Lesson 2

SERFF is a secure, web-based application. Each user has an ID and password that allows access to the system and controls the functions they may perform as well as the data available for them to view. This lesson will focus on accessing the system and maintaining preferences and other settings.

This lesson covers the following topics:

- SERFF Login
- SERFF Passwords
- The SERFF Workspace
- User Preferences
- Instance Preferences
- Company Maintenance
- Contact Maintenance

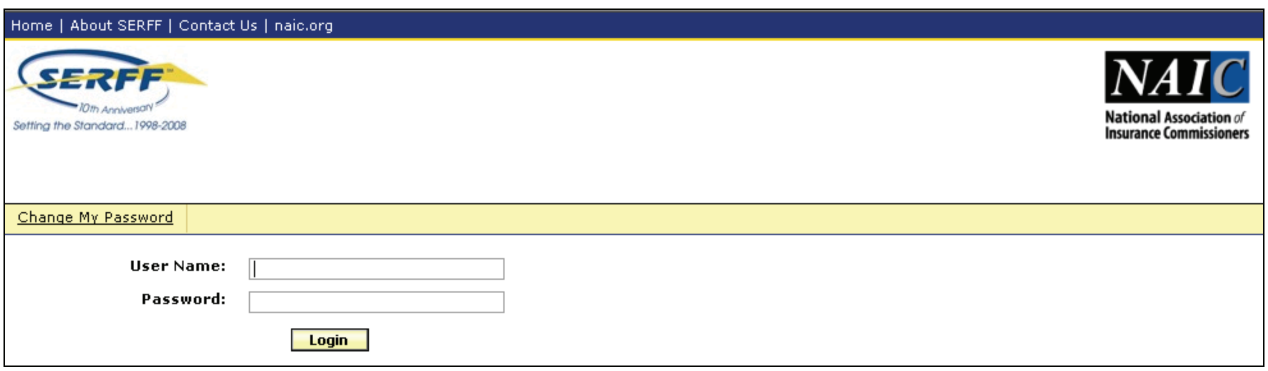
SERFF Login

Users must have an ID and password assigned by the SERFF Help Desk before they can log into SERFF.

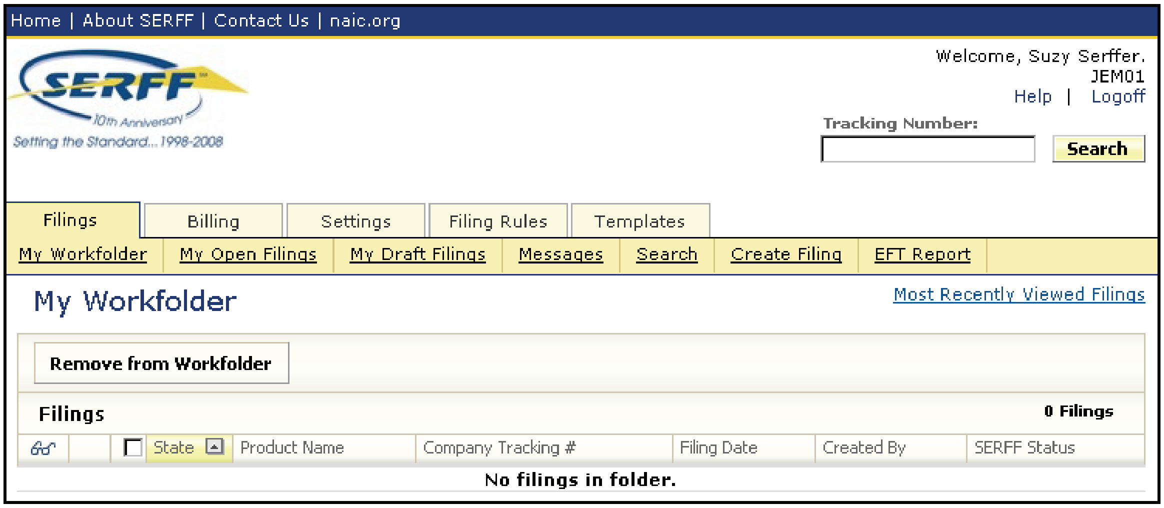
☞ Logging into SERFF

1. Open a browser window and navigate to https://login.serff.com.
2. Click on the Login here link in the upper right hand corner of the page to access the application login page.

3. At the login page, type in the User Name and Password. Both are case sensitive.



4. Click the  button.
5. If a valid User Name and Password were entered, the SERFF Workspace will be displayed.



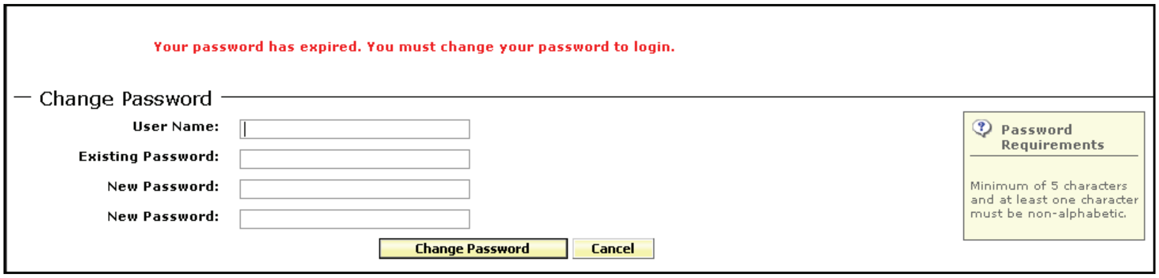
☞ If an invalid User Name or Password is entered, the user will be prompted to try again. To have a forgotten password reset, the user should email the SERFF Help Desk at serffhelp@naic.org.

SERFF Passwords

SERFF IDs and passwords are obtained by e-mailing the SERFF Help Desk at serffhelp@naic.org. The SERFF Help Desk administers user accounts for both state and industry users. New users will be assigned a temporary password to log into SERFF and will be prompted to change the password at first login.

☞ SERFF passwords must be at least 5 characters and must contain both letters and a numbers.

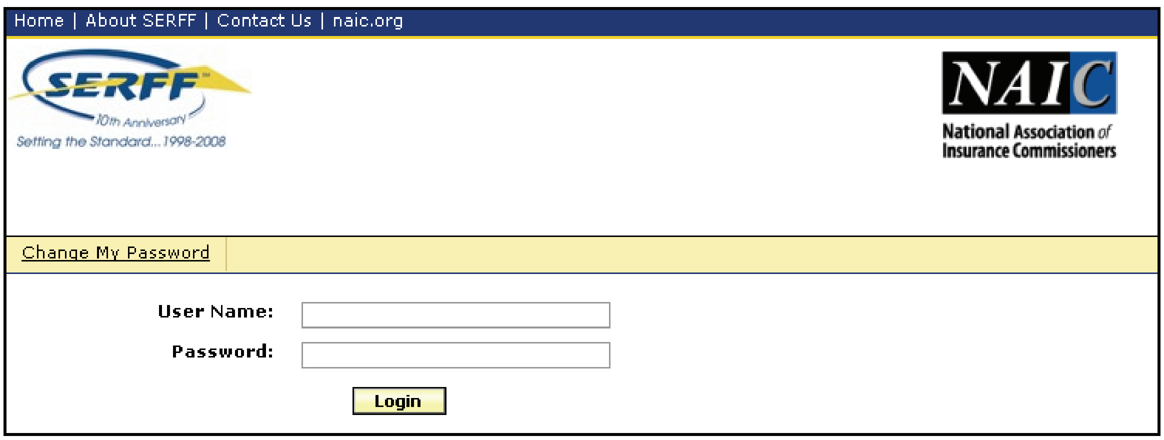
☞ SERFF passwords expire after 90-days and are case sensitive.



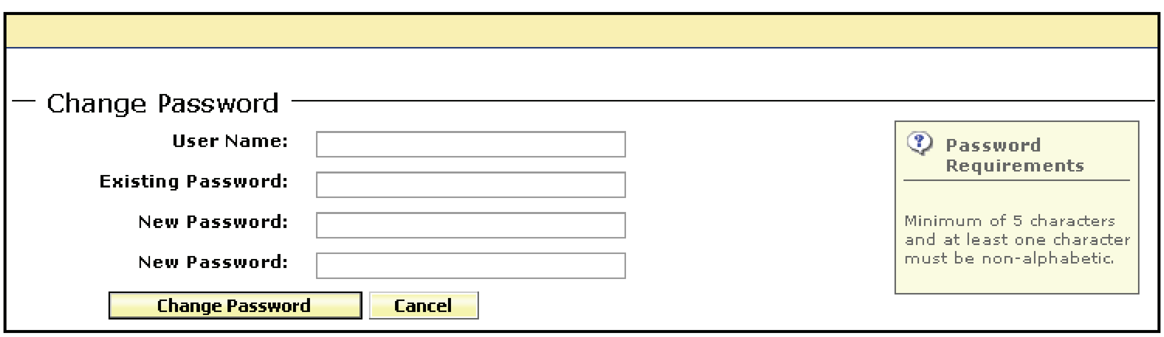
Changing a Password

Users will be required to change their password every 90-days but may change them more often as desired.

1. To initiate a password change, click the Change My Password link on the login page.



2. The Password Change page will be displayed. This page will display automatically for 90-day password changes.



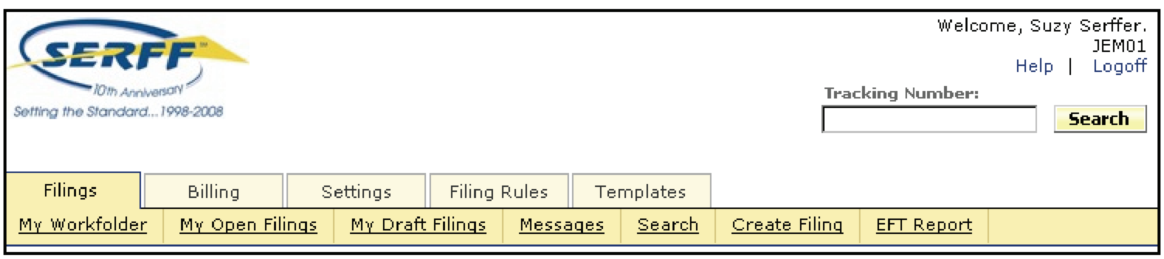
3. Enter the User Name and Existing Password.
4. Select a new password that meets the stated requirements and enter it in the first New Password box. *Remember that passwords are case sensitive.*

5. Retype the selected password again in the second New Password box to confirm the entry. The system will not complete the password change if the two New Password entries do not match.
6. Click on the Change Password button.

The SERFF Workspace

After a successful login, the user will be taken to the SERFF Workspace. For most users, the My Workfolder view is the default page. After a password change, the User Preference Contact page is displayed, prompting the user to review and update their contact information as needed. See the User Preferences section of this lesson for more information.

The SERFF Workspace contains several tabs, each of which has a defined purpose. The tabs for industry users may vary depending on the roles assigned to the user, and whether the user is accessing SERFF at the NAIC or at their Data Hoster. The standard tabs for an industry user logged into SERFF at the NAIC are Filings, Billing, Settings, Filing Rules, and Templates. If an industry user is logged in to SERFF via their Data Hoster, a Reports tab will also be present.



Filings - The Filings tab is where filings are created and managed. The Filings tab also contains the Message Center, Search, and EFT Reporting capability. The Filings tab is covered in more detail later in this lesson.

Billing – The Billing tab is where industry users can view their billing information, including the number of remaining prepaid transactions for their instance(s) and create a Billing Export report. The Billing tab was covered in Lesson 1.

Settings – The Settings tab is where all user and instance preferences are stored and where Filing Companies and Contacts are maintained. The Settings tab will be covered later in this lesson.

Filing Rules – The Filing Rules tab allows the industry user to review the Submission Requirements and other information for each state participating in SERFF. The Filing Rules tab will be covered in Lesson 3.

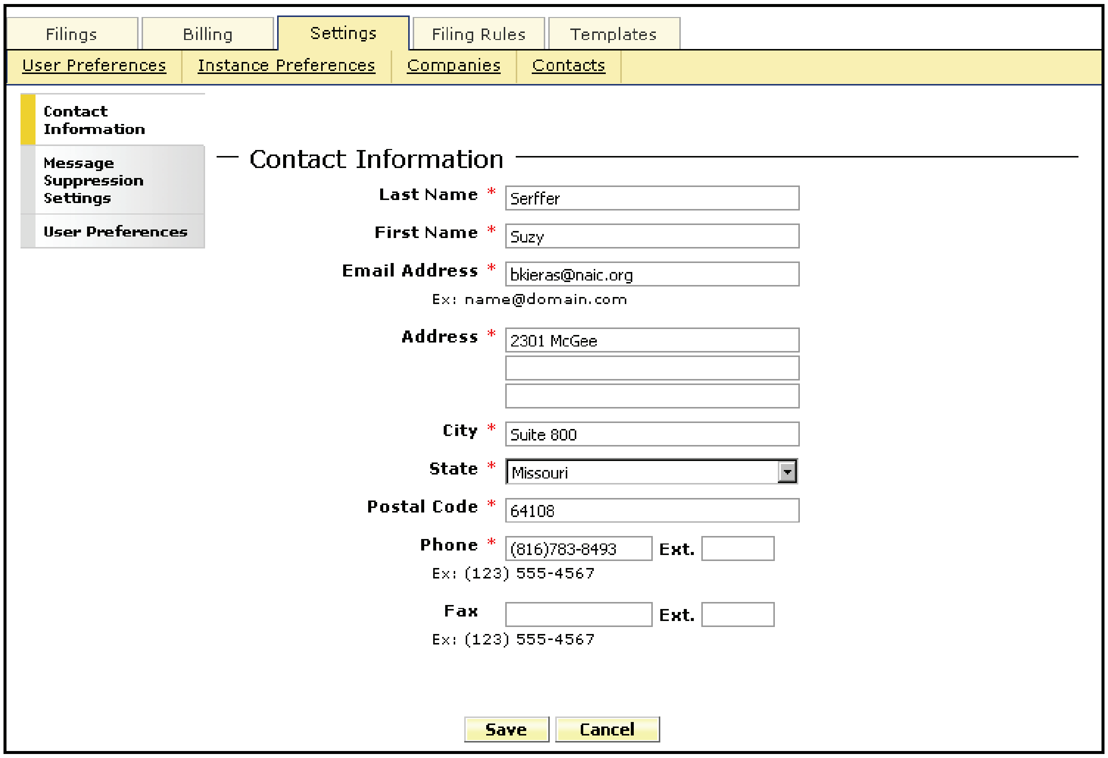
Templates – Templates provide industry users the convenience of entering Form, Rate/Rule, and Supporting Documentation schedules once and using them across multiple filings. Templates are covered in Lesson 4.

Reports – The Reports tab contains the reports used by those users who have a Data Hoster to monitor their SERFF filings. From the Data Hoster site, an authorized user can select one of several reports to run against the filings database.

User Preferences

Each user has a set of “User Preferences” that contains their contact information and some configurable settings that affect some aspects of SERFF. The User Preferences are navigated by clicking on the tabs running down the left side of the screen. The preferences apply to all instances to which the user has access.

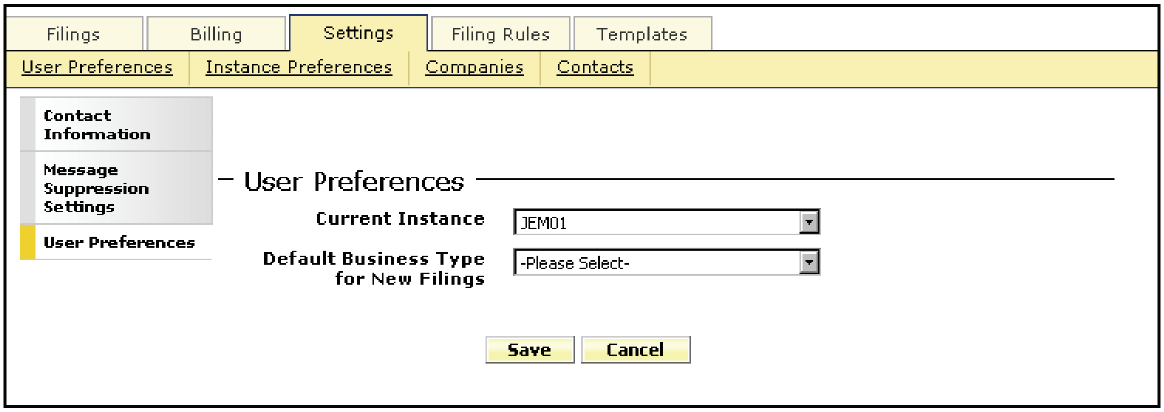
The first area under User Preferences is **Contact Information**. This area contains the name, e-mail address, phone number, and address of the user. Some fields are required and are denoted with a red asterisk (*). The user can complete or update this information at any time and should click Save when finished.



The second area of User Preferences is **Message Suppression**. Under this tab, users can indicate any type of SERFF message that they do not wish to receive. Once the user checks one or more message types and saves, the system will not generate new messages of that type. These settings are specific to the user.

The final area under User Preferences is called **User Preferences**. This section contains two items – a setting for Current Instance and another for Default Business Type. The Current Instance setting only applies to users with more than one instance. By selecting an instance from the list and clicking Save, the user can switch between instances.

Default Business Type is an optional setting that allows the user to indicate whether they are primarily Life/Accident/Health or Property/Casualty. Making a selection pre-populates the Business Type field for the Filing Wizard and Search.

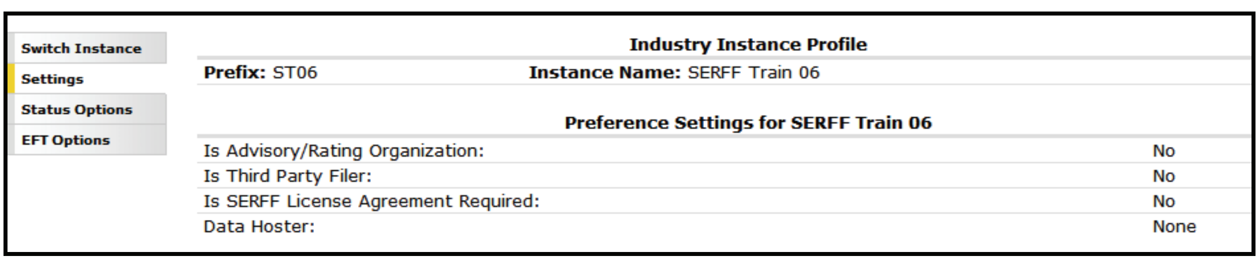


Instance Preferences

Instance Preferences are used to define options for the entire instance. Each instance has its own set of preferences that includes status options and EFT settings. Instance Preferences are located under the Settings tab. Some of these settings can be modified by an Industry Configuration Manager; others are maintained by the SERFF Help Desk.

When accessing Instance Preferences, the default view is of the Settings area. Like User Preferences, Instance Preferences are navigated by clicking on the tabs running down the left side of the screen. An Edit button will appear for users authorized to make changes.

The fields under Settings include the Instance Name and Prefix, as well as indicators for Advisory/Rating Organizations, Third Party Filers, License Agreement status, and Data Hoster. These flags are maintained by the SERFF Help Desk and cannot be changed by industry users.

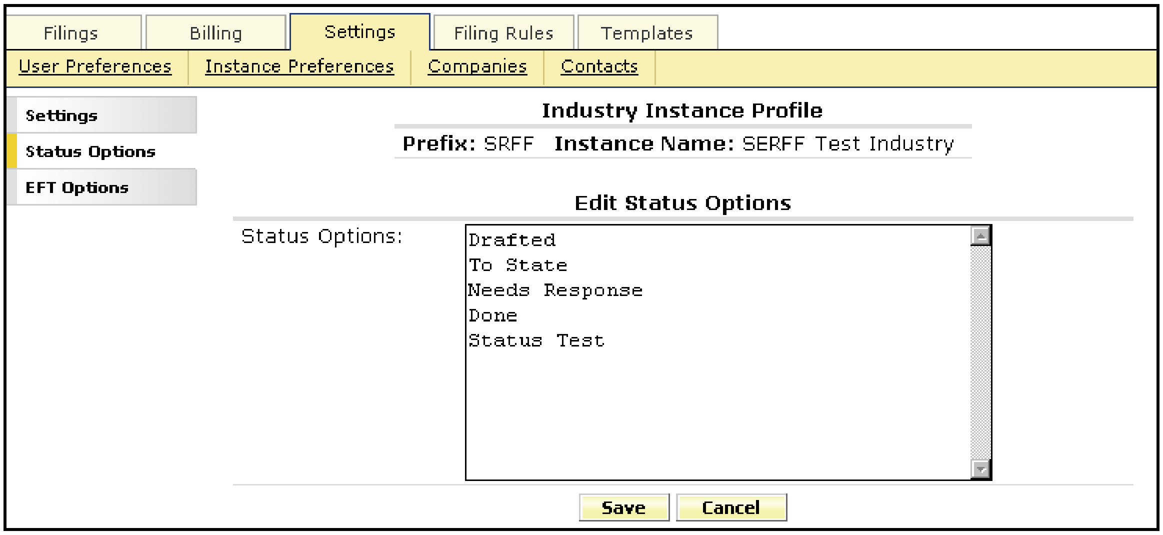


Adding Status Options

Status Options are used to populate the Company Status field on a filing. Utilizing Company Status is an excellent tool to manage filings. After putting the Instance Preferences in Edit, follow these steps to add, change, or remove Status Options:

1. Click the **Status Options** tab.

2. Click inside the Status Options text box.
3. Add, update, or delete Status Options as needed. Hit the Enter key between each option.

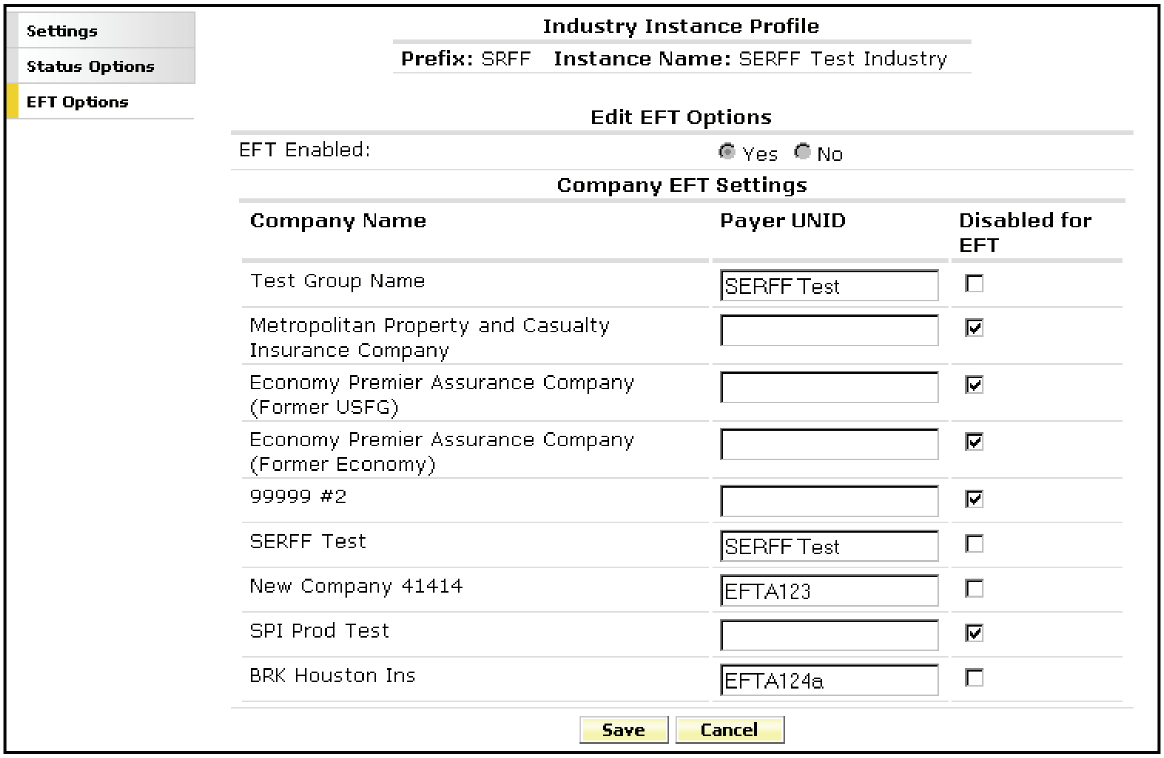


4. Click **Save** to finalize or **Cancel** to discard the changes made.

EFT Options

The final section under Instance Preferences is for Electronic Funds Transfer. EFT is a quick and easy way to send state fees to states that accept SERFF EFT. When a state receives an EFT filing, they consider the fees received and can begin review immediately. Implementation is minimal and is coordinated by the SERFF team. For questions about getting started, please review the SERFF EFT Implementation Guide at www.serff.com.

The first field in this section is **EFT Enabled**. If the EFT Enabled flag is set to yes, the instance is able to submit payment via EFT to states that are accepting such payments. The SERFF team sets this flag.



Settings
Status Options
EFT Options

Industry Instance Profile

Prefix: SRFF **Instance Name:** SERFF Test Industry

Edit EFT Options

EFT Enabled: Yes No

Company EFT Settings

Company Name	Payer UNID	Disabled for EFT
Test Group Name	SERFF Test	☐
Metropolitan Property and Casualty Insurance Company		☑
Economy Premier Assurance Company (Former USFG)		☑
Economy Premier Assurance Company (Former Economy)		☑
99999 #2		☑
SERFF Test	SERFF Test	☐
New Company 41414	EFTA123	☐
SPI Prod Test		☑
BRK Houston Ins	EFTA124a	☐

Save Cancel

The rest of this section is for Company EFT Settings. This information can be updated by the SERFF team or an Industry Configuration Manager. This section is usually completed during EFT implementation, but may be updated later.

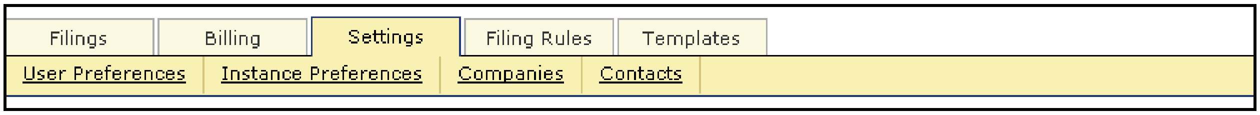
The section contains a list of the companies set up for the instance. To modify this list, updates must be made to the company profile first. Company maintenance is covered later in this lesson.

Each company has two attributes – **Payer UNID** and **Disabled for EFT**. A Payer UNID controls the bank account from which funds are drawn for the company. If a new account is needed, contact the SERFF Help Desk to request a new Payer UNID.

If a particular company should not be eligible for EFT submissions, check the Disabled for EFT box. For these companies, a Payer UNID is not necessary.

Company Maintenance

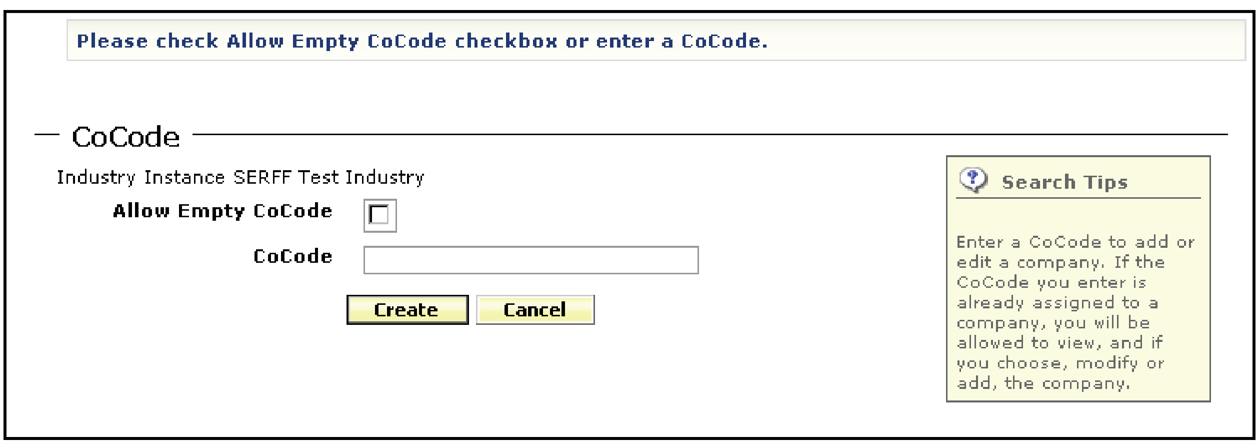
Company information for an instance can be accessed and edited by clicking the 'Companies' link under the Settings tab. When creating a filing, the information for the company/companies comes from data entered here. Most SERFF users will only be able to view company information. Users must have the Industry Configuration Manager role assigned to their ID in order to add or edit company information.



One or more companies will need to be set up before filings can be made. Companies can be added, updated, activated, or deactivated.

Adding a Company

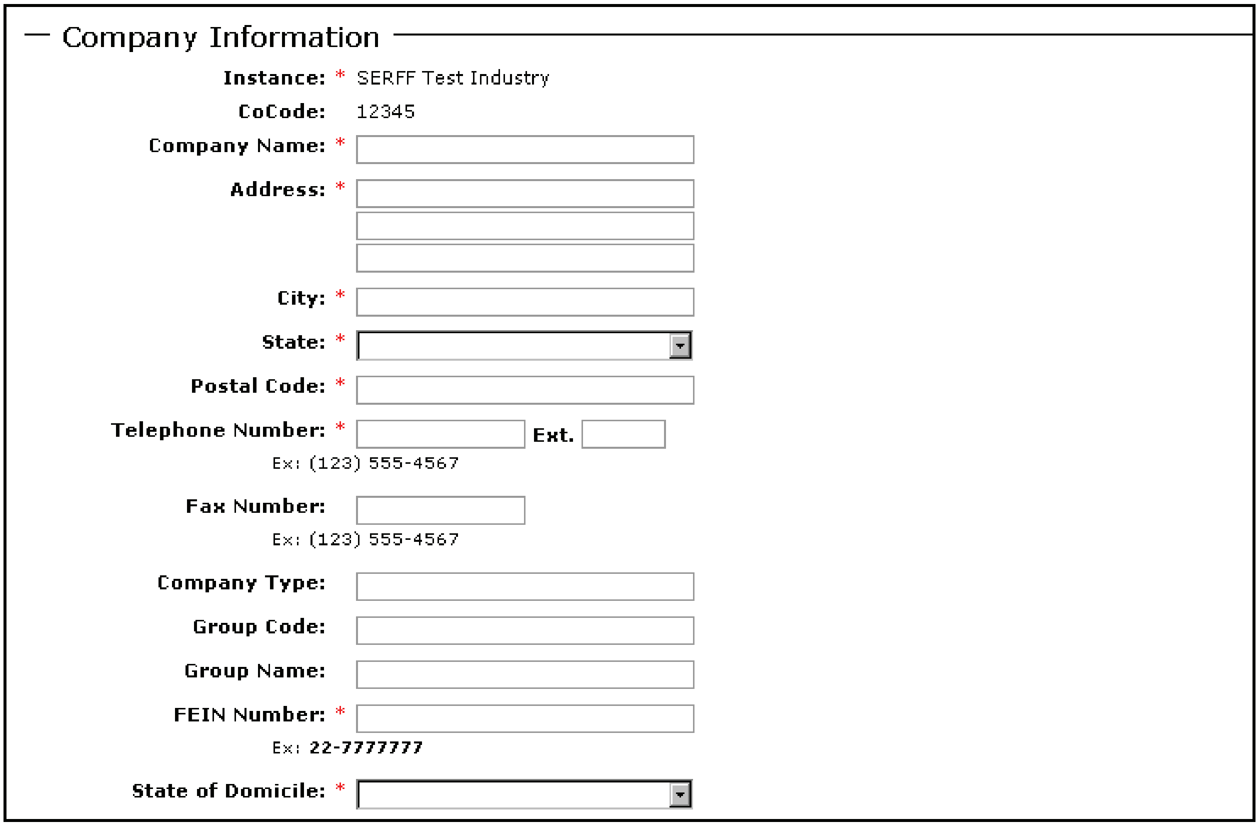
1. Click on the Settings tab.
2. Click on the Companies link.
3. Click the **Add Company** button.
4. Enter the NAIC Company Code (CoCode) for the company to be added or check "Allow Empty CoCode" if the company to be added does not have an NAIC Company Code.



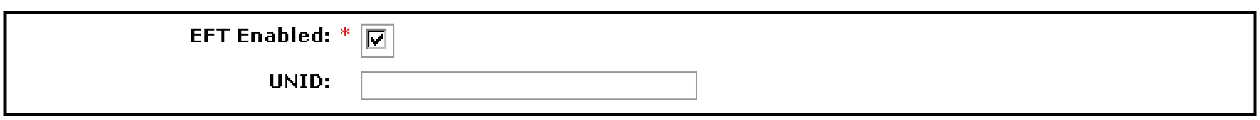
5. Click the **Create** button.

If the CoCode entered already exists; the user will be given the option to edit that company profile or to create a new one. This feature allows two versions of the company to be maintained if needed. One example of this need would be when a company files under different names in different states.

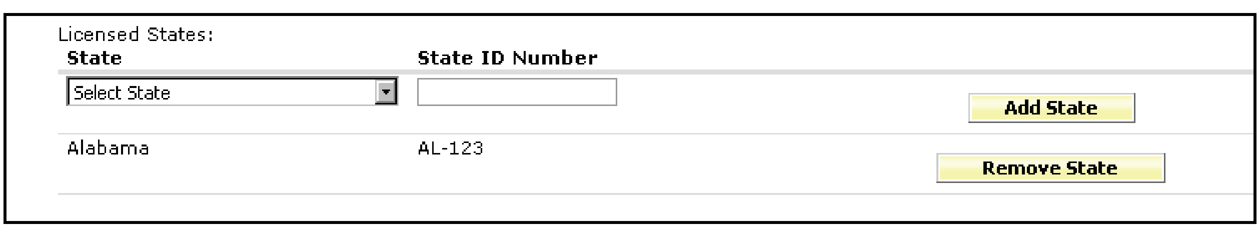
6. Complete the first section, Company Information. Fields denoted with a red asterisk (*) are required.



7. If the instance has implemented EFT, two additional fields will display. Uncheck EFT Enabled if this company will not be participating in EFT. Otherwise, enter a valid UNID for the company. UNIDs are discussed earlier in this lesson. For assistance, contact the SERFF Help Desk.



8. The last section of the company profile is used to indicate the state(s) in which the company is licensed. To indicate a company is licensed in a given state, select that state from the drop down list. Enter a State ID Number if applicable and click the Add State button to save the change.



9. Each state added will appear under the entry boxes and each will have a Remove State button. To change the State ID number, the state must be removed and added back with the correct number.

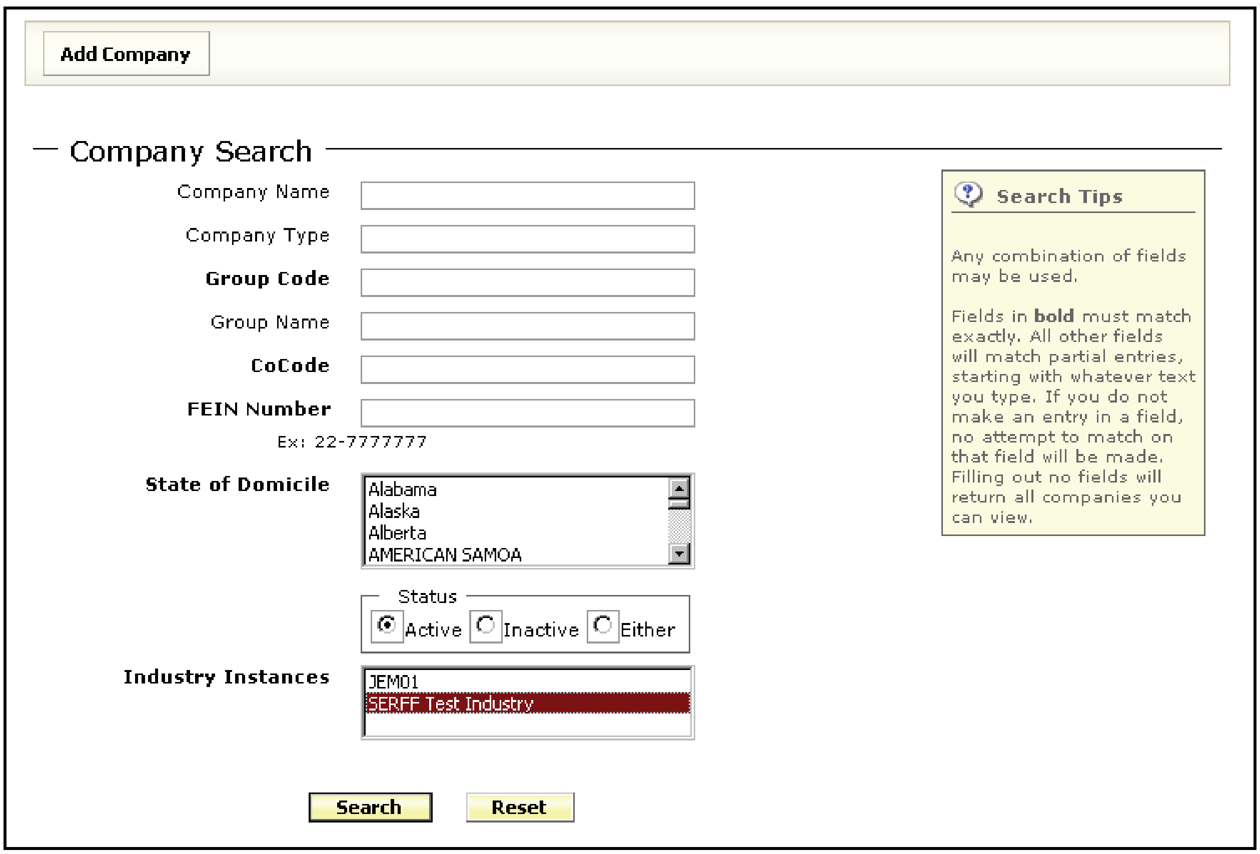
   ☞ This section is optional, but the list of licensed states is used in the Filing Wizard (see Lesson 4) and the State ID Numbers will be displayed for the appropriate state filings.

10. Click **Save** to finalize or **Cancel** to discard the changes made.

☞ Finding a Company

Once companies have been set up, the Company Search feature will aid in opening the company profile for viewing or updating.

1. Click the Companies link to search for a company.



2. Enter criteria in one or more fields and click **Search**.

- Any combination of fields may be used. With the exception of CoCode, Group Code, and FEIN, the wild card (*) may be used in the search fields.
- Users with access to more than one instance may choose which instance(s) to include in the search.
- When leaving the search criteria in the default state, a list of all companies will return.

Company Search Results

The search results page for Companies displays information to assist in identifying the correct company to view or edit. Click on the blue, underlined link in the Company Name column to open a company profile. The user may also add a company, start a new company search, or refine their existing search.

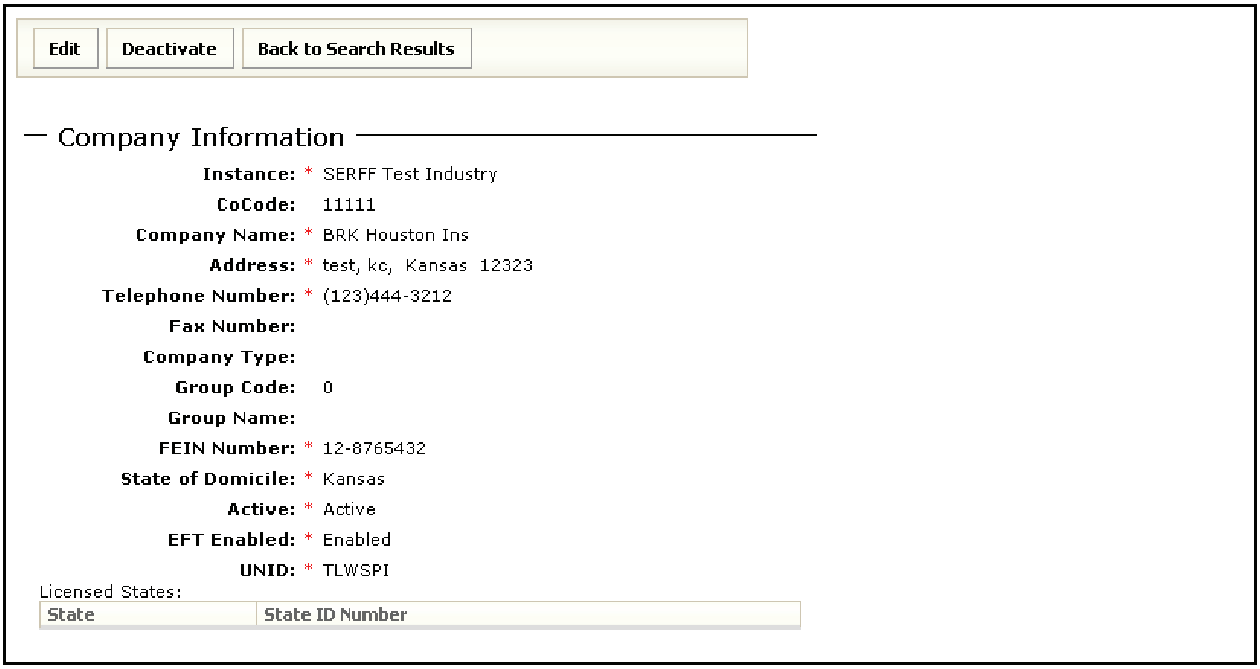
Add Company | New Search | Edit Search

Company Name	Company Type	CoCode	Group Name	Group Code	FEIN Number	State of Domicile	Instance	Active
BRK Houston Ins		11111		0	12-8765432	Kansas		Active
SERFF Test		11111		0	11-1111111	Kansas		Active
New Company 41414		22222		0	11-1111112	Alberta		Active

Editing Company Profiles

Once a company profile has been retrieved via company search, authorized users may edit the company information. Changes made to the company will update draft filings and future filings for this company, but will not change any filings already submitted.

1. Open the company profile to be edited.



2. Click the Edit button to open the fields for changes.

   If the company is no longer needed, click the **Deactivate** button. The company will not be available for selection on new filings.

3. Make the necessary changes.

   CoCode is not an editable field. If the CoCode has been entered incorrectly, the company should be deactivated and a new company added with the correct CoCode.

4. Click **Save** to finalize or **Cancel** to discard the changes made.
5. If one or more draft filings include the edited company, the user will be presented with a list of affected filings. This list will not display if this company is not listed on any current draft filings.


The draft filings below are associated with the company you have edited. Click Save to continue with your company update and change the company information for these filings, or click cancel to cancel your changes.

SERFF Tracking Index	Product Name	Reference Title	Reference Number
SRFF-140390084	SAPI 5.4 Release Testing		
SRFF-140390085	SAPI 5.4 Release Testing		
SRFF-140390348	test123		

6. Click **Save** to finalize or **Cancel** to discard the changes made.

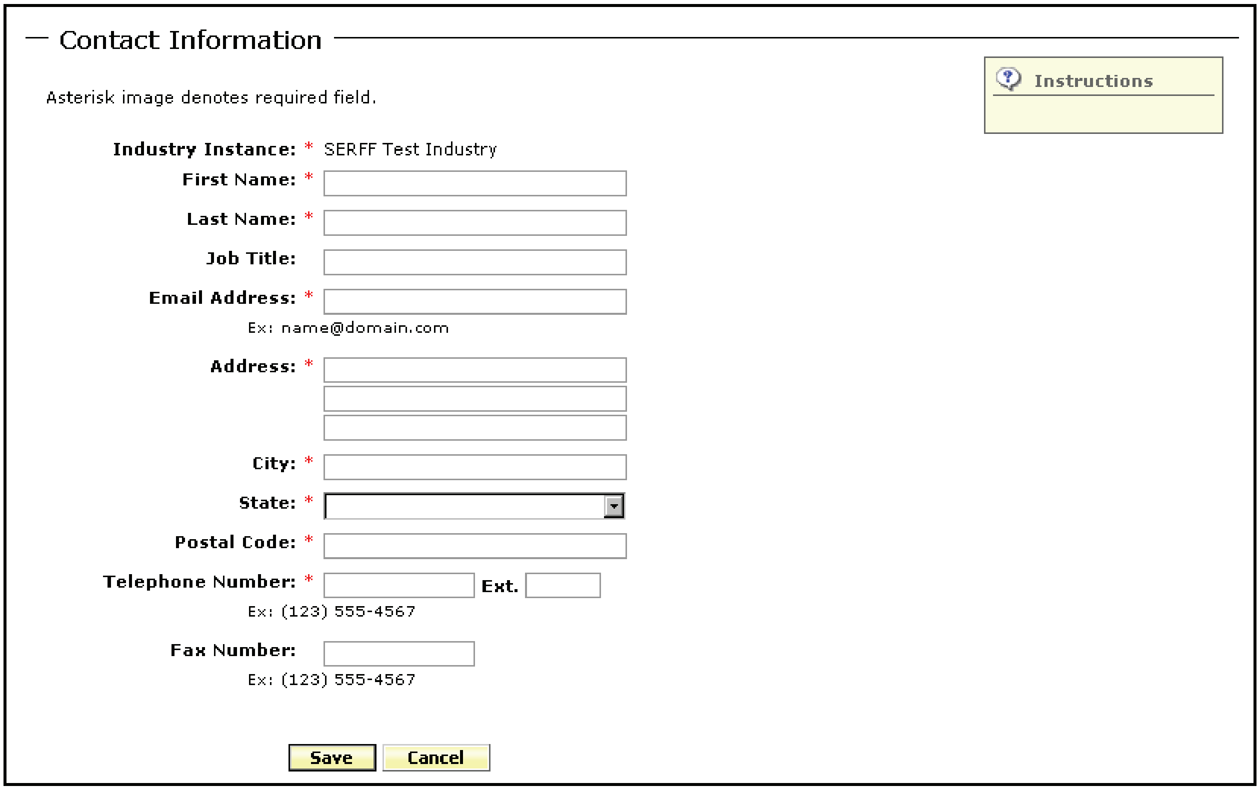
Save will finalize the changes made and update the filings listed. Cancel will discard any changes to the company profile and no draft filings will be updated.

Contact Maintenance

Contact information for an instance can be accessed and edited by clicking the 'Contacts' link under the Settings tab. At least one contact must be set up before any filings can be created. The contact is the person whom the state should contact if they must communicate outside of SERFF. Contacts may also be users, but they must still be set up as directed below. Users must have the Industry Configuration Manager role assigned to their ID in order to add or edit contact information.

Adding Contacts

1. Click on Settings tab.
2. Click on Contacts link.
3. Click the **Add Contact** button.
4. Complete the information for the Contact. Fields denoted with a red asterisk (*) are required.



5. Click **Save** to finalize or **Cancel** to discard the changes made.

☞Finding Contacts

Once contacts have been set up, the Contact Search feature will aid in opening the contact profile for viewing or updating.

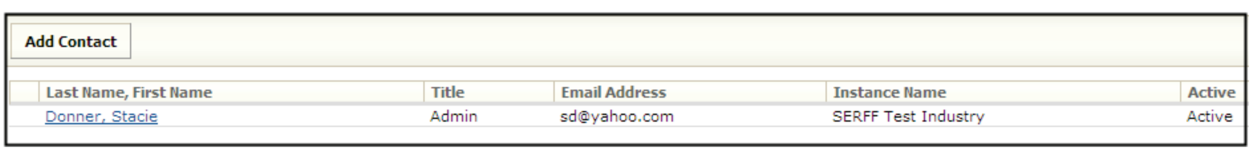
1. Click the Contacts link to search for a company.

2. Enter one or more criteria and click Search.

- Any combination of fields may be used. The wild card (*) may be used in all search fields.
- Users with access to more than one instance may choose which instance(s) to include in the search.
- When leaving the search criteria in the default state, a list of all contacts will return.

Contact Search Results

The search results for Contacts displays information to assist in identifying the correct company to view or edit. Click on the blue, underlined link in the Name column to open a contact profile. The user may also add a new contact from this page.



Last Name, First Name	Title	Email Address	Instance Name	Active
Donner, Stacie	Admin	sd@yahoo.com	SERFF Test Industry	Active

Editing Contact Profiles

Once a contact profile has been retrieved via search, authorized users may edit the contact information. Changes made to the contact will update all filings on which that contact is listed, including filings already submitted to the state. In order to correct contact information without impacting filings, the contact should be deactivated and a new one created.

1. Open the contact profile to be edited.

2. Click the Edit button to open the fields for changes.

☞ If the contact is no longer needed, click the **Deactivate** button. The contact will not be available for selection on new filings.

3. Make the necessary changes.
4. Click **Save** to finalize or **Cancel** to discard the changes made.