# SERFF Product Steering Committee Meeting

Wednesday, March 15

NAIC NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS

# Table of Contents

# Roll Call

- Roll will only be called for current PSC members

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

# SERFF Modernization Progress Updates

# Phase 1

- SERFF 8.3
  - Thursday, February 16
    - Ability to search by Filing Description on the pilot search page
    - Ability to search with enter in fillable fields (company name, company code, group code, form name, form number)
    - Add the Compare Attachments tutorial to online help
    - Technical fixes
    - Correct the blank row in state Export
- SERFF 8.4 updates to Pilot Search
  - March 16
    - Ability to search by Primary Reviewer
    - Ability to search by Disposition Status
    - Ability to search for inactive TOI, Sub-TOI, Filing Type
    - Ability to search for confidentiality requests on full filings

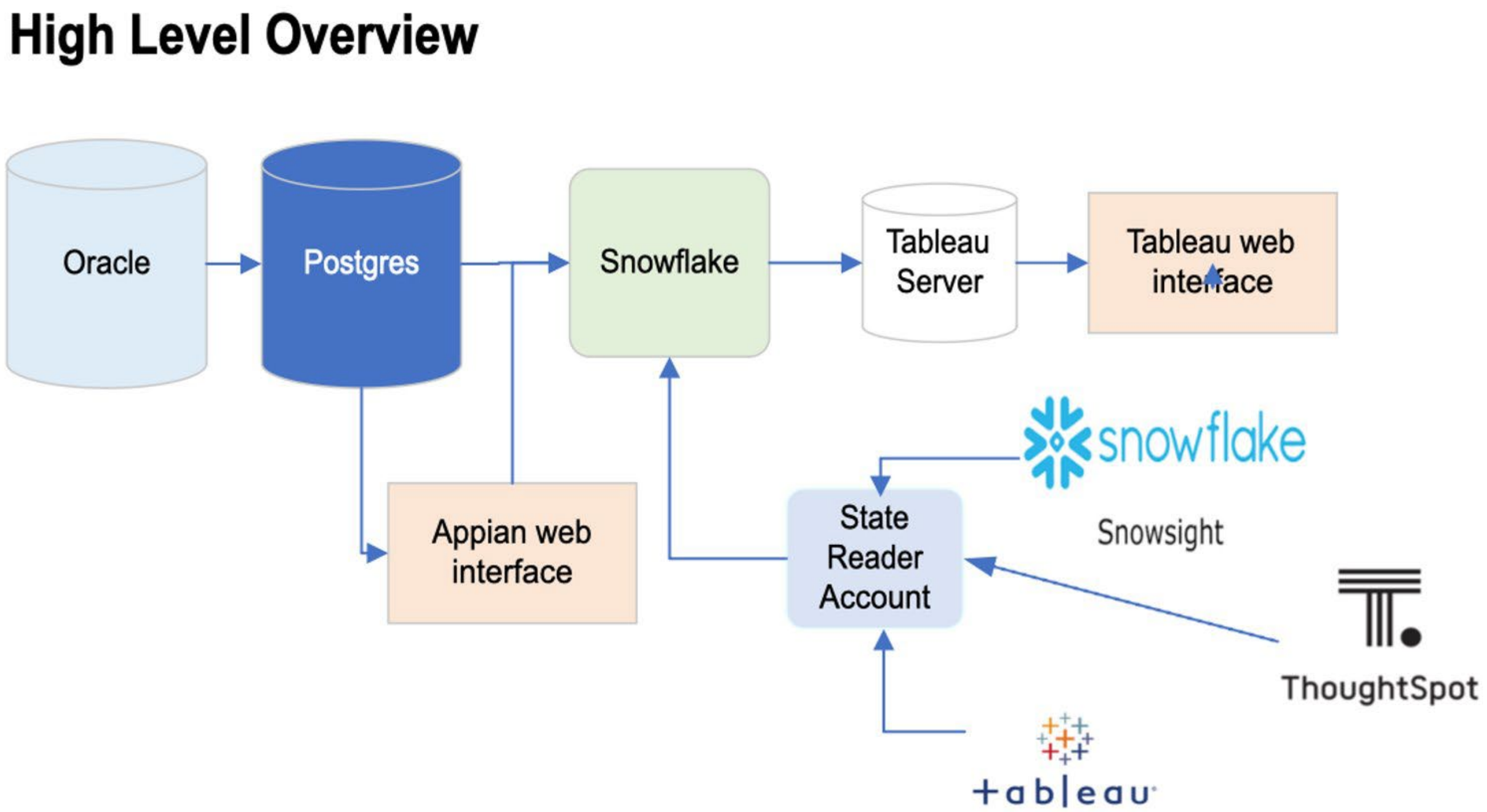
# Phase 2

- SERFF Data to Enterprise Data Warehouse
  - In production environment and monitoring performance

- Tableau Reports
  - Projecting end of March for Pilot Group Reviews

- Next Steps
  - State SnowSight POC – April/May Timeframe

# Phase 2



High Level Overview
Oracle
Postgres
Snowflake
Tableau Server
Tableau web interface
Appian web interface
State Reader Account
snowflake
Snowsight
ThoughtSpot
tableau

# Phase 3.1 - Interstate Compact

- Features in Development:
  - Manual Statement of Intent
  - *New* Amendment workflow
  - Filing Assignment Rules Configuration
  - PDF Pipeline

- Features in Planning:
  - Contacts
  - Correspondence

# 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 @ the National Meeting

- Spring National Meeting – Louisville, KY – March 21-25
- Project Update Sessions:
  - Wednesday, March 22 – 9:00-10:00am
  - Thursday, March 23 – 8:00-9:00am
- Table Topics Session: Wednesday – 4:00-5:00pm
  - Opportunity to collaborate with peers and provide feedback on topics including Rate Review, Product Review, Search, Management Reporting, and External Job Aids
- Office Hours Session: Thursday – 3:00-4:00pm
  - One on one consultation with NAIC staff to ask questions and provide input to the project.
- Link for the SERFF sessions information: https://www.serff.com/documents/serff-2023-spring-national-meeting-invitation.pdf

# SERFF Modernization Engagement Activity

- Used online tool – Menti
- About 100 PSC attendees participated
- Main topics covered: Contacts & Updating Filings After Submission
- Questions from the activity are on pages 12-13
- Results from the Menti Activity start on page 17
- **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)**

# Engagement Activity Questions: Contacts

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

**Proposed Changes to the Contact Feature:**

- 1 'filing contact' that is a SERFF user will be added to the filing.
- This 'filing contact' will default to the user that creates the filing with the option to change to a different SERFF user.
- There will be an escalation/reroute process when the 'filing contact' user is out of office, or has been deactivated.
- 'Company contacts' will be a new optional attribute for company leadership information that can be added to the Company record.
- 'Company contacts' can be accessed from the filing.

## Questions:

- **Given all of the proposed changes, would you still need to add more than one 'filing contact' to the filing? If so, why?**
- **For industry users, how many 'company contacts' would you add per company?**
  - Options: None, 1-5, 5-10, or greater than 10
- **For regulators, how often would you access the 'company contact' information on a filing?**
  - Options: Regularly, Occasionally, or Never
- **Besides Name, Email, Phone, and Title, is there any other information to add to the 'company contacts'?**
- **Do you have any other questions or concerns with this new contact concept?**

# Engagement Activity Questions: Updating 'Direct Edit' Filing Fields

## Explanation of the new Correspondence process:

- We are trying to consolidate changes made to a filing post submission into one workflow as much as possible.
- These changes include items that are currently submitted to the regulator through PSUs, Amendments, and Responses.
- These changes also include items that do not need to be submitted to the regulator, and thus are 'direct edit' fields, such as Company Tracking Number and Company Status.
- We are looking for feedback on how changes to these 'direct edit' fields are handled.

## Questions:

- **For industry filers, would you prefer the changing of 'direct edit' fields be combined with the rest of the post submission changes workflow, or be kept separate in their own change workflow?**
- **For regulators, when the 'direct edit' fields that you can see on the filing are updated, do you need to be notified of the changes?**
  - Note: These 'direct edit' fields are different from fields that are submitted (Filing Description, Effective Date, etc.) that you might set to automatic approval.

# Q&A

- Can the new search apply to objections and responses?
  - We do want to add the correspondence text fields to the search; however, this may wait for the new platform and not be added to legacy SERFF.
- Can you add a 'resolved' button for objections?
  - We will add this to the wishlist.
- Are you aware of state that are implementing AI assisted review?
  - Yes, we are aware and are engaging with them to get their input on how those pilots are working and feedback for any machine learning we plan to do.
- Will we be able to change the TOI/SubTOI on submitted filings?
  - Yes.
- Is there going to be an ability to add or remove companies after submission?
  - That is the plan. We are still working through how that would affect other areas of a filing.
- Can the readability score be automated?
  - Hopefully. We are evaluating a tool that can calculate readability score to see if it meets our needs.
- Is the compare documents feature intended to replace side-by-side comparison?
  - The side-by-side or markup versions are state requirements, so we don't control that, but we do hope that this functionality is robust enough that those versions are no longer necessary.
- Can we use the document comparison feature with a PDF from outside of the filing?
  - Not at this time, but we will add that scenario to the wishlist.

# Q&A – part 2

- Is there a push to ensure all required state certifications are in SERFF?
  - We are not actively pushing for states to implement anything, but if you have specific examples, please contact Lauren or Bridget.
- Can we have a shortcut next to schedule items that have multiple versions to compare current and previous versions?
  - We will add that to the wishlist.
- Are we going to be able to do document compare across different filings?
  - Probably not in the current system, but this would be a potential feature in the new system.
- Is the ‘company contact’ related to those listed in iSite?
  - We think eventually we may be able to link to sources like that.
- Are you planning to collect leadership contact information for ‘company contacts’ and can multiple contacts be added?
  - For now, the industry will populate that information when and as needed. Yes, we do anticipate allowing multiple ‘company contacts’.

# 2023 Call Dates

- April 19
- May 17
- June 21
- July 19
- August 23
- September 20
- October 18
- November 15
- December 13

# March SERFF PSC

Go to

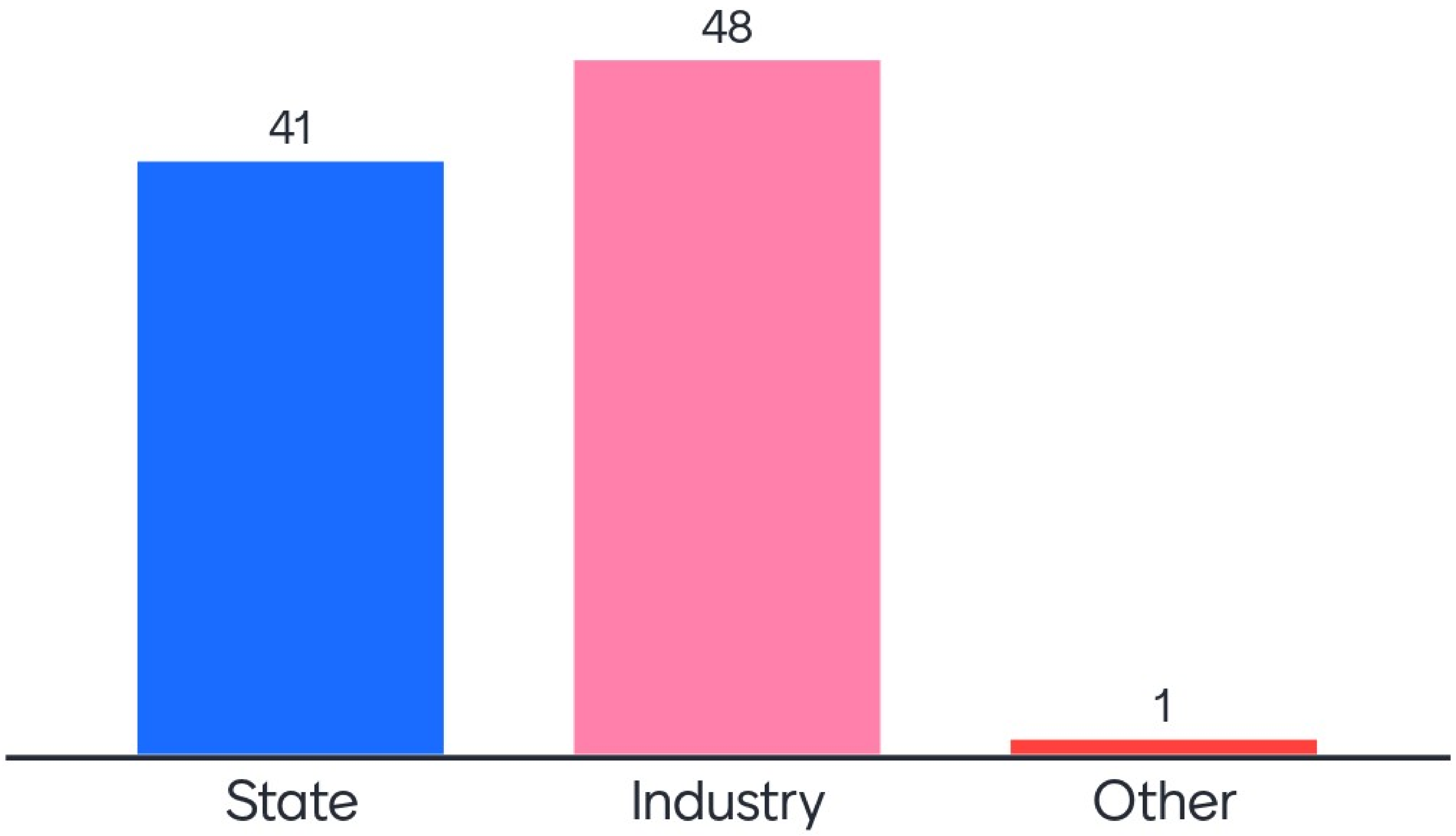
## www.menti.com

Enter the code

Or use QR code

# What type of user are you?

Mentimeter

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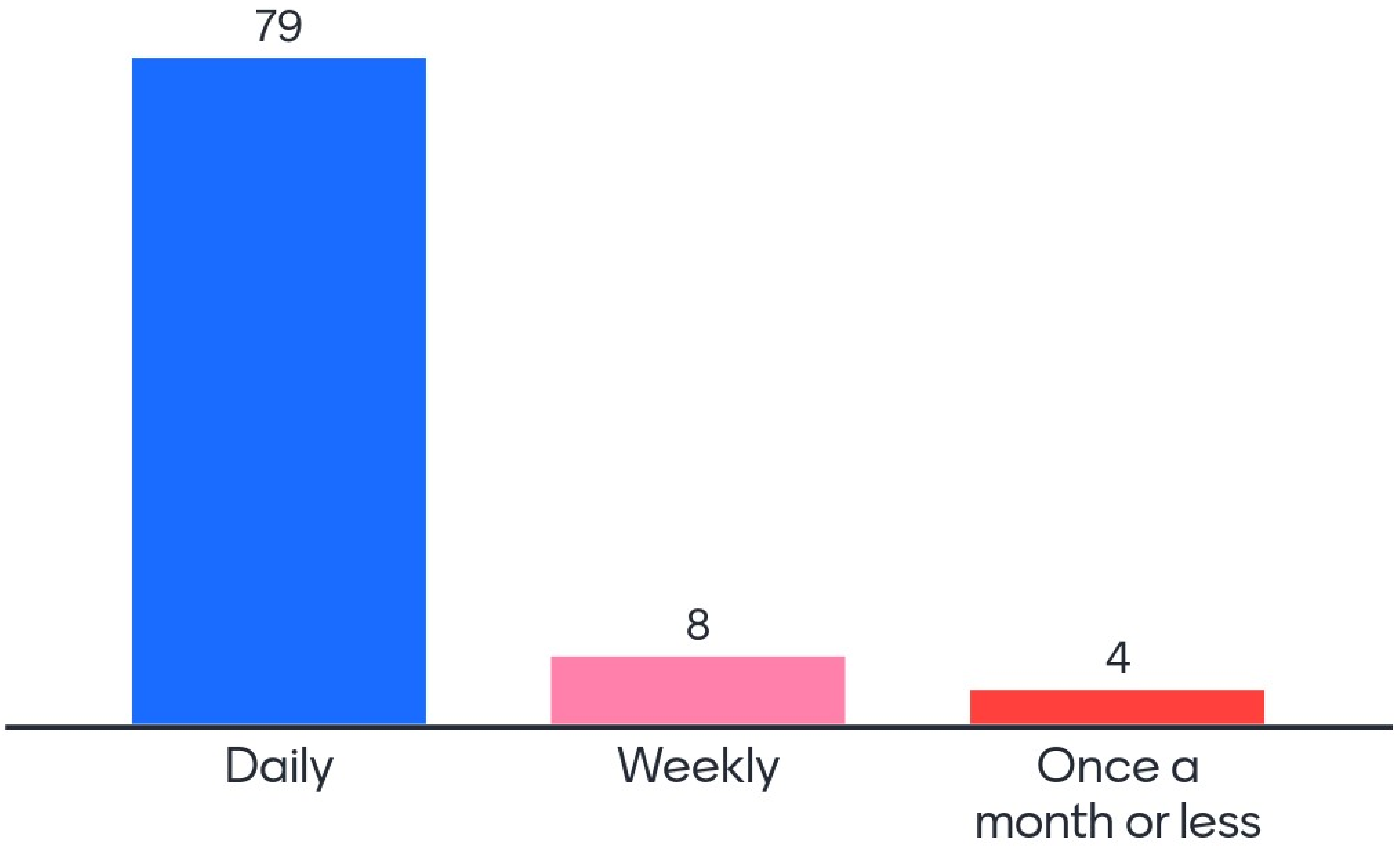
# How often do you use SERFF?

Mentimeter

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# Contact Changes - Future State

- 1 'filing contact' that is a SERFF user will be added to the filing
- 'filing contact' will default to the user that creates the filing, can be changed
- There will be an escalation process for out of office or user deactivation scenarios
- 'company contacts' will be a new option for leadership contact info on the Company record
- 'company contacts' can be accessed from the filing

16

# Given the escalation process and the serff user requirement, would you need to add more than one filing contact to the filing? If so, why?

Mentimeter

| | | |
|---|---|---|
| no | No. | no |
| No | No | No. |
| N/A | No, as we typically add other authors to the filing | No |

62

# Given the escalation process and the serff user requirement, would you need to add more than one filing contact to the filing? If so, why?

Mentimeter

| | | |
|---|---|---|
| no | Nope | No |
| No | No | no |
| No | N/A | N/A |

62

# Given the escalation process and the serff user requirement, would you need to add more than one filing contact to the filing? If so, why?

Mentimeter

no

No

no

No we would not need to add another contact.

N/A

No. Not as long as the SERFF messages still generate for all users in the SERFF instance. We have internal state filing back-ups assigned.

N/A

Yes. For accountability and faster answers.

yes, in case two or more filers are out of office at the same time

62

# Given the escalation process and the serff user requirement, would you need to add more than one filing contact to the filing? If so, why?

Mentimeter

no

yes, to cover if someone is on PTO or out for an extended time. It's good to have back-up as well as a manager

There are assigned people based on LOBs/TOIs in our company. Using only one company contact will not be the best.

n/a

No

No

NA - state user

For certain filings, a government relations contact may need to be added that may not be available as an author.

no

62

# Given the escalation process and the serff user requirement, would you need to add more than one filing contact to the filing? If so, why?

Mentimeter

- n/a
- Yes, because more than one person could be working on that filing project.
- Yes - training purposes and vacation coverage
- No, as we add everyone as authors.
- No we add additional people as authors
- No
- No
- Yes; there's at least one state that will only speak to company representatives who are listed on the filing.
- yes. multiple people Out of Office simultaneousUnforeseen illness/accident.

62

# Given the escalation process and the serff user requirement, would you need to add more than one filing contact to the filing? If so, why?

Mentimeter

No, as long as we can still list any SERFF user as an author.

I think only 1 contact would be adequate for my use at this time.

Yes - training purposes, if there are corresponding filings in the department (Example, Form and Rate/Rule), Out of Office coverage.

N/A

yes

No - authors are leveraged

Yes, if it is a countrywide filing that is split between users, then both users would be apprised of any filing information.

Not at this time.

Yes, more than one person may be assigned to the filing.

62

# Given the escalation process and the serff user requirement, would you need to add more than one filing contact to the filing? If so, why?

Mentimeter

Sometimes. Most will not, but there are occasionally complex filings and binders, so that for example questions related to rates might need to go to an actuary, while forms ?'s may go elsewhere

We add our entire team as authors and keep one contact for the one who is actually working the filing. We would not need to have additional contacts so long as the added authors are still available.

Like to see the option to perhaps add a product development person/coordinator

We generally have a a few individuals working on the same filing simultaneously.

no

No, as we have multiple people added as authors.

Multi state or line assignments within the department

I'm indifferent, for some states, like CA we have a buddy system where we like to have one person from out group on ALL CA filings to assist in review.

One filing contact, but multiple authors so various individuals can view objections and respond if someone is out of the office.

62

# Given the escalation process and the serff user requirement, would you need to add more than one filing contact to the filing? If so, why?

Mentimeter

From the state perspective,, companies may need to add a "subject matter" contact in addition to the contact that just submits the filing for the company in SERFF.

If a filer could add a "leadership contact" to their profile, that may be much more effective. We use multiple contacts today, so it would be good not to lose functionality.

No

n/a

na

I think one contact is fine as long as they are the correct person to contact for that specific filing and the phone number is correct

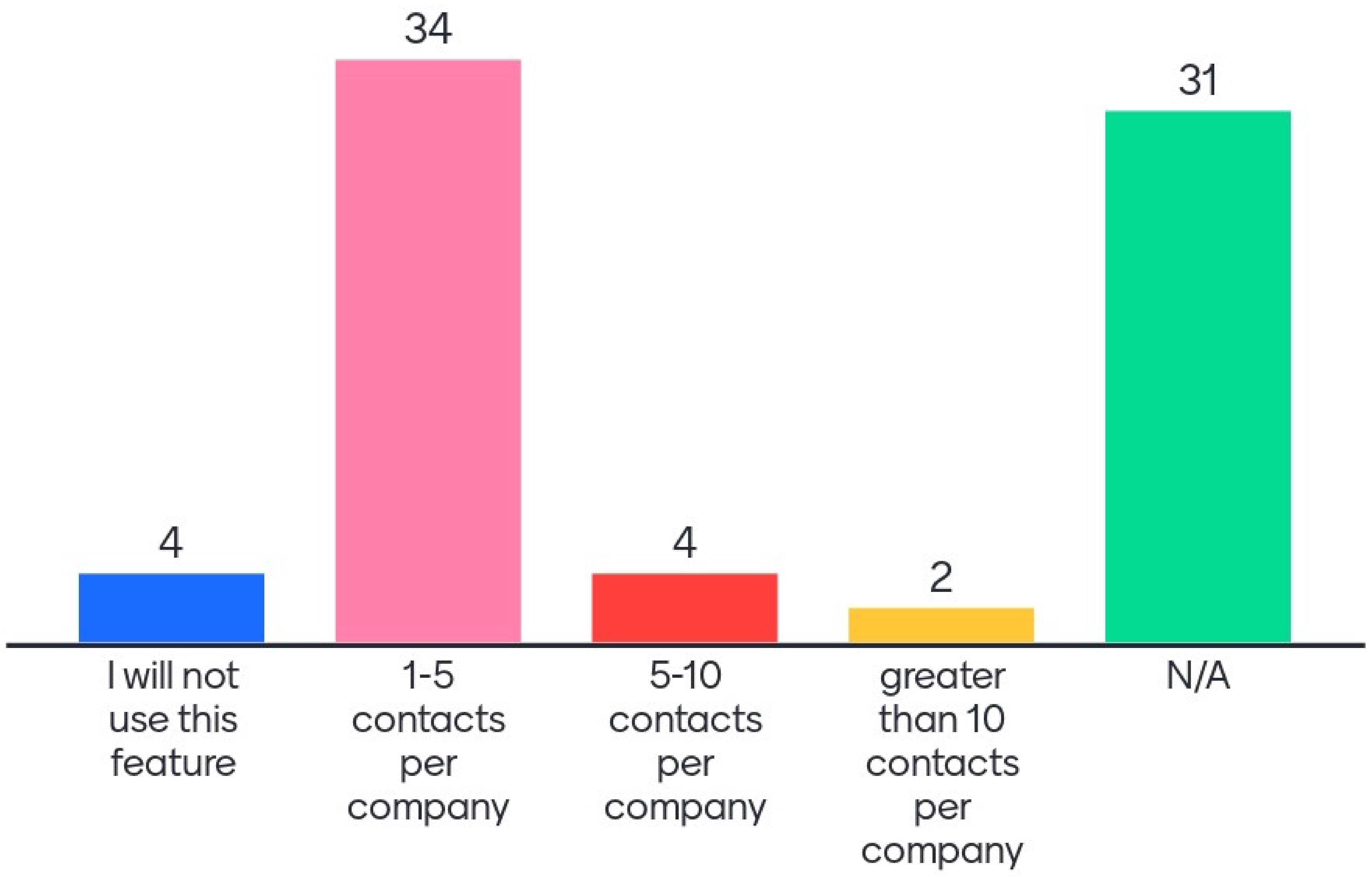
2

if filing type is an rate/form filing we would assign the rates to an acturary and forms to another person

62

# INDUSTRY: How many 'Company Contacts' per company?

Mentimeter

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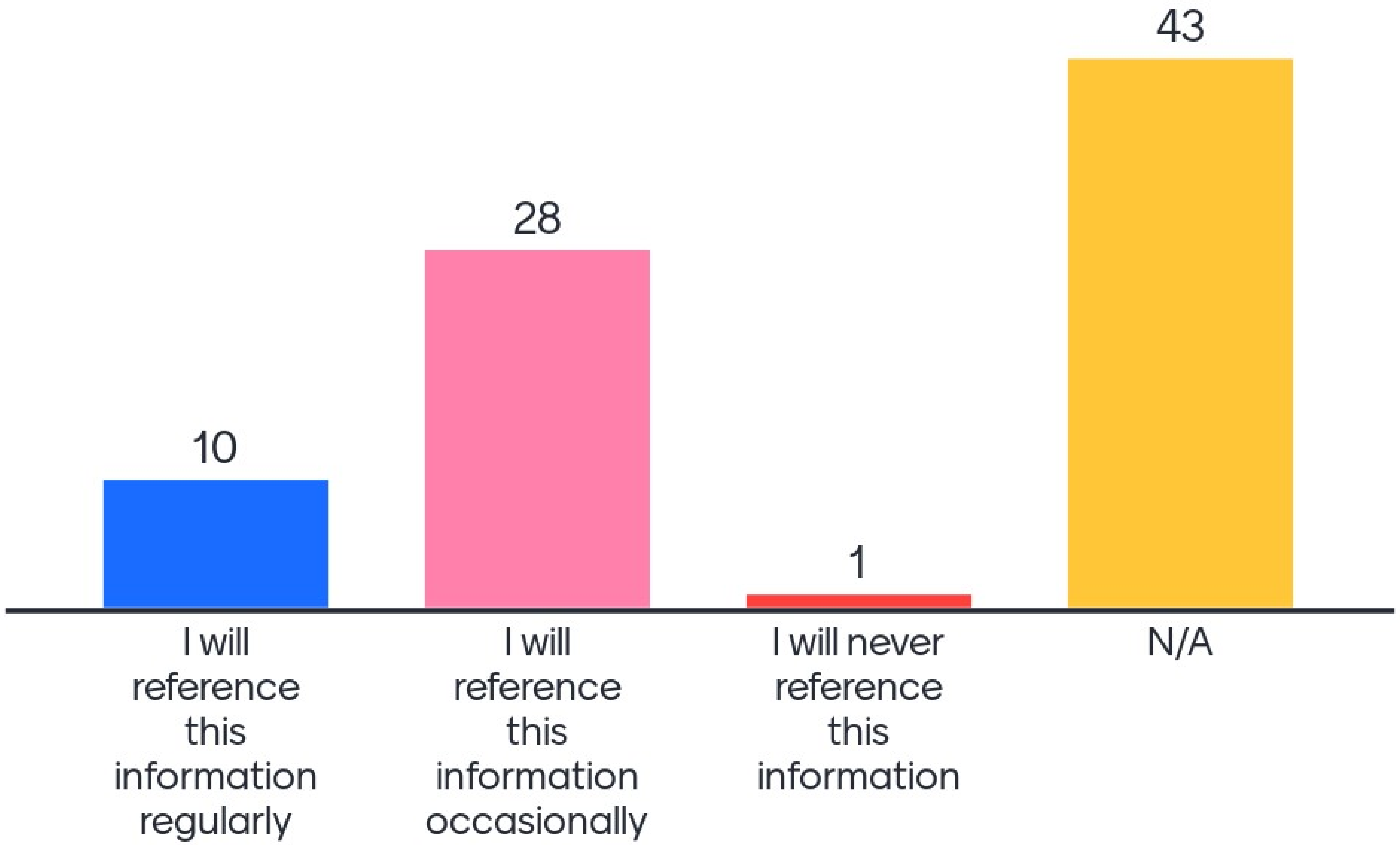
# REGULATOR: How often would you access the 'company contact' information on a filing?

Mentimeter

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# Besides Name, Email, Phone, and Title, is there any other information to add to the 'Company Contacts'?

Mentimeter

| | | |
|---|---|---|
| No | No | no |
| No | No | No |
| nope | no | no |

63

# Besides Name, Email, Phone, and Title, is there any other information to add to the 'Company Contacts'?

Mentimeter

| | | |
|---|---|---|
| no | no | no |
| No | No | no |
| No | No | No. |

63

# Besides Name, Email, Phone, and Title, is there any other information to add to the 'Company Contacts'?

Mentimeter

| | | |
|---|---|---|
| No | no | Not all this time. |
| None | No | No |
| Unit/Division maybe? | No? | No |

63

# Besides Name, Email, Phone, and Title, is there any other information to add to the 'Company Contacts'?

Mentimeter

| | | |
|---|---|---|
| No | no | No |
| No | None | No |
| Alternate phone number | none | No |

63

# Besides Name, Email, Phone, and Title, is there any other information to add to the 'Company Contacts'?

Mentimeter

- No
- No
- Department
- maybe last active on SERFF
- fax
- Office hours (availability)
- No
- No, that is enough information.
- Direct phone numbers. Not the switchboard.

63

# Besides Name, Email, Phone, and Title, is there any other information to add to the 'Company Contacts'?

Mentimeter

time zone? Or best time(s) to contact?

No

No

Nothing - however, from a industry side, it would be helpful for the industry to be able to see the regulators contact information.

Nothing else.

None

Nothing Else

No

No.

63

# Besides Name, Email, Phone, and Title, is there any other information to add to the 'Company Contacts'?

Mentimeter

Depends on how the company contacts are to be used.

Dept/function

what about a place for third party contact plus company contact?

No

I can't think of anything at this tine

Time zone or location info

No

active/inactive

No

63

# Do you have any other concerns with this new future state?

Mentimeter

| | | |
|---|---|---|
| no | No | No |
| No | No | No |
| No | no | No |

58

# Do you have any other concerns with this new future state?

Mentimeter

| | | |
|---|---|---|
| no | no | no |
| No | no | No |
| no | no | no |

58

# Do you have any other concerns with this new future state?

Mentimeter

| | | |
|---|---|---|
| No | no | No |
| No | No | No |
| NA | No | No |

58

# Do you have any other concerns with this new future state?

Mentimeter

No.

no

No concerns

No

No

Would like option to not use company contact.

No

No

No

58

# Do you have any other concerns with this new future state?

Mentimeter

No

no

No

No

Could regulators' contact information be included?

Ensuring the contact information will not be used for marketing purposes/3rd party contact.

Would like to learn more about intended use of company contacts.

No

No

58

# Do you have any other concerns with this new future state?

Mentimeter

No.

NO

no

No

I do not at this point. Thank you for adding this. I think it will really help getting ahole of the correct contact person. Thanks.

Option to see reviews contact information

Make sure phone numbers are accurate. There have been times the phone number is incorrect or no longer in service.

can you add / remove management access (who will have limited access of SERFF) later in the filing? multiple ppl? remove ppl who no longer need to be added?

No. The contact info is important and having multiple is beneficial. We have encountered unresponsive contacts, which we later find out they're no longer with the company

58

# Do you have any other concerns with this new future state?

Mentimeter

Will all states use this info the same way? If some won't look, then putting it there will be a waste of time. Also, try to keep phone # / email addresses confidential so they won't be spammed

Might need to be able to designate that it is a third party filer.

How will it impact objection letters? Who will the state address to, the first contact listed or...?

Just that we have different departments in our company that use SERFF for different reasons, as such have different contacts. We would want to ensure the contacts are applicable to each department.

is there opportunity for the contacts to be changed in the filing after submitted in case of change(s)?

Like the idea of having the company contact of govt relations or product mgr contact info so we can reach out if review warrants a convo with them.

No

Will there be a blanket OOO or can you modify the bounce back?

Very helpful to a regulator. Should be able to be updated easily if the company or filing contact information changes during review of the filing.

58

# Do you have any other concerns with this new future state?

Mentimeter

none

Keep them separate. Different workflow

58

Mentimeter

# Updating 'Direct Edit' Filing Fields

- Consolidating post submission changes (PSU, Amendments, Responses) into one process
- There are changes that are submitted to the regulator - Schedule Items, Rate Data, etc.
- There are changes that are not submitted (Direct Edit)- Company Tracking Number, Company Status
- Should the 'direct edit' fields be included with the rest of the filing updates, or kept separate?
- Do regulators need to be notified when 'direct edit' fields are updated?

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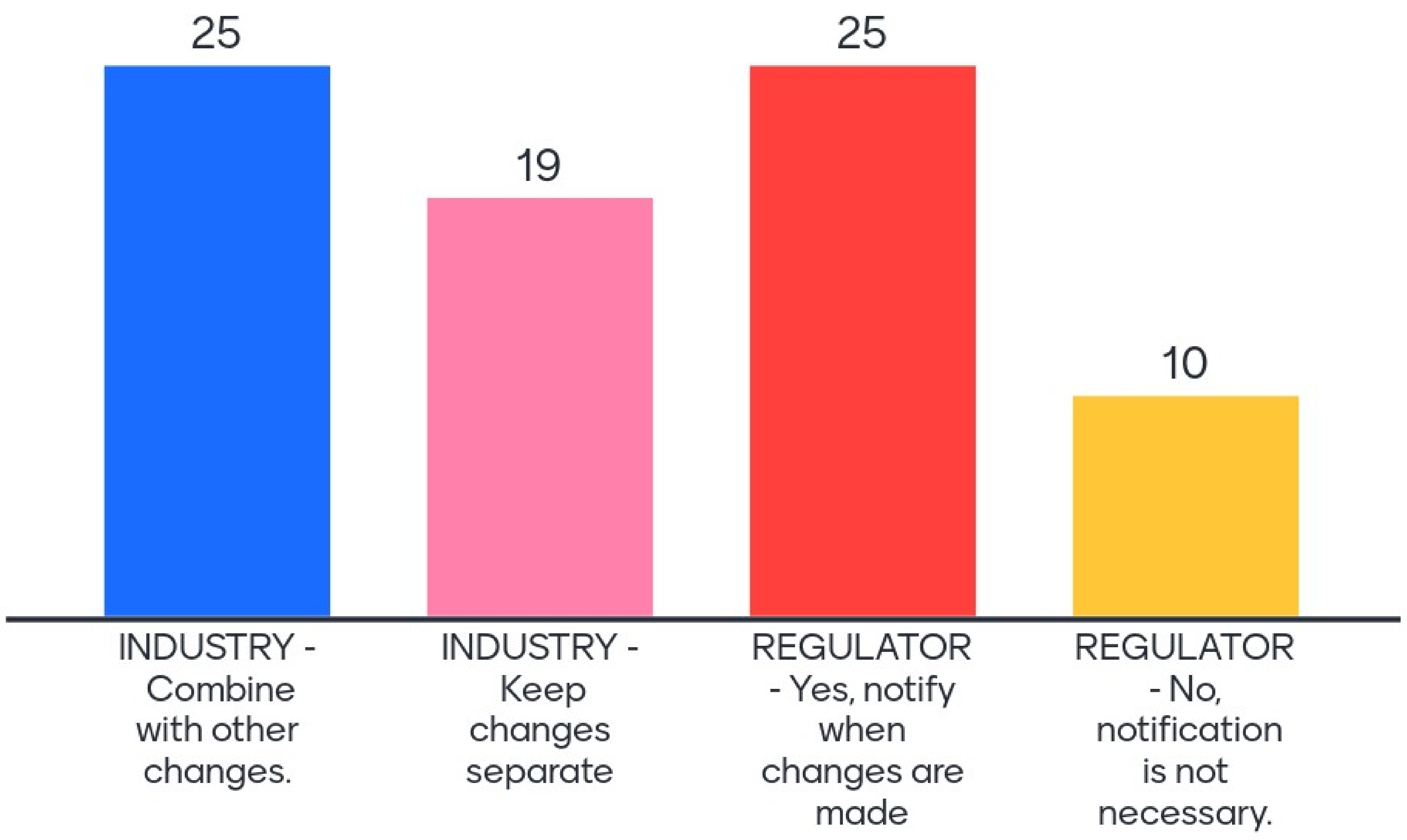
# What is the preferred method of handling direct edit field changes?

Mentimeter

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