SERFF Product Steering Committee Meeting

Wednesday, May 17

NAIC NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS

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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

NAIC NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS

Phase 2

- Tableau Reports
  - Pilot Group Reviewed Finished

- Next Steps
  - Enhancement requests added to development cycle
  - Set up production roll out schedule
  - State SnowSight POC – June/July Timeframe

Phase 3.1 - Interstate Compact

- Features In Progress:
  - Form Schedule IDP Workflow
  - Browse Filing View
  - UI/UX Revamp

- User Interviews for UI/UX reviews

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 100 PSC attendees participated
- Main topics covered: Form Schedule & Browse Filing UI Review, Filing Fee Calculations, Dashboards
- Questions from the activity are on pages 9-10
- 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)**
  - Please include what type of SERFF user you are (state, industry, or other) and how frequently you use SERFF (daily, weekly, once a month or less) with your answers.

User Experience Reviews

Description

- We showed mock-ups for a couple of new features: Form Schedule Machine Learning and Browse Filing View.
- Meeting Recording link: https://naic.webex.com/naic/ldr.php?RCID=24c77f3311c09af6ee69694f67c3b20f
- Timestamps:
  - Form Schedule: 13:07
  - Browse Filing View: 32:28

Questions:

- What feedback do you have regarding the Form Schedule workflow?
- What feedback do you have regarding the Browse Filing View?

State Fee Calculations & Dashboards

State Fee Calculations

- We understand that SERFF users use a variety of external resources to calculate the correct state filing fee amount, such as excel.
- Question: What tools or resources do you use to calculate the correct state filing fee amount?

Dashboards

- We plan to implement a landing page dashboard in the new platform. This dashboard will display a variety information that users need to see upon login, such as ‘open filings per users’, ‘unread correspondence’, ‘new objection letters’, etc. These information views will be provided in a ‘widget library’ that the user can choose from to customize their dashboard.
- Question: What information do you need to see on your dashboard?

PSC Membership Interest Form

- **Link: [PSC Membership Form]**
- **3 state seats, 5 industry seats up for new membership in 2023**
- **Will use this form to pull membership nominations.**

Form Schedule Q&A

- What does IDP stand for?
  - Intelligent Data Processor
- Can you manually override the form type if it is incorrect?
  - Yes
- Will you still be able to create templates?
  - Yes, but we have not started on that feature yet, so we do not know what potential changes will be made in the new platform.
- Will the IDP be able to identify the action data (new, replaced, withdrawn, etc.) for the form?
  - We do want to eventually automate some of this data, but it is unclear if that would be the IDP or another technology.
- Will we be able to add excel files to the form schedule?
  - Currently we are focused on the Compact's requirements, so it will be limited to PDFs. As we move on to other business types, we will evaluate how these features need to expand.
- Will you have the option to not use the IDP feature for form schedule items?
  - Probably not. Filers will be able to correct any data that is identified incorrectly, and we anticipate the regulators finding a lot of value in this process.

Other Q&A

- Will we still be able to clone filings?
  - Yes
- Will PDF Pipeline still be available?
  - Yes
- Will there be a trial period before completely flipping over to the new SERFF?
  - We have not finalized all the roll-out details at this time.

- Will all filings be viewable to the entire team, or will we still have to add authors for coworkers to be able to view filings?
  - There will still be ways to allow/disallow access to filings, but we are still determining how that functionality will work in the new platform.

2023 Call Dates

- June 14 - **reschedule**
- July 19
- August 23
- September 20
- October 18
- November 15
- December 13

Mentimeter

May SERFF PSC

Go to

www.menti.com

Enter the code

Or use QR code

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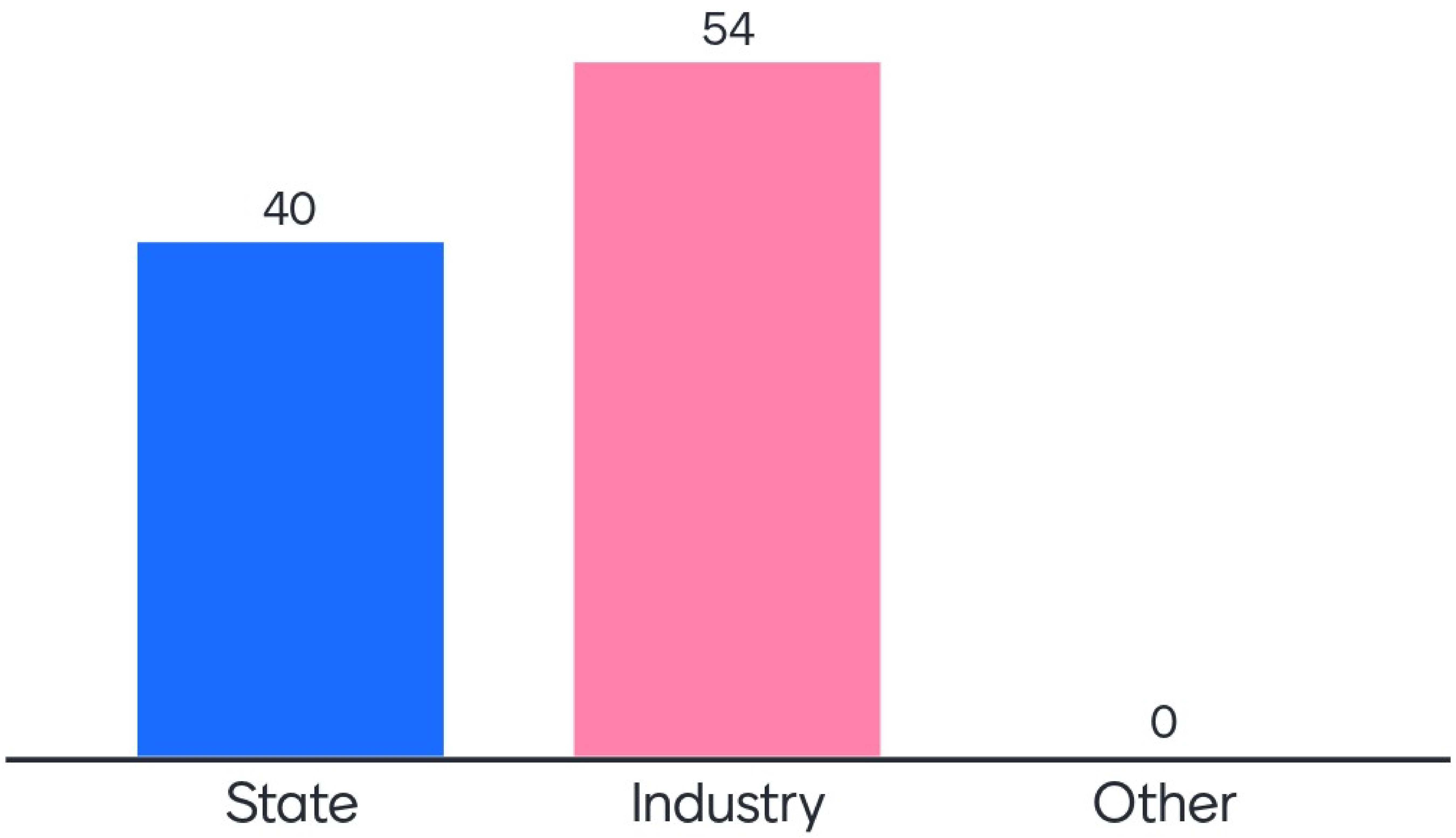
What type of user are you?



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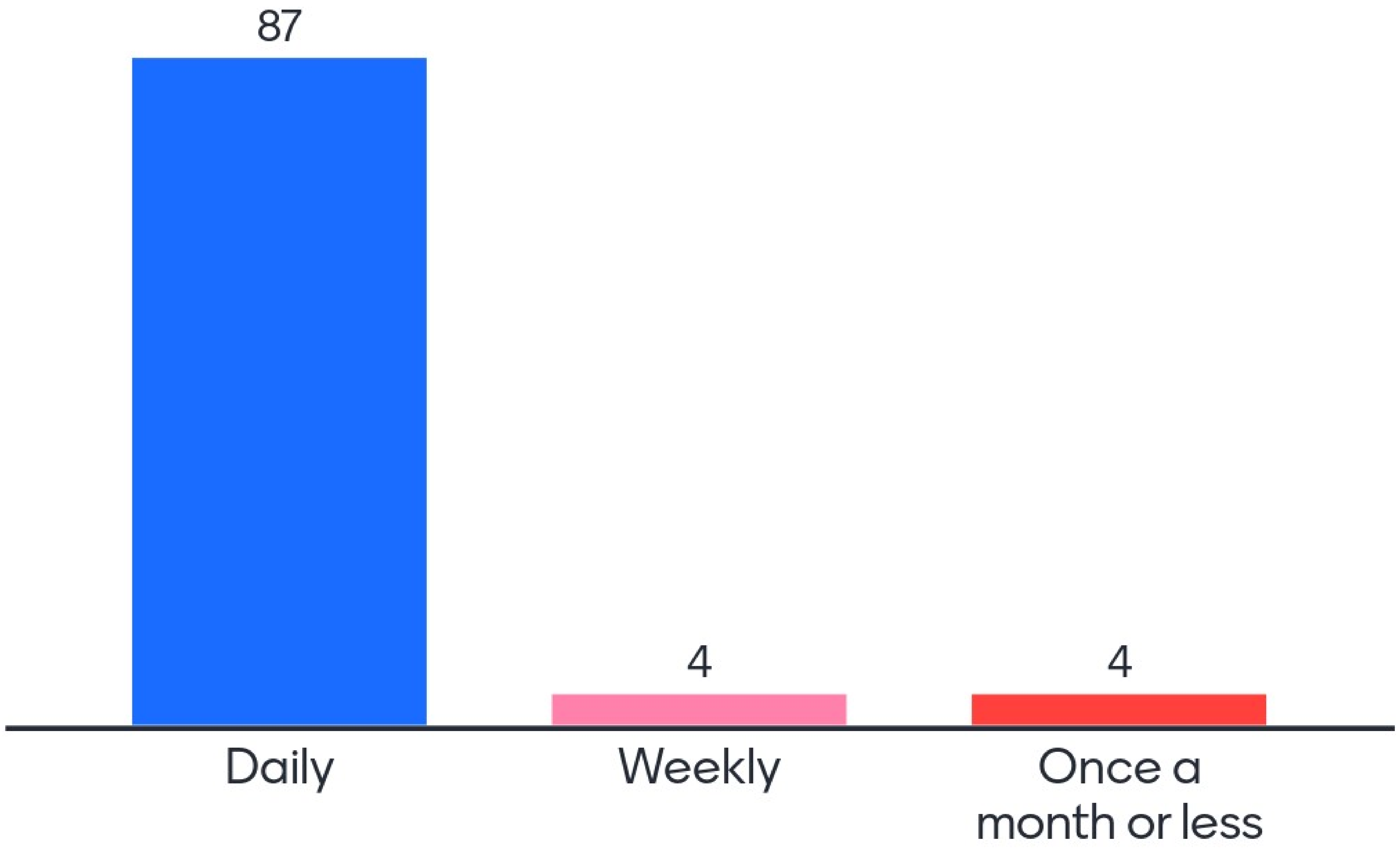
How often do you use SERFF?



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Form Schedule IDP Workflow

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What feedback do you have for the IDP process?

74 Answers

Mentimeter

Great Enhancement!	Are there key words required for the automation?	How will it choose the title of the form?
n/a	It looks interesting	N/A
This will be a time-saver and more efficient.	Can we edit what it automatically fills in if we need to?	Like the feature to add multiple forms at one time

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What feedback do you have for the IDP process?

74 Answers

Mentimeter

Is this the time frame it will take to load documents?

Will it pull edition dates or is that a field being added later?

How do you add a second attachment for the states that require mockups as a 2nd attachments

what order will the batch upload be in?

Very cool!

Still need template and cloning feature.

Will the IDP acknowledge OR's specific format?

N/A

Looking very good! It will be easier to comment once we actually use it.

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What feedback do you have for the IDP process?

74 Answers

Mentimeter

Is side-by-side or redline an available document type on the schedule for states that want these on the schedule or is the assumption that these documents will be uploaded someplace else?

How much time does it take for processing? We see alot of forms in some P&C form filings on the form schedule and also alot of forms on the healthcare side as well. We are talking hundreds of forms.

I'm more encouraged and optimistic about this feature after seeing what it looks like and how it functions.

N/A

If it is a multi-page form will it verify that the same form number is on each page?

Where does it look for a form title? Ours is usually 3//4 of the way down the page. What criteria does it look for?

[12:55 PM] Krumwied, KellyIt looks interesting

It's the future! Excited to give it a try!

N/A

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What feedback do you have for the IDP process?

74 Answers

Mentimeter

Agree would want templates too

Will the training the machine receives help it to process forms from your instance only or will it apply to all industry submissions?

When revising the form due to an objection, would we be able to see the original pdf?

Like that this should keep form #s and form names from being entered incorrectly on the form schedule.

Awesome. Looks very easy & interactive. Much simpler & modernized than the current structuring off the form schedule.

Will there be a state library from which to draw the templates that are state specific? Or is this just the engine from which to upload industry documents that are provided by individual users

What about if the form is new, replacement or withdrawn? Will those categories need to be entered manually?

seems much more efficient and accurate

Still waiting to see if it functions better than this version.

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What feedback do you have for the IDP process?

74 Answers

Mentimeter

no

What file formats will be supported for upload...pdf only?

Drag and drop would be cool, performance will be important to avoid frustration in the time it may take to populate the fields.

Can't wait to try it out!

Please keep templates and cloning capability.

This is a feature you'll want to be sure to stress-test for volume if multiple user's submissions are being processed simultaneously via the same machine...

This will be great!

would it be able to handle a secured pdf

Manual entry as an option of some fields such as title etc. Copy paste is a really quick way that we use - some of our form titles are quite lengthy

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What feedback do you have for the IDP process?

74 Answers

Mentimeter

What about states that require the form comparison to also be attached to the form schedule?

How will we be attaching a clean form and a marked up edition showing changes. Right now most states want them on the same line on the forms schedule?

None

This is better than what we currently have, but a split screen for viewing two different documents would be great.

It needs to open multiple windows to reference different places in the filing at the same time. For example, rate manual premium algorithms generally reference tables/sub-algos in other locations.

If you can't post notes, comments, highlights, it is not going to be of much use to track review and issues that need to be followed-up on.

It appears we would have to click on a form, page through it, click on the next form, page through it, etc. Seems like it would be easier to page through the whole thing.

None

Will changes/modifications be shown and highlighted (e.g., when documents are replaced) in the view or is that a different app?

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What feedback do you have for the IDP process?

74 Answers

Mentimeter

Looks great!

We have what we call a cheat sheet and the fees for rules, rates and forms are listed there - and updated when we are notified of changes.

General Instructions in SERFF

None.

We refer to the fee instructions in SERFF

General Instructions tab, State DOI website

Excel spreadsheet.

Excel spreadsheet I've developed, ICC Resources, SERFF info in instructions

We copy paste from the General Instruction and calculate. If wrong, the DOI will let you know.

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What feedback do you have for the IDP process?

74 Answers

Mentimeter

We created an excel spreadsheet with macros built in to capture such things as capping when the total is over a certain amount where applicable.

messages, reminders, objections

a drop down of all assigned and pending approval filings.

Objections that might be due!

filings for my company that, I personally submitted, objections, approvals

dates of objections, due dates for objections, project name

New intake filings then open fillings that have objection responses

Approvals/Acknowledgements and messages.

Reminders

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What feedback do you have for the IDP process?

74 Answers

Mentimeter

Needs change daily..........

can we see what the dashboard is going to look like?

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Browse Filing View

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What feedback do you have for the Browse Filing View?

37 Answers

Mentimeter

Would love to see a "Note" function within the filing to avoid multiple objections on same form. This would allow clarification conversations that are easily referenced to a specific filing.

Will this be able for P&C Industry users?

N/A

PDF Pipeline lets us do a text search in all forms. Will this be possible in the new view?

n/a

will the 2 tabs for supporting doc be the same for P&C?

Can you search for keywords with the Browse Filing View? That's one of the main reasons we use PDF Pipeline.

When browsing from one document to another, when you go back to the previous document will you be in the same place within that document?

What is the main difference between the Browse view and main view?

What feedback do you have for the Browse Filing View?

37 Answers

Mentimeter

Will it still be possible to pull up and view multiple documents at the same time?

I'm not a regulator but that looks helpful.

Will this be available for P&C?

Does it show many companies? Example shows 3

Can you show an actual view of a PDF in that side pane, please?

None

No

That looks very helpful to peer reivew. Would it be available in that formar pre-submission?

Can we get a specific tab for Actuarial Support for rate-related filings so it's not mixed in with other requirements?

What feedback do you have for the Browse Filing View?

37 Answers

Mentimeter

n/a

N/A

nothing i can think of at this time

.

as you toggle from one document to another to view, if you need to go back to top or bottom of a document, will it have that option or is this a scrolling situation while in a document

Was the State Filing Description field removed? I do not think I saw it in your example.

Is there a text limit in the filing description field?

Looks interesting and helpful!

Will the donut charts be interactive at all? As in, can we hover or click and see a list of jurisdictions or Co Tr Nums?

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What feedback do you have for the Browse Filing View?

37 Answers

Mentimeter

Looks like it will be a very useful tool. Will users be able to open multiple instances of documents in the BFV or will you only be able to view one doc selection at a time?

Is there a deem date field?

Will we be able to receive actual email notifications or adjust settings for that matching what we see in the Notifications pane?

Can you search for keywords?

Will filers still be able to revise filing descriptions and other fields via Post Submission Update? Any additions to that feature?

General Instructions/ ISO State Filing Handbook/Calculate by Hand

Looking good.

Can draft PDF's be viewed, or it this only submitted PDF's?

use general instructions in SERFF, then a calculator app

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What feedback do you have for the Browse Filing View?

37 Answers

Mentimeter

Filings that are highest priority---unclosed with oldest submission dates that need my review or unclosed that are going to deem.

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State Fee Calculation Resources

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What resources do you use to calculate/verify state fees?

54 Answers

Mentimeter

N/A for MI Regulator

we built a macro enabled filing fee calculator

General Instructions in SERFF

excel with all the rules listed

NY doesn't charge filing fees.

database, SERFF general instructions

N/A

General Instructions in SERFF

Read through the instructions in SERFF and calculate manually.

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What resources do you use to calculate/verify state fees?

54 Answers

Mentimeter

N/A

AuthenticWeb from WKFS to verify fees; calculate by hand

Use excel with calculations

Read the general instructions in SERFF and Wolters Kluwer State Filing info

ICC has a chart that lists the states and how to calculate

Internal proprietary state filing fee calculator

refer to General Instructions in SERFF

General Instructions in SERFF, plus the state filing handbook and Wolters Kluwer

SERFF General Instructions

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What resources do you use to calculate/verify state fees?

54 Answers

Mentimeter

We have a filing fee calculator via excel

n/a

calculate manually

N/A WA does not require fees

We read thru the GI in SERFF and calculate the fees, we sometimes get peer review to make sure we have them correct and larger filings.

We use the general instructions in SERFF as well as an excel sheet that was developed based on those instructions with examples for different filing types.

General Instructions in SERFF

Using general instructions or ICC's form which lists out the state fees.

I use General Instructions in SERFF

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What resources do you use to calculate/verify state fees?

54 Answers

Mentimeter

Refer to SERFF General Instructions. For Compact filings, we use the filing fee calculator to provide them for us.

n/a

Refer to the General Instruction in SERFF

I use the information on SERFF.

also a macro driven calculator

Generally via SERFF state requirements or by what has been paid in the past.

SERFF General Instructions/ISO State Filing Handbook/Calculate by hand

Filing Fee Requirements in SERFF & Various Filing Handbooks

no fees for Oregon. We are a retaliatory state. so would be based on how much the company sells.

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What resources do you use to calculate/verify state fees?

54 Answers

Mentimeter

excel spreadsheet based off of available resources such as the General Instructions

We have internal documents created that include filing fees for each state pulled from SERFF instructions and then use calculator to add up fees, if needed.

General instructions and calculate in SERFF

N/A

We have used excel for new associates when fees are based off of domicile state to help assist the filer with submitting the appropriate fee.

Mainly general instructions in SERFF.

Calculated manually and peer reviewed for some states

We built our own filing guide by state with fees for Rate/Rule/Form filings and how to calculate.

NAIC Retaliatory Guide

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What resources do you use to calculate/verify state fees?

54 Answers

Mentimeter

Preprinted word doc with appropriate state fees

MS Office Calculator

general instructions in SERFF, state Filing Fee Wizard, mozart

As a regulator we use the Form number count on the Form Schedule tab and multiply times the fee to be sure correct fees have been submitted. Would be nice if SERFF could do the check automatically.

na

DOI objections then approvals.

Perhaps a list of filings with open objections that need to be resolved

Filings where companies have responded to objections, sent messages, attached new documents or made some type of change to the filing.

New messages, filings, objection responses

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User Dashboards

What is a landing page?
What is a widget library?

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What information do you want to see on your dashboard?

90 Answers

Mentimeter

messages from the state	messages	SERFF Messages
Objections	Receive date	Approvals, objections, notes to filer
messages	Messages	Reminders, new assigned filings

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What information do you want to see on your dashboard?

90 Answers

Mentimeter

If I have any new messages, if I need to take action on the filing

State Tracking Number

Responses to objections/workfolder on current filings.

Messages; Intake Filings

New filings, new messages or responses

new objections, new approvals, what's due today

Response due dates

Messages

objections

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What information do you want to see on your dashboard?

90 Answers

Mentimeter

SERFF Messages - Reminders

Objections, approvals or any other type of communication from the state

Any new objections or approvals that have been issued.

SERFF Status

Objections

Regulator - Pending Filings, Responses to Objections, PSU requests

SERFF messages, objections, notes to filers

All messages, particularly new messages

SERFF Messages, state objections

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What information do you want to see on your dashboard?

90 Answers

Mentimeter

objection response due dates

Filing Submissions & approvals

Personal Draft Filings (Not including ones I am a user on)

Line of Insurance

Objections, state guidance

Service bulletins... System outage notices... Latest Tips & Tricks maybe!

Pending filings and their status

Filing Type

New messages

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What information do you want to see on your dashboard?

90 Answers

Mentimeter

Name of the filing, form numbers, states filed (or ICC), current status.

Deem Dates

Filings that are nearing certain ages or deem dates

#1 Objections; #2 Note to Filer; #3 Filing Approvals

Filing counts in different categories (responses, new filings, etc.)

a list of all my project numbers/company tracking numbers by status

We need to see all the messages, with the ability like we have now, to customize what messages we need to see.

Objection Due dates, Number of filings open, pending objection, Pending messages, approvals

New objectionsNew dispositionsMessages & Notessummary of filing based on filing number ie 10 approved, 5 pending, etc

56

What information do you want to see on your dashboard?

90 Answers

Mentimeter

Messages

TOI & Sub-TOI

alerts, messages, can go to worklist or assigned filings from there

Search

Objection Response Due Dates

It would depend on roles - managers would want to see filings and status, reviewers would want to see new responses/actions on their active files

My open filings and all changes in status.

A queue of my filings and their status changes.

Project name

56

What information do you want to see on your dashboard?

90 Answers

Mentimeter

objection responses pending review; reminders

New objection letters, Objection Letters with responses due that day, Approvals/Acknowledgments, Notes to Filer, Post Submission Updates accepted (unless those are going away with new SERFF).

Status updates, such as approvals, objections, notes to filer etc.

Objections

open filings

New filings

Link to the known issues list.

Upcoming objection due dates

Approvals, objections, notes For objections it would be nice to have the respond by date on the messages - so you don't have to go inside the filing to find it.

56

What information do you want to see on your dashboard?

90 Answers

Mentimeter

My Workfolder, Intake, Message Center

DOI Objections then approvals.

Assigned filings, Notes to Reviewer, Filing Amendments.

MessagesOpen filings for the team Objections and Objection due dates

messages/responses on letters, intake filings, filings reaching deemer date

Visible due dates for objections

Seeing all messages, sets out day, how many approvals to process, how many objections need to be processed, this sets our day most of the time.

Note to Filer

Open filings by state.

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What information do you want to see on your dashboard?

90 Answers

Mentimeter

objection due dates, list of active filings

Filing objection responses that are due within the week (or due by x date)

Oldest personal lines P&C filings

Intake for Admins

Objection due dates!

Draft filings

How many filings assigned to certain users and data about those filings (status, age)

Widgets will be unique to role. What a filer and manager will want to see are likely different. As a manager, I would like to see the number of pending filing and pending objections by filer.

Pending filing and industry responses that are nearing deemer due dates

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What information do you want to see on your dashboard?

90 Answers

Mentimeter

If I am a product manager, would like to be able to customize by project name, so I can follow that filing.

Activity feed of latest updates maybe?

Name of the filing, form numbers, states filed (or ICC), current status, objection due dates and how may days it has been since submission. Objections due and in the order of when due

The manager view would be helpful

Also objection responses due in x number of days.

Objection responses that are due that day and the next day. Filings that were approved in the last two days.

SERFF Tracking Number

Open filings assigned to me and status. Objection responses that have come in. Objection responses that are due/past due. Management view of open filings by reviewer and status.

Also the filing queue should include filters and respond by dates for active objection letters and notification of a new notes.

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