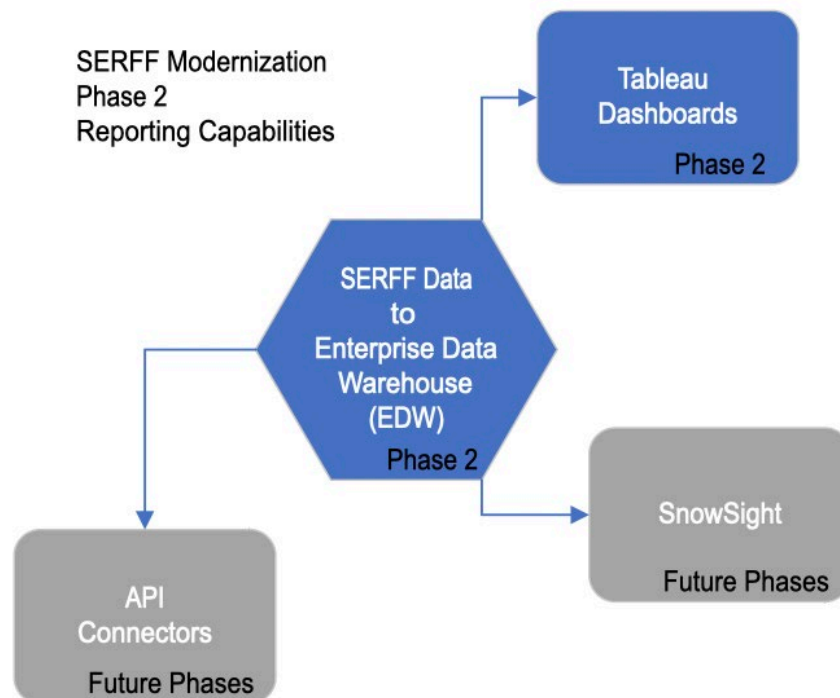
# 8.0 Release - 9/22

- New Form Action of "Withdrawn" for LAH
- Bug Fix: New SOI items overwriting submitted data
- Technical updates related to Phase 1 of the modernization project.

# SERFF Modernization Update

- We are in month 7!
- Phase 1
  - Implementation of OpenSearch Index
  - Document Compare
  - New fields added to Advanced Search
  - Redesigned Advanced Search page
- Phase 3.1
  - Technical architecture work for upcoming integrations
  - Compact registration process
  - Compact filing creation

# Phase 2 - Reporting Capabilities



- Currently in Sprint 2 of 8
- Foundation - SERFF data to Enterprise Data Warehouse (EDW)
- Connect to EDW - Tableau Dashboards
  - High-level Metrics for Overview Information
    - Filing Counts
    - Objection, Response, Disposition Counts
  - Ability to filter by various elements
  - Ability to include/exclude by various elements
  - Ability to export the reporting data
- Future phases will include other tools for sharing data

# 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
- About 70 PSC attendees participated
- Main topics covered: Non-SERFF NAIC Systems Used, PDF Pipeline
- Questions from the activity are on pages 9-10
- Results from the Menti Activity start on page 13-42
- **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](mailto:lbandle@naic.org)) and Bridget ([bkieras@naic.org](mailto:bkieras@naic.org))**



# Engagement Activity Questions: Other NAIC Systems

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

## Description:

- **We understand that some users use other NAIC systems besides SERFF (SBS, iSite+, MCAS, etc.)**
- **We also understand that those other systems are sometimes used along with SERFF to complete job functions.**

## Questions:

- **Do you use other NAIC systems besides SERFF? If so, what are those systems?**
- **Do you use other NAIC systems along with SERFF to complete job functions? If so, what are those systems?**
- **If you use multiple NAIC systems, how important is it to have the same ID and password for all systems? (Choose one)**
  - Very Important
  - Somewhat Important
  - Not Important

# Engagement Activity Questions: PDF Pipeline

- **When in the filing process do you create a PDF Pipeline? (Choose multiple)**
  - At the beginning
  - At the end
  - Whenever something changes
  - As needed
- **Are PDF Pipelines used as permanent records, for temporary use, or both?**
- **Besides keeping a permanent record outside of SERFF, how are you using PDF Pipelines?**

# Q&A

- Q: Will document compare be available for industry users before we submit the filing?
  - A: Yes, document compare will be available before filing submission.
- Q: Will you be able to save the document compare results?
  - A: You will not be able to save document compare results with this implementation, but we will put this on the feature wishlist.
- Q: Is the document compare like Adobe?
  - A: Yes, it is similar functionality that will occur within SERFF.
- Q: Will document compare only be for pdfs?
  - A: There are other file types that will be implemented, but Excel is not supported, so the primary use in SERFF will be pdf to pdf.
- Q: Will document compare replace side-by-side requirements?
  - That is not our decision. It will be up to the states whether they change their policies regarding side-by-side requirements to replace them with document comparison.
- Will we be able to compare documents from two different filings?
  - Not with the initial implementation, but that is on our agenda.
- When will the document compare feature become available?
  - We are estimating early to mid December.
- Q: Will we be able to have multiple effective dates on a filing?
  - A: We will add that idea to the feature wishlist.

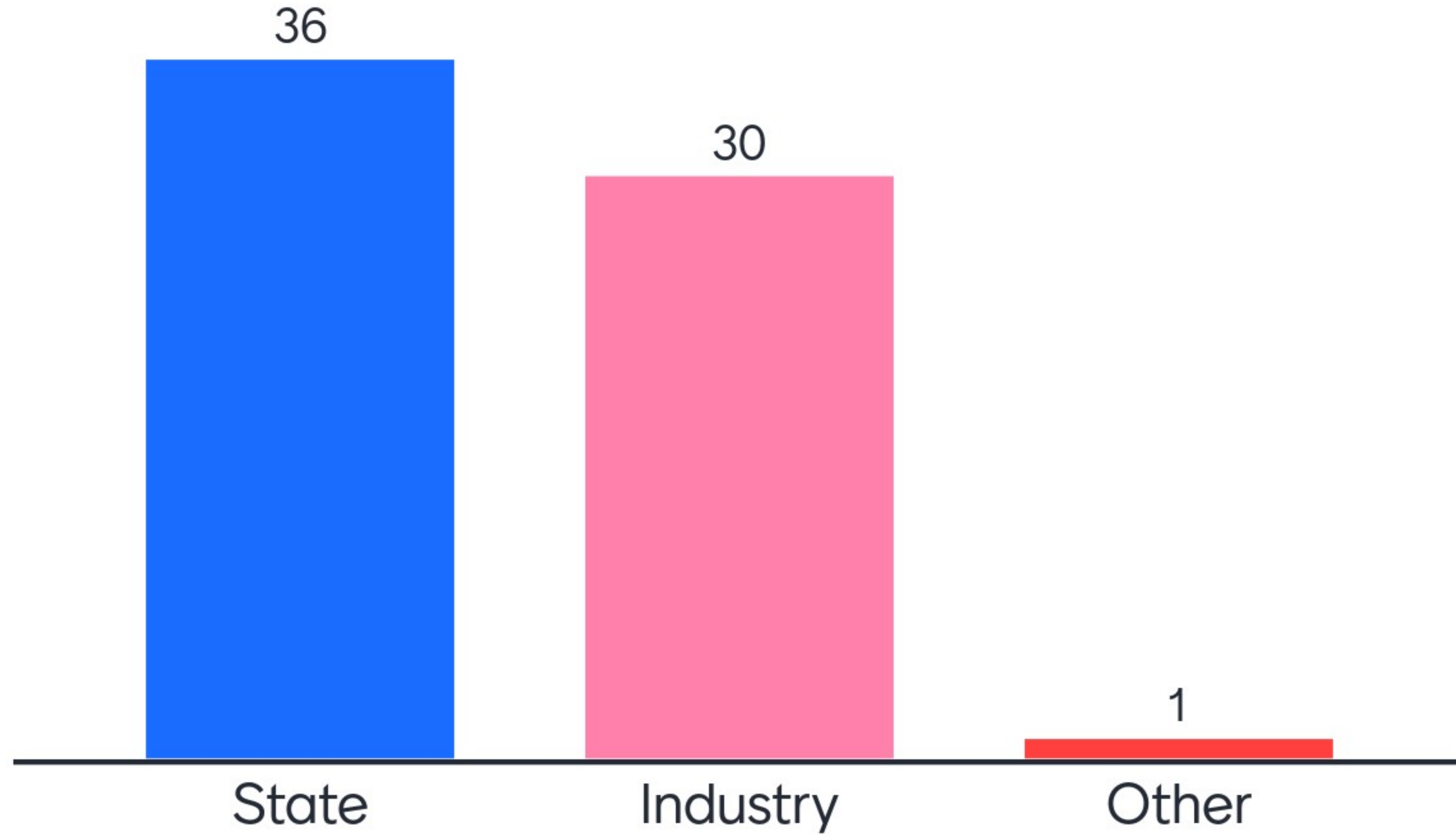
# **2022 Call Dates - all calls start at 12:30 Central**

- October 19
- November 16
- December 14

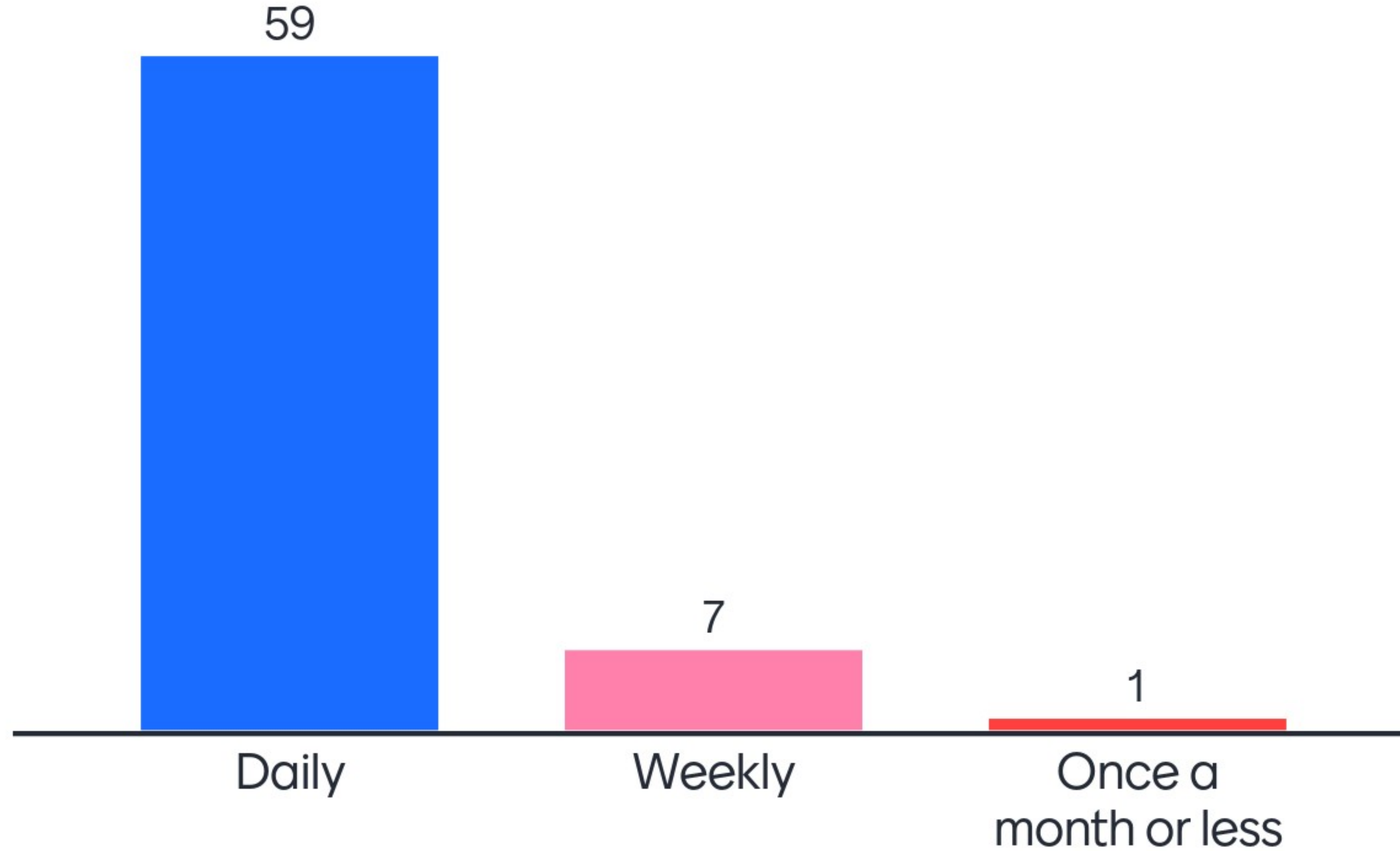
# September SERFF PSC Engagement Activity



# What type of user are you?



# How often do you use SERFF?

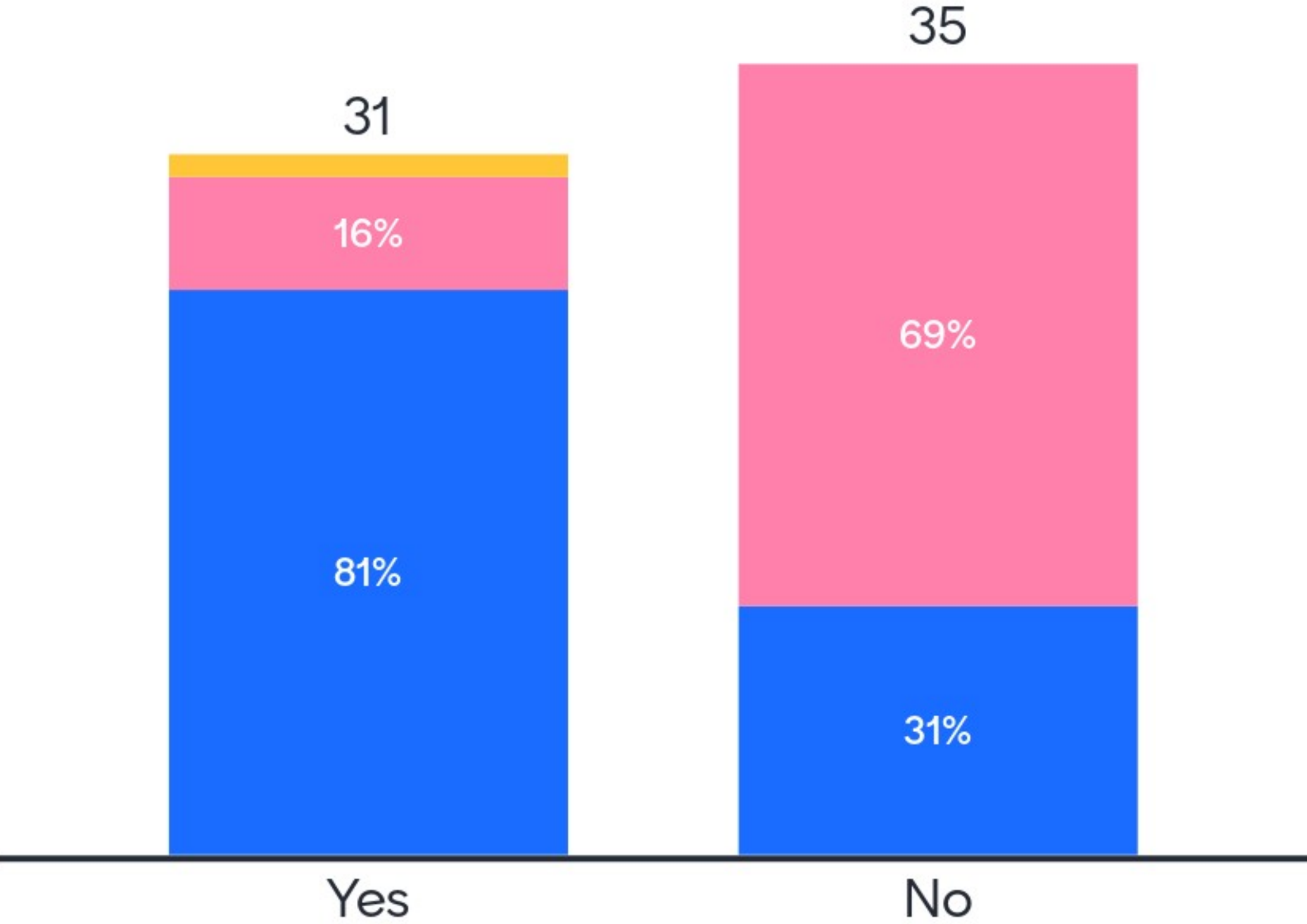


# SERFF and Other NAIC Systems





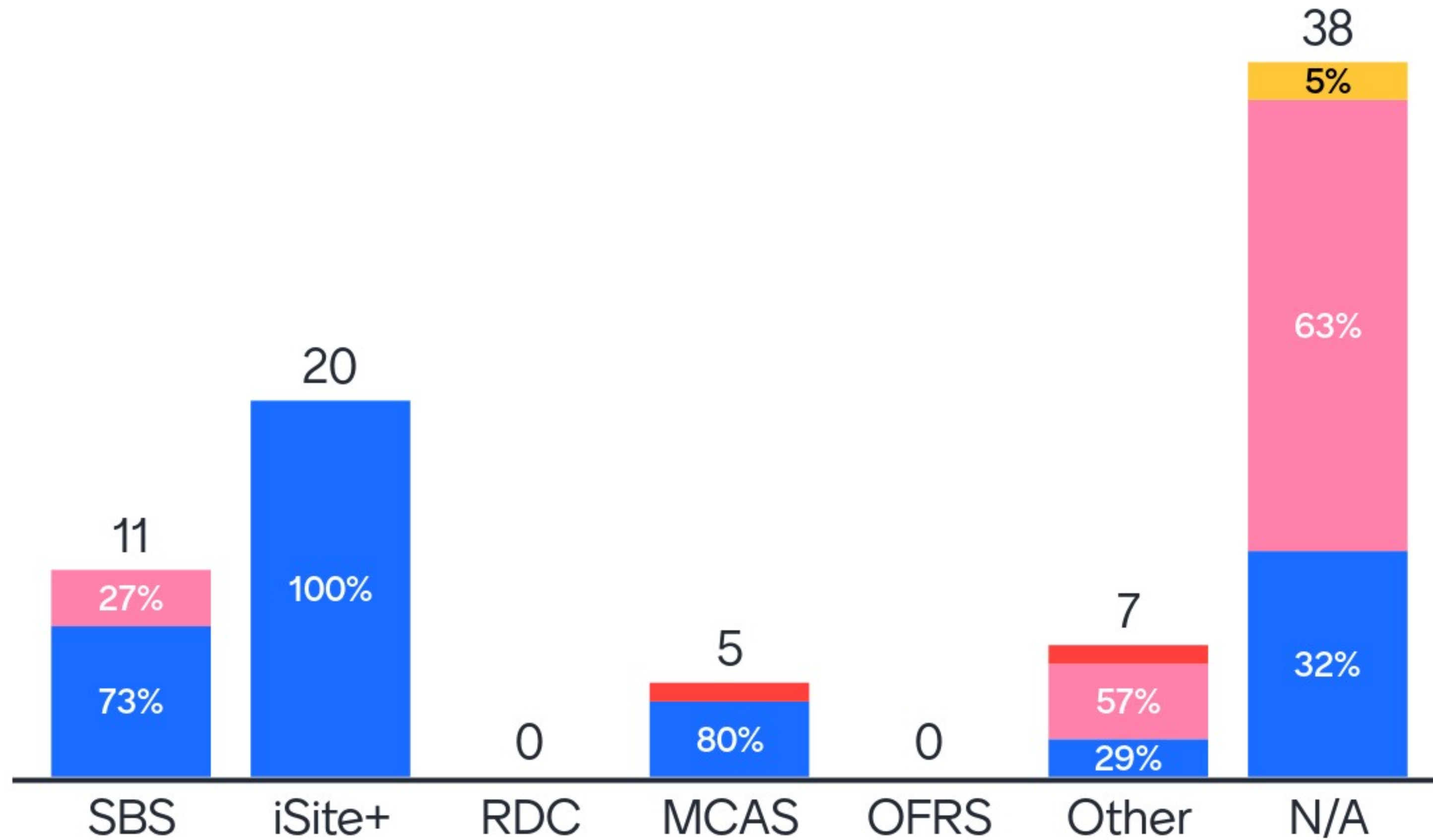
# Do you use other NAIC systems in general? (SBS, iSite+, RDC, etc.)



What type of user are you?

- State
- Industry
- Other
- Unknown

# If yes, which NAIC systems do you use?



What type of user are you?

- State
- Industry
- Other
- Unknown

# If other, what NAIC systems do you use?

N/A

N/A

n/a

N/A

n/a

N/A

N/A

Sircon

<https://eapps.naic.org/prl/do/search/home>



# If other, what NAIC systems do you use?

N/A

n/a

N/A

N/A

N/A

N/A

N/A

N/A

SBS, SERFF, and IReg

# If other, what NAIC systems do you use?

Model Law retrieval

N/A

Expense Reporting, Publication Updates

PRL

serff

N/A

Public Publications

SFA, NAIC system for payments of different things.

N/A

# If other, what NAIC systems do you use?

N/A

SERFF Filing Access

PRL here as well

NA

OptIns

PRL

n/a

no

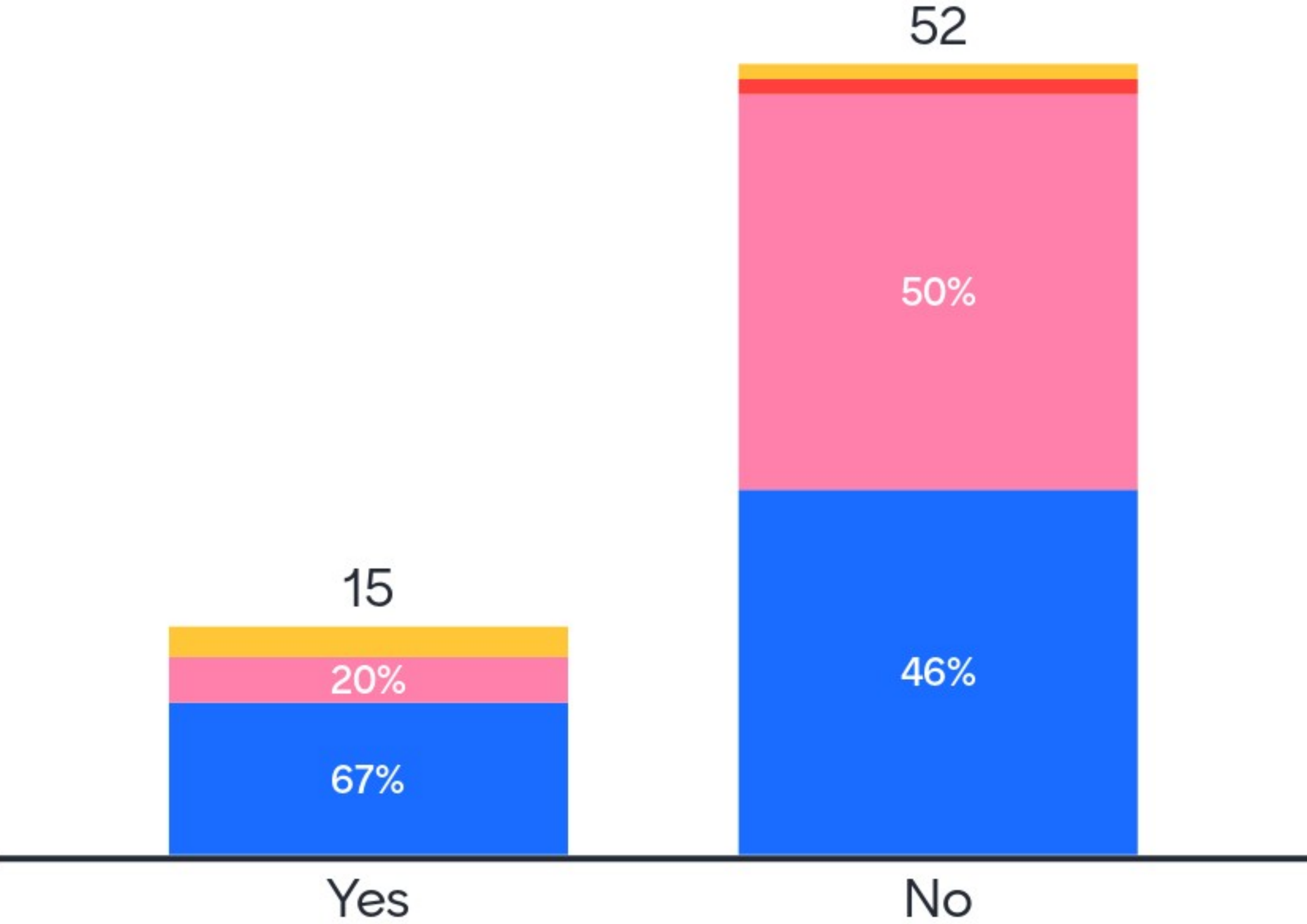
N/A

# If other, what NAIC systems do you use?

N/A



# Do you use other NAIC systems while performing job functions in SERFF?

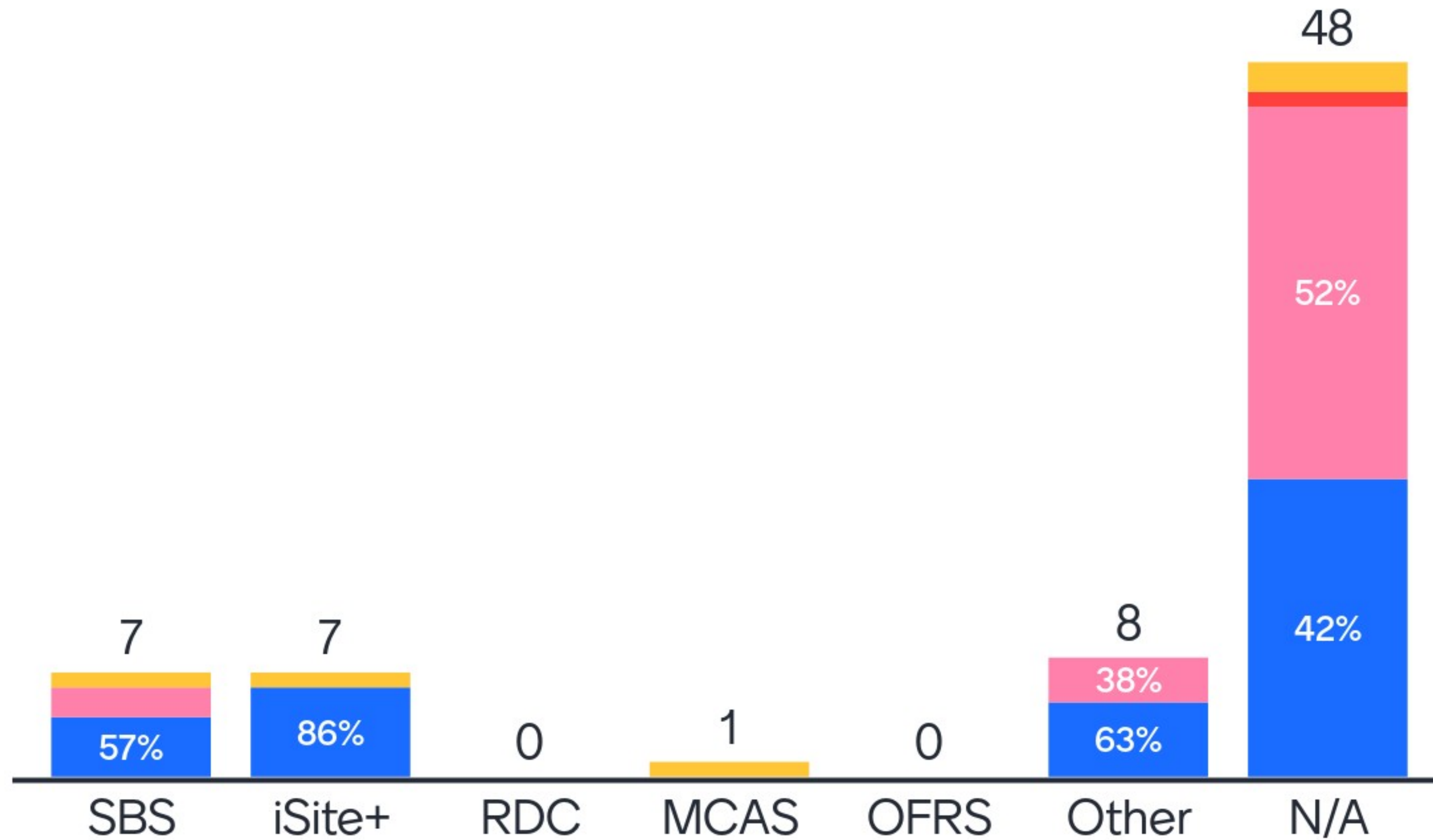


What type of user are you?

- State
- Industry
- Other
- Unknown



# If yes, which NAIC systems do you use?



What type of user are you?

- State
- Industry
- Other
- Unknown

# If other, what NAIC systems do you use?

N/A

N/A

Mozart

N/A

N/A

N/A

N/A

N/A

N/A

# If other, what NAIC systems do you use?

N/A

NA

N/A

PRL

N/a

PRL

N/A

NA

na

# If other, what NAIC systems do you use?

Sircon

n/a

PRL

IReg (not sure if its one of NAIC functions)

N/A

na

State websites, IIPRC

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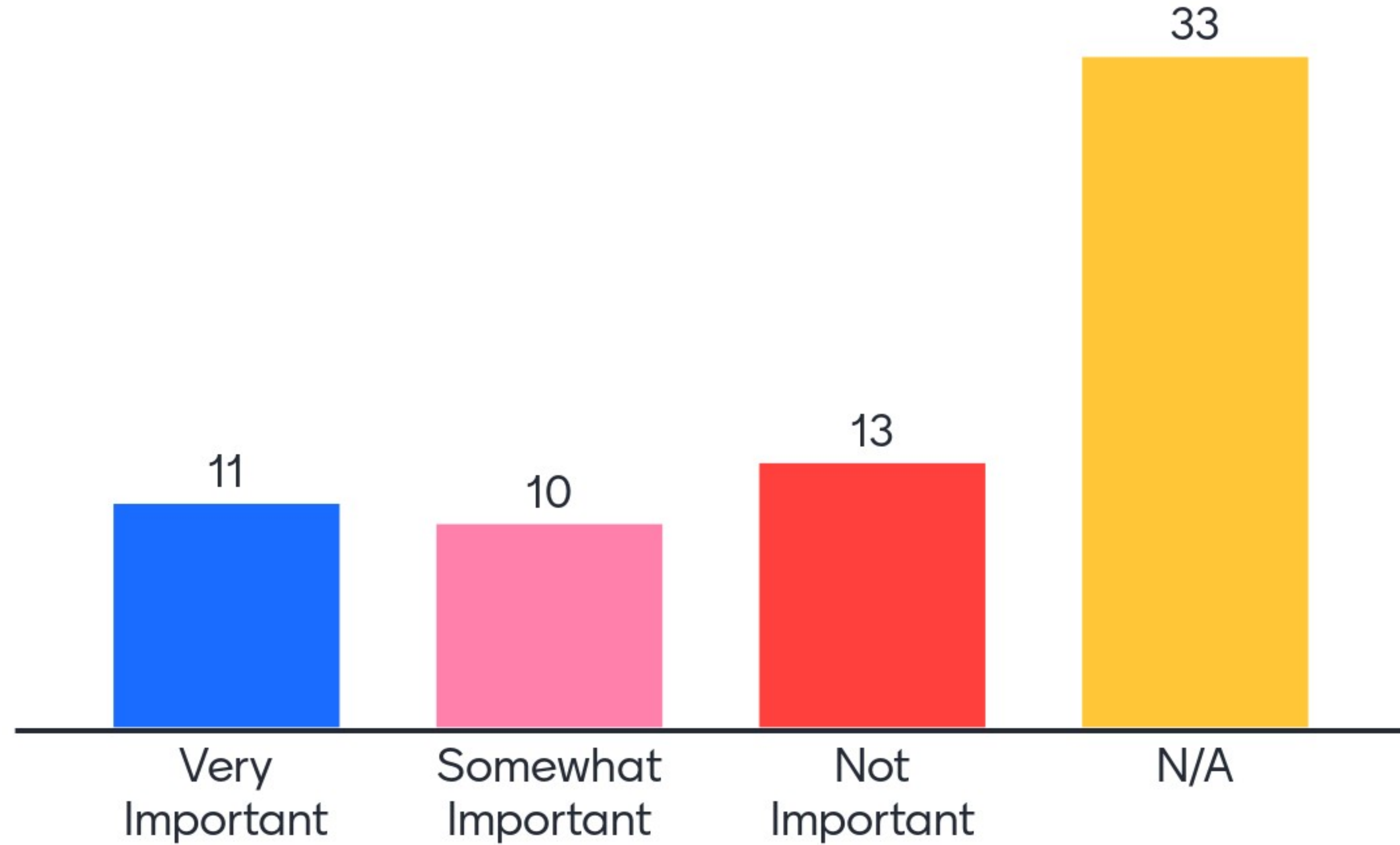
Very Important



# If other, what NAIC systems do you use?

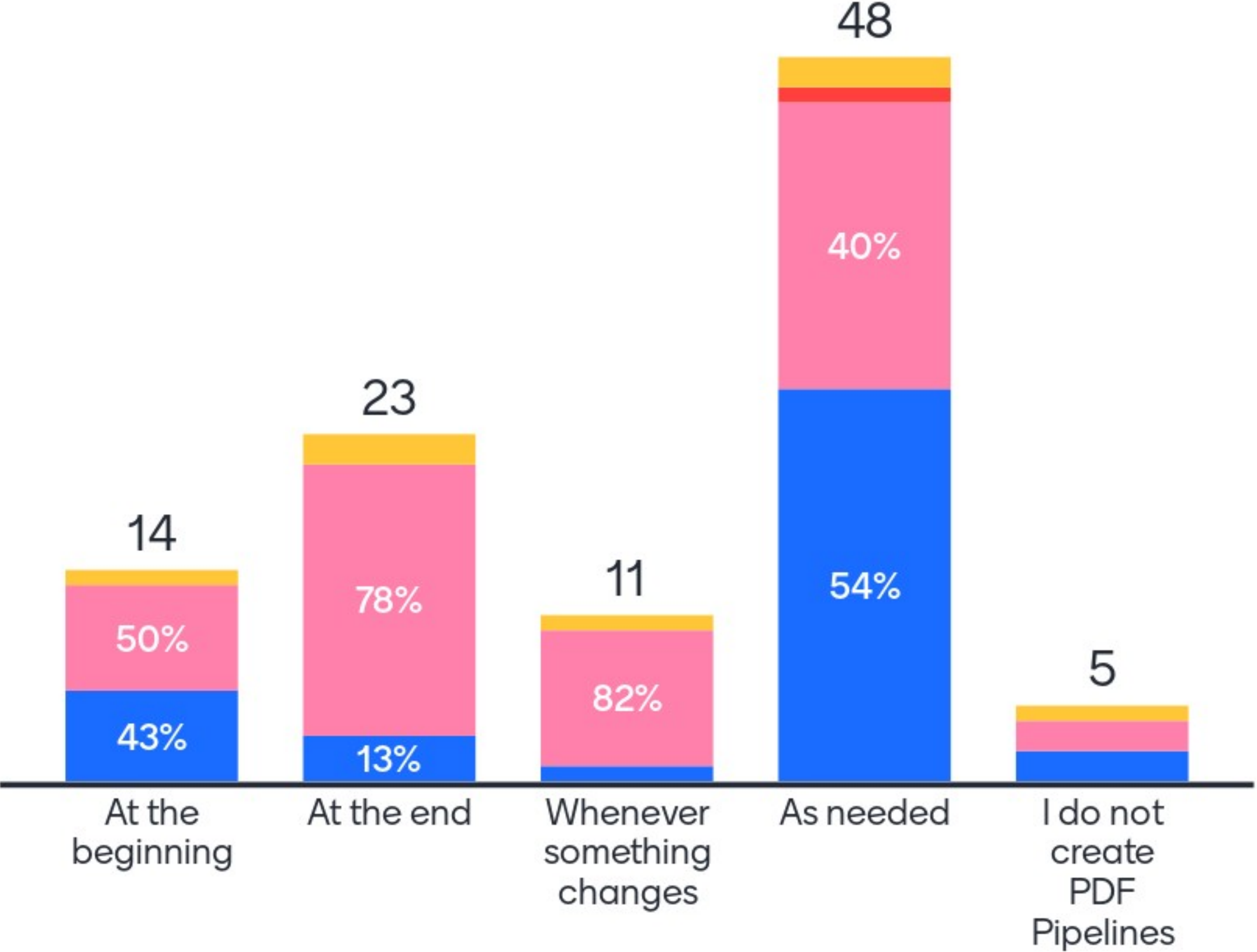
would be nice but not if its going to cause problems.

# If you use multiple NAIC systems, how important is it that you have the same ID and password for all systems?



# PDF Pipeline

# When in the filing process do you create a PDF Pipeline?

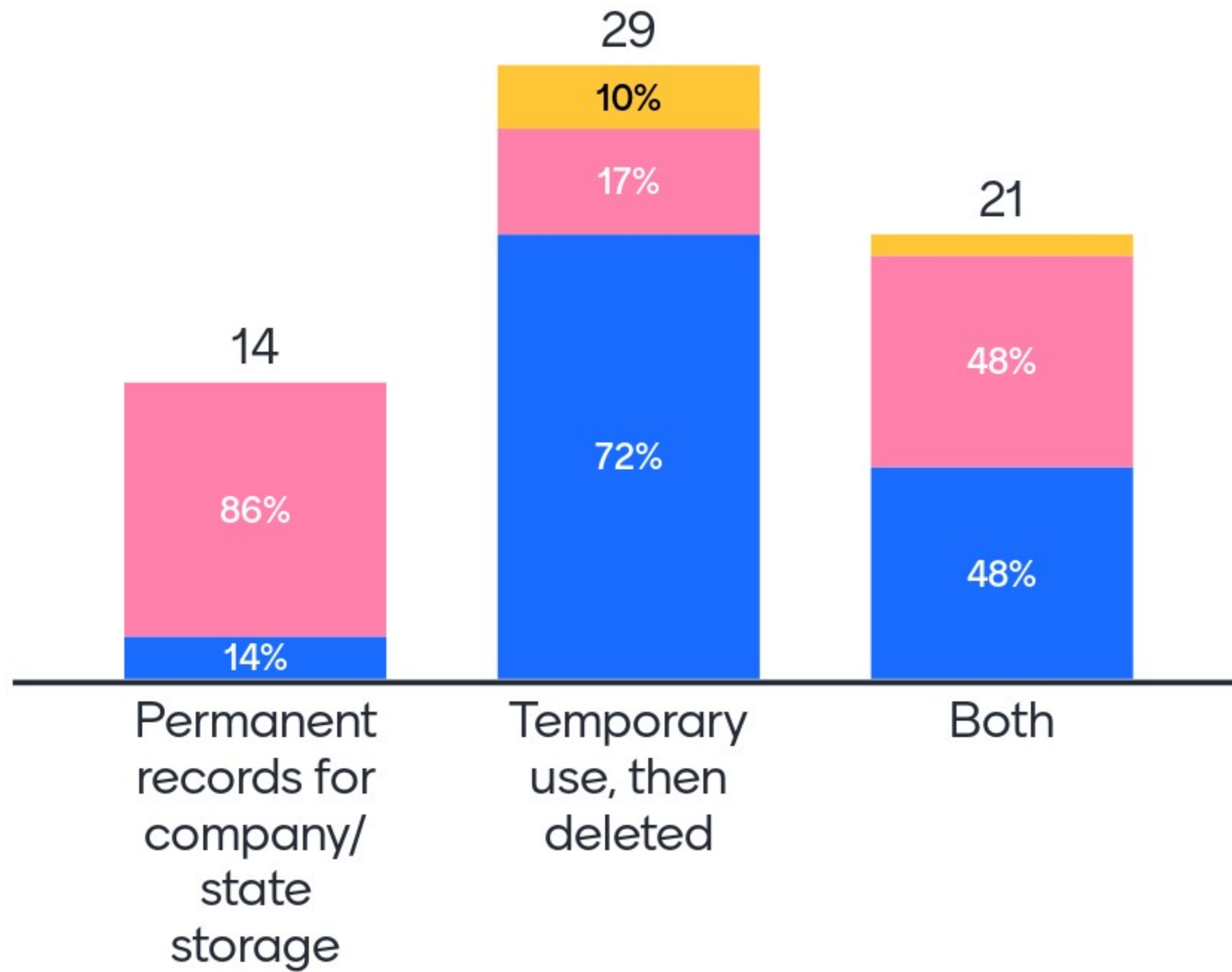


What type of user are you?

- State
- Industry
- Other
- Unknown



# Are PDF Pipelines used as permanent records or for temporary uses?



What type of user are you?

- State
- Industry
- Other
- Unknown

# Beyond keeping a permanent record outside of SERFF, how are you using PDF Pipelines?

N/A

Sharing draft filings with decision makers/clients for sign off.

To send for guidance on objections

Public Record Requests

Creating drawer filings.

I use it to review several attachments in a SERFF filing.

To quickly review a form filing with multiple forms

Review filing for accuracy prior to submission.

Reviewing documents

# Beyond keeping a permanent record outside of SERFF, how are you using PDF Pipelines?

Organize forms

Sharing the filings with others.

Get page count to help estimate effort needed to review filing

Comparing new versions of documents to older versions to make sure we have seen all changes

N/A

Share filing objections/responses with colleagues who don't have/need SERFF access.

searching for form language

Draft filingsPeer review

Able to review filing



# Beyond keeping a permanent record outside of SERFF, how are you using PDF Pipelines?

to search for terms or phrases in forms

To search all forms for a keyword and to print forms.

For review by non-SERFF users

Have others on the team review a filing pre-submission.

Provide to Business partners. Complete review and search of a filing

sharing filing info with other staff that do not have access to SERFF

filing review

n/a

Filing review

# Beyond keeping a permanent record outside of SERFF, how are you using PDF Pipelines?

Use for peer review with co-workers

Share filings with management

Sharing filing information to non-SERFF users like objections

sharing with others

To search for keywords through large batches of attachments.

Open Record Requests

Provide filing documentation to business areas that do not have access to SERFF.

I use it to review changes to attachments in a SERFF filing.

Sharing filings with others.



# Beyond keeping a permanent record outside of SERFF, how are you using PDF Pipelines?

Audit filings.

public disclosure requests

We pdf pipeline the objection to provide to our actuaries when their response is needed.

Sharing filings

We use it when inquiries come in, those are routed to the areas that requested the filing be made. Document Review, Share filings.

To send updates to Executive Staff to finalize review of rate filings.

To share forms lists with programmers, to share filings for audit purposes or to answer other questions internally.

to do a quick review of submission

sharing filings with others

# Beyond keeping a permanent record outside of SERFF, how are you using PDF Pipelines?

Recordkeeping of objections and responses.

To share portions of the filing with others.

checking for excel documents within the filing

Comparing documents across filings

locate cited rule language

Sharing filings information with non-SERFF users

Sharing with others that don't need/have SERFF access that need information during review process

Can use this for doc compare

Share with areas that don't have SERFF



# Beyond keeping a permanent record outside of SERFF, how are you using PDF Pipelines?

Consolidating documentation in the course of filing review;  
Simultaneously searching specific documents with Ctrl+F; Document creation for enforcement referrals.

Rate Transparency posting to website

Pipeline during regulator filing review in order to search across document quickly for key concepts/sections (cancellation, terrorism, punitive damages, etc)

Sharing, teaching, record keeping purposes

Depending on what clients are looking for they can be referred to public portal.

Share win Non-SERFF users

sharing filings with others

Compare documents

Occasionally adding documentation to a filing that was made because older filing was inaccessible due to consultant change or other change of ownership



# Beyond keeping a permanent record outside of SERFF, how are you using PDF Pipelines?

Using PDF Pipeline to compare PDF copies of prior filings to new new filings, or filings for other states, for accuracy as part of quality control audits.

To create a PDF of all forms that I save and use Adobe to make notes on during my review

For training purposes - to show others how to use it and its benefits

search for terms or phrases

viewing documents that might not open within the SERFF application

To review the entire filing. Not all documents received are required documents.

To send for guidance, legal opinions. Public record requests; sharing filing information with other divisions when needed for complaints, etc.

Publishing ACA rate filings to website

To search through specific attachments using CTRL+F

# Beyond keeping a permanent record outside of SERFF, how are you using PDF Pipelines?

Email portions of a filing, if needed.

N/A

Checking on whether there are rates showing on a form filing and forms showing on a rate filing. Not acceptable in our state but this cloning issue shows in pipeline but not in the filing itself.

Share documents outside of SERFF - portions of filings rather than using SFA or direct access by state(s)

Research - adobe terms and phrases

F/U on document compare...how soon will we be able to compare across filing submissions. Industry doesn't always provide redlines