# Oracle Insurance Compliance Tracker

# User Guide

## Property and Casualty

version 6.8.2

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# Contents

# Chapter 1

# Overview

Welcome to the Tracker User Guide for Life and Health users.

This chapter describes:

# Tracker

Tracker is compliance automation software that automates and accelerates the state filing processes.

Tracker's filing automation includes:

- Ability to manage filings in a centralized repository providing a single point of access to compile and store all documentation.
- Ability to access a wide range of management and production reports to view filings, rates, advertisements, or forms, and monitor productivity and speed to market.
- Ability to record and monitor a filing's history through customizable activities.

Tracker provides the only third party direct integration with SERFF, (the System for Electronic Rate and Form Filings). Tracker leverages and extends SERFF. It enables carriers to further accelerate speed to market by automating the product development and state filing preparation process and utilize SERFF for electronic filings with the Departments of Insurance. Tracker provides a quicker way to get your filings to the Departments of Insurance utilizing a start to finish process.

# The Tracker Modules

Tracker the following interrelated modules:


- *Filing Module* on page 9
- *Reports* on page 11
- *Administration* on page 11
- *Regulatory Specialist* on page 11


## Filing Module

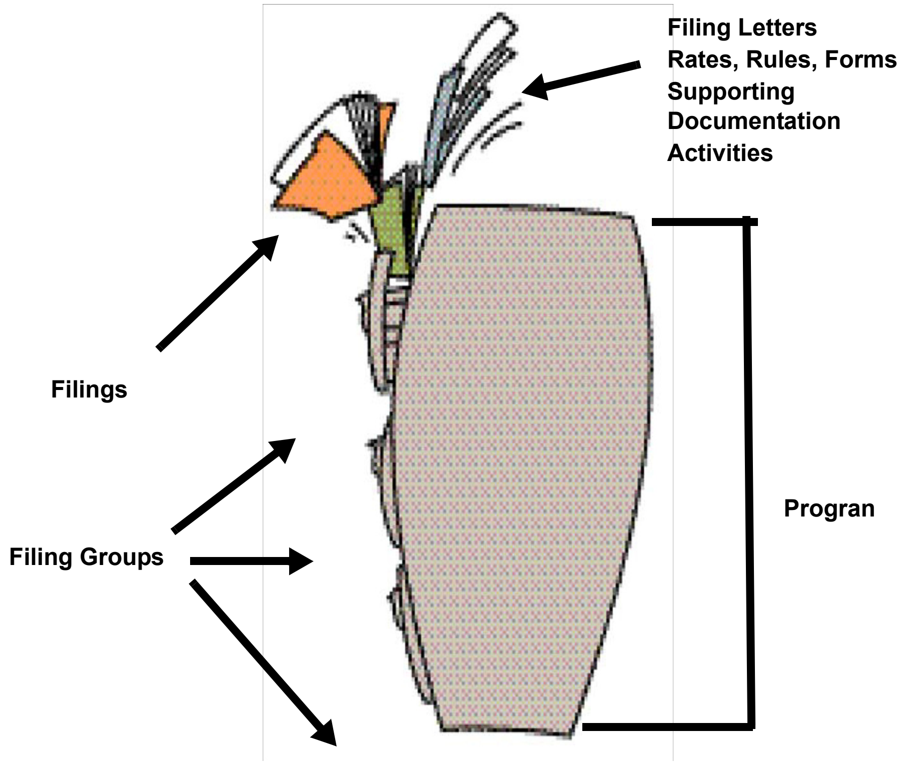
The Filing Module is comprised of three levels in which you can create, store and track filing submissions to the Departments of Insurance. These levels are:

- the Top level
- the Filing Group level
- the Filing level

The Top level allows you to select the products that you want to work with and identifies a filing at its broadest level as a part of one of your company's overall insurance products. The second level, called the Filing Group, stores high-level information regarding a group of related filings that are part of that product. The third level, called the Filing level, stores individual filings within a filing group.

Individual filings are classified by the State, Line of Business, Company and filing content (form, rate, advertisement) with which they are related. There may be multiple filings within a single filing group and multiple filing groups within a single product.

Imagine a filing cabinet where the cabinet is identified as the product you are working with. The drawers in this cabinet are the filing groups that store high level information about a group of related filings. In each drawer you would store individual file folders that can represent the filings classified by State, Line of Business, Company and filing content.




Finding a particular filing record is both quick and easy. When you first log in to Tracker, the Top level allows you to specify a product, and to view a list of all the filing groups within that product. You can then select a filing group and move to the next level — the Filing Group level. Here you can view a list of all the filings within that particular filing group. You can then select a filing and move to the third level — the Filing level. Here you can view detailed information pertaining to that filing alone.

Additional **My Filings** tabs, found at the Top level and Filing Group level of the system, organize your Tracker filings further by listing the filings specific to you alone. They can even be filtered to show only filings of a particular status, or only filings showing a suspense date (indicating a pending activity), so that you can see immediately what you need to do, and where to find it.

For more information, see:


- *Programs and Filing Groups* on page 95
- *Working with Filings* on page 105
- *Working with Common Filing Tasks* on page 197
- *Working with Activities* on page 203
- *Understanding Filing Letters* on page 341

The publication section of the system (accessible via the **View** menu) stores all of the information about the publication you receive and refer to in one well-organized place. Here you can view detailed information about a single publication record, or browse through your publication records to locate the information you need.

publication such as bulletins, regulations, circular letters, and advance and approved laws issued by the various departments of insurance, can be entered into Tracker as they are received by your company to track state insurance changes that impact your products and practices. Such publication can be linked to each other and they can also be linked to related filings which might be necessary to comply with the publication.

See *Working with publication* on page 349 for more information.

## Reports

Tracker has a robust reporting module, allowing users, managers and administrators to generate a number of reports to meet a variety of needs.

The main Reports module in Tracker is divided into three categories: Status, Historical and Management Reports.

Other reports in Tracker are located in the Admin Menu (available only to Tracker administrators).

For more information, see:

- *Searching, Reporting, and Filing Summary* on page 375
- *Administrative Reports* on page 81

## Administration

You use the Administration module to configure Tracker. This module includes:

- *System Defaults* on page 31
- *Security Access Levels* on page 39, including user security
- *Company Information* on page 27
- *User Profiles* on page 52
- *Custom Tables* on page 57

See *The Administration Module* on page 13 for more information.

## Regulatory Specialist

Regulatory Specialist provides access to SERFF information and General Instructions. It also provides a database where you can maintain your own set of contacts and addresses at the Departments of Insurance, and a set of custom state-specific information.

See *Working with the Regulatory Specialist* on page 363.

## SERFF Integration

Tracker is fully integrated with SERFF (System for Electronic Rate and Form Filing) a Web-based filing service maintained by the NAIC. Instead of having to log on to the SERFF application to submit and manage your filings, you only need to use Tracker to submit and manage all aspects of your SERFF filings. All communication between the state Departments of Insurance (DOI) is contained and managed within Tracker.

### Help with SERFF Functionality

If you are having problems with submitting SERFF filings in Tracker, please contact Customer Support. Please *do not* contact the NAIC or the state DOI directly because they will not be able to help you with any issues related to SERFF functionality in Tracker.

## Using a DMS with Tracker

Your system administrator may have configured Tracker to allow you to store filing attachments (forms, rates, and advertisements) in a document management system like Oracle IDM. Oracle IDM is a document management system where you and other Tracker users can open and save certain files.

If you are configured to use a DMS, a **Browse DMS** button will be included on specific screens that appear when working with attachments.

**Note** When you browse the DMS from Tracker, the last folder that was accessed is displayed. This includes the last folder that was accessed when a filing is generated and moved to the Filing Package tab.

## Tracker Training

Tracker training courses are offered through Oracle Consulting. Training is usually done in your office after the administrative setup of Tracker has been completed. Having training *after* setup allows you to train your employees using *your* recommended setup of Tracker.

Training courses are designed for your segment of the insurance industry. Both new and experienced Filing Analysts are taught every facet of Tracker and how to use Tracker for every step of a filing.

For more information on Tracker training, please contact Customer Support.

# Documentation

The following topics help you get the most of the documentation for this product:


- *Accessibility* on page 13
- *Related Documents* on page 13
- *Conventions* on page 13


## Accessibility

### Accessibility of Links to External Web Sites in Documentation

This documentation may contain links to Web sites of other companies or organizations that Oracle does not own or control. Oracle neither evaluates nor makes any representations regarding the accessibility of these Web sites.

### TTY Access to Oracle Support Services

Oracle provides dedicated Text Telephone (TTY) access to Oracle Support Services within the United States of America 24 hours a day, seven days a week. For TTY support, call 800.446.2398.

## Related Documents

For more information, refer to the following Oracle resources:

- The *Tracker User Guide* contains overviews, step-by-step procedures and descriptions of the screens and fields.
- The *Tracker Online Help* contains the same information as the User Guide, but in an online help format with a search tool, an index and a table of contents.
- The *Tracker Release Notes* include general product information, product enhancements and new features.
- The *Tracker Installation Guides* contain system requirements and detailed installation and configuration information. Guides are supplied for new installations and upgrades, and for both Oracle and SQL environments.
- The *Tracker Technical Guide* is for system administrators and includes information about the optional DMS, maintaining DMS components, log files, error levels and Tracker Monitor, and troubleshooting information.

## Conventions

The following text conventions are used in this document:

| Tag§ | Description§ |
|---|---|
| Bold§ | Microsoft Windows names, buttons, tabs and other screen elements are in bold, for example: Click Next.§ |
| Fonts§ | paths, URLs and code samples are in the Courier font, for example: *C:\Windows* § |
| Values§ | values that you need to enter or specify are indicated in the italicized Courier font, for example, *server_name*.§ |
| Optional§ | values that are optional are indicated with square brackets, for example [reserved].§ |

## Tips, Notes, Important Notes and Warnings

| Tag§ | Description§ |
|---|---|
| Note § | This tag contains special information and reminders§ |
| Important§ | This tag contains significant information about the use and understanding of the software.§ |
| Tip§ | A Tip provides a better way to use the software§ |
| Warning§ | This tag contains critical information that if ignored, may cause errors or result in the loss of information.§ |

## Dialog

“Dialog” is the term used to describe windows, screens and other types of user interface elements used to enable reciprocal communication or “dialog” between a computer and its user. It may communicate information to the user, prompt the user for a response, or both.

# Using the Online Help

This section describes how to use the Online Help and includes information about these topics:


- *The Contents of the Online Help* on page 15
- *Searching the Help* on page 15
- *Using the Help Index* on page 16
- *Using the Help Table of Contents* on page 16
- *Navigating the Help* on page 16
- *Printing a Help Topic* on page 17


## The Contents of the Online Help

The Online Help contains the same contents as the related PDF document, but in an online Help format.

To open the Online Help, click the **Help** menu**.**

The Help is divided into two frames:

- the left frame displays the navigation tools: **Contents**, **Index** and **Search**
- the right frame contains the contents of each Help topic

There are different ways to find a Help topic:


- *Searching the Help* on page 15
- *Using the Help Index* on page 16
- *Using the Help Table of Contents* on page 16
- *Navigating the Help* on page 16


## Searching the Help

You can search the entire Help contents to find a specific topic.

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**Method: Search the Help**

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1. In the left pane of the Help, click the **Search** tab.
2. Enter the word(s) you want to search for, then click **Go!** or press Enter.
3. A list of Help topics is displayed in descending order by **Rank**. The Rank indicates how many times the word(s) you searched for appears in a Help topic. It can help indicate how relevant the topic may be in your search.

**Tip** Use specific words in your search, for example: model document. Avoid using plurals, for example, “sections,” because this may limit your search results.

## Using the Help Index

The Help **Index** contains a listing of all the Help topics in alphabetical order.

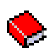
### Method: Use the Help Index

1. In the left pane of the Help, click the **Index** tab.
2. Click the letter that corresponds to the topic you are searching for. You cannot select a letter that is greyed out, because it contains no index entries.
3. A list of all index entries beginning with the letter you selected is displayed.
4. Scroll to the index entry of the topic you are searching for.
5. Click the topic to view its contents in the main body of the Help.

## Using the Help Table of Contents

When you open the Help, the **Contents** are displayed. The **Contents** contain main topics and their subtopics.

Each main topic appears as a book icon:



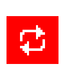
Each subtopic appears as a page icon:

Subtopics can also appear as book icons. In other words, books can appear within other books.

You can open a book by clicking a book icon or the text next to the book icon. This will expand the book and display the topics within that book.

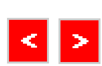
To close an open book, click the book icon. The book "collapses", hiding the topics within the book.

**Tip** When a Help topic is displayed, you can click the "Show in Contents" button to open the corresponding book that contains the displayed Help topic:



## Navigating the Help

To go to the next or previous Help topic in the **Contents**, use the Next and Previous buttons in the right pane of the Help:



To go to the next or previous topic that you have viewed, use the **Forward** and **Back** buttons in your Web Browser.

## Printing a Help Topic

You can print a Help topic in case you want to refer to it later.

### Method: Print a Help topic

1. Click the Print icon in the upper-right corner of the Help:

2. The Print dialog box is displayed.
3. Click **Print** to print the Help topic.

# Chapter 2

# The Administration Module

This chapter provides background information and complete instructions for using all of the features of the Administration menu. As the name implies, the Administration menu is your access point to Tracker's system-wide and user-specific settings. This is where the information specific to your company is entered and maintained in the Tracker system. This chapter is recommended reading for anyone involved in setting up or maintaining a Tracker system.

**Note** The **Admin** menu is available only to users whose security level provides access. It will not appear on the screen for users not designated to access it.

**Important** It is recommended that administrators limit access to this menu. Changes made to central system tables and records here can have a widespread impact throughout your Tracker system.

This chapter describes:

# Initial Setup

Because Tracker is designed to be highly flexible and to conform to the needs of your company, you need to perform customization on the following screens after completely installing Tracker before you allow users to begin working in it:

1. **System Defaults**: see *System Defaults* on page 21
2. **System Security**: see *Security Access Levels* on page 29
3. **Company Information**: see *Company Information* on page 33
4. **SERFF System Defaults**: see *SERFF Settings* on page 46
5. **User Profiles**: see *User Profiles* on page 58
6. **Custom Tables**: see *Custom Tables* on page 63

For some of the required information, you may need to contact your IT department.

**Note** Oracle Global Support can help you with the system setup process.

# System Defaults

This section describes how to define certain system default settings that will apply to every Tracker user. These settings are found on the **System Defaults** dialog. Access the **System Defaults** dialog by clicking **Admin** > **System Information** > **System Defaults**.

There are three tabs on the **System Defaults** dialog:


- *Settings* on page 21
- *Custom Field Labels* on page 25
- *RS Custom Field Labels* on page 27


## Settings

On this tab you can perform the following tasks:


- *Defining a Group Name* on page 21
- *Configuring the Display of Filings with Suspense Activities* on page 22
- *Displaying or Hiding Canadian Provinces* on page 23
- *Setting User ID and Password Authentication* on page 24


### Defining a Group Name

The field **Group Name** is included within the **System Defaults** tab. If this field is populated, Tracker will pass the value in this field to SERFF.

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**Method: Define a group name**

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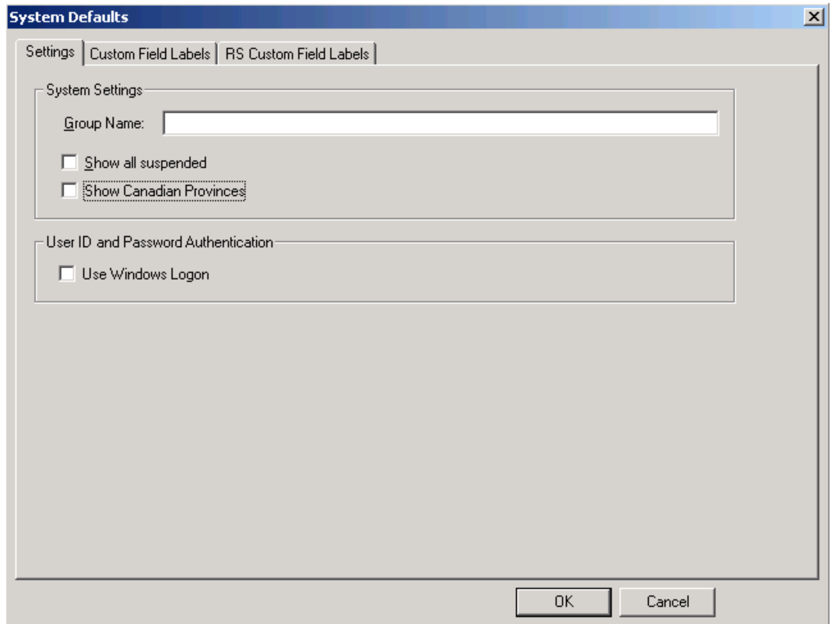
**1.** Select **Admin > System Information** > **System Defaults**.

The **System Defaults** dialog displays with the **Settings** tab displayed.




**2.** Enter the **Group Name**.

**3.** Click **OK**.

## Configuring the Display of Filings with Suspense Activities

Using the **Show all suspended** check box, you can set up Tracker to always display, in the **My Filings** and **Filings** tabs, one of the following sets of filings with suspense activities:

- filings with suspense activities that require action, regardless of date

  *OR*

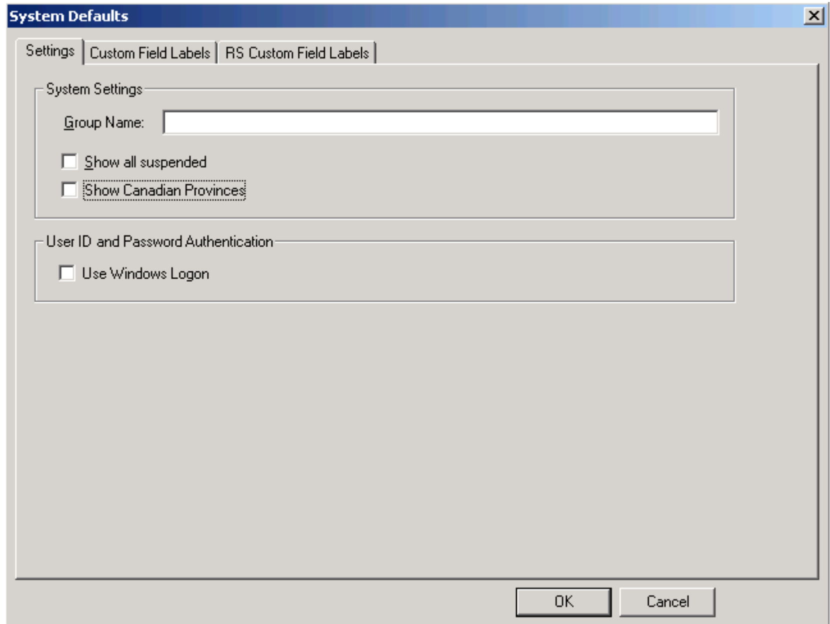
- filings with suspense activities that require action, up to the current date

The second option is the default setting when Tracker is first installed.

### Method: Configure the display of filings with suspense activities

**1.** Select **Admin > System Information** > **System Defaults**.

The **System Defaults** dialog displays with the **Settings** tab displayed.




2. To show in the **My Filings** and **Filings** tabs filings with suspense activities regardless of date that require action, select the **Show all suspended** check box.

   *OR*

   To show in the **My Filings** and **Filings** tabs only those filings with suspense activities up to the current date that require action, clear the **Show all suspended** check box.

3. Click **OK** to save the settings.

## Displaying or Hiding Canadian Provinces

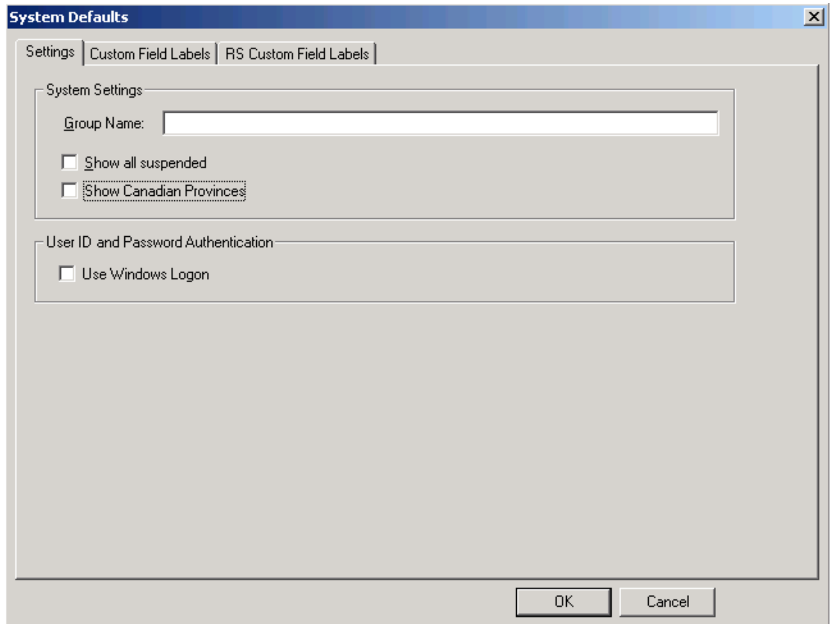
Tracker allows you to create, submit, and track filings for Canadian provinces. There is a check box in **System Defaults** which allows you to specify if Canadian provinces appear in Tracker. By default, this check box is not selected. If you need to create filings for Canadian provinces, you will need to select this check box.

If provinces are displayed, then provinces are available within most parts of Tracker just as states are. This means they are available when companies are being created in Tracker, and within filings. However, note that no regulatory information on provincial filings is maintained within Tracker.

### Method: Display or hide Canadian provinces

1. Select **Admin > System Information** > **System Defaults**.

   The **System Defaults** dialog displays with the **Settings** tab displayed.




**2.** To display Canadian provinces, select **Show Canadian Provinces**.

**3.** To hide Canadian provinces, deselect **Show Canadian Provinces**.

**4.** Click **OK** to save your changes and close **System Defaults**.

## Setting User ID and Password Authentication

You can select a *Windows Authentication* option for the Tracker logon. With this option, a user's Windows ID and password are used to access Tracker. Users will no longer need a separate user ID and password for Tracker.

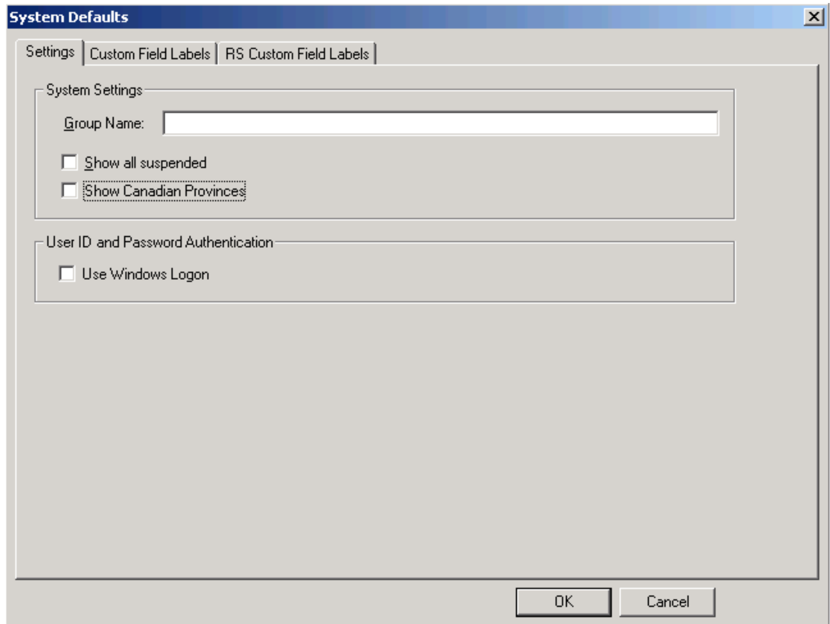
In addition to ease of use for users, the main benefit of this option is that your company can systematically enforce your password update policy, without any additional set up or configuration in Tracker.

By default, the Windows Authentication option is not enabled.

### Method: Enable Windows Authentication

**1.** Select **Admin > System Information** > **System Defaults**.

The **System Defaults** dialog displays with the **Settings** tab displayed.




2. Select the **Use Windows Logon** check box.

3. Click **OK** to save your changes and close **System Defaults**.

**Note** If you do not select Use Windows Logon, no password change will automatically occur or be enforced in Tracker. When a user changes their Windows password, it will not be passed intoTracker; the user's Tracker password would stay the same until changed. See Changing Your Tracker Login Password on page 103.

**Important** The logon setting applies to all Tracker users. A user cannot select their own logon preference. The logon setting selected at the Admin level controls which fields are then enabled on each user's profile.

## Custom Field Labels

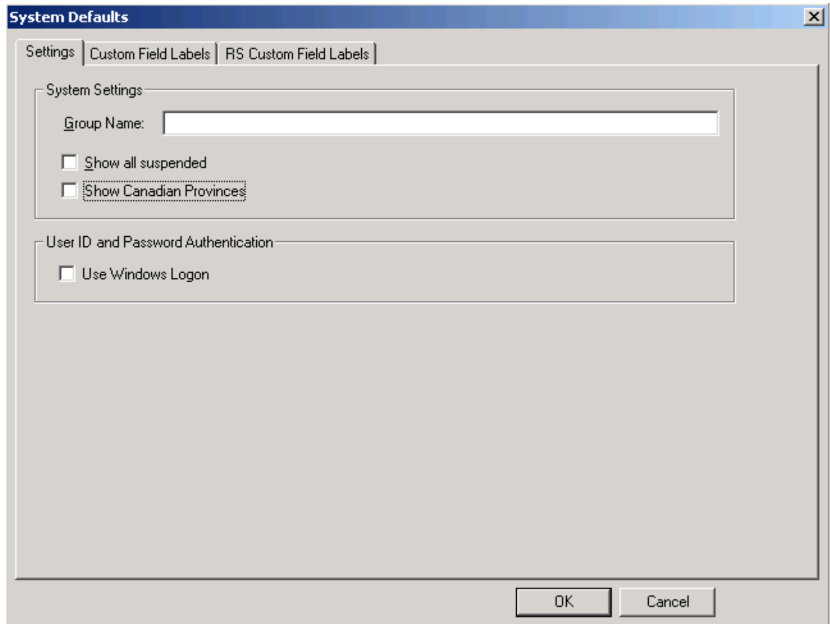
Custom fields allow you to capture and store additional information pertinent to your company and the way you perform filings.

You are able to change the label name of the custom fields to reflect the value captured in those fields. The value you enter for the custom field label is the text that will appear beside the corresponding custom field in Tracker. The custom field labels are organized according to where they are located in Tracker.

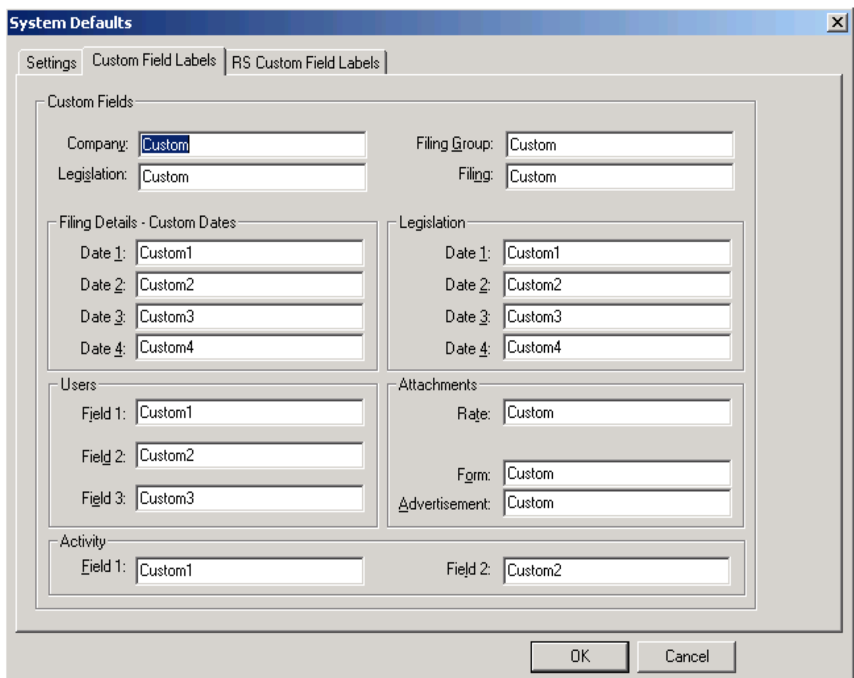
### Method: Define or edit custom field labels

1. Select **Admin > System Information** > **System Defaults**.

   The **System Defaults** dialog displays with the **Settings** tab displayed.

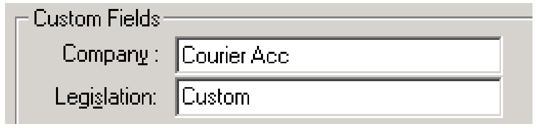


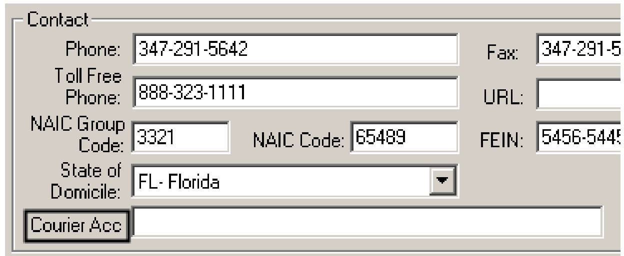

2. Click the **Custom Field Labels** tab.




Each field on the tab corresponds to custom fields in that part of the Tracker system. In each custom field box, enter the name that you would like to appear as the field label in that part of the system.

For example, to store your company's courier account number, enter a value of "Courier Acc" in **Company**. When you view the Company Information window, there will be a new field label of **Courier Acc**.




3. When finished, click **OK**.

**Note** You will have to log out of Tracker and log back in to see any changes made in the custom field labels at the Filing Group level.

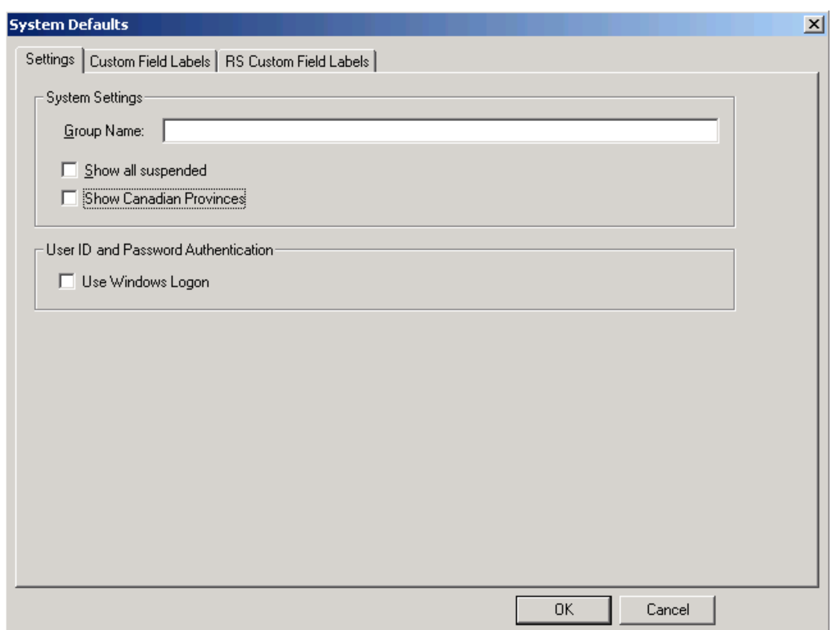
## RS Custom Field Labels

You can assign a custom name to the tab and to each of the free-format fields in the RS Custom Fields within the Regulatory Specialist.

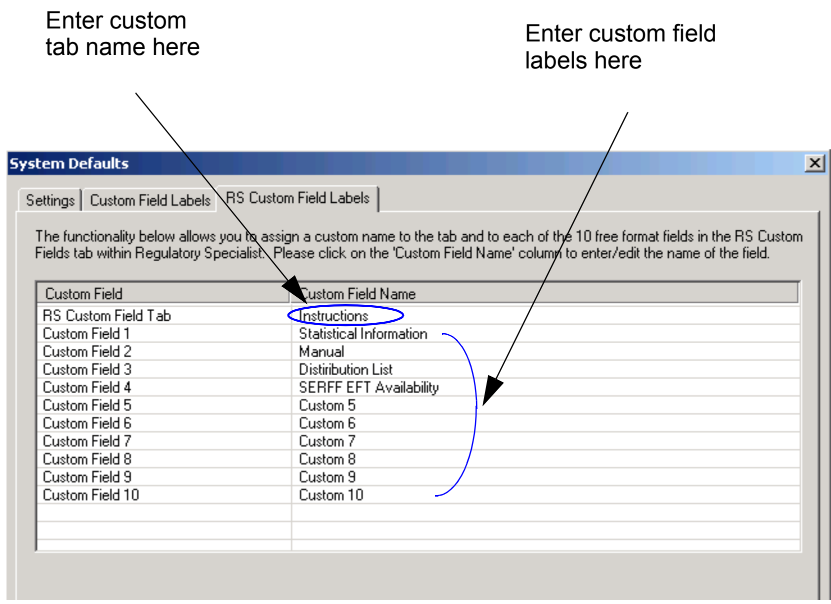
### Method: Change RS custom field labels

1. Select **Admin > System Information** > **System Defaults**.

   The **System Defaults** dialog displays with the **Settings** tab displayed.



**2.** Click the **RS Custom Field Labels** tab.




**3.** Make any necessary changes.

**4.** When finished, click **OK**.

For more information about these fields, see *RS Custom Fields* on page 368.

# Security Access Levels

Initially, you determine what functional user levels are required at your company location, and then assign various security settings for these user levels.

This section describes


- *Understanding Security Settings* on page 29
- *Configuring Security Access Levels* on page 29


## Understanding Security Settings

Each security access level has generic security settings and SERFF-specific security settings.

### Generic security settings

- **Read/View** filing data
- **Edit/Modify/Append** filing data
- **Add/New/Create** filing data
- **Delete/Erase** filing data
- **View administrative functions**
- **Perform administrative functions**
- **Remove from Filing Package** tab (activities)
- **Add/Edit content in Regulatory Specialist custom fields**

### SERFF-specific security settings

- **Delete My SERFF Messages** (from the SERFF messages tabs)
- **Delete All SERFF Messages** (from the SERFF messages tabs)
- Set **EFT Authority Level**

## Configuring Security Access Levels

Tracker employs a flexible security system that allows your company to customize each of 10 access levels to reflect the hierarchy of your organization. Each level can be configured to allow access to a given set of Tracker tasks, so that users can see and use only the functions necessary to them, streamlining the access and processes and enabling tight control of the filing process within your departments.

This section describes:


- *Defining Security Access Level Titles* on page 30
- *Defining Security Access Levels* on page 31
- *Assigning User Access Levels* on page 32

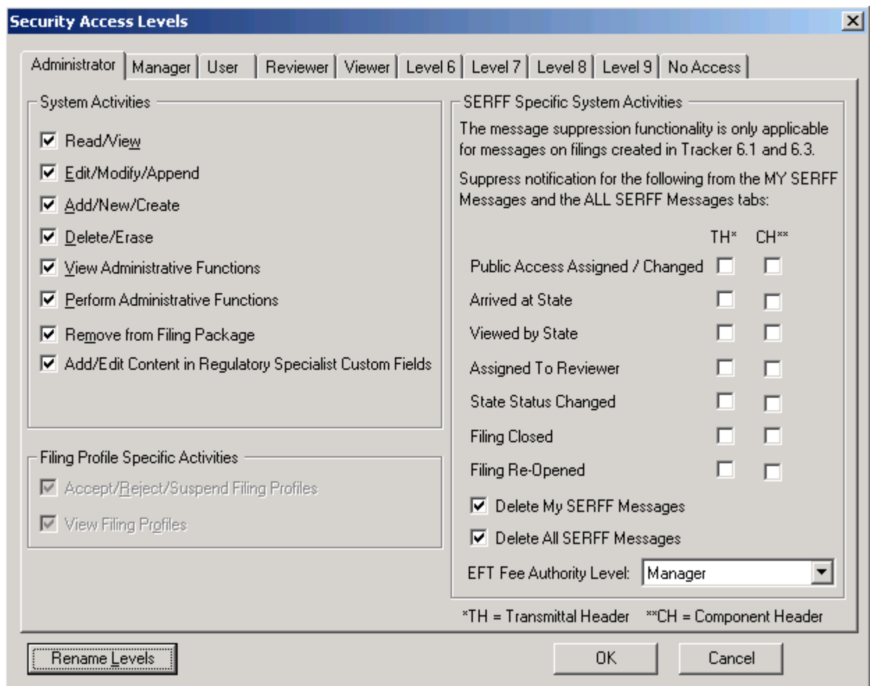
## Defining Security Access Level Titles

You can change the default access level titles to match titles used in your organization.

### Method: Define an access level title

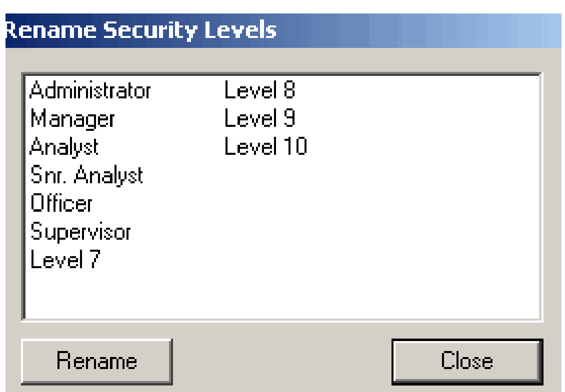
1. Select **Admin** > **System Information** > **System Security**.

   The **Security Access Levels** dialog displays.




2. Click **Rename Levels**.

   The **Rename Security Levels** dialog displays.




3. Click the title you want to rename and click **Rename**.
4. Type in the desired new level title and press **Enter**.

5. Repeat steps 3 and 4 to rename other security levels.
6. When finished, click **Close**.

   Your changes are saved.
7. Click **OK** to exit the Security Access Levels dialog.

## Defining Security Access Levels

For each access level, you can define which activities can be performed within Tracker.

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### Method: Define a security access level

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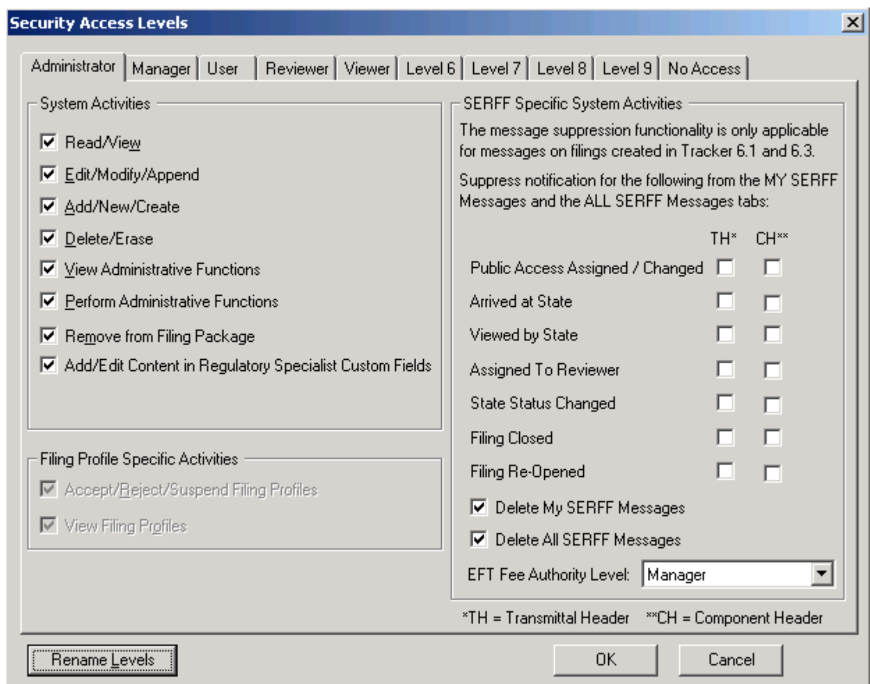
1. Select **Admin** > **System Information** > **System Security**.

   The **Security Access Levels** dialog displays.




2. Click the tab for the security access level for which you want to define permitted functions.
3. Select the check boxes beside all the functions you want this level of user to be able to perform.

**Note** As indicated in this dialog, message suppression functionality applies only to SERFF filings created in Tracker 6.1 and 6.3.

4. Repeat steps 2 and 3 for each security access level you have defined.

**5.** Click **OK** to save your information and exit the dialog box.

## Assigning User Access Levels

Users are assigned a specific security access level on their User Profile dialog screens. See *Adding New User Profiles* on page 58 for details.

# Company Information

This section describes:



## Understanding Company Information

The Company Information screens are where you enter all of the pertinent information about the companies for which your company prepares filings. There is a separate company information record for each company, office, or location. This information is divided into the following types, located on the corresponding tabs:

- **General** information, which includes basics such as address and company code
- **Authority** information, which includes the states and lines of business in which each company is licensed to sell insurance
- **Resources**, which lists the names of personnel occupying various positions within the company

**Important** All company information must be entered into the Tracker system during the initial system set up. You cannot begin to create and manage filings within Tracker until this information is in place.

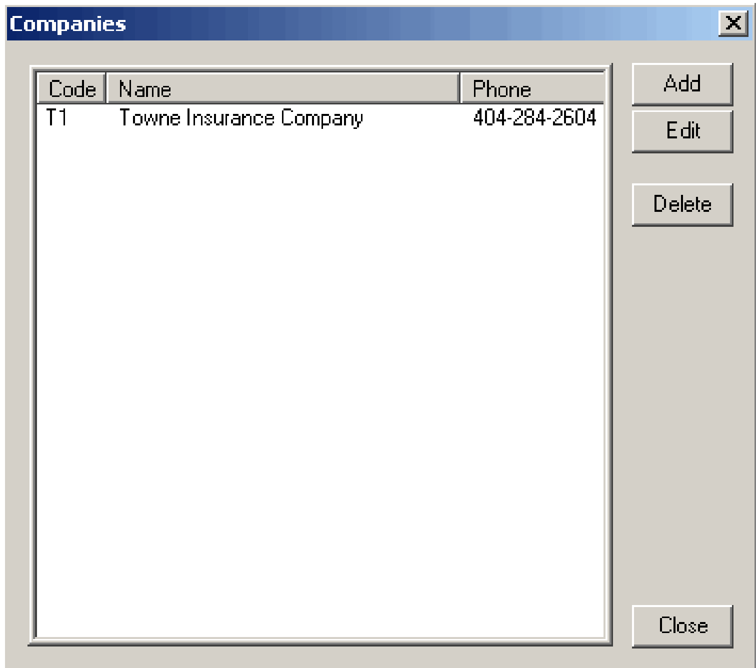
## Adding New Companies

You must add at least one company before you can start working with filing groups and filings.

### Method: Add a new company

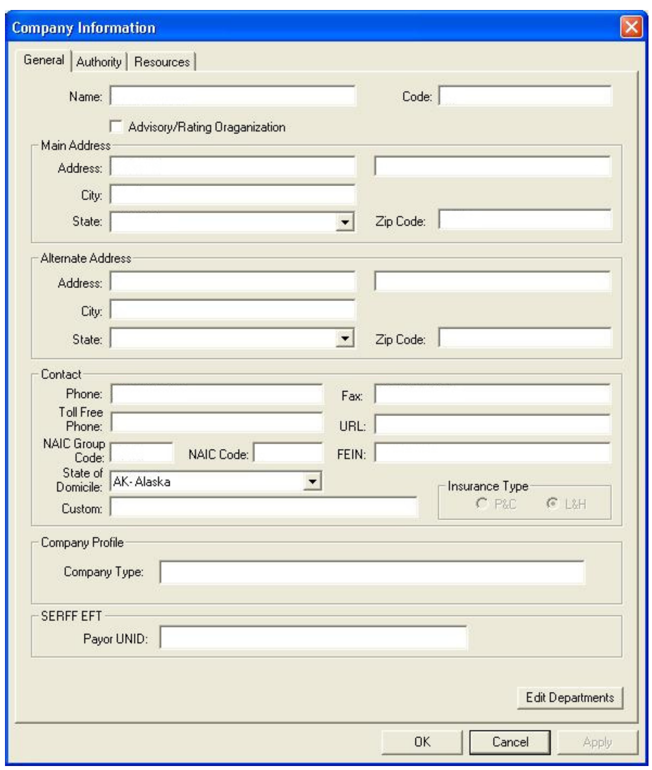
1. Select **Admin** > **Company Information**.

   The **Companies** dialog displays.




**2.** Click **Add**.

The **Company Information** dialog displays.



3. Enter **General Information** and **Authority Information**. (See detailed directions in *Entering or Editing General Information for Companies* on page 35 and *Entering or Editing Authority Information for Companies* on page 38).
4. Assign **Resources.** (See detailed instructions in *Enter resource information for a new company* on page 42).
5. Click **OK** to save your data and return to **Companies**.
6. Repeat steps 2 to 5 to add additional companies.
7. When finished, click **Close**.

## Understanding Company Codes

Each company you file for must be assigned a unique two-character code for easy identification within Tracker. When you enter a new company into the system, be sure to choose a new code which you have not already used to identify another company. Any combination of numbers and letters in the two-digit code is acceptable (with the exception of the reserved system code (CG).

With the exception of advisory/rating organizations, each company must have an NAIC Code. Tracker ensures that the code entered 5 digits long and that you have not already used the same NAIC Code to identify another company.

## Entering or Editing General Information for Companies

This section provides detailed directions for entering general information on a new company or updating the general information for an existing company.

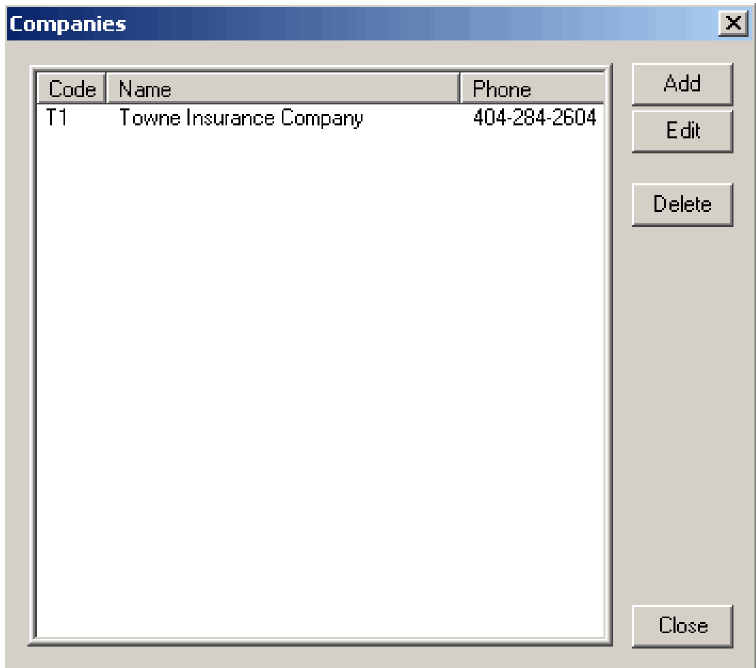
---

### Method: Enter or edit general information for a company

---

1. Select **Admin** > **Company Information**.

   The **Companies** dialog displays.




2. Click **Add** to create a new company, or select an existing company and click **Edit**.
3. On the **General** tab of the Company Information dialog, enter the **Name** of the company and a unique, two-digit **Company Code**.
4. Select the **Advisory/Rating Organization** check box if this company is an advisory or rating organization. (Some states allow only advisory/rating organizations to use EFT payments. See Regulatory Specialist, SERFF tab, General subtab on page 366 for details.)

**Note** For a Company Group filing, in order for EFT to be an option, the Advisory/Rating Organization check box on the General tab of the Company Information dialog would have to be selected for all of the companies in the Company Group. If the Advisory/ Rating Organization check box is not selected for any of the companies in the Company Group, then Check is the only option available for filing fees – EFT will not be an option.

5. Enter the company’s **Main Address**, and then the company’s secondary or **Alternate Address** if applicable.
6. Enter **Contact** information for the company:
   - Enter company’s main **Phone Number**, **Toll-Free Phone Number**, **Fax Number**, and **URL**. (Formatting rules apply.)
   - Enter the company’s **NAIC Group Code** and the **NAIC Code** (the NAIC company code), if applicable.

**Note** The **NAIC Code** field may be blank for Advisory/Rating organizations, but companies that are not Advisory/Rating organizations must enter a value for **NAIC Code**.

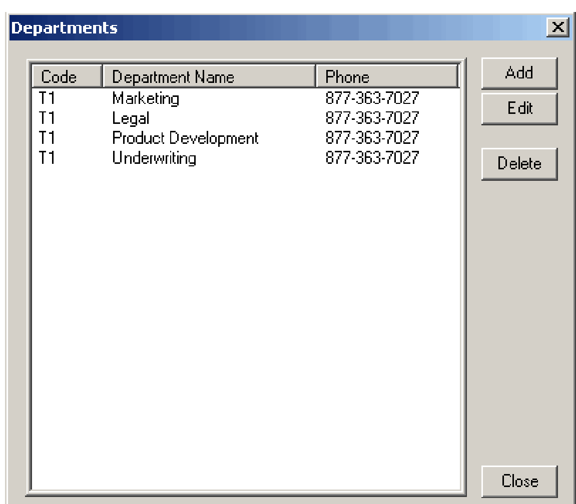
- Enter the company's **State of Domicile**.
- Enter the company's Federal Employer Identification Number (**FEIN**). The correct format is NN-NNNNNNN, where N is a numerical digit.

**Note** If more than one company shares the same FEIN, you will experience problems if you try to submit a Company Group EFT filing or a Company Group rate filing that includes companies that share the same FEIN. The filing will be rejected by SERFF or have unpredictable results.

7. Enter **Company Type**. If populated, the field will be passed to SERFF on each filing. This field can be used to capture information about what type of insurance a company is licensed to write. Typical values include Property & Casualty, Life, Health, and so on.
8. If you have registered with the NAIC to pay filing fees by EFT for this company, enter the UNID number assigned by the NAIC in **Payer UNID**.
9. If you want this company to be the default company to which the EFT filing fee payment is allocated for company group filings in states which charge the filing fee on a per company basis, select the Primary EFT check box.

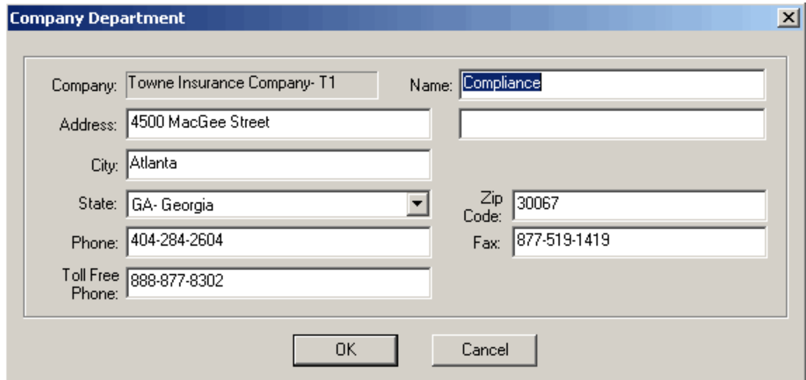
   If you want to allocate the filing fee across several companies in such filings, leave this check box cleared.
10. Click **Edit Departments**.

    The **Departments** dialog displays.




11. To create a new department, click **Add**, or select an existing department and click **Edit**.

The **Company Department** dialog displays.




**12.** Enter the **Name** of this department. Modify any other information as required.

**13.** Click **OK** to save the department information.

**14.** Repeat steps 11 to 13 until you have made all required additions or modifications.

**15.** When finished, click **Close**.

**16.** Click **Apply** to save the information you have just entered.

**17.** If finished entering information, click **OK**, then click **Close**.

*OR*

To continue setting up a new company, select the **Authority** tab, and proceed to enter authority information. (See *Entering or Editing Authority Information for Companies* on page 38.)

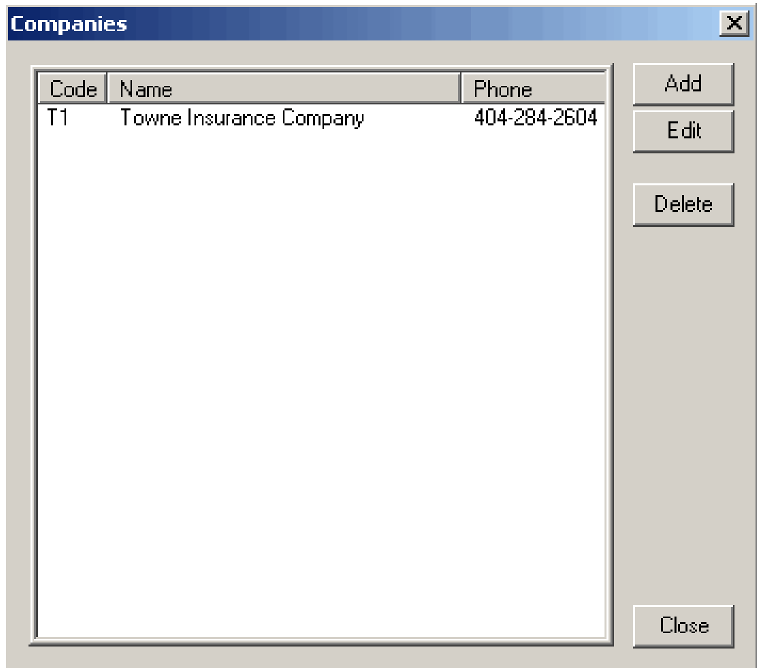
## Entering or Editing Authority Information for Companies

This section provides detailed instructions for entering authority information when adding a new company. This method can also be used to update the authority information for an existing company.

### Method: Enter authority information for a new company

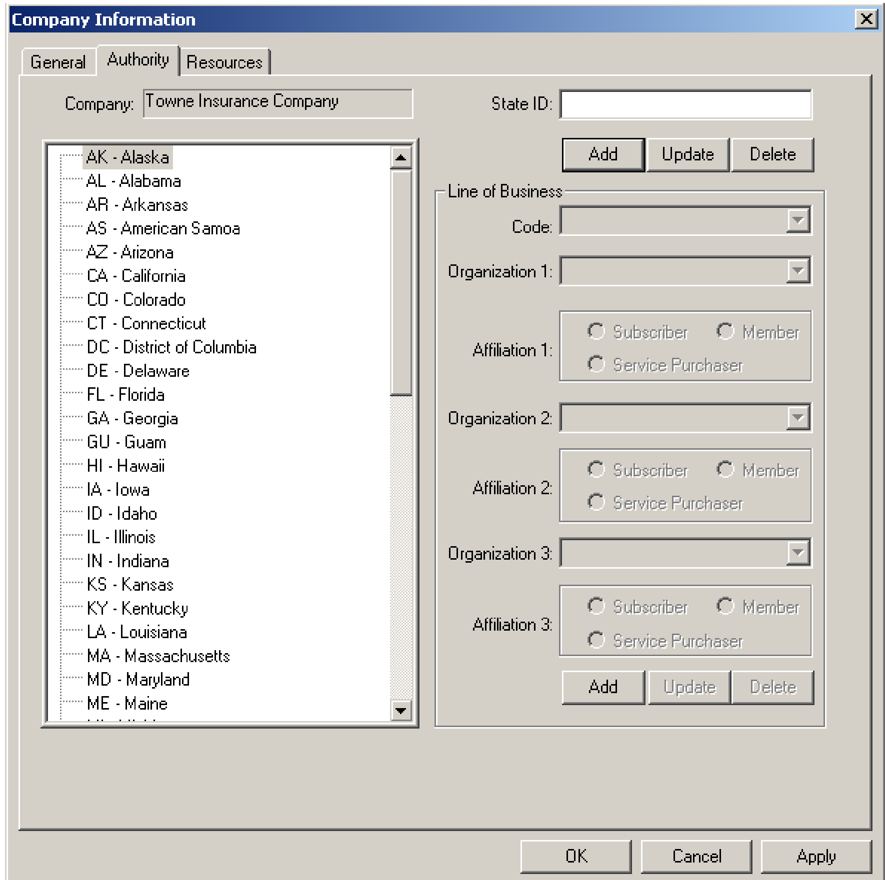
**1.** Select **Admin** > **Company Information**.

The **Companies** dialog displays.



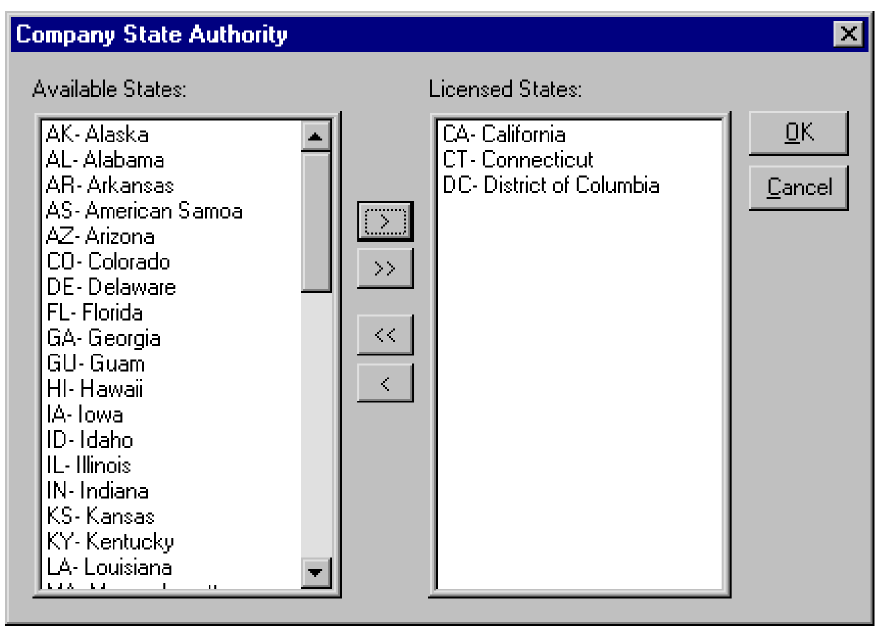

2. Click **Add** to create a new company, or select an existing company and click **Edit**.
3. Click the **Authority** tab.

   The **Authority** tab displays.




4. Click **Add** (located below **State ID**).

The **Company State Authority** dialog displays.



5. On the list of **Available States**, select the states in which this company is licensed to sell insurance and move them to the **Licensed States** list by using the right arrow button.

   Clicking on the double arrows will move all entries.

6. When all of the states for which the company is licensed appear in the **Licensed States** list field, click **OK** to return to the **Authority** tab.

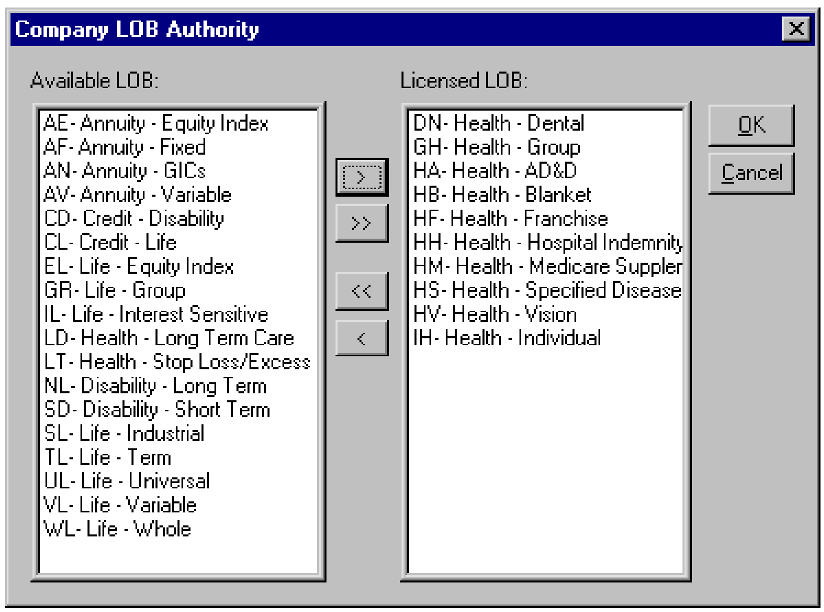
   The selected licensed states will now appear in the list field at the left of the tab.

7. To enter or modify the **State ID** for a state, click the state in the list, enter the state identification code for this company in the text box, and click **Update**.

   If entered, the State ID will be sent to SERFF.

8. To add LOBs to a state for this company, click the **Add** button located near the bottom of the tab.

9. The **Company LOB Authority** dialog displays.




10. From the **Available LOB** list, select the lines of business for which this company is licensed to sell insurance in this state and move them to the **Licensed LOB** list using the right arrow button.

    Clicking on the double arrows will move all entries.

11. When all of the lines of business for which the company is licensed in this state appear in the **Licensed LOBs** list field, click **OK** to return to the **Authority** tab.

    The selected licensed lines of business will now appear attached to the selected state in the list on the left.

12. Repeat steps 7 through 11 for each state listed.

13. To remove a state (and all lines of business attached to it) from the list, select the state and click **Delete.** Click **Yes** to confirm.
14. When finished, click **OK** to save your information, and then click **Close**.

## Entering or Editing Resource Information for Companies

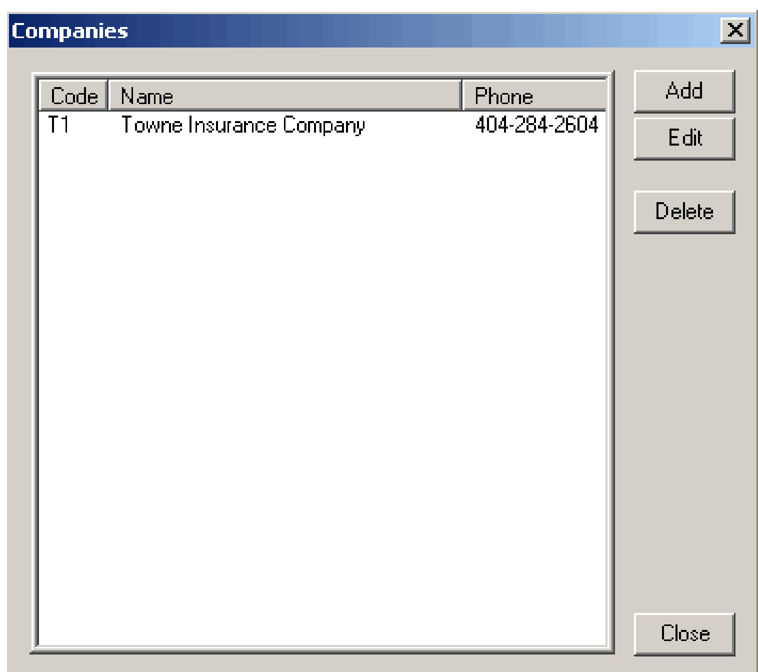
This section provides detailed instructions for entering resource information when adding a new company. This method can also be used to update the resource information for an existing company.

**Note** Resource information can be added to a company record only after user profiles have been entered into the system. See *User Profiles* on page 58.

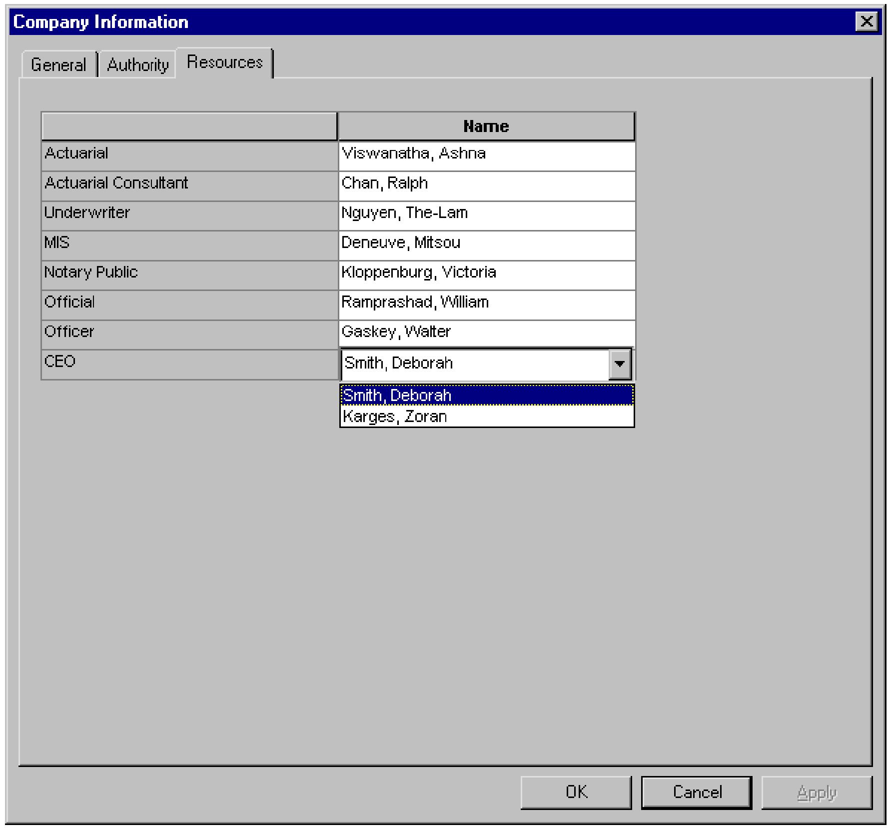
### Method: Enter resource information for a new company

1. Select **Admin** > **Company Information**.

   The **Companies** dialog displays.




2. Select a company and click **Edit**.
3. Click the **Resources** tab.




4. For each resource applicable to this company, select a name from the related drop-down list.

5. Click **OK** to save your resource information and exit **Company Information**.

## Deleting Companies

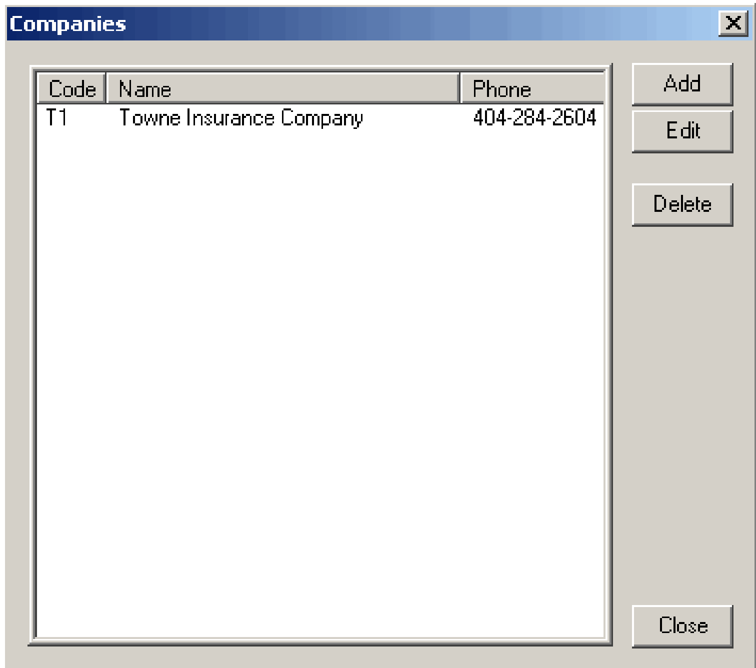
You can delete an existing company, as long as it does not have any filings associated with it.

**Important** Companies already associated with filings should never be deleted, as this might cause record tracking difficulties. Contact Oracle Global Support if you have any questions.

### Method: Delete a company

1. Select **Admin** > **Company Information**.

   The **Companies** dialog displays.




2. Click the company you want to delete.
3. Click **Delete**.

   If this company does not have any filings associated with it, a confirmation dialog displays.
4. Click **Yes** to confirm the deletion (or **No** to cancel).

   The updated **Companies** list displays.
5. Repeat steps 2 to 4 for other companies you want to delete.
6. When finished, click **Close**.

**Note** If you attempt to delete a company that is in use (that is, it already has filings attached to it), a message displays:

*Unable to delete this company; it may be in use.*

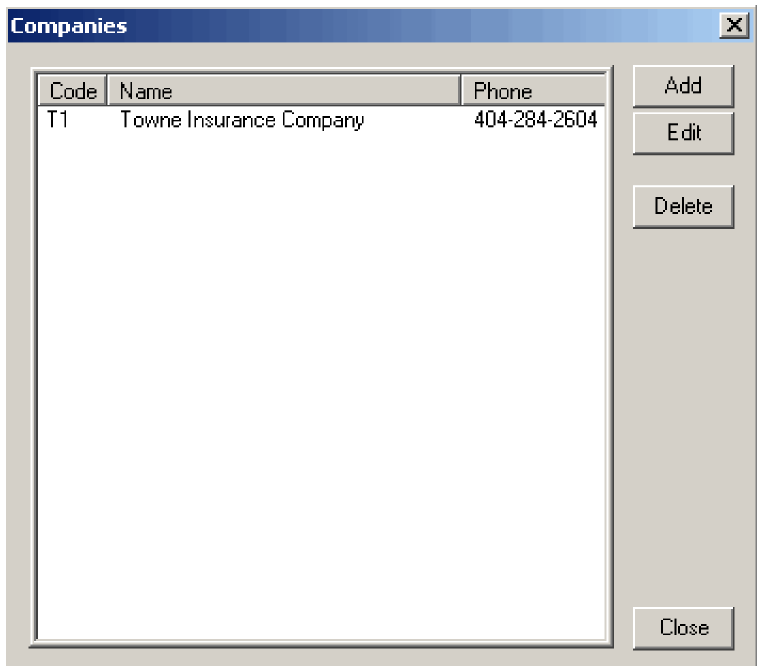
## Accessing Existing Company Information Records

You can access existing company information records to review them.

### Method: Access an existing company information record

1. Select **Admin** > **Company Information**.

   The **Companies** dialog displays.




2. Select a company from the list and click Edit, or double-click the company you want to access.

   The **Company Information** dialog displays.

3. When finished examining the company information, click **Cancel**, then click **Close**.

# SERFF Settings

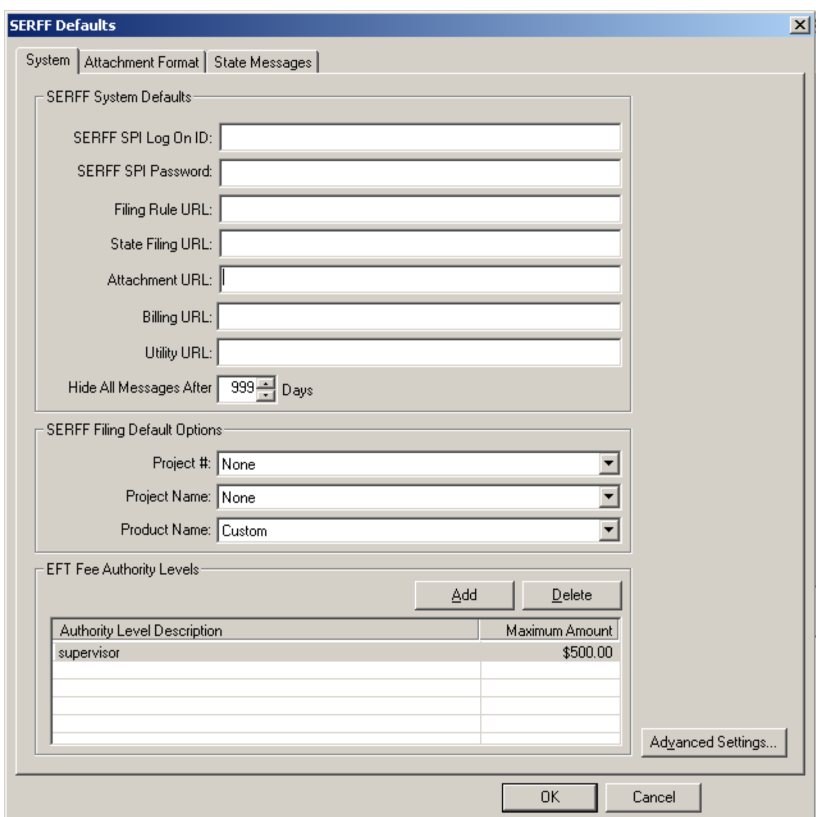
In order to submit filings using SERFF, the Tracker administrator must configure the Tracker-to-SERFF communication settings. Certain information is mandatory for use with SERFF. When you first start Tracker, these **SERFF System Defaults** fields will be blank.

On the **SERFF Defaults** dialog there are three tabs. The **System** tab and the **Attachment Format** tab are used to control the default settings for Tracker-to-SERFF communications. The third tab, **State Messages**, controls the display of state-generated messages. The following sections describe the settings available and how to configure the information within these tabs:

- *Understanding the SERFF System Defaults* on page 46
- *Configuring SERFF System Defaults and SERFF Filing Default Options* on page 48
- *Setting EFT Fee Authority Levels* on page 50
- *Configuring SERFF Schedule Item Attachment Formats* on page 53
- *Configuring Display of State Messages* on page 65

## Understanding the SERFF System Defaults

The following section describes the fields on the **SERFF Defaults** dialog.



### SERFF SPI Log On ID and SERFF SPI Password

When you have fully registered with the NAIC and have activated your SERFF account there, the NAIC will assign you a **SERFF SPI Log On ID** and **Password**. This combination of log on ID and password is unique to your organization, and you will be assigned only one log on ID and password regardless of the number of companies you are licensed to file under or the number of companies included in a single filing.

Tracker automatically passes the **SERFF SPI Log On ID** and **Password** with each filing submitted to SERFF. (The password is encrypted before being transmitted to ensure security.)

Because the **SERFF SPI Log On ID** and **Password** are unique to your organization, they are used to validate and authenticate your company information for filings before they are transmitted to the relevant state DOIs through SERFF. The **SERFF SPI Log On ID** is also used to identify and track your filings in SERFF, including tracking the number of transactions you have performed through SERFF. Because your filings are uniquely identified within SERFF, SERFF can automatically transfer messages on your filings from the relevant state DOIs back to you in Tracker.

### Filing Rule, State Filing and Attachment URLs

The URLs listed on the **System** tab of the **SERFF Defaults** dialog are for SERFF's production servers.

The **Filing Rule URL** is the address of the server where all SERFF filing requirements all stored. The states are responsible for entering and updating the data on the Filing Rule server. The NAIC is responsible for the actual maintenance of this server.

The **State Filing URL** is the address of the server where your actual state filings are stored. The State Filing server is located at the NAIC and maintained by them.

The **Attachment URL** is also required by the NAIC.

The **Billing URL** is the address of the server where transaction block/billing information is stored.

Values for these URLs are provided directly by NAIC upon receipt of a signed NAIC SERFF agreement.

**Note** The NAIC periodically performs maintenance on the SERFF servers. When this occurs, Oracle will email you in advance with the approximate times that the maintenance will occur so that users can schedule their SERFF filings accordingly.

### Hide All Messages After [ ] Days

As you receive messages from SERFF about the status of your filings, they will be logged in the **Log Entries** subtab within the **SERFF** tab of the filing, and in the **My SERFF Messages** and **All SERFF Messages** tabs (collectively referred to as the Message Center) at the top level of Tracker.

The value you enter in this field is the number of days messages will be displayed after the date they were received by Tracker in the Message Center tabs. Messages and their contents will always be available for viewing in the filing and within the **Log Entries** subtab of the filing to which they apply. Certain message types such as Note to Filer, Objection Letters and Disposition Reports will also appear under the **Correspondence** tab within the filing to which they apply.

### SERFF Filing Default Options

This section contains three settings. Default values can be set by making choices from drop-down menus:

The default value for **Project #** has the following choices:

- Company Reference #
- Filing Custom Field
- Filing Group Custom Field
- Filing Description
- Filing Group Description
- Filing Group name
- None
- Tracker Filing ID

The default value for **Project Name** has the following choices:

- Filing Description
- Filing Group Description
- Filing Group name
- None
- Program Description

The default value for **Product Name** (for SERFF filings) has the following choices:

- Custom
- Filing Description
- Filing Group Description
- Filing Group Name
- None
- Program Description

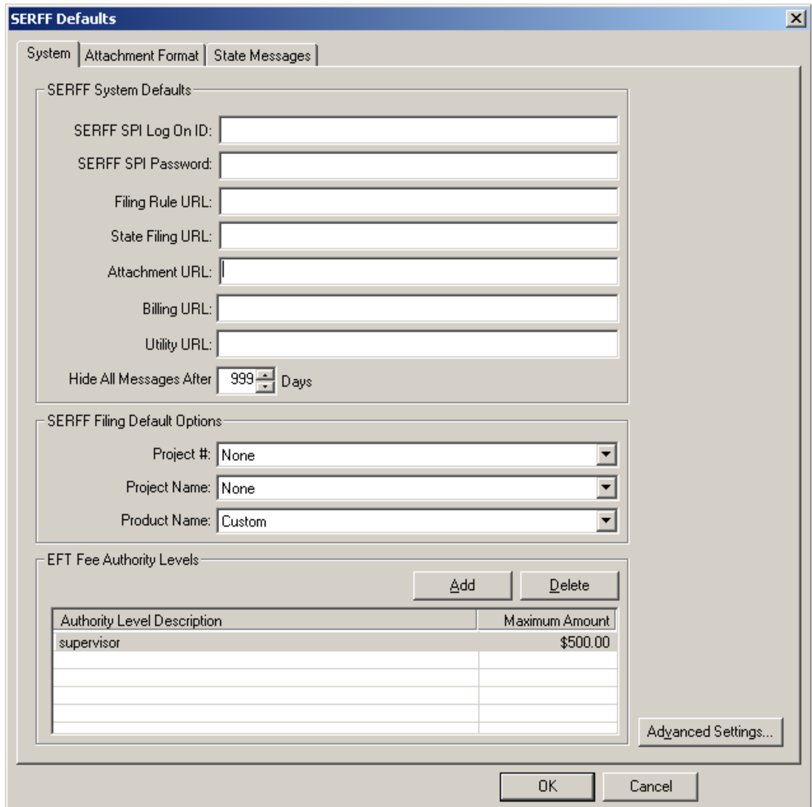
## Configuring SERFF System Defaults and SERFF Filing Default Options

To set or make changes to the SERFF System Defaults and SERFF Filing Default Options, follow these steps:

### Method: Configure the SERFF system defaults settings and SERFF Filing Default options

1. Select **Admin > System Information > SERFF System Defaults**.

   The **SERFF Defaults** dialog displays.




2. On the **System** tab, complete the following fields:

   **SERFF System Defaults:**

   - **SERFF SPI Log On ID**
   - **SERFF SPI Password**
   - **Filing Rule URL**
   - **State Filing URL**
   - **Attachment URL**
   - **Billing URL**
   - **Hide All Messages After # Days**

   **SERFF Filing Default Options:**

   - **Project #**
   - **Project Name**

- **Product Name**

3. If required, configure the **EFT Fee Authority Levels**. See *Setting EFT Fee Authority Levels* on page 50.
4. Click **OK**.

   The data is saved, and will be applied to every SERFF filing created in Tracker.

## Setting EFT Fee Authority Levels

If you will be using EFT to pay filing fees where permitted in SERFF, in addition to entering the **Payer UNID** for each of your companies, (see *Entering or Editing General Information for Companies* on page 35), you need to enter:

- a description for each level within your organization that you want to be able to authorize EFT filings

  ***and***

- the maximum dollar amount for an EFT filing that the specified level can authorize

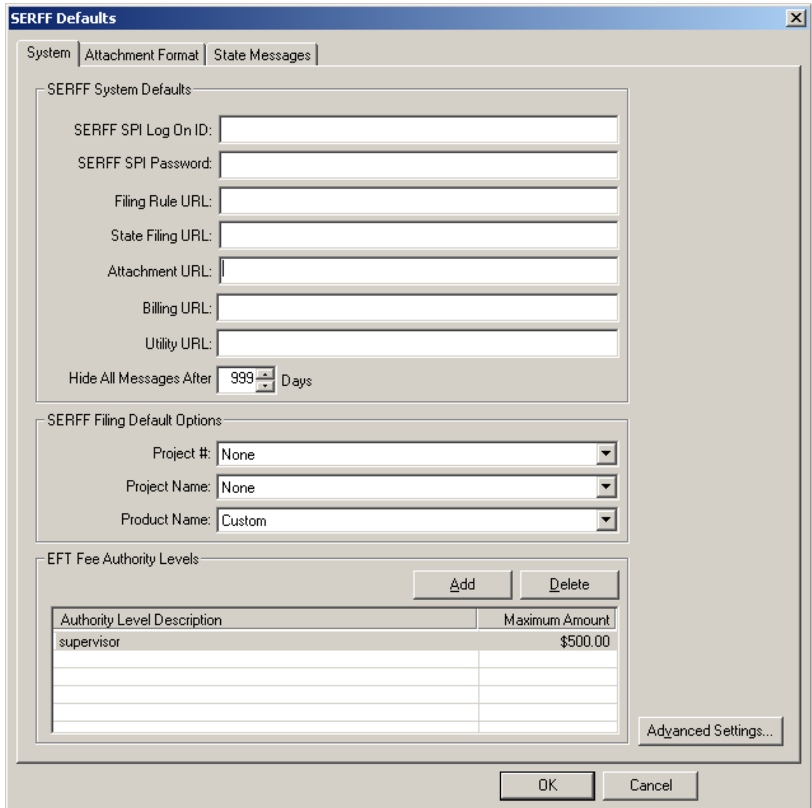
**Important** You can enter as many levels as you need, however, you must enter at least one authorization level and maximum amount for the one level. If you do not enter any information in this section, the system assumes that EFT has not been authorized and no one will be able to use the EFT functionality.

**Note** The EFT Fee Authority level information you enter here controls the options which display in the **EFT Fee Authorization Level** field on the **Security Access Levels** and which then can be affiliated with each access level.

### Method: Establish an EFT Fee authority level

1. Select **Admin > System Information > SERFF System Defaults**.

   The **SERFF Defaults** dialog displays.




2. In the **EFT Fee Authority Levels** area, click **Add**.

   The **Authority Level Description** field unlocks with a prompt of "Please enter the range name for the EFT authority level here," and a **Maximum Amount** of $0.00.

3. Click the description and type in a meaningful name for this authority level.

4. Click the value to the right and type in the **Maximum Amount** for this level.

**Note** This is a per-EFT transaction per-filing maximum. It is not a cumulative maximum per user or per filing.

5. Press **Enter**.

   The level is added.

6. Repeat steps 3 to 5 to add additional levels.

7. When finished, click **OK**.

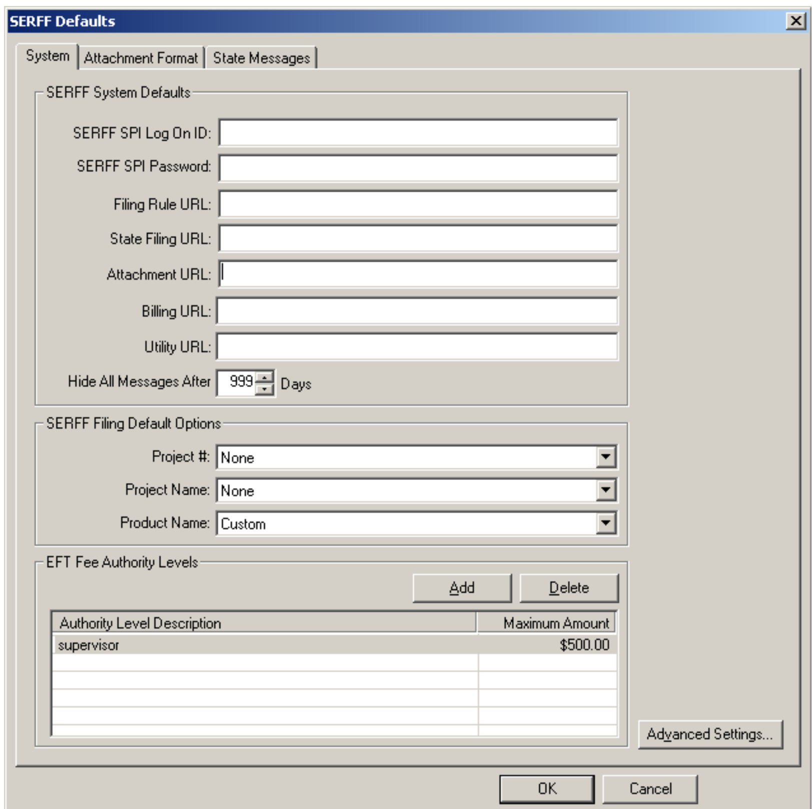
### Configuring Proxy Server Settings (Advanced Settings)

**Note** Complete this procedure only if you use a proxy server to access the Internet. If you are not sure if you use a proxy server, contact your IT department.

#### Method: Configure the proxy server settings

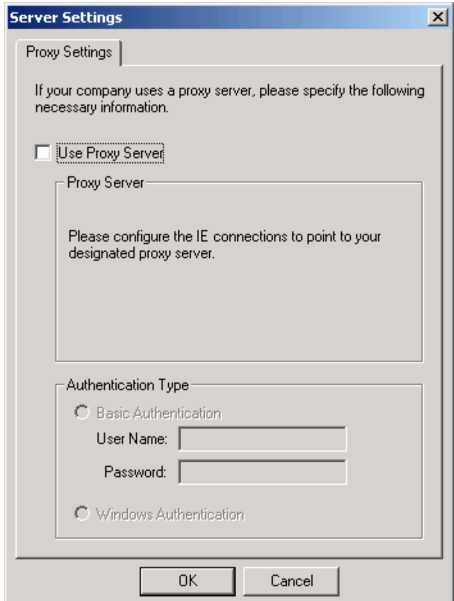
1. Select **Admin > System Information > SERFF System Defaults**.

   The **SERFF Defaults** dialog displays.




2. On the **System** tab, click the **Advanced Settings** button.

   The **Proxy Settings** dialog displays.




3. Select the **Use Proxy Server** check box.
4. Select the **Authentication** type used by your organization:
   - For basic username/password security, select **Basic Authentication**, enter the user name and password which the proxy uses to access the Internet. Your IT department will have this information.
   - To use **Windows Authentication**, simply select this option.
5. When finished, click **OK**.

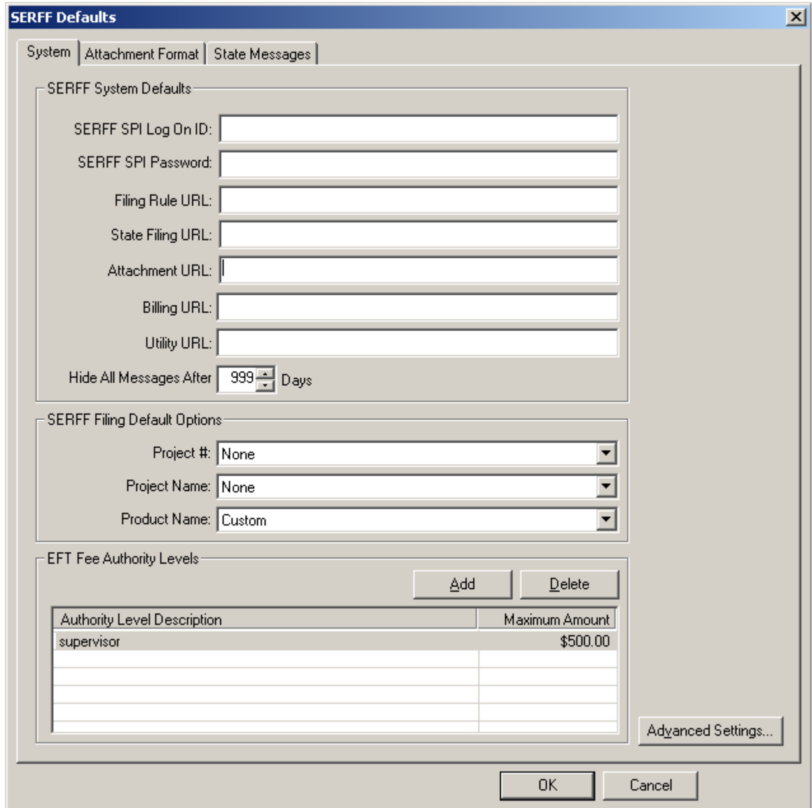
## Configuring SERFF Schedule Item Attachment Formats

By default, all schedule item attachments sent to SERFF are converted to PDF when you select the **Move to Filing Package** check box in the **Submit to SERFF** activity dialog box. However, you can use the **Attachment Format** tab to have Excel and/or text schedule item attachments sent in their native file format. Specifically, for each state, you can select whether to send such files in their native format (Excel or text), and/or as PDFs. If you select PDF and another format for a state, the attachments are sent on the same schedule item to SERFF.

### Method: Configure the SERFF default schedule item attachment formats

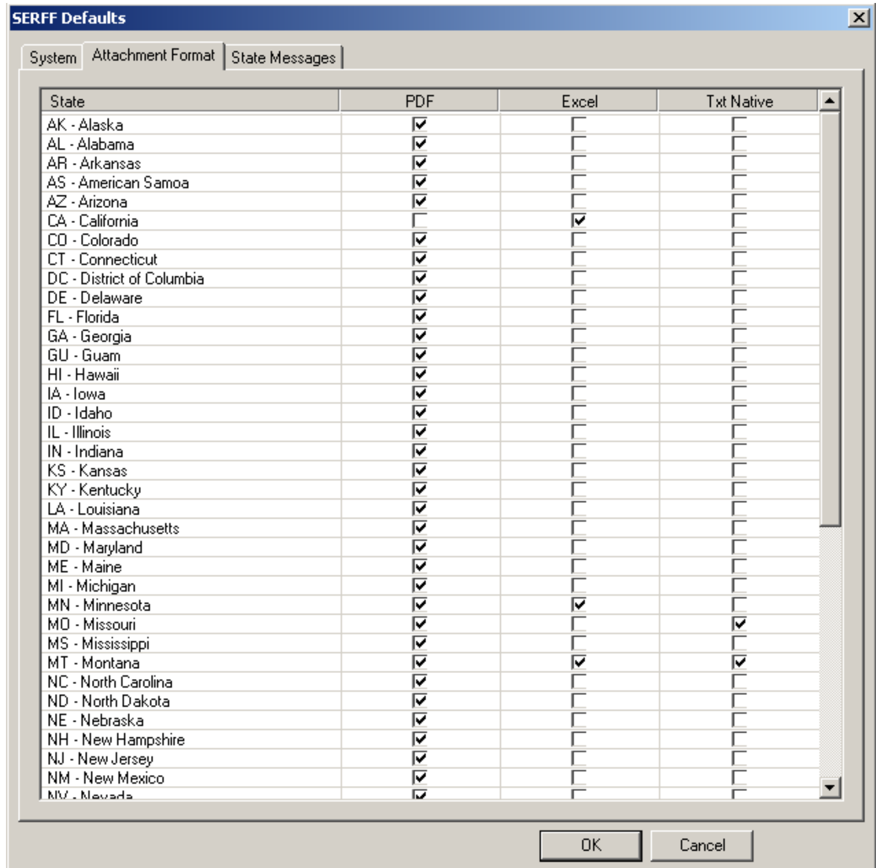
1. Select **Admin > System Information > SERFF System Defaults**.

   The **SERFF Defaults** dialog displays.




**2.** Click the **Attachment Format** tab.

The **SERFF Attachment Formats** dialog displays.




**3. Configure the default schedule item attachment format(s) sent:**

For most states, the SERFF default schedule item attachment format is PDF.

To change the default schedule item attachment format(s), select or clear the **Excel** and/or **Txt Native** check boxes for the required states. If required, clear the PDF check box after selecting other check boxe(s).

Based on your selections:

- attachments will be converted and sent as PDF files if the **PDF** check box is selected
- Excel files will be sent if the **Excel** check box is selected
- text files will be sent if the **Txt Native** check box is selected

**Note** You must select at least one check box per state.

## Configuring Display of State Messages

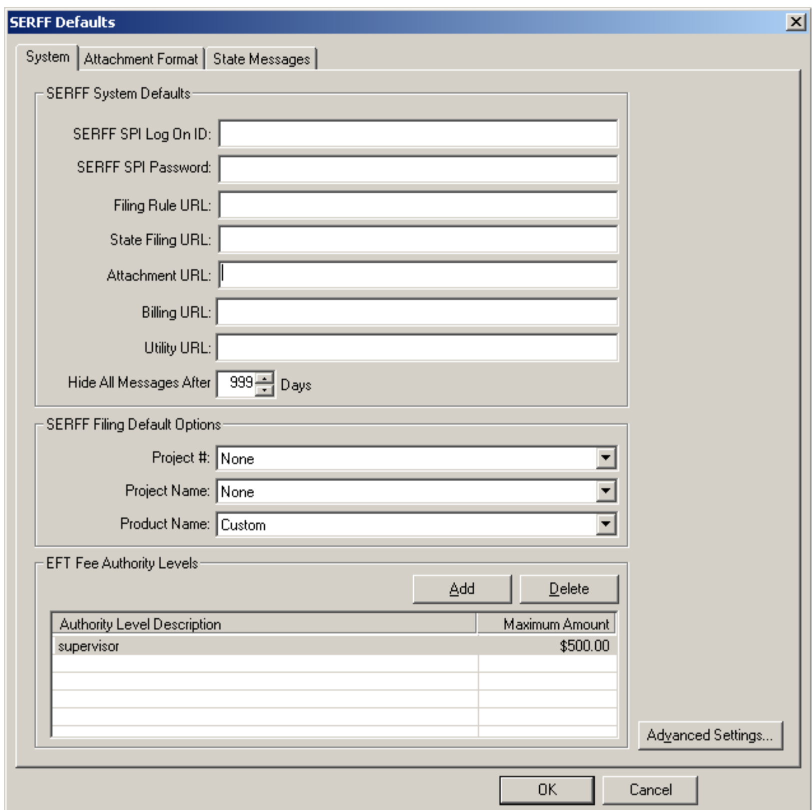
On the State Messages tab, the system administrator can control which state-generated messages are captured in the database and displayed on the **All SERFF Messages** and **My SERFF Messages** tabs. The administrator can select to display messages of type P&C, L&H, or messages of both types for each desired state. If no selection is made, no messages from that state will display. The default for each state is to display no messages.

**Note** If a received message is marked as both P&C and L&H, it will be displayed if the setting for that state is one or the other, or both.

### Method: Configure the SERFF state messages display

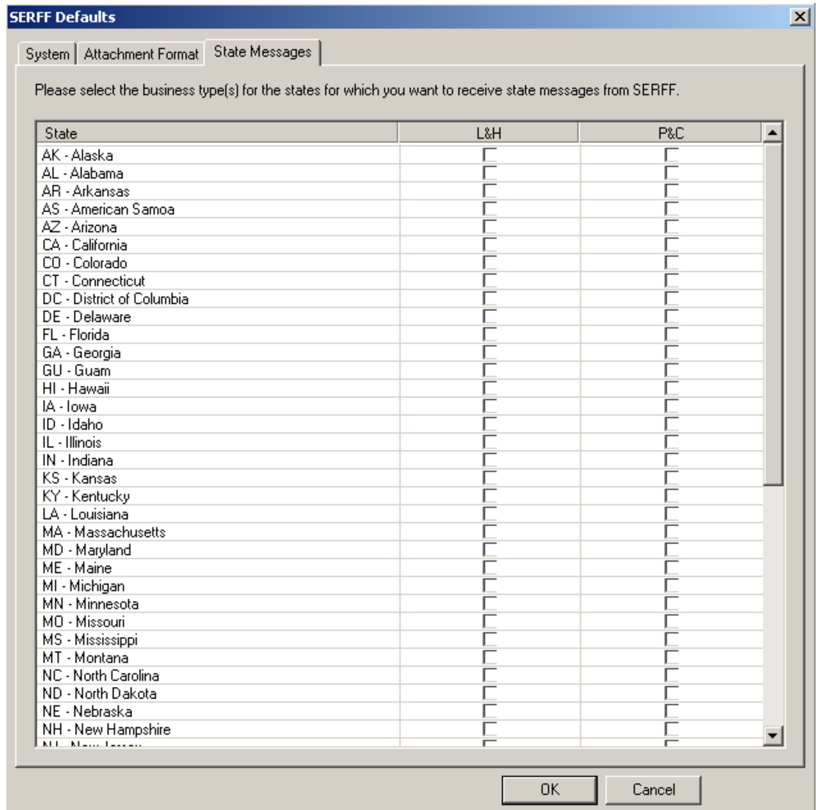
1. Select **Admin > System Information > SERFF System Defaults**.

   The **SERFF Defaults** dialog displays.




2. Click the **State Messages** tab.

   The **State Messages** tab displays.




3. Select which messages should be displayed. For each state, valid choices are L&H, P&C, both L&H and P&C, or no selection.
4. Click **OK** to save and return to Tracker.

# User Profiles

The Users section contains a listing of all the people at your company who use Tracker. Each person must have a detailed user profile in the Tracker administrative tables in order to be able to use the system. Each user's profile contains basic identification and contact information for that user.

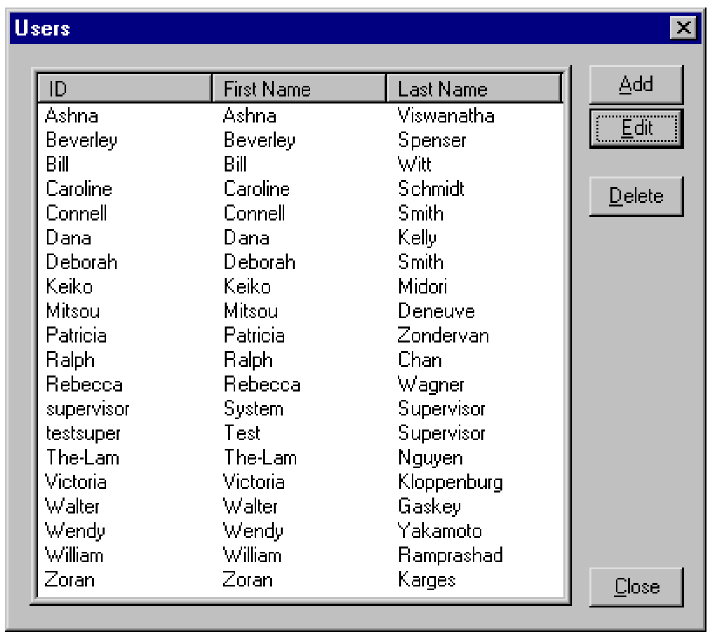
## Adding New User Profiles

User profiles contain essential data about the user, including their security access level. The user level determines what they can do in Tracker. (See *Security Access Levels* on page 29.)

### Method: Add a new user profile

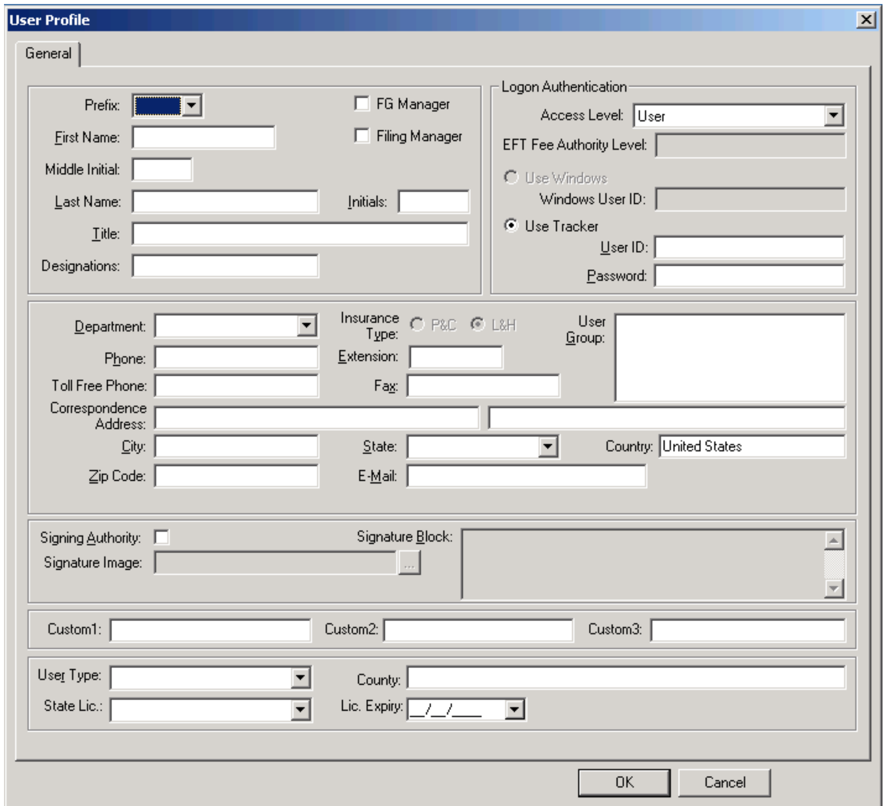
**1.** Select **Admin** > **Users**.

The **Users** list dialog displays.




**2.** Click **Add**.

A blank **User Profile** dialog displays.




3. Select the prefix for this person (for example Mr. or Ms.) from the **Prefix** drop-down list.

4. Enter the **Name**, **Initials**, **Title** and any professional **Designations** (such as FLMI, JD or ACS) for this person.

5. If you want to configure this user as an available selection for a filing group manager, check the **FG Manager** check box.

   (A *filing group manager* is the person responsible for a particular filing group, and is assigned when creating a filing group.)

   If you want to configure this user as an available selection for a filing manager, check the **Filing Manager** check box.

   (A *filing manager* is the person responsible for a particular filing, and is assigned when creating a filing.)

6. In the upper portion of the **Logon Authentication** section:

   - You can set the security **Access Level** for this person. For more information about access levels, see *Security Access Levels* on page 29.

   - You can set the **EFT Fee Authority Level** for this person. For more information, see *Setting EFT Fee Authority Levels* on page 50.

7. In the lower portion of the **Logon Authentication** section, enter the unique user ID for this person. This will be used as their logon user name. The information you need to enter here depends on whether you have enabled Windows authentication for your users.

- If you have enabled Windows authentication for your users, **Use Windows** is selected. Enter the person's unique **Windows User ID**.
- If you have *not* enabled Windows authentication for your users, **Use Tracker** is selected. Enter the Tracker **User ID** and temporary **Password** for this person. You should supply each user with an initial password and have them change it to a password meaningful to them alone the first time they log in to Tracker.

See *Setting User ID and Password Authentication* on page 24 for more information about Windows authentication.

**8.** Enter this person's **Department** information. Address information will be automatically populated according to the department entered. You can change this information if necessary. (See *Entering or Editing General Information for Companies* on page 35.)

**9.** Enter this person's contact information, including their **Phone** numbers, **Extension**, **Address** and **E-Mail** address. (Formatting rules apply.)

**10.** To enable a signature image for this user (for use in certain custom letters):

**a.** Check the **Signing Authority** check box. This activates the other fields in this section.

**b.** Click the browse button [...] to browse for the file where this user's signature image file has been stored. Select **Browse DMS** if the file is located in a DMS.

**Note** The signature image file must be in BMP or JPG format. The size of the signature image will be adjusted to 1.5 inches wide by 0.5 inches high (a ratio of 3:1). Signature images with a different dimensional ratio will appear stretched or compressed.

**11.** Enter this user's **User Type** and **State License** information (if applicable). The **User Type** is used to assign Company Resource information . See *Enter resource information for a new company* on page 42 for details.

**12.** Click **OK** to save this information and return to the **User** list dialog.

**13.** Repeat steps 2 to 13 for other users you want to add.

**14.** When finished, click **Close**.

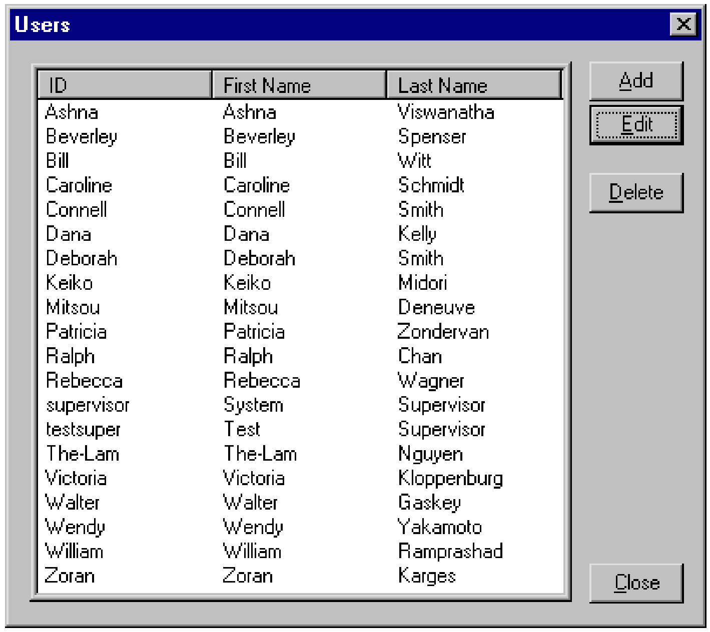
## Changing User Profile Information

You can change user profile information.

### Method: Change user profile information

**1.** Select **Admin > Users**.

The **Users** list dialog displays.




**2.** Click the user record whose information you want to change.

**3.** Click **Edit** to open the related User Profile dialog box.

**4.** Make any necessary changes.

**5.** Click **OK** to save your changes and return to the Users list dialog.

**6.** Click **Close** to exit the Users list dialog.

## Deleting User Profiles

You can delete a user profile if that user is no longer required to access your Tracker system.

**Note** You cannot delete any user associated with filings. This is any of the following users:

- a filing group manager
- a filing manager
- any user who has performed an activity on a filing.

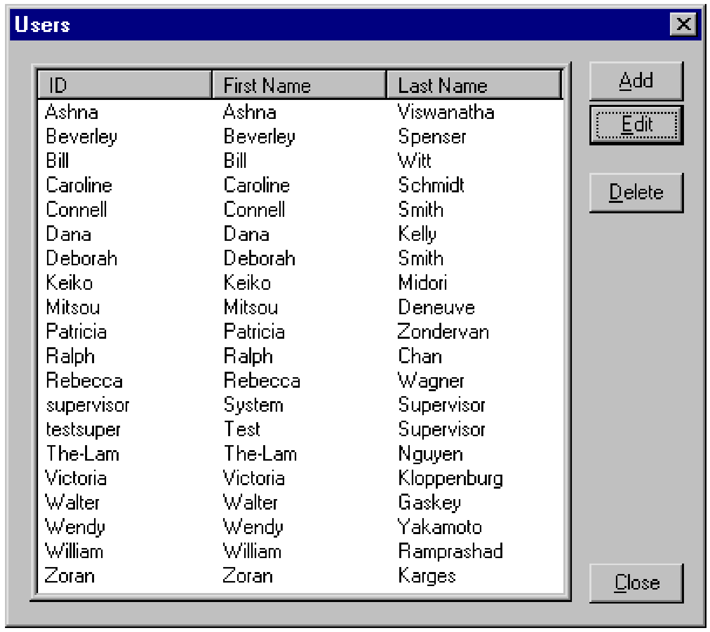
If you try to delete a user affiliated with a filing, an error message appears stating:

*This user is linked to filings and cannot be deleted.*

### Method: Delete a user profile

**1.** Select **Admin > Users**.

The **Users** list dialog displays.




**2.** Click the user record you want to delete.

**3.** Click **Delete**.

A message appears confirming whether you really want to delete this user.

**4.** Click **Yes** to confirm the deletion (or **No** to cancel the deletion) and return to **Users**.

The deleted user will no longer appear on the list.

**5.** Repeat steps 2 to 4 for other users you want to delete.

**6.** When finished, click **Close**.

# Custom Tables

Tracker contains a number of custom tables which you can configure with values and terminology used in your organization

The following sections discuss custom tables:

- *Understanding Custom Tables* on page 63 contains overview information on custom tables.
- *Performing Custom Table Tasks* on page 67 describes how to work with custom tables.
- *Activity Codes* on page 70 describes how to work with activity codes.
- *Recurrent Filing Activities (Calendar Filings)* on page 79 describes how to create recurring filing activities.
- *Mapping Custom LOBs to Standard LOBs* on page 80 describes how to use your company's own LOBs with Tracker.

**Important** All custom tables must be configured and all necessary information entered before you begin to use the Tracker system to prepare and manage filings.

## Understanding Custom Tables

The following section lists each custom table, with a brief description of its purpose in the system. For the tasks you can perform with custom tables, see the topics starting with *Performing Custom Table Tasks* on page 67.

Each custom table consists of:

- a list box, listing the default members of that table
- a series of dialog boxes which are activated when you want to add, edit or delete an entry in the custom table

The tables which can be customized within Tracker are:

- *Activity Codes* on page 64
- *Advisory Organizations* on page 64
- *Attachment Types* on page 64
- *Eligible Groups* on page 74
- *Filing Method (Rate)* on page 75
- *Filing Types* on page 65
- *Form Types* on page 65
- *Publication Status* on page 66
- *Publication Type* on page 67
- *LOB Mapping* on page 67

- *Print Status* on page 67
- *Solicitation Methods* on page 78

## Activity Codes

This table contains a listing of all of the activity codes active in the Tracker system. Tracker comes with a set of default activity codes which you can use to perform a wide variety of tasks, from making notes to recording instructions and responses to generating complete filings. You can edit, rename, or add to these standard activities. You can also delete or obsolete activity codes if required.

See also *Activity Codes* on page 70

## Advisory Organizations

This table contains a listing of the default Advisory Organizations from which your company receives publication, or with which your company deals, such as **ACLI**, **WESTLAW**, and so on.

## Attachment Types

This table contains a listing of the default other attachment types for documents other than rates, advertisements, and forms that you might need to include in your filings.

The default other attachment types included with the system are:

- Actuarial Memorandum
- Certification
- Check List
- Filing Form
- Other

(See *Other Attachments* on page 187 for more details on working with other attachment types.)

## Filing Method (Rate)

This table contains a list of the options for the Filing Method field drop down menu on the Rate tab. The standard filing methods included with the system are:

- File and Use
- Prior Approval
- Use and File

**Note** You can add, modify and delete custom filing methods, but the standard ones cannot be deleted.

## Filing Types

This table contains a list of the default filing types available for use. The standard types included with the system are:

- (a) Rate/Consent To
- Advisory
- Automatic Adoption
- Biannual
- Deferral
- Deviation
- Final Printed Page
- General Reference
- Independent
- Informational
- Letters to File
- Loss Cost
- Other
- Other Special
- Special Reference

## Form Types

This table contains a listing of the default types of forms which may be required to be used in filings. The standard types included with the system are:

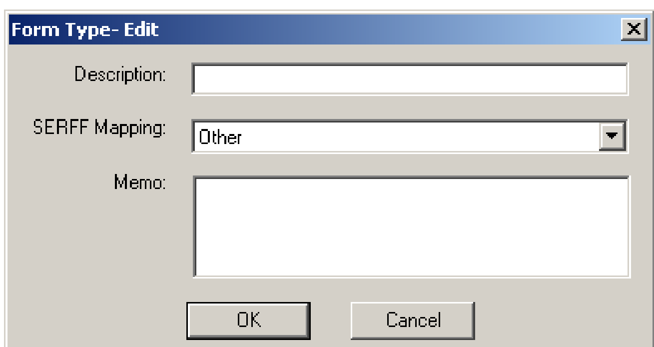
- Application
- Covers/Jackets
- Delcaration page
- Endorsement
- Enrollment Form
- Notice
- Policy Form
- Policy Holder Notification
- Schedule
- Supplement

The Form Type **Description** field contains the name you use to describe the form type in your organization. While Tracker allows for customization, SERFF has predefined choices that you must use so you will need to map your custom choices to one of the pre-defined SERFF choices so that the correct value is passed to SERFF.

The list of SERFF form types is a follows:

- ADV - Advertising
- ABE - Application/Binder/Enrollment
- BND - Bond
- CNR - Canc/NonRen Notice
- CER - Certificate
- DEC - Declarations/Schedule
- DSC - Disclosure/Notice
- ERS - Election/Rejection/Supplemental Applications
- END - Endorsement/Amendment/Conditions
- OTH - Other
- PCF - Policy/Coverage Form

**Note** The default form types provided are all mapped to **Other**. Therefore, even if you do not add your own custom form types, you should still map the system-provided form types to the appropriate SERFF form type.




## Publication Status

This table contains a listing of the default statuses of publications that you receive and enter into your system. The default types included with the system are:

- Administrative
- Advisory
- Approved
- Filed
- To Be Effective

## Publication Type

This table contains a listing of the types of publications that you receive and enter into your system. The default types included with the system are:

- Line Circular
- Premium Comparison
- Statistical Plan

## LOB Mapping

You may have defined line of business codes in Tracker to correspond to your organization's products and traditional codes. For example, you may have coded the **Private Passenger Auto** line of business as **PA**, **PPA**, or **AUT**

Tracker, however, does not recognize organization-specific LOB codes. Before people in your organization can create filings using these codes, you must "map" them to equivalent standard lines of business. See *Mapping Custom LOBs to Standard LOBs* on page 80.

## Print Status

This table contains a listing of the default print statuses used by your company in the Tracker system. Print Status codes are established in Tracker to help monitor the production process. Here, the term **Print Status** refers to the various stages involved in printing and sending a completed filing. Standard **Print Status** codes include:

- First Proof
- Forms Available
- Mailing Completed
- Mailing Schedule
- Not Applicable
- Orig. Copy Sent
- Project Complete
- Proof Approved
- Second Proof
- Sent To Printing
- Third Proof

# Performing Custom Table Tasks

The method for entering and altering custom tables information is similar for most of the tables. The basic set of tasks is:

- *Viewing Custom Tables* on page 68

- *Entering Information into Custom Tables* on page 68
- *Changing Information in Custom Tables* on page 69
- *Deleting Custom Table Elements* on page 69


## Viewing Custom Tables

You view all custom tables in the same way.

**Method: View a custom table**

1. Select **Admin** > **Custom Tables**.
2. Select the custom table you want to work with from the list.

   The selected custom table is displayed.
3. To view the properties of an entry, select the entry and click **Edit**.
4. When finished viewing the entry, click **Cancel**.
5. Repeat steps 2 to 4 to view other entries in a custom table.
6. When finished, click **Close**.

## Entering Information into Custom Tables

When Tracker is installed, the custom tables have default data entered already. You can also add more information to a custom table.

**Method: Enter information into a custom table**

1. Select **Admin** > **Custom Tables**.
2. Select the custom table you want to work with from the menu list.

   The selected custom table is displayed.
3. Click **Add**.

   The **Add** dialog displays.
4. Enter information for the new item.
5. Click **OK** to save the information and return to the custom table.
6. Repeat steps 3 to 5 for additional new items.
7. When finished, click **Close.**

## Changing Information in Custom Tables

**Warning** While each table can be added to or edited using function buttons by users having the appropriate security access levels, changes to the custom tables can have far reaching effects on the Tracker system and your Tracker environment. Please contact Oracle Global Support before making changes to these tables following initial system set-up.

### Method: Change information in a custom table

1. Select **Admin** > **Custom Tables**.
2. Select the custom table you want to work with from the menu list.

   The selected custom table is displayed.
3. Click the record you want to change.
4. Click **Edit**.

   The form for that custom table item is displayed.
5. Make any required changes.
6. Click **OK** to save your changes and return to the list box.
7. Repeat steps 3 to 6 to change any other items in this custom table.
8. When finished, click **Close**.

## Deleting Custom Table Elements

**Warning** While items can be deleted from custom tables by users that have the appropriate security access levels (provided the item has not been used in a filing), deleting items from some custom tables is not recommended because of the potential effects on the Tracker system and your Tracker environment. Please contact Oracle Global Support before making changes to the default entries in the following custom tables:

- Activity Codes
- Advisory Organizations
- Filing Types
- LOB Mappings

### Method: Deleting information from a custom table

1. Select **Admin** > **Custom Tables**.
2. Select the custom table you want to work with from the menu list.

The selected custom table is displayed.

3. Click the record you want to delete.
4. Click **Delete**.

   A confirmation message appears.
5. Click **Yes** to delete the record or **No** to cancel.
6. Repeat steps 3 to 5 for other records you want to delete.
7. When finished, click **Close**.

## Activity Codes

Activity codes are accessed via **Admin > Custom Tables > Activity Codes**. You can add, obsolete and delete activity codes. To use activity codes to work with recurrent activities, see *Recurrent Filing Activities (Calendar Filings)* on page 79.

This section describes

- *Adding Passive Activity Codes* on page 70
- *Adding Active Activity Codes* on page 82
- *Changing Activity Codes* on page 85
- *Obsoleting and Reactivating Activity Codes* on page 86
- *Deleting Activity Codes* on page 88

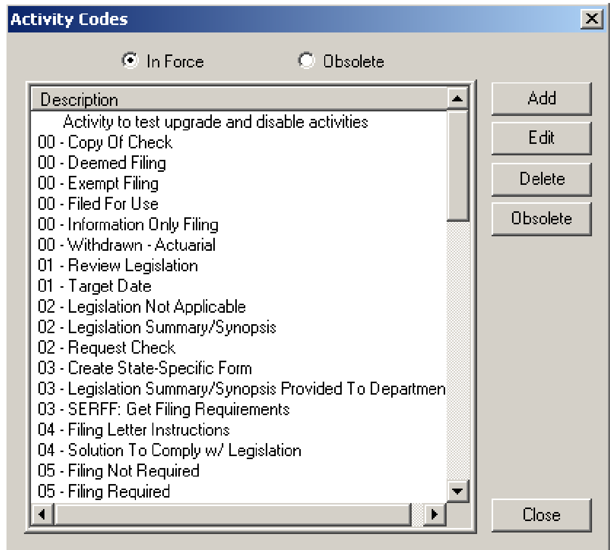
### Adding Passive Activity Codes

Passive activities are activities that do not update or generate any data inside your filings. It is possible to set passive activities to occur in the future (that is, post activities), and also to recur over a given time period.

#### Method: Adding a passive activity code

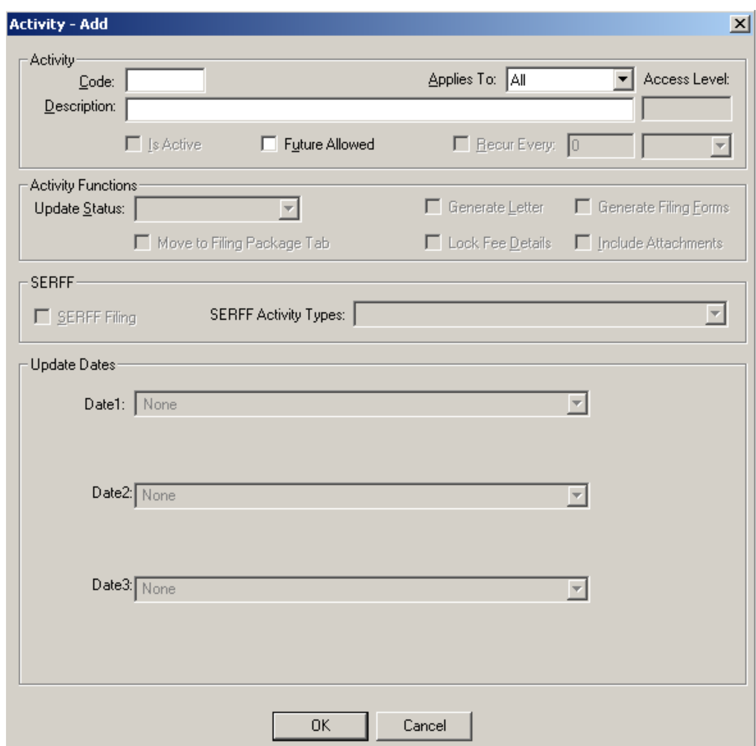
1. Select **Admin** > **Custom Tables** > **Activity Codes**.

   The **Activity Codes** list opens, with the **In Force** activity codes displayed.




2. Click **Add**.

   The **Activity - Add** dialog displays.




3. Enter a short **Activity Code** by which the activity can be easily identified, such as **MEM** for a **Create Memo** activity.
4. Enter a brief **Description** of the activity.
5. In the **Applies To** field, enter the level of the Tracker system from which this activity may be accessed – **All**, **Filing Group**, **Filing**, or **Legislation**.
6. Select **Future Allowed** if this activity will be used as a post activity.

7. Click **OK** to save your addition and return to **Activity Codes**.
8. Repeat steps 2 to 7 for additional **Activity Codes.**
9. When finished, click **Close**.

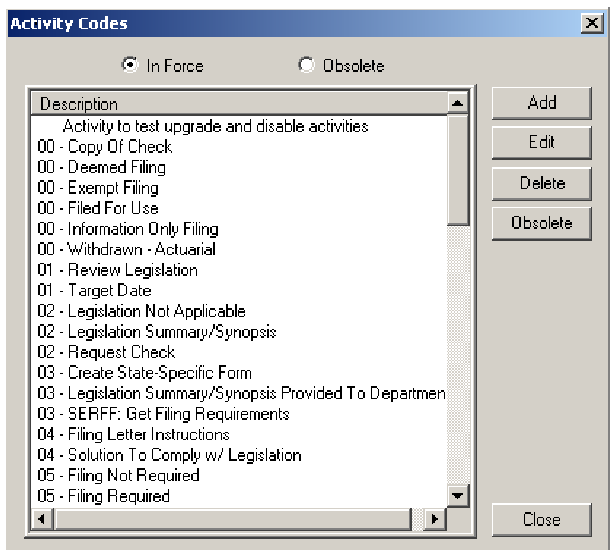
## Adding Active Activity Codes

Active activities are activities that update or generate data inside your filings. Activity codes associated with active activities can only be applied to filings.

### Method: Add an active activity code

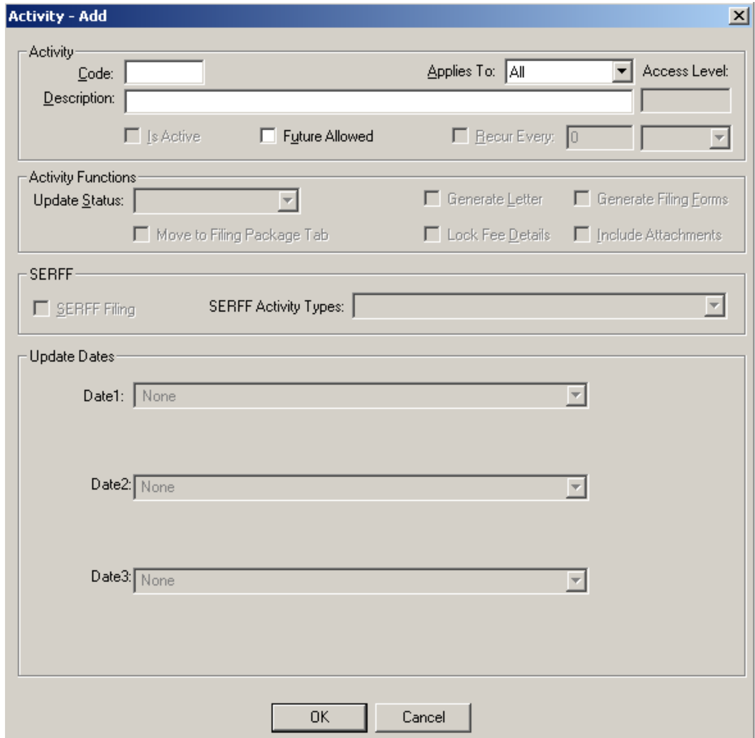
1. Select **Admin** > **Custom Tables** > **Activity Codes**.

   The **Activity Codes** list opens, with the **In Force** activity codes displayed.

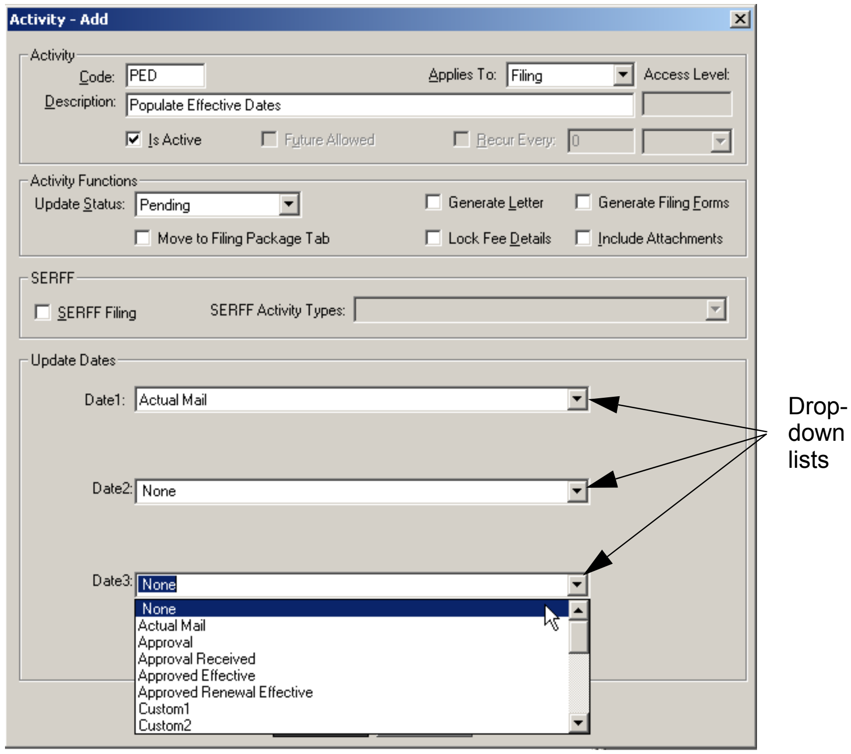



2. Click **Add**.

   The **Activity - Add** dialog displays.




3. Enter a short **Activity Code** by which the activity can be easily identified, such as **MEM** for a Create Memo activity.
4. Enter a brief **Description** of the activity.
5. Click the **Applies To** drop-down menu and select **Filing**.
6. Select **Is Active**.
7. In the **Activity Functions** section, select the appropriate options to define the parameters and actions of the activity:
   - **Update Status** – select the status to assign to the filing after this activity is performed
   - **Move to Filing Package Tab** – select this option if you want the filing to be moved to the filing package when this activity is performed
   - **Generate Letter** – select this option if you want to generate, view, and print a filing letter when this activity is performed
   - **Include Attachments** – select this option if you want to allow attachments to be added to the filing when this activity is performed
   - **Lock Fee Details** – select this option if you want to stop filing fee payment information from being changed after this activity is performed
8. In the **Update Dates** section, to affiliate a date with an activity, make a selection from one, two, or three of the drop-down lists.




**Note** If you affiliate **Implementation Date** with an active activity, a check box is displayed that lets you choose **On Approval**. If you select the **On Approval** check box, a user who performs the activity will have a choice between selecting a date or selecting **On Approval**. If you do not select the **On Approval** check box, a user who performs the activity must select a date; the user will not see the **On Approval** check box.


**9.** Click **OK** to save your changes and return to **Activity Codes**.

**10.** Repeat steps 2 to 9 for additional activity codes.

**11.** When finished, click **Close**.

## Changing Activity Codes

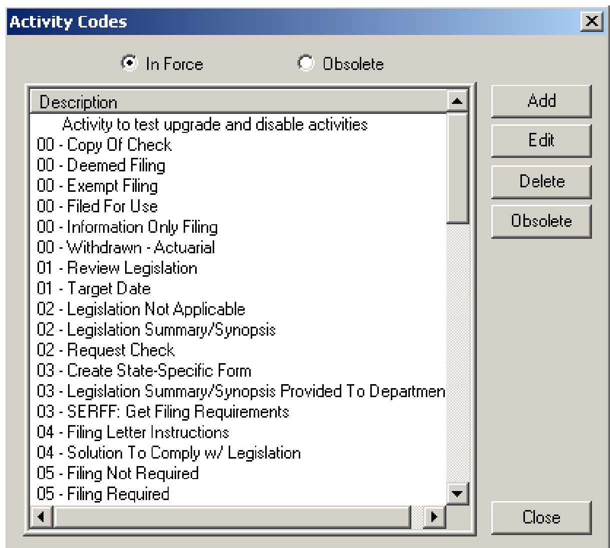
You can change an activity code. This includes the name of the code, the parameters and actions of the activity, and you can mark unused or no longer needed activity codes as *Obsolete*. Activity codes that are not obsolete are *In Force*. You can only change activity codes that are *In Force*.

**Important** Changing activity codes that are part of the default Tracker installation can have far-reaching effects on the Tracker system and your Tracker environment. Please contact Oracle Support before changing default activity codes following initial system setup.

### Method: Change an activity code

1. Select **Admin** > **Custom Tables** > **Activity Codes**.

   The **Activity Codes** list opens, with the **In Force** activity codes displayed.




2. Click the activity code you want to change.
3. Click **Edit**.

   The **Activity – Edit** dialog displays.
4. Make any necessary changes.
5. Click **OK** to save your changes and return to **Activity Codes**.
6. Repeat steps 2 to 5 for other activity codes you want to change.
7. When finished, click **Close**.

## Obsoleting and Reactivating Activity Codes

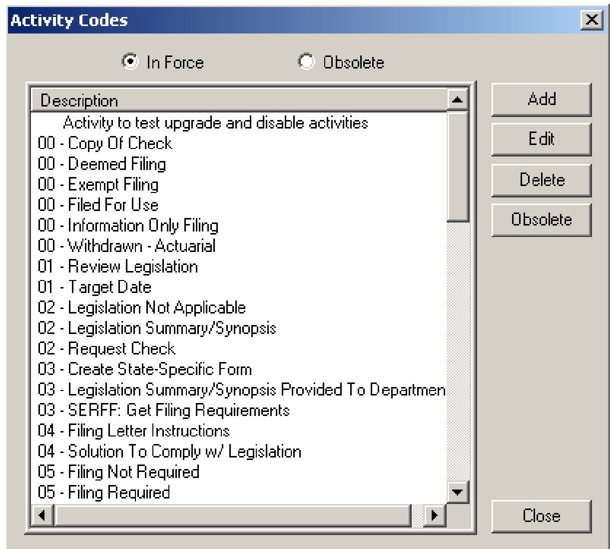
If you have an activity code that you are no longer using or do not need, you can mark it as *obsolete*. Obsoleting an activity code removes it from the list of currently available activities; it does not actually delete it from the Tracker database.

Activities that are not obsolete are called *In Force*. You can only edit or delete activity codes that are In force.

## Method: Obsolete an activity code

**1.** Select **Admin** > **Custom Tables** > **Activity Codes**.

The **Activity Codes** list opens, with the **In Force** activity codes displayed.




**2.** Click the activity code you want to obsolete.

**3.** Click **Obsolete**.

The selected **Activity Code** is made obsolete. It is removed from the **In Force** list. It can be found in the Obsolete list.

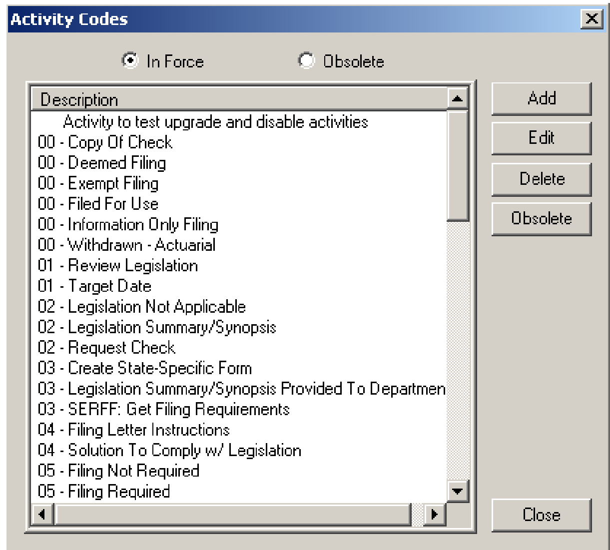
**4.** Repeat steps 2 and 3 for other activity codes you want to obsolete.

**5.** When finished, click **Close**.

## Method: Reactivating an obsolete activity code

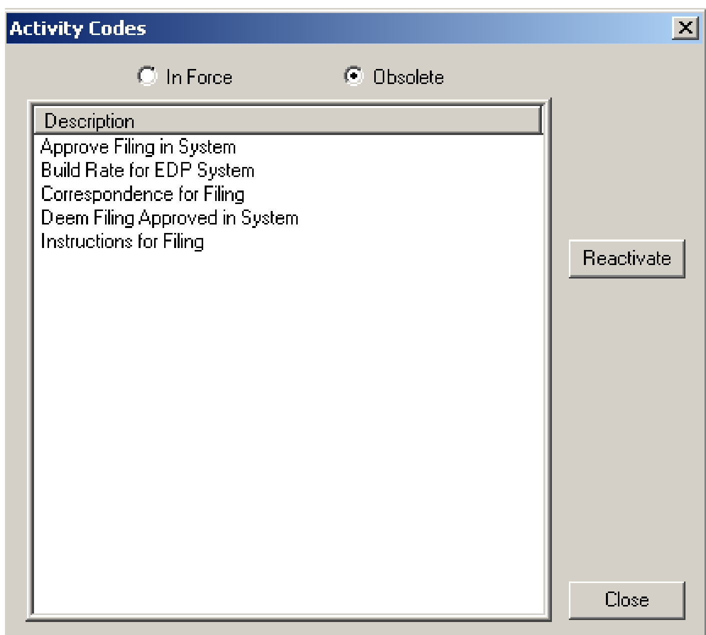
**1.** Select **Admin** > **Custom Tables** > **Activity Codes**.

The **Activity Codes** list opens, with the **In Force** activity codes displayed.




2. Click the **Obsolete** list selector.

   The list of obsolete activity codes is displayed.




3. Click the **Activity Code** you want to reactivate.
4. Click **Reactivate**.

   The **Activity Code** is reactivated. It is removed from the **Obsolete** list. It can now be found in the In Force list.
5. Repeat steps 3 and 4 for other activity codes you want to reactivate.
6. When finished, click **Close**.

## Deleting Activity Codes

If an activity code has never been used and is no longer needed, you can delete it.See *Obsolete an activity code* on page 76.

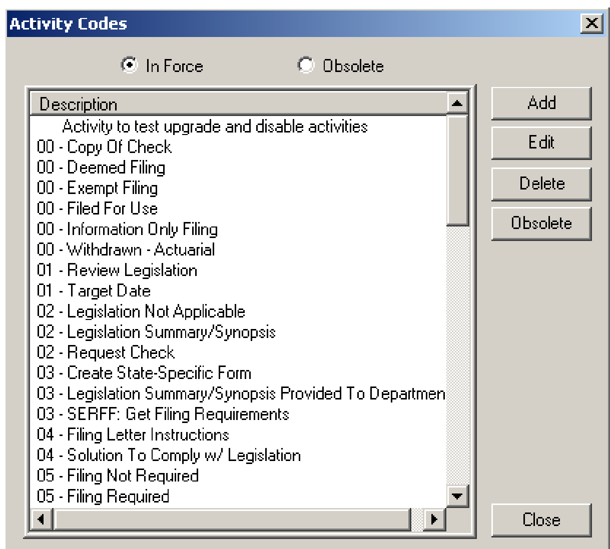
**Important** You can only delete activity codes that are *In Force*.

**Warning** Deleting activity codes can have far-reaching effects on the Tracker system and your Tracker environment. Please contact Customer Support before deleting activity codes following initial system set-up.

### Method: Delete an activity code

1. Select **Admin** > **Custom Tables** > **Activity Codes**.

   The **Activity Codes** list opens, with the **In Force** activity codes displayed.




2. Click the activity code you want to delete.
3. Click **Delete**.
4. Click **Yes** to confirm the deletion.

   The deleted activity code will no longer appear in the list.
5. Repeat steps 2 to 4 for other activity codes you want to delete.
6. When finished, click **Close**.

## Recurrent Filing Activities (Calendar Filings)

You can create recurrent activities using the **Activity Code** dialog. For example, you can set up an activity to occur automatically every year on the same date, for annual filings or reports.

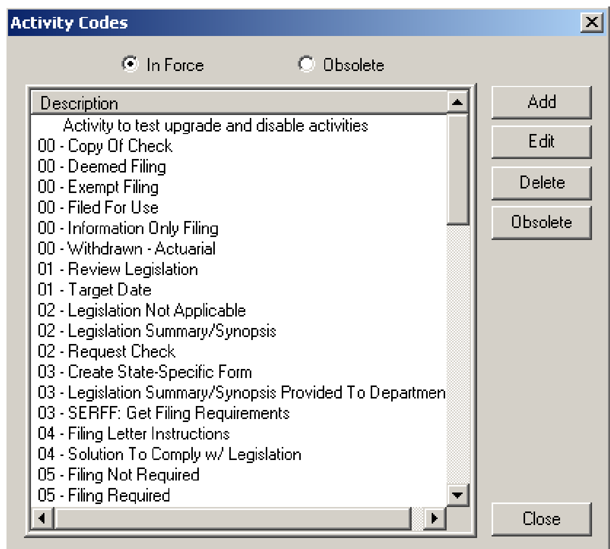
### Creating Recurrent Filing Activities

You create a recurrent activity at the Filing level.

#### Method: Create a recurrent filing activity

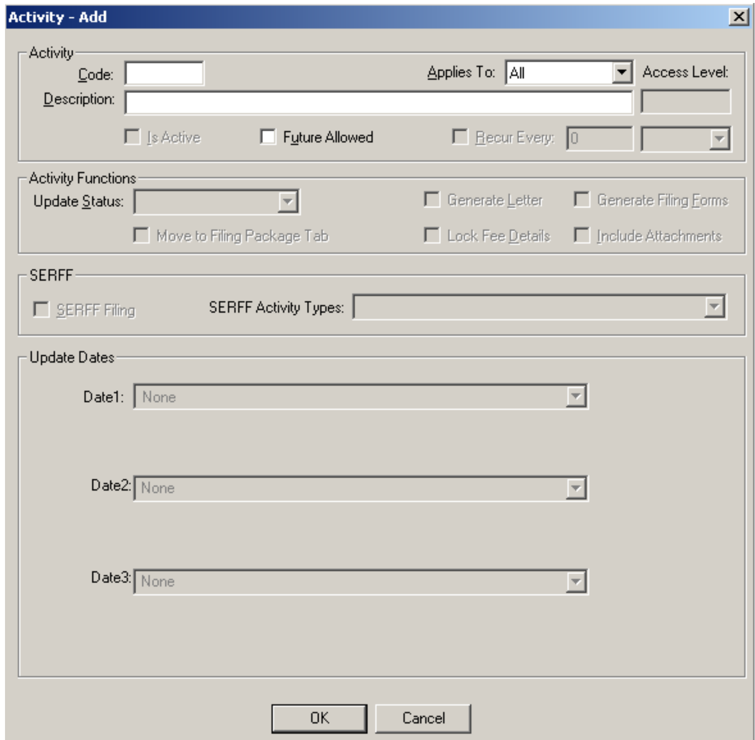
1. Select **Admin** > **Custom Tables** > **Activity Codes**.

   The **Activity Codes** list opens, with the **In Force** activity codes displayed.




2. Click **Add**.

   The **Activity - Add** dialog opens.




3. Complete the **Code** and **Description** entry boxes.
4. Click the **Applies To** drop-down menu and select **Filing**.
5. Select **Recur Every**.
6. In the entry boxes beside **Recur Every**, enter the number and the units for the applicable timeframe.
7. Click **OK** to save your changes and return to **Activity Codes**.
8. Repeat steps 2 to 7 for additional recurrent activities.
9. When finished, click **Close**.

## Custom LOBs

This section describes:

- *Mapping Custom LOBs to Standard LOBs* on page 80
- *Changing LOB Mappings* on page 82
- *Deleting LOB Mappings* on page 93
- *Mapping Multiple LOBs to a Custom LOB* on page 83

### Mapping Custom LOBs to Standard LOBs

If you have entered lines of business that do not match the standard Tracker lines of business, then you will have to map them to the standard Tracker lines of business.

**Important** After you have finished mapping, you need to log out of Tracker, then log back in. This is required for any mapping changes take effect.

**Note** **Multiple LOBs and SERFF Filings**.

The SERFF system generally does not allow for multiple LOBs to be combined and submitted in a single filing. If you create a custom LOB that is mapped to two or more standard LOBs, a warning appears:

> *SERFF does not support creating the following file(s) for a Customized LOB that has been mapped to multiple standard LOBS.*

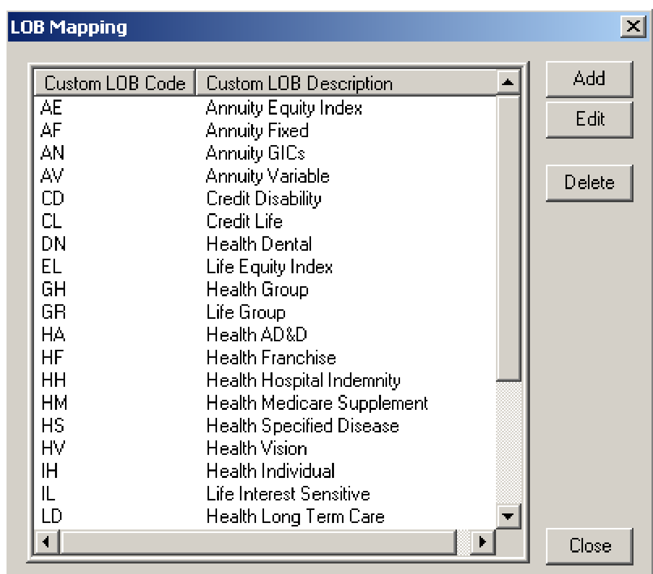
*Do you still want to continue?*

You can still continue to create the multiple LOB mapping by clicking **Yes**. However, be aware that if you create this filing, its submission might not be accepted.

### Method: Map a non-standard Line of Business to a standard Line of Business

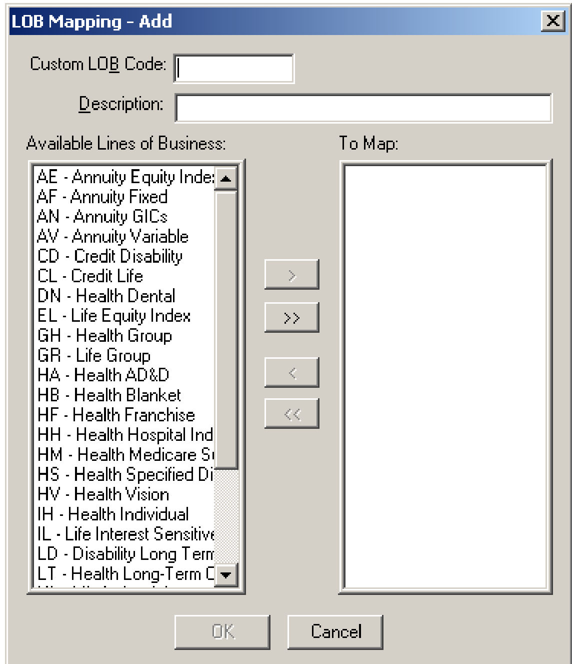
1. Select **Admin > Custom Tables > LOB Mappings**.

   The **LOB Mapping** dialog displays.




2. Click **Add**.

   **LOB Mapping - Add** opens.




3. Enter your company’s **Custom LOB Code**.
4. Select the corresponding standard **Available Line of Business**.
5. Enter a brief **Description** of your company’s custom LOB.
6. Click **OK** to save the mapping.
7. Repeat steps 2 to 6 for other LOB mappings you want to make.
8. When finished, click **Close**.

## Changing LOB Mappings

You can change LOB mappings.

### Method: Change an LOB mapping

1. Select **Admin** > **Custom Tables** > **LOB Mappings**.

   **LOB Mapping** opens.
2. Click the LOB record you want to change.
3. Click **Edit** to open the related LOB Mapping dialog box.
4. Make any necessary changes and click **OK**.
5. Repeat steps 2 to 4 for other LOB mappings you want to change.
6. When finished, click **Close**.

## Deleting LOB Mappings

You can delete LOB mappings.

### Method: Delete an LOB mapping

1. Select **Admin > Custom Tables > LOB Mappings**.

   The **LOB Mapping** dialog opens.
2. Click the LOB record you want to delete.
3. Click **Delete**.

   A message appears asking you to confirm whether you really want to **delete this mapping**.
4. Click **Yes** to confirm the deletion (or **No** to cancel the deletion) and return to the LOB Mapping dialog.
5. Repeat steps 2 to 4 for other LOB mappings you want to delete.
6. When finished, click **Close**.

## Mapping Multiple LOBs to a Custom LOB

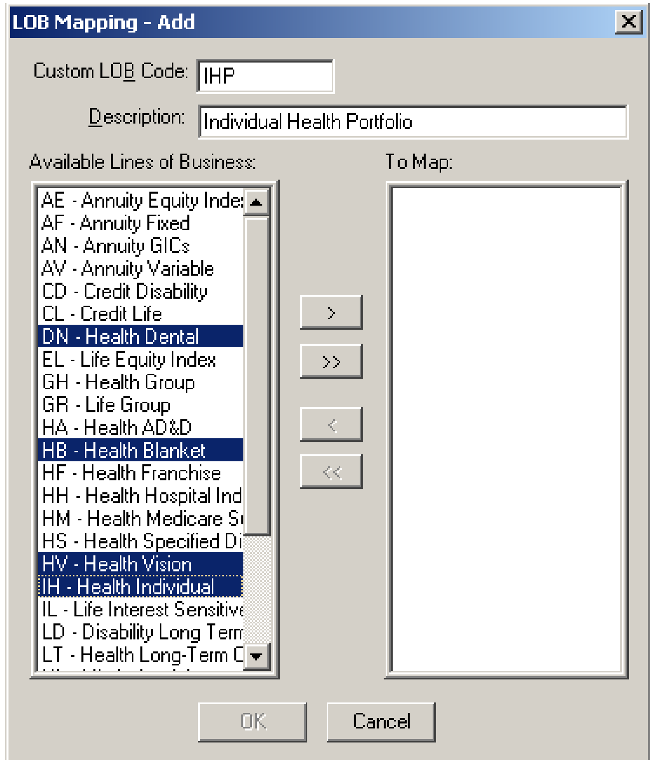
This feature allows you to file for more than one line of business (LOB) in a single filing. This is useful for products that contain more than one LOB. You can set up a custom line of business that maps to multiple standard lines of business.

### Method: Map multiple LOBs to a custom LOB

1. Select **Admin > Custom Tables > LOB Mappings**.

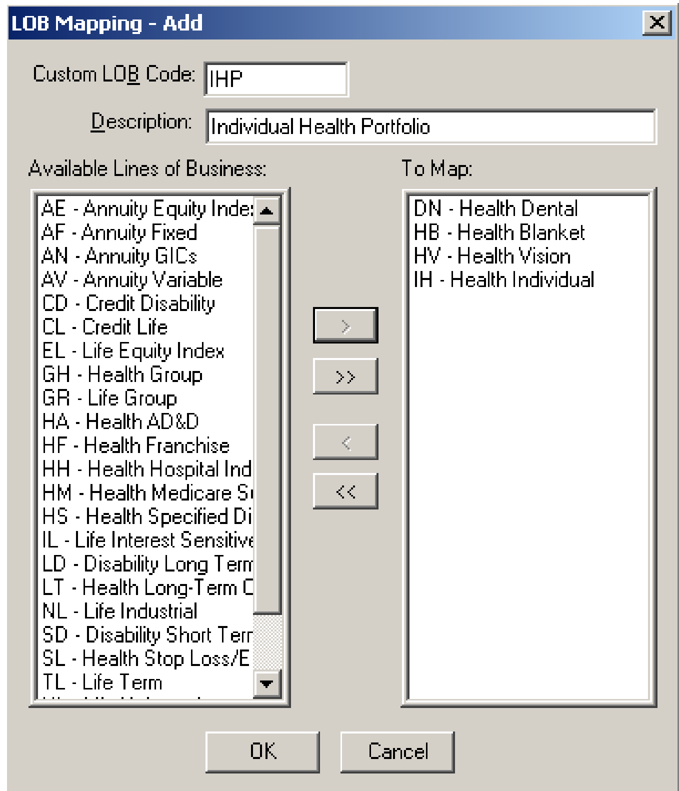
   The **LOB Mapping** dialog opens.
2. Click **Add**.

   The **LOB Mapping – Add** dialog displays.
3. Enter the code for this LOB in **Custom LOB**.
4. Enter the **Description** for this LOB.
5. Select the lines of business to which you want to map the custom LOB. All of the available lines of business are listed in **Available Lines of Business**.




6. Click the right arrow button to include these standard LOBs in your custom LOB.

   The LOBs are moved to **To Map**.




**7.** Click **OK** to save the custom mapping.

If you are working with Tracker integrated with SERFF, a warning message appears.

**8.** Click **Yes** to continue and return to **LOB Mapping**.

**9.** Repeat steps 2 to 8 to create other multiple.

**10.** When finished, click **Close**.

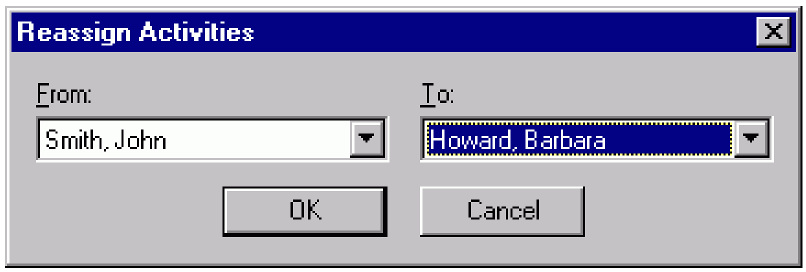
# Reassigning Activities

This feature allows you to reassign Post Activities to another user.

### Method: Reassign an activity

**1.** Select **Admin** > **Reassign Activities**.

**Reassign Activities** opens.




**2.** Click the **From** drop-down menu and select the name of the person from whom you want to unassign the activity.

**3.** Click the **To** drop down box and select the name of the person to whom you want to reassign the activity.

**4.** Click **OK** to complete the reassignment (or click **Cancel** to stop the reassignment).

**Note** The person you reassign the activity to is not automatically notified. You must do this by some other method, for example by leaving voice mail, updating your intranet portal, sending an email or fax, and so on.

# Administrative Reports

A number of reports are available to summarize various types of administrative information in the system. These administrative reports provide administrative level information about the companies and users in your system. For example, you can produce a report that lists authority information for every company in your system.

These reports are available only through the **Administration** menu, and are accessible only to users that have Administrator as their security level. For more information about non-administrative Tracker reports, please see *Searching, Reporting, and Filing Summary* on page 375.

The following administrative reports are available in Tracker:

- *General Company Listing Report* on page 87
- *Companies with Authorities Listing Report* on page 88
- *User Listing Report* on page 88

This section also describes *Generating Administrative Reports* on page 89.

## General Company Listing Report

The **General Company Listing Report** provides general information about each company, related department, and user listed in your Tracker system.

This report displays the following fields:

- Company Name
- Company Code
- Name
- Address
- City
- State
- Zip
- Phone
- Fax
- Toll-Free Phone
- URL
- NAIC Group Code
- NAIC Company Code
- FEIN
- State of Domicile
- Country

- SERFF ID
- Department Name
- Department Address
- Department State
- Department Zip
- Department Phone
- Department Fax
- Department Toll-Free Phone
- User Name
- User Designation
- User Title

**Note** Currently, the SERFF IDs of companies are not captured in this report.

## Companies with Authorities Listing Report

The **Company with Authorities Listing Report** provides a list of all companies recorded in your Tracker system, together with the states and lines of business for which each is licensed.

This report displays the following fields:

- Company Name
- Company Code
- State
- Line of Business

## User Listing Report

The **User Listing Report** provides detailed information about every Tracker user listed in your system.

This report displays the following fields:

- User Name
- Department
- Insurance Type
- User Group
- Prefix
- First Name
- Middle Initial

- Last Name
- Initials
- Title
- Access Level
- Phone
- Fax
- Toll-Free Phone
- Email Address
- Professional Designation(s)
- Address
- City
- State
- Zip
- Country
- Signing Authority

## Generating Administrative Reports

Administrative Reports are produced in the same manner as all standard Tracker reports. (See *Searching, Reporting, and Filing Summary* on page 375 for more information.)

---

### Method: Generate an administrative report

---

**1.** Select **Admin**> **Reports**.

**The Reports** dialog displays.

**2.** Select the report you want to produce.

**3.** To generate the report with default values, click **Preview**.

or

(if available) To change the selection criteria and sort order, follow these steps:

**a.** Click **Parameters**.

**The report settings dialog displays**.

**b.** Define the **Selection Criteria** which you want the report to encompass. Here a selection of fields appropriate to the report you are creating are presented. You can specify a single member for each field, or select **All** to generate a report for all the members of that field group.

c. In **Sort Order**, enter the number corresponding to the field by which you want the report to be sorted.

d. Click **OK**.

Tracker generates the report you have specified using your dates, criteria, and sort order, and a preview of the generated report appears in a Crystal Reports viewer window.

4. Review the generated report.

   If you need to make changes, close the preview window and redefine the report criteria.

5. To print the report, click **Print**.

   The report prints to your default printer.

# Chapter 3

# Logging into Tracker

When your Tracker administrator sets up your company's Tracker system, every Tracker user's computer will be provided with a single shortcut which you will use to access Tracker.

If the *Windows Authentication* login option is configured by your administrator, you will use your Windows ID and password to log into Tracker. With this option, you would therefore not need to enter a separate user ID and password to log into Tracker.

If you are not configured to use the *Windows Authentication* option, you must use the Tracker Login method.

**Note** You Tracker administrator will implement the login method your organization will use based on your company's requirements.

This chapter describes:

# Tracker Login

**Note** This section applies only if your Tracker administrator has not configured the Windows Authentication login option for your organization.

Your Tracker administrator will need to give you a Tracker **Username** and a **Password** to enter the Tracker system.

Your **Username** is the name or code which you use to identify yourself to the system. It is usually a version of your name, such as your first initial plus your last name, but it can be any selected code.

Your **Password** is a secret 6-20 character code which identifies you to the system. It is case-sensitive and can be made up of letters or numbers, or a combination of both. Initially, your Tracker administrator will give you your username and a temporary password to use when you first access Tracker.

## Logging In

### Method: Log in to Tracker

1. Double-click the Tracker shortcut on your desktop. The Tracker splash screen appears briefly, displaying version and identification information about Tracker.

   **If you are configured to use the Windows Authentication login:** you will be logged into Tracker automatically.

   **If you are not configured for Windows Authentication login,** the **LogIn** box opens. Follow these steps:

   a. Enter your **Username** and your **Password**. Note that the password appears onscreen as a series of asterisks, to protect your privacy. Passwords are case-sensitive.

   b. Click **OK**.

   In a few seconds, the Tracker **Top Level** screen appears.

**Note** If you enter your Tracker login username or password incorrectly, an error message appears indicating that you have made a mistake. You can then try to enter your password two more times; if it is still incorrect, Tracker will close and you will need to contact your Tracker Administrator, who will enable you to create a new Tracker login password.

# Changing Your Tracker Login Password

**Note** This section applies only if your Tracker administrator has not configured the Windows Authentication login option for your organization.

Your Tracker administrator will give you your username and a temporary password to use when you first access Tracker.

After entering the Tracker system for the first time, you should change your password to something that is meaningful to you. You may change your password at any time, from any point in the system.

### Method: Change your Tracker login password

1. Select **View** > **Options** > **Password**.

   The **Change Password** dialog displays.
2. Enter your **Old Password** (it will display as a series of asterisks).
3. Enter the **New Password** you have chosen (it will display as a series of asterisks).
4. Enter your **New Password** a second time, so that the system can verify it.
5. Click **OK**.

   Your password has been changed.

# Chapter 4

# Programs and Filing Groups

Programs are the top level of Tracker. They contain filing groups, and each filing group contains a set of related filings. Each filing is ultimately used to create a filing package, which is then submitted to each state Department of Insurance.

You work with products in the Filing Module of Tracker. See *Filing Module* on page 3 for more information.

This chapter describes:

# Working with Company Products

You must create a company product before you can create any filing groups or filings.

This section describes:


- *Creating a New Company Product* on page 96
- *Editing Company Products* on page 97
- *Deleting Company Products* on page 98

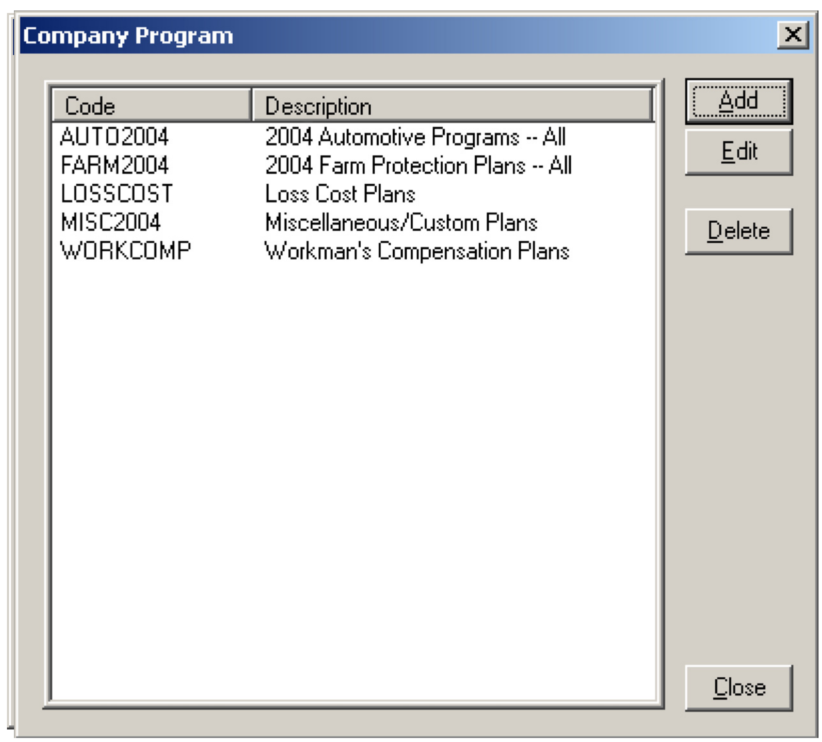

## Creating a New Company Product

Use the following method to add a company product.

### Method: Add a new company product

1. Select **File** > **Company Product.**

   The **Company Product** list box displays.




2. Click **Add.**
3. The **New Company Product** dialog displays.


4. Enter the 8-character Code (name) of the new product, and a short **Description**.
5. Click **OK** to return to the Company Product dialog.

   The product you just added will now appear in the list of products.
6. Click **Close**.

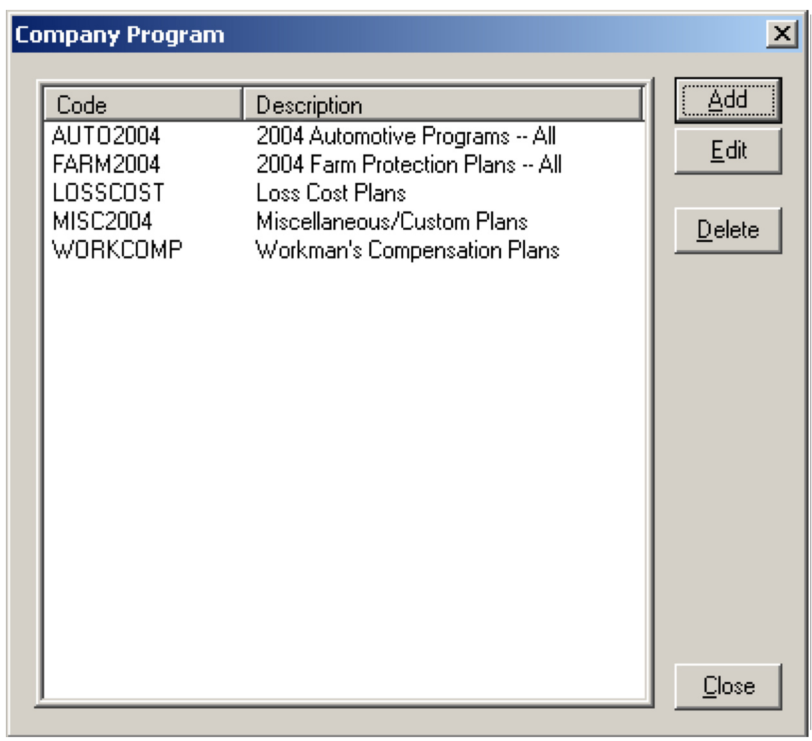
## Editing Company Products

Use the following method to edit a company product.

### Method: Edit a company product

1. Select **File** > **Company Product.**

   The **Company Product** list box displays.




2. Click the product you want to edit and click **Edit**.


3. Edit the **Description** as required.

**Note** You cannot edit the company product code.

4. Click **OK** to save the company product.
5. Click **Close**.

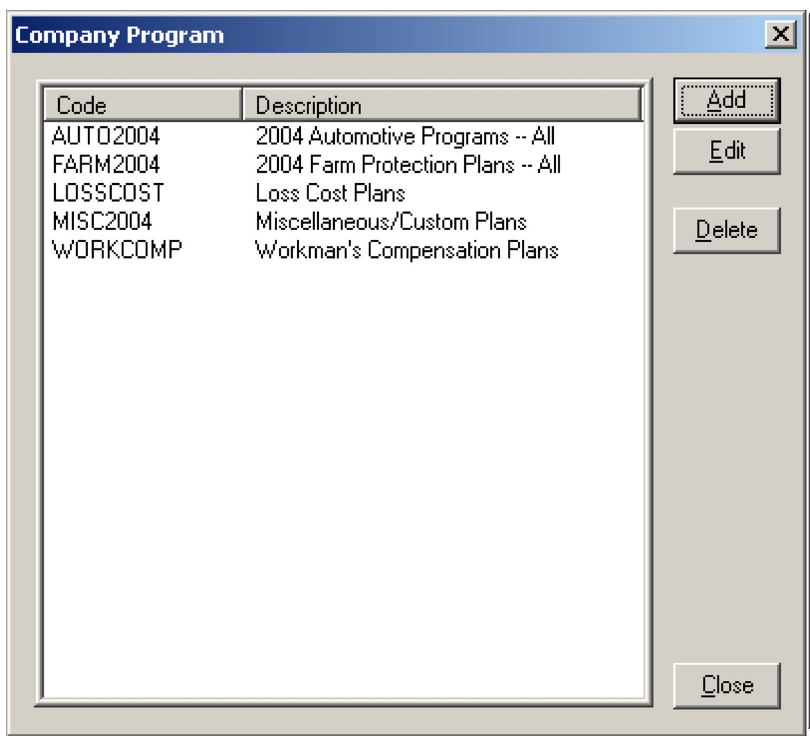
## Deleting Company Products

Use the following method to delete a company product.

### Method: Delete a company product

1. Select **File** > **Company Product.**

   The **Company Product** list box displays.




2. Select the product you want to delete and click **Delete**.

A confirmation dialog appears.

3. Click **Yes** to delete the product. Click **No** to cancel deleting the product.

   The appropriate action occurs.

**Note** If the product has filing groups associated with it and you click **Yes**, the product will not be deleted. You will see the following error message:

*Unable to delete company* product*; it is used by existing filing groups.*

# Working with Filing Groups

After you have created a company product, you can add filing groups to it to organize your filings.

The following tasks deal with filing groups:

- *Adding a New Filing Group* on page 100
- *Viewing the Filing Groups for a Specific Product* on page 101
- *Accessing a Filing Group Record* on page 102
- *Viewing Filing Group Tabs* on page 102
- *Entering a Filing Group Code* on page 102
- *Overriding the Filing Group Code Number* on page 102
- *Creating a Filing Group Past 99999* on page 103
- *Creating Filing Groups in a Multi-User Environment* on page 103

## Adding a New Filing Group

You can add a new filing group at any time using the **File** menu **New Filing Group** command.

The keyboard shortcut Ctrl + N will also access the **New Filing Group** dialog; it can be used from most main screens. It cannot be used when the **File** menu is open.

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### Method: Add a new filing group

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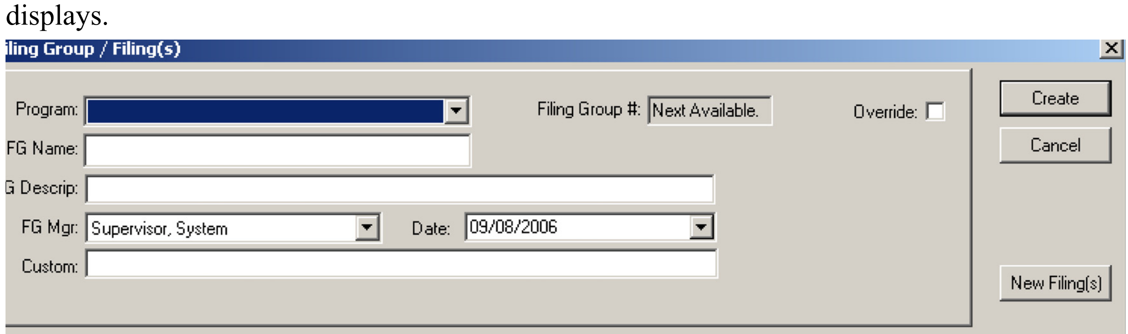
1. Select **File > New Filing Group,** or click the **New Filing Group** button. 

   The **New Filing Group** dialog displays.




2. Enter a **Product** by selecting one from the drop-down list.
3. In **Filing Group #**, you can:
   - let Tracker assign a system-generated filing group code
   - select the **Override** check box and enter a different filing group code

4. Enter the filing group **FG Name**, **FG Description**, **FG Mgr (Manager)**, and **Date** information. The **FG Mgr** and **Date** fields will be automatically filled in with your name and today's date (which you may change if desired).

**Tip:** **FG Name** and **FG Description** should be the same. **Product** and **FG Name** should be different.

5. Complete the **Custom** text box, if required.

6. To create the filing group and exit the dialog, click **Create**.

   The new filing group is added.

   *OR*

   To proceed to create filings for this filing group immediately, ensure you have selected a product and click **New Filing(s)**.

**Note** For more information on how to work with filings after clicking **New Filing(s)**, see *Adding New Filings* on page 116.

## Viewing the Filing Groups for a Specific Product

Follow these steps to view the filing groups for a specific product.

### Method: View the filing groups for a specific product

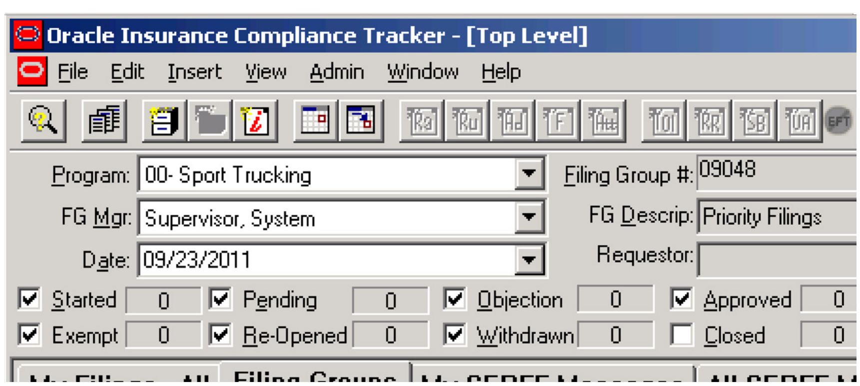
1. Navigate to the Top level.

2. On the Filing Group header, locate the **Product** field.

3. From the **Product** field drop-down list select the product whose filing groups you want to view.

   The filing groups for this product will appear on the Filing Groups list tab.

4. When you select (highlight) a filing group on the list, the related basic information for that filing group will appear in the Filing Group header fields.



## Changing Filing Group Settings

You can change some of a filing group's settings (the ones that are not greyed out) by selecting or entering new values, and saving.

## Accessing a Filing Group Record

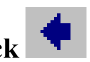
You may access a single filing group record from the Tracker Top level via the **Filing Groups** tab.

On the **Filing Groups** tab, select the filing group you want to view and double-click it to view the details of this filing group.

---

#### Method: Browse through the filing group files

---

You can browse through the filing group files, moving from one filing group to another, by using the **Back**  and **Forward**  toolbar buttons or equivalent **Edit** menu options.

## Viewing Filing Group Tabs

In addition to the filing group header, a filing group contains the following tabs:

- *The My Filings Tab and Filings Tabs* – For details, see *Accessing Filing Records from the Filing Group Level* on page 125.
- *The Activities Tab – Filing Group Level* on page 211
- *The Rates Tab — Filing Group Level* on page 151
- *The Advertisements Tab — Filing Group Level* on page 172
- *The Forms Tab — Filing Group Level* on page 134
- *The Other Attachments Tab* – see *Other Attachments* on page 187
- *The NAIC Filing Description Tab* – see *NAIC Filing Descriptions* on page 193

## Entering a Filing Group Code

The Filing Group Code is a five-character numeric code used to identify a group of related filings (such as all the filings in a multi-state filing). You can create as many filing groups as required within a given product. Tracker will automatically provide the next number in the series when a new filing group is created. This automatic assignment of numbers can be overridden at the time of creation (see details below).

## Overriding the Filing Group Code Number

Tracker will automatically choose the next number in the filing group series each time you create a new filing group. You will see this in the Filing Group field when you access the New Filing Group dialog box. If you want to change this code to a different number, click in the **Override** box, and then manually enter the number you want. Note that you cannot enter a number which already exists in the system. If you do, an error message appears and you will need to re-enter the Filing Group Code.

**Note** If you override the filing group code with a larger number, Tracker will automatically number subsequent filing groups continuing from that new larger number.

## Creating a Filing Group Past 99999

When you are creating a filing group and your system has reached `99999`, the system automatically rolls over and begins searching from `00001` to look for the next available filing group number (for example, `00010` might be the next available unused number).

## Creating Filing Groups in a Multi-User Environment

You can create a filing group while other users are simultaneously creating filing groups. If more than one user creates a filing group at the same time, Tracker assigns each user a different number (in sequential order). When the filing group is successfully entered, a message box opens indicating the filing group number that has been assigned to the group you just created.

# Chapter 5

# Working with Filings

This chapter provides detailed information about working with filings in Tracker, whether you are using paper-based filings or working with SERFF.

This chapter describes:

# Adding New Filings

Typically, you add a new filing or filings while creating a new filing group, or from within an existing filing group. (New filings can also be created after completing a recurrent activity or while viewing publication). Tracker will automatically make the new filing a member of whatever filing group you are working in. A new filing you add to an existing filing group will automatically have all the attachments (schedule items) that are currently in the filing group, as well as any added later.

**Note:** Multi-state filings are created in the same manner as single filings. The process simply generates more than one related filing under the same filing group.

New filings are added using the **Create New Filing(s)** dialog. There are three tabs on this dialog:

- **Details**: used to select Type and CLS combinations
- **Product/Filing Group Setup**: used to add common settings for filings (Filing Type, Start Date, Filing Description, Filing Manager, Custom, and Company Reference #)
- **Filing Setup**: used to add or modify the settings entered on the Product/ Filing Group Setup tab, and to add the Company Reference # and NAIC Filing Description.

**Important:** The Filing Description field plays a critical role in organizing filings. Since a user can create filings with the same Company, LOB and State in the same Filing Group, a Filing Group may contain several filing projects. The Filing Description field is the unique identifier for each filing project in a Filing Group. It is critical that a user does not use the same Filing Description for separate filing projects in the same Filing Group.

---

### Method: Add a new filing or filings

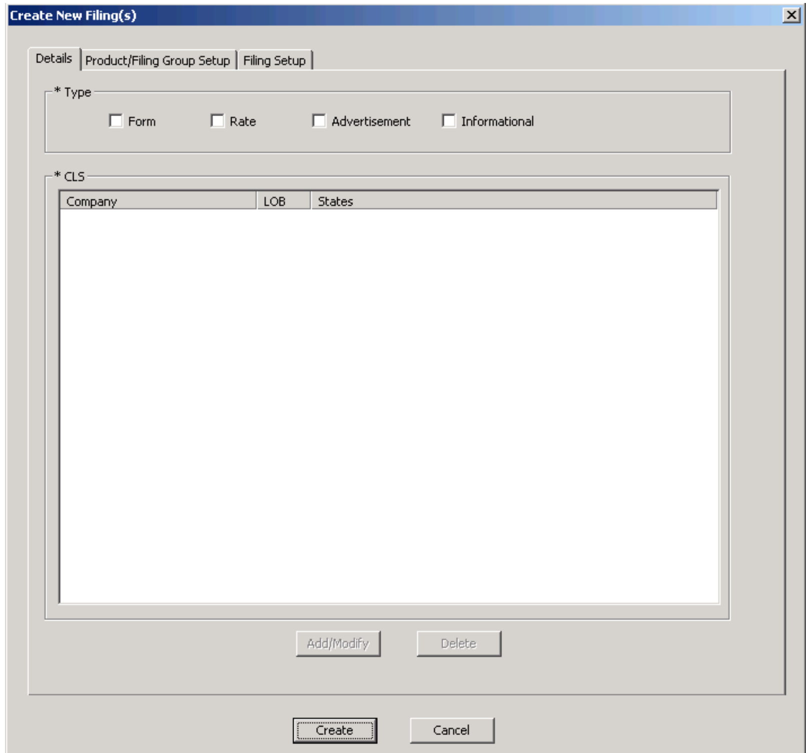
---

1. While creating a new filing group (see *Adding a New Filing Group* on page 110), click **New Filing(s)**

   *OR*

   At the Filing Group level, click the **New Filing** button .

   The **Create New Filing(s)** dialog opens, and the **Details** tab is displayed.

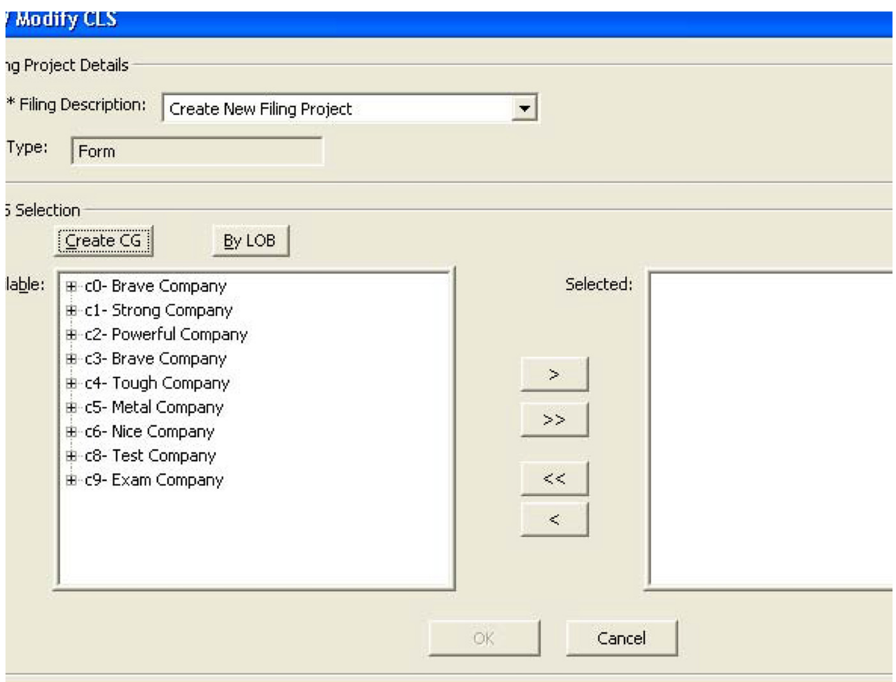



2. Select the appropriate **Type** check boxes.

**Note:** At least one **Type** must be selected.

3. Click **Add/Modify**.

The **Add/Modify CLS** dialog displays.

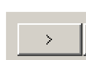


4. Enter a **Filing Description** by doing one of the following:
   - To add new filings to a new project, leave the default text “Create New Filing Project” in the Filing Description.

     *OR*
   - To add filings to an existing filing project, click the down-arrow button to display the list of all filing descriptions in the filing group, and select one or more filing descriptions from the list. If you make multiple selections, then each selection displays in the field separated by a comma.

**Note:** The **Filing Description** cannot be changed after selecting one or more CLSs. To change the **Filing Description** after selecting one or more CLSs, remove all CLSs from the **Selected** list.

5. From the **Available** list on the left, choose the desired company/state/line of business (CLS) combination(s) for this filing.
   - The CLS combinations shown in the list are determined by the administrative setup. They are grouped first by company and then by state (default) or by LOB, depending on the position of the **By LOB** button above the **Available** list. You can toggle between the two views as often as you require.
   - Companies listed are licensed for a least one LOB in one state.
   - The list shows only those LOBs for which the company is licensed.
   - Expand branches of the list by clicking any of the + buttons.
   - Select the check box beside each desired CLS combination.
6. When you have finished selecting LOB combinations, click the right arrow.

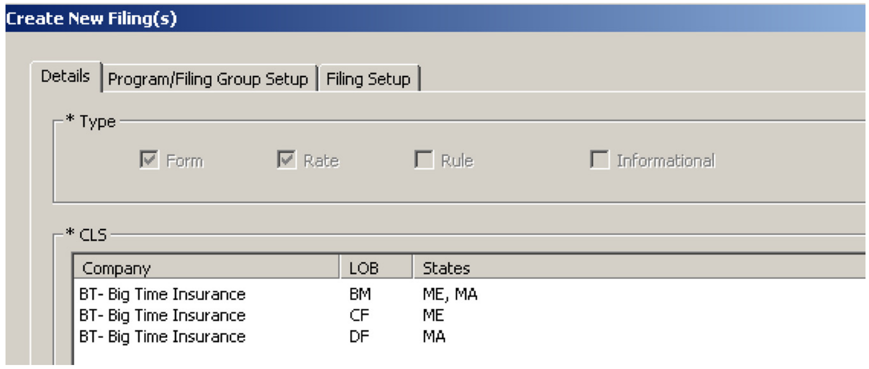
   The selected combination(s) appear in the **Selected** list.

**Tip:** If you double-click a CLS combination in the **Available** list or the **Selected** list, it will immediately move to the other list. You can also use the double arrow button to move all LOB combinations from one list to the other.

**Note:** At least one CLS combination must be selected.

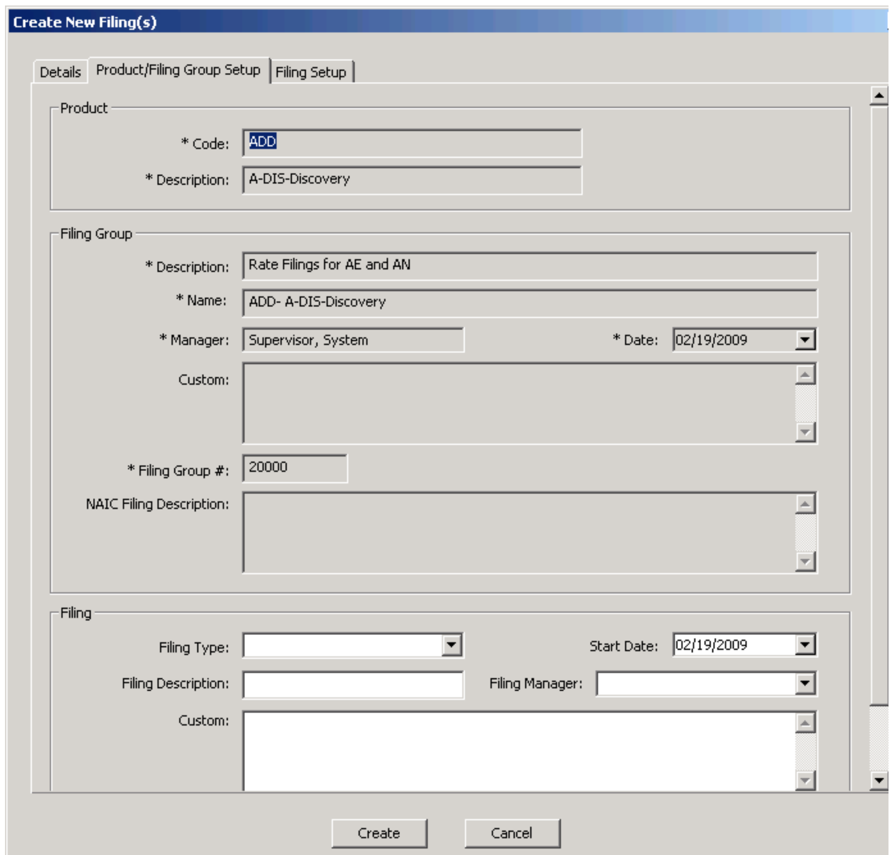
7. When you are satisfied with all the information displayed, click **OK**.

   Tracker saves the CLS selections and closes the **Add/Modify CLS** screen. The **Details** tab displays with the new CLS selections in the **CLS** table.




8. Click the **Product/Filing Group Setup** tab.

The **Product/Filing Group Setup** dialog displays.



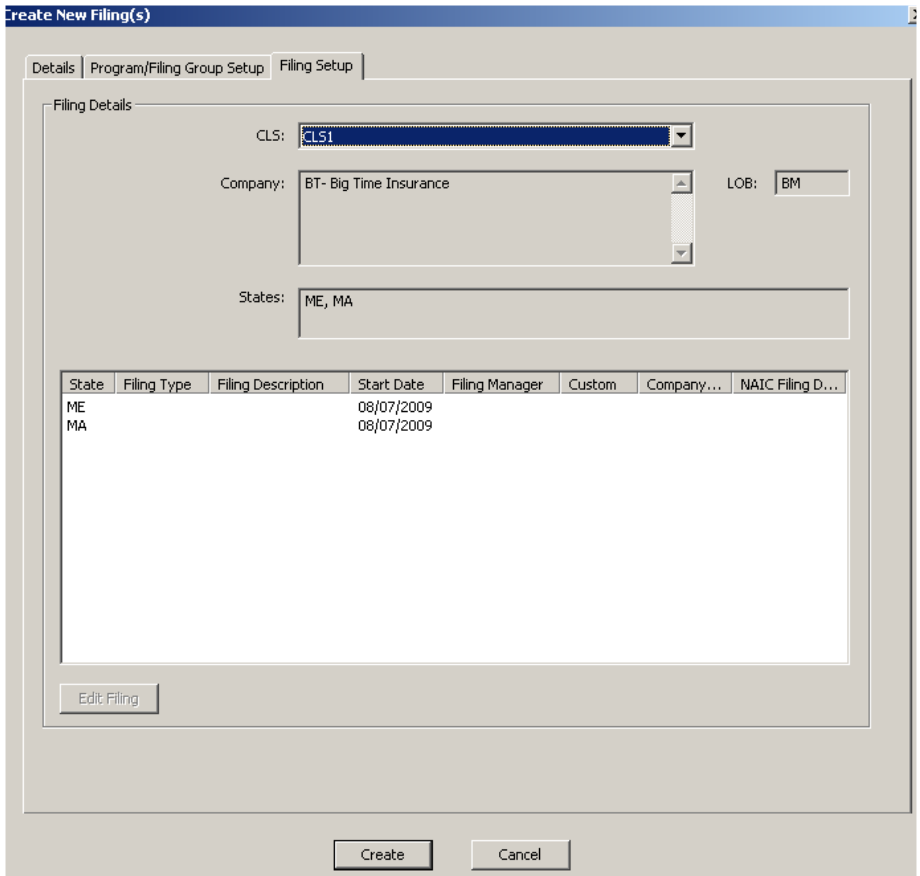

In the filing group, you may optionally complete the following fields:

- Filing Type
- Start Date
- Filing Description
- Filing Manager
- Custom
- Company Reference #

**Note:** The purpose of these Filing level fields in this dialog are to give you a start on populating the Filing level fields on the **Filing Setup** tab. Each field populated on this screen will apply to all filings on the **Filings Setup** tab. You are not required to populate any of these fields on this screen. You can go directly to the **Filing Setup** tab to populate these Filing level fields if desired.

**9.** When you have finished, click the **Filing Setup** tab.

The **Filing Setup** dialog displays.



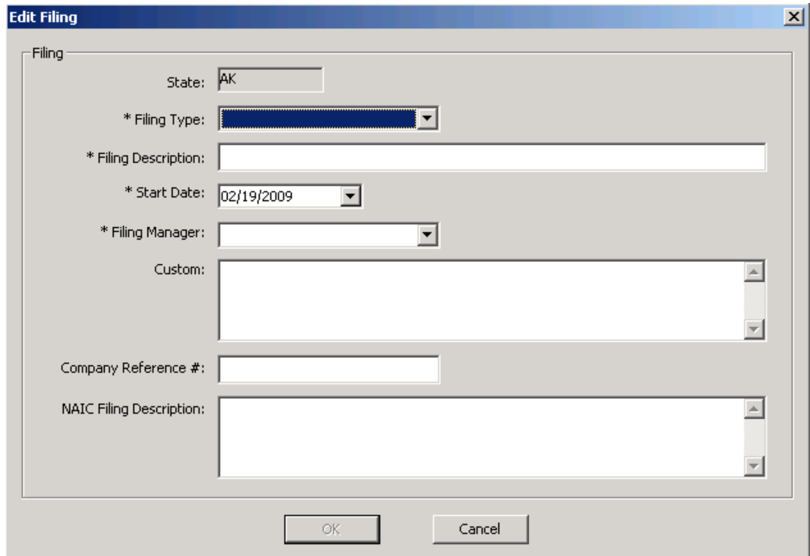

A drop-down list of system-numbered CLS combinations is created. Selecting a CLS combination from the drop-down list displays that CLS combination's information (the Company, LOB, and States). A table of filings for that CLS combination is also displayed.

**10.** Choose a CLS combination from the CLS drop-down list.

The system displays that CLS combination's information and populates the table with values based on entries made in the Filing section of the **Program/Filing Group Setup** tab.

**11.** Select a filing and click **Edit Filing** (or double-click on the filing).

The **Edit Filing** dialog displays.




12. Complete or revise the fields.

**Note:** Fields marked with an asterisk are required.

13. When finished, click **OK**.

    The **Edit Filing** dialog closes, the new or modified entries are saved, and the Filing Setup tab displays.

14. Repeat steps 10 to 13 for all CLS combinations and filings until the information on all filings is complete.

15. Click **Create.**

    Tracker displays a status box that updates as the filings are created.

16. When the status box indicates that the process is done, click **Close**.

    The newly created filing(s) will appear on your **My Filings** tab, **My Filings — All** tab of the Filing Manager, and the **Filings** tab in the appropriate Filing Group.

    Each filing is assigned a 14-character Tracker Filing ID based on the following:

    - 2-character State Code
    - 5-digit Filing Group number
    - 2-digit Company Code
    - 5-digit sequence number (counter of filings created in that filing group)

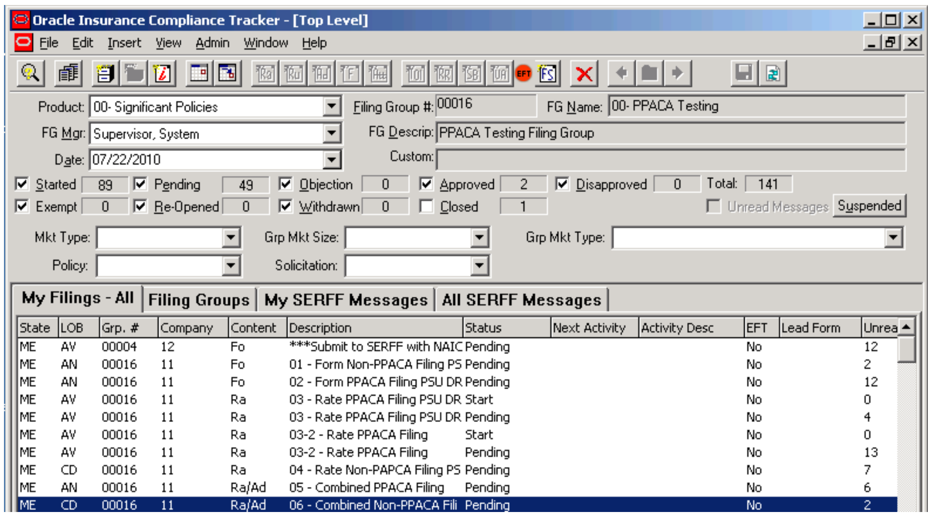
### Notes:

- For states that do not allow combined filings, Tracker will split the filings into separate rates, advertisements, and forms where applicable.
- The sequence number portion of the Filing ID does not recycle numbers of deleted filings.

- If separate CLS combinations have the follow elements in common, Tracker automatically combines them into one row as a CG filing and displays CG - Company Group and the Company Codes and Company Names as CG - Company Group (10 - CO1, 20 - CO2):
  - LOB
  - state
  - attachments (with matching state association and metadata associated
  - with the attachment)
  - dates

# The My Filings — All Tab

The **My Filings — All** tab displays a list of all of the filings in the system where you are assigned as the filing manager. From here, you can directly access the filing details for any of your filings.



The **My Filings — All** tab can show all of your filings, or be filtered to show only those filings of a particular status (such as *Started*, *Pending*, or *Closed*) or only those with a Suspense Date (pending future action) attached.

## Accessing the My Filings — All Tab

The **My Filings — All** tab can be accessed at any time from any point within Tracker using the **View** Menu option: **View My Filings — All**.

1. Select the **View** menu.
2. Select the **View My Filings — All** option. The Top Level with the **My Filings — All** tab will be displayed.

## Sorting the My Filings — All Tab

The Filing Description field is the unique identifier for each filing project in a Filing Group. As a result, the default sort order is first sorted by the Filing Description field so that each filing project is displayed together.

The default sort order of the **My Filings - All** tab is as follows:

- Filing Description (ascending)
- State (ascending)
- LOB (ascending)
- FG # (descending)
- Company Code (ascending)
- Content (ascending)

You can change the sort order by right-clicking a column header and select a new sort order from the context menu.

A sort on any column uses the following sort order where the first sort criterion is always the column selected for the sort:

- [column selected] (ascending or descending based on selection)
- State (ascending)
- LOB (ascending)
- FG# (descending)
- Company Code (ascending)
- Content (ascending)
- Filing Description (ascending)

Example #1: a sort initiated on the State column in ascending order is:

- State (ascending)
- LOB (ascending)
- FG # (descending)
- Company Code (ascending)
- Content (ascending)
- Filing Description (ascending)

Example #2: a sort initiated on the LOB column in ascending order is:

- LOB (ascending)
- State (ascending)
- FG # (descending)
- Company Code (ascending)
- Content (ascending)
- Filing Description (ascending)

Example #3: a sort initiated on the Content column in ascending order is:

- Content (ascending)
- State (ascending)
- LOB (ascending)
- FG# (descending)
- Company Code
- Filing Description

**Tip:** When a custom sort order selection is made, it is maintained until that user logs out.

## Filtering the My Filings — All Tab

You can filter your **My Filings — All** tab to display only the filings of a certain status group (or groups) which you define. On the Filing Group Header, there are located several status markers which tell you how many filings of each status (such as **Started**, **Pending**, **Approved**) are currently contained within a single filing group. Beside each of these status markers is a check box which can be used to define the status-types of filings you want to see.

There is also a **Suspended** button located to the right of these check boxes. If pressed, only those filings having the status(es) specified and having a Suspense Date (future activity) attached will be listed. By using this feature you can list only those filings requiring your immediate attention.

### Method: Filter the My Filings — All Tab

1. On the Filing Group Header, locate the **Filing Status** check boxes.
2. Click in the boxes beside each status type you want to appear in the **My Filings — All** tab.
3. If you want to view only filings having a Suspense Date attached, click the **Suspended** button located to the right of the checkboxes.
4. In the **My Filings — All** list, only filings having a status which you have selected will appear.

### Method: Access a single filing

- On the **My Filings — All** tab select the filing you want to view and double-click it to open the related details of the filing.

## Accessing Filing Records from the Filing Group Level

You can access a single specific filing from its related Filing Group level using the **My Filings** tab or the **Filings** list tab.

The **My Filings** tab displays a list of all of the filings in the selected filing group where you are assigned as the filing manager. The **Filings** tab displays a list of all of the filings in the selected filing group, including those where others are assigned as the filing manager.

The Filing Description field is the unique identifier for each filing project in a Filing Group (see Create Filing Section). As a result, the default sort order is first sorted by the Filing Description field so that each filing project is displayed together.

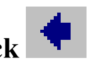
See also *Sorting the My Filings — All Tab* on page 113.

### Method: Access a filing from a Filing Group level

1. Navigate to the filing group with the filing you want to access.
2. On the **My Filings** tab or **Filings** list tab, double-click the filing you want to view.

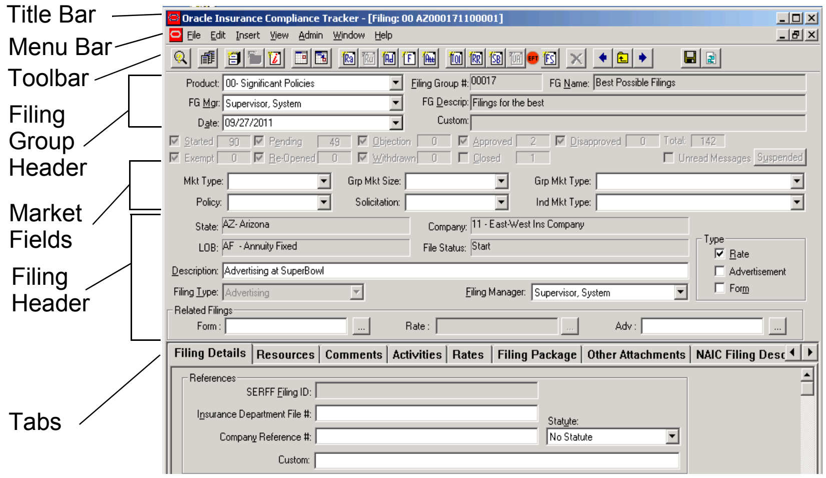
   The Filing level view of the filing displays.

## Browsing through the Filing Records

You can browse through the filing records within a filing group, moving from one filing record to another, by using the **Back**  and **Forward**  toolbar buttons or equivalent **Edit** menu options.

# Filing Header

This area of the Filing screen contains detailed information about the filing, as well as information about the filing group to which the filing belongs.




The Filing level is designed to give you quick and easy access to all your filing information.

The Title Bar shows the product code and the Identification Number.

The Filing Group Header shows the associated Filing Group #, FG Name and FG Description, the product that the filing group is a part of, and start date.

The Filing Header shows these fields:

- (filing) Description
- (start) Date
- Filing Type
- Filing Manager
- (content) Type — Rate, Advertisement, Form, or a combination
- Company
- State
- Line of Business
- File Status
- Related Filings for this filing.

Below the Filing Header are various tabs that contain additional information. The tabs shown at the Filing level are as follows:

- Filing Details
- Resources
- Comments
- Activities

- Forms (if it is a form filing)
- Rates (if it is a rate filing)
- Rules (if it is a rule filing)
- Filing Package
- Other Attachments
- NAIC Filing Description
- Filing Fee
- SERFF (if viewing a SERFF filing)

## The Tracker Filing ID

Each filing in the system is assigned a unique identification code to help you keep track of your filings.

This Tracker identification code is comprised of four elements:

- a State code (two digits)
- a Filing Group number (five digits)
- a Company Code (two digits)
- a Sequence number (five digits)

**Note:** The sequence number is a running count of all filings in a filing group. When a new filing is created in an existing group, the system assigns the next sequential number.

# Filing Tabs

Below the filing header are various tabs which contain additional information.

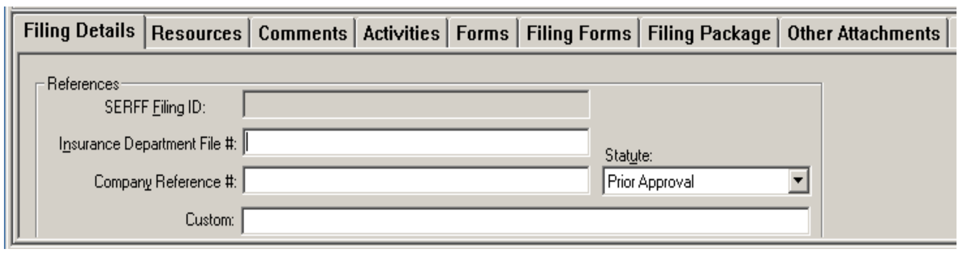
The filing tabs are described in the following sections:


- *The Filing Details Tab* on page 120
- *The Resources Tab* on page 204
- *The Comments Tab* on page 205
- *The Activities Tab – Filing Level* on page 206
- *The Forms Tab — Filing Group Level* on page 131
- *The Rates Tab – Filing Level* on page 154
- *The Rules  Tab — Filing Group Level* on page 166
- *The Filing Package Tab* – see *Activities and the Filing Package Tab* on page 229
- *The Other Attachments Tab* – see *Other Attachments* on page 181
- *The NAIC Filing Description Tab* – see *NAIC Filing Descriptions* on page 187
- *The Filing Fee Tab* – see *Entering Filing Fees* on page 189

# The Filing Details Tab

The **Filing Details** tab records additional general, date, and progress tracking information about a single filing. It is specific to one filing alone, even if that filing is part of a group of related multi-filings. You should add information to this tab as it becomes available, throughout the course of the filing process.

**Note:** The **Filing Details** tab contains a lot of information, and depending on the size of your monitor and your desktop set-up, you may need to use the vertical scroll bar located on the right-hand side of the tab to see all of the available fields.




## Entering Filing Details Information

**Note:** Some of the fields (including most date fields) on the **Filing Details** tab will be filled in automatically by the system as different activities are performed and posted for the filing, as the filing process progresses. Many fields can be changed if necessary.

---

### Method: Enter filing details

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**1.** In the **References** information section:

- Enter the **Insurance Department File #**, if any, assigned by the DOI.
- Enter the **Company Reference #**, if your company will be using another number different than, or in addition to, the Tracker filing identification number to identify this filing.
- Select the **Statute**. The default is **No Statue**.
- If necessary, enter text in the Custom field.

**2.** In the **Date Status** information section:

- The **Start Date** will be automatically filled in when you create the filing.
- The **Approved**, **Approval Received**, **Disapproved**, **Deemer**, **Filed**, **Approved Effective**, **Withdrawn**, **Resubmitted**, **Respond By**, **Objection, Implementation**, and **Custom Date** fields will be updated as you perform the activities associated with them over the course of the filing process and by certain messages received from SERFF.

**Note:** For PPACA filings, Implementation date is required; you will need to perform an activity that sets this date before you can submit the filing.

- In the **Days** option, enter the number of days after submission that you want this filing to take effect.
- The field names for the four **Custom Dates** are assigned in **System Defaults**: see *Performing Custom Table Tasks* on page 78.

**3.** In the **Print/Mail/Automation Status** information section:

- The **Scheduled Mail**, **Actual Mail**, **Rate Built**, and **EDP Rate Effective** dates will be updated as you perform the activities associated with them over the course of the filing process.
- Update the **Print Status** as necessary.

**4.** At the bottom of the Filing Details tab:

- The **Tracker Reference #** refers to the identification number for this filing if it was transferred from a version of Tracker before 4.0.

# Company Group Filings

This feature allows you to create filings for multiple companies that are filing the same policy forms, rates, and rules in any state.

## Adding Company Group Filings

**Note:** You can add a new filing or filings while creating a new filing group.

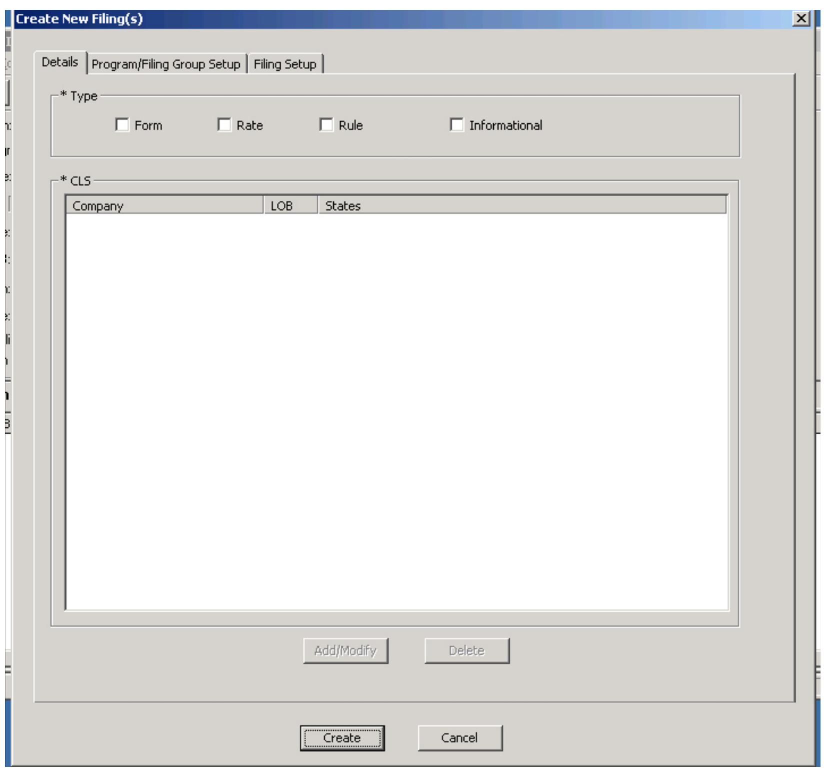
### Method: Add a Company Group filing

1. While creating a new filing group (see *Adding a New Filing Group* on page110), click **New Filing(s)**

*OR*

At the Filing Group level, click the **New Filing** button .

The **Create New Filing(s)** dialog opens, and the **Details** tab is displayed.

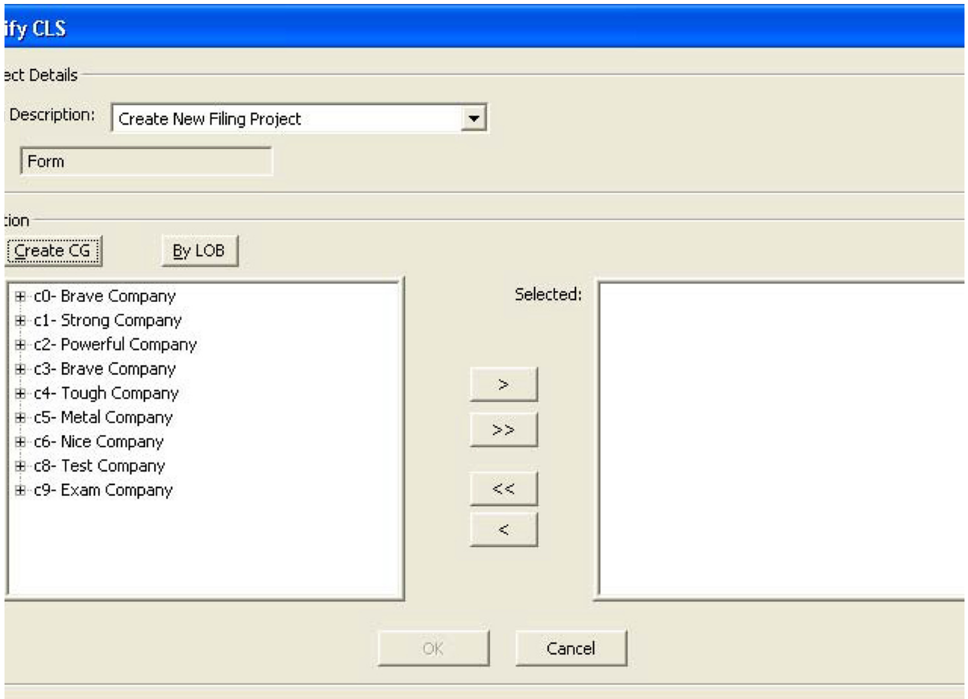



2. Select the appropriate **Type** check boxes.

**Note:** At least one **Type** must be selected.

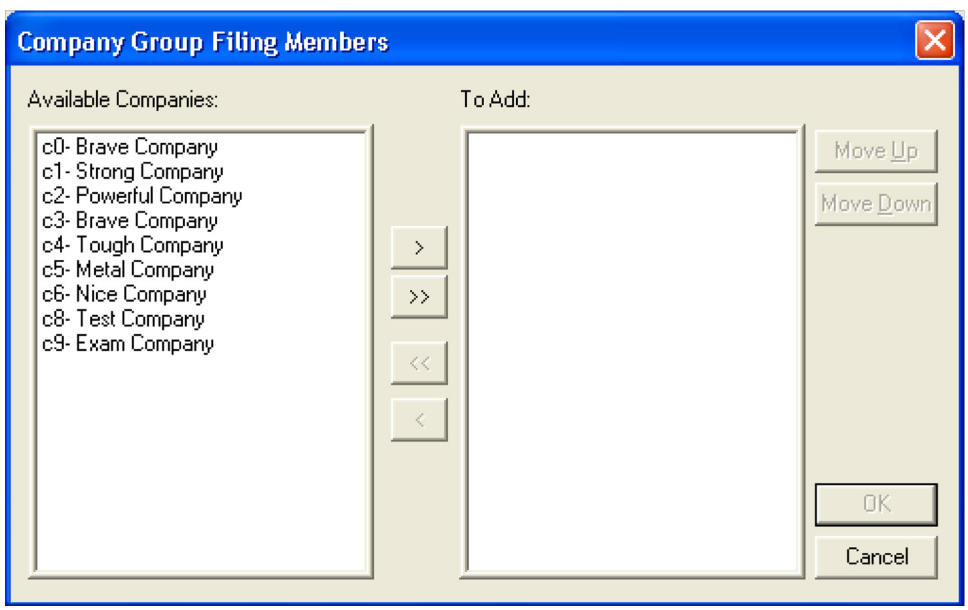
3. Click **Add/Modify**.

The **Add/Modify CLS** dialog displays.




**4.** Click **Create CG**.

The Company Group Filing Members dialog displays.



5. To move a company from the **Available Companies** list to the **To Add** list, select a company and click the right arrow button. Use the left arrow button for move a selected company from the **To Add** list to the **Available Companies** list. Use the double arrow buttons to move all companies listed from one list to the other.

6. Using the **Move Up** and **Move Down** buttons, adjust the order of the companies within the group. The **Move Up** and **Move Down** buttons are disabled if you make an inappropriate selection, (for example, when you attempt to move up the top company).

7. Click **OK** to save the new company group filing.

   The **Add/Modify CLS** dialog displays.

   This list of companies in the **Available** list box on the left is now replaced by CG-Company Group. The state/LOBs that appear in the tree are a combination of the authorities for all of the companies that make up the company group filing.

8. Click the right arrow button to move selected states and lines of business in the **Available** list box to the **Selected** list box.

9. When you are satisfied with all the information displayed, click **OK**.

   Tracker saves the CLS selections and closes the **Add/Modify CLS** screen. The **Details** tab displays with the new CLS selections in the **CLS** table.

10. Click the **Product/Filing Group Setup** tab.

    The **Product/Filing Group Setup** dialog displays.

    In the filing group, you may optionally complete the following fields:

    - Filing Type
    - Start Date
    - Filing Description
    - Filing Manager
    - Custom
    - Company Reference #

**Note:** The purpose of these Filing level fields in this dialog are to give you a start on populating the Filing level fields on the Filing Setup tab. Each field populated on this screen will apply to all filings on the Filings Setup tab. You are not required to populate any of these fields on this screen. You can go directly to the Filing Setup tab to populate these Filing level fields if desired.

11. When you have finished, click the **Filing Setup** tab.

    The **Filing Setup** dialog displays.

    A drop-down list of system-numbered CLS combinations is created.

    Selecting a CLS combination from the drop-down list displays that CLS combination’s information (the Company, LOB, and States). A table of filings for that CLS combination is also displayed.

**12.** Choose a CLS combination from the CLS drop-down list.

The system displays that CLS combination's information and populates the table with values based on entries made in the Filing section of the **Program/Filing Group Setup** tab.

**13.** Select a filing and click **Edit Filing** (or double-click on the filing).

The **Edit Filing** dialog displays.

**14.** Complete or revise the fields.

**Note:** Fields marked with an asterisk are required.

**15.** When finished, click **OK**.

The **Edit Filing** dialog closes, the new or modified entries are saved, and the Filing Setup tab displays.

**16.** Repeat steps 10 to 13 for all CLS combinations and filings until the information on all filings is complete.

**17.** Click **Create.**

Tracker displays a status box that updates as the filings are created.

**18.** When the status box indicates that the process is done, click **Close**.

The newly created filing(s) will appear on your **My Filings** tab, **My Filings** — **All** tab of the Filing Manager, and the **Filings** tab in the appropriate Filing Group.

Each filing is assigned a 14-character Tracker Filing ID based on the following:

- 2-character State Code
- 5-digit Filing Group number
- 2-digit Company Code
- 5-digit sequence number (counter of filings created in that filing group)

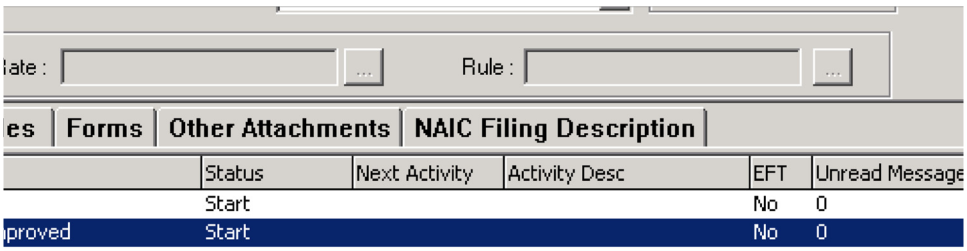
**Note:** You can also create company group filings by following the instructions for Adding New Filings on page 116. When creating new filings, if separate CLS combinations have the same LOB and state, Tracker automatically combines them into one row as a CG filing and displays CG - Company Group and the Company Codes and Company Names as CG - Company Group (10 - CO1, 20 - CO2).

## Viewing the Companies in a Company Group Filing

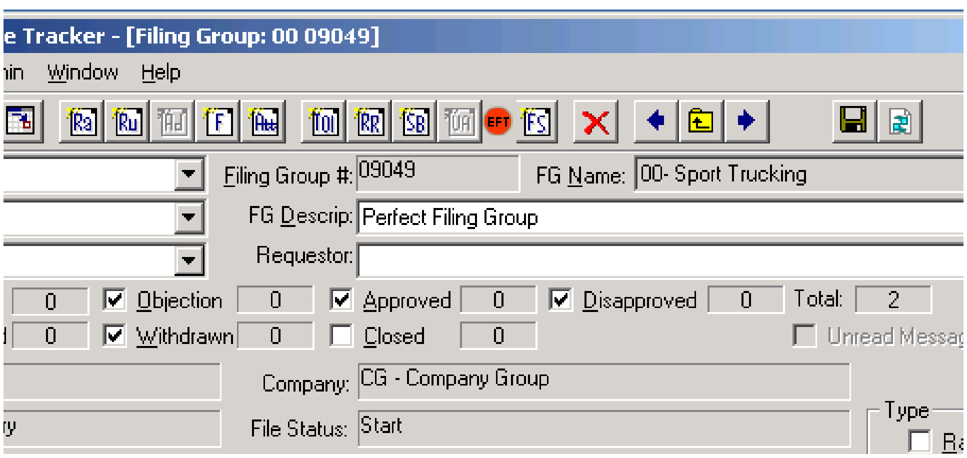
The company group filing appears in the display list with CG in the company code field.

## Method: View the companies in a Company Group filing

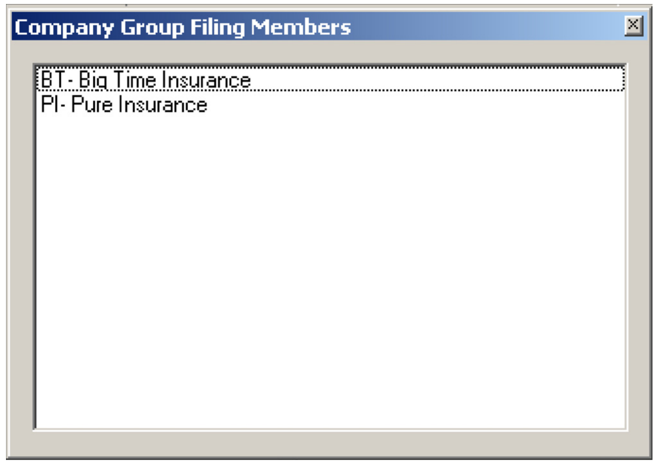
1. Navigate to the filing group with the company group filing that you want to view the companies for.
2. Highlight the company group filing.




3. Double-click the **Company** field in the header



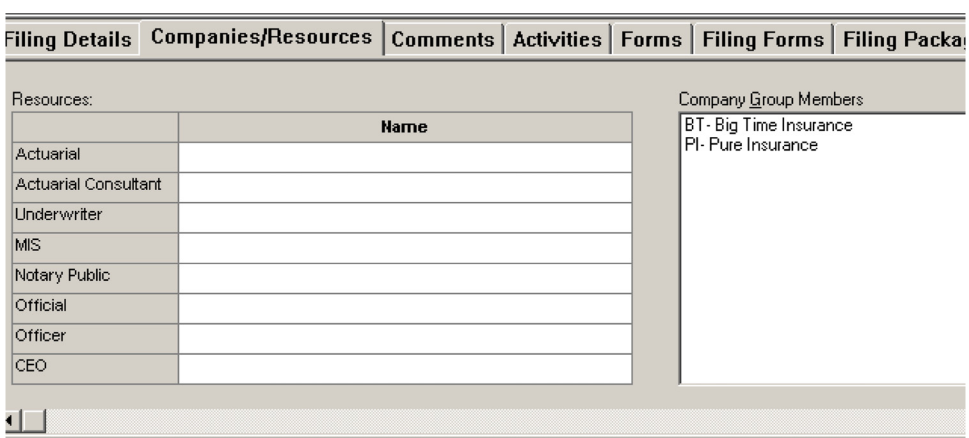

A list box displays showing the companies included in the group.




4. To close the **Company Group Filing Members** list box, do one of the following:
   - Click the **X** in the top right-hand corner of the list box.
   - Press **ESC**.
   - Press **Return**.
5. Navigate to the Filing level for the company group filing.

   Notice that the second tab from the left has been renamed "Companies/ Resources."
6. Click the Companies/Resources tab.

   The **Company Group Members** list shows all the companies that form part of the group.

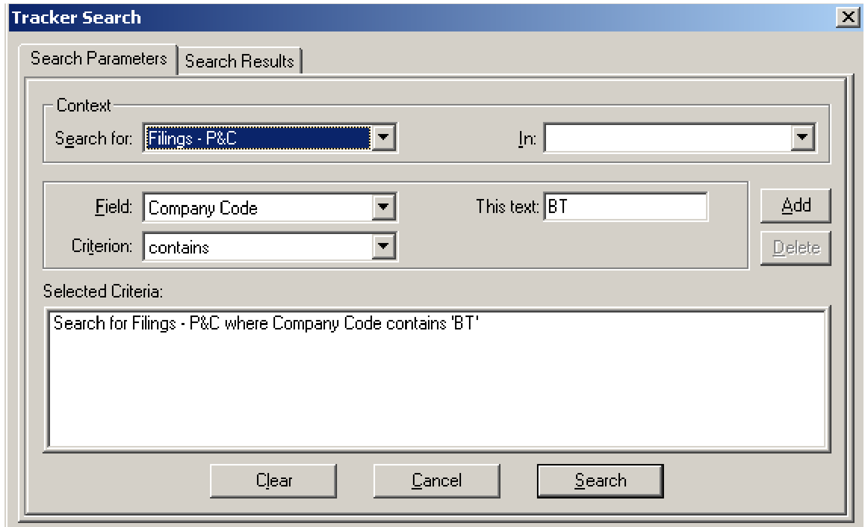



## Searching for a Company Group Filing

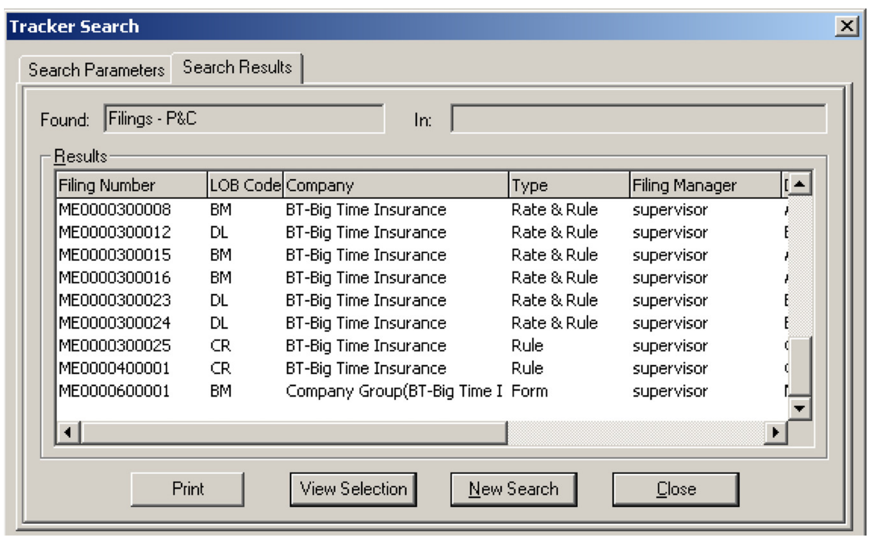
The search function is capable of searching for filings associated with specific-company codes, including company group filings.

For details on using the search function, see *Performing Tracker Searches* on page

382.




The search results include the company group (CG) filings where company code-contains BT.




**Note:** When you search using the Company Code, always use the actual code number. CG is not recognized as a valid search criteria.

# Schedule Items Overview

When it comes to adding schedule items to your filings, Tracker offers great flexibility. Schedule items—that is, forms, rates, advertisements, and other attachments—can be added to filings of any type. For convenience, if they are added at the Filing Group level, each filing in the filing group with a status of Start will automatically contain a linked copy of the schedule item, complete with any changes made at the Filing Group level at a later time (though this link can be broken by making certain changes at the Filing level).

## Adding Schedule Items

Adding a schedule item to a filing is as simple as navigating to the filing and clicking the appropriate button on the toolbar.

**Note:** If you start adding a schedule item to a filing that has a different type (for example, adding a rate schedule item to an advertisement filing), Tracker will check to see if combined filings are allowed in that state. If they are not, you are prompted to cancel the addition or continue anyway.

After the schedule item is added:

- Tracker adds the appropriate Form/Rate/Adv tab. If the filing is in Start status, also adds the appropriate Filing Group level items to the newly created tab.
- Tracker checks the appropriate **Type** check box in the filing banner.
- Tracker locks the corresponding **Related Filing** field (regardless of whether the filing was sent to SERFF or not).

For SERFF filings:

- SERFF functionality for the new filing type will apply, that is, use of the SERFF/Supporting Documentation tab, the View Schedule button, Public Access functionality, and others.
- Users will need to send newly added Form/Rate/Adv schedule items to SERFF via an Initial Submission, Filing Amendment, or Objection Response.
- If additional Supporting Doc schedule requirements are needed as a result of the newly added Form/Rate/Adv schedule item, User will need to create User Added requirements to be sent as part of the Initial Submission, Filing Amendment or Objection Response. Tracker will not refresh the Supporting Doc schedule requirements.
- For Filing Amendments and Objection Responses, only the Rate Schedule item information is sent to SERFF. (Rate data is only sent with the initial submission or as part of a Post Submission Update *after* the initial filing submission.

Refer to the following topics for details on adding and editing schedule items at the Filing Group and Filing level:

### Forms


- *Adding a New (or Editing an Existing) Filing Group Level Form* on page 131
- *Adding a New (or Editing an Existing) Filing Level Form* on page 141


### Rates


- *Adding a New (or Editing an Existing) Filing Group Level Rate* on page 148
- *Adding a New (or Editing an Existing) Filing Level Rate* on page 157


### Advertisements


- *Adding a New (or Editing an Existing) Filing Group Level Rule* on page 166
- *Adding a New (or Editing an Existing) Filing Level Rule* on page 172


### Other Attachments

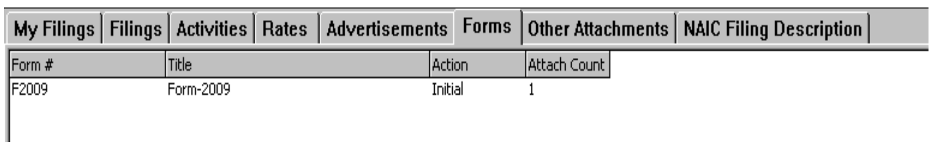

- *Adding a New (or Editing an Existing) Filing Group Level Other Attachment* on page 181
- *Adding a New (or Editing an Existing) Filing Level Other Attachment* on page 184

# Forms

In Tracker, the term *forms* refers to insurance policies, endorsement forms, riders, and so on, used to construct and contain the criteria of the insurance coverage being provided. New forms, form alterations, and form exceptions must often be filed with individual state insurance departments, with references made to the existing forms affected, in order to meet compliance regulations.

## The Forms Tab — Filing Group Level

The Filing Group level **Forms** tab lists all of the forms, endorsements and other items attached to this filing group.




From this tab, you can access the details for any of the forms listed.

1. On the **Forms** tab, select the form record you want to view and double-click it to open the related **Form Details** dialog.
2. Click a tab title to view information on that tab screen.

### Adding a New (or Editing an Existing) Filing Group Level Form

When you add a form at the *Filing Group* level, all filings with a Start status in that filing group will automatically contain the form. You can see these *Filing Group* level forms at the *Filing* level, and any changes made at the *Filing Group* level will appear in filings at the *Filing* level with a status of Start. If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then any new or modified forms that were not previously included in that filing are still not included in the filing after the status change. Adding forms at the Filing Group level then making required changes at the Filing level may save you time compared to adding forms individually at the Filing level.

---

**Method: Add a new or edit an existing Filing Group level form**

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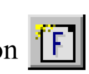
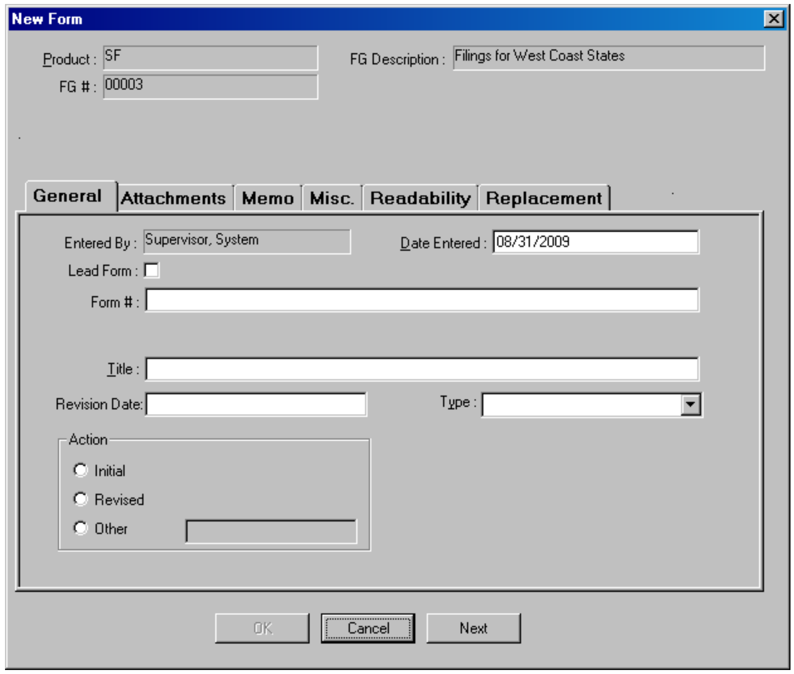
1. Navigate to the Filing Group level for the desire filing group.
2. **To create a new form**, click the **New Form** toolbar button  or select **Insert > New Form**.

   The **New Form** dialog opens (shown below).

   ***Alternatively:***

**To edit an existing form**, double-click the desired form on the **Forms** tab.

The **Form Details** dialog opens (not shown, but similar to **New Form** dialog box).




**3.** The basic information fields at the top of the dialog will be automatically filled with information from the filing group record. Check these to ensure that you are adding the form to the desired record.

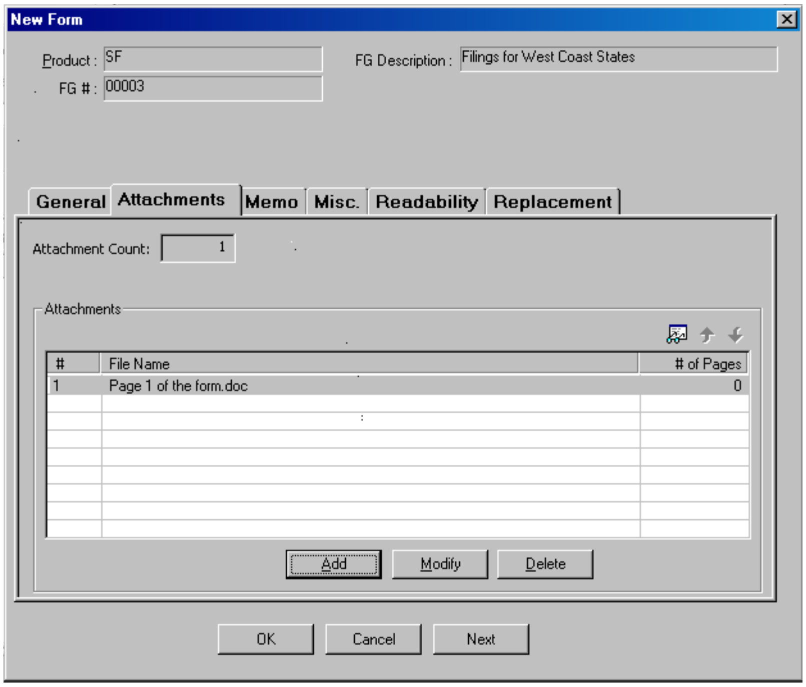
**4.** On the **General** tab:

- The **Entered By** and **Date Entered** fields will automatically be filled in with your name and today's date.
- In the **Form #** field, enter the code/number assigned to this form by your company.
- To make this the Lead Form (main form), select the **Lead Form** check box.

**Note:** When a form is added at the FG level, the **Lead Form** check box is always unlocked and able to be selected. Multiple lead forms can be added at the FG level resulting in more than one lead form in a filing.

- In the **Title** field, enter a brief title for this form.
- In the **Revision Date** field, enter the revision date for this form.
- In the **Type** field, select the form type from the drop-down list.
- In the **Action** area, select whether this is an **Initial, Revised** or **Other** form. If **Other**, enter an explanation.

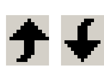
**5.** On the **Attachments** tab:



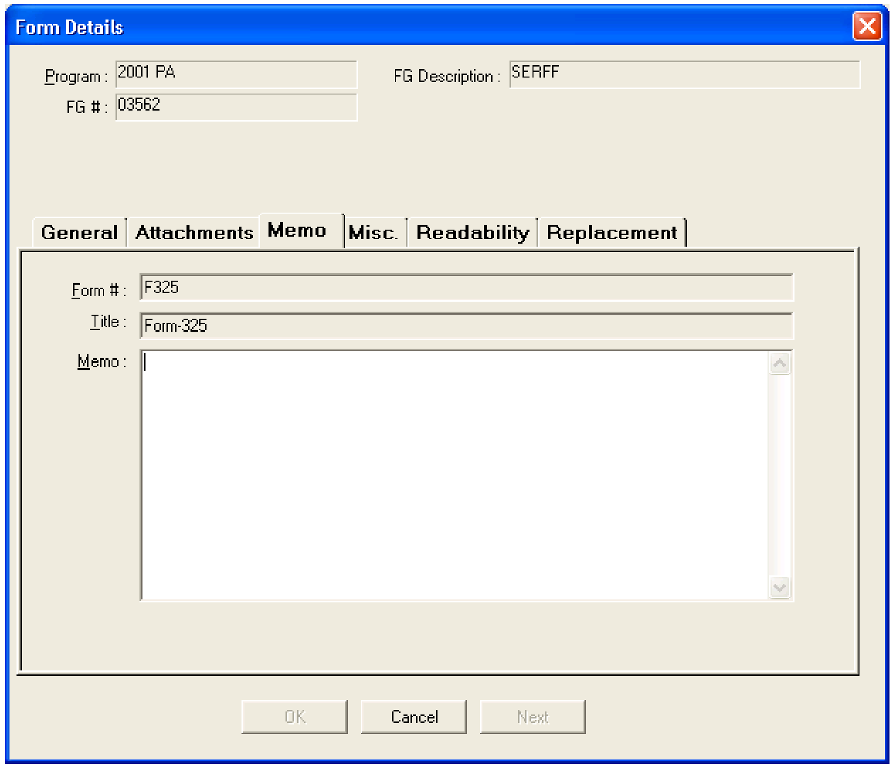

- To add a new attachment to the form, click **Add**, and using the file browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in aDMS.

**Tip:** Select a file on a shared network drive or a DMS, not a local drive. This will help prevent problems if other users work with this filing.

- To view an existing attachment, select the document and click **View Attachment**, or double-click the attachment.
- To replace an existing attachment, select the attachment in the **Attachments** table and click **Modify**, and using the browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.
- In the **No. of Pages** field, enter the number of pages in the attached document.
- Repeat above steps for additional attachments.
- Use the up and down arrows above the **Attachments** table to move the entries within this table so that the list of attachments are in the correct order.

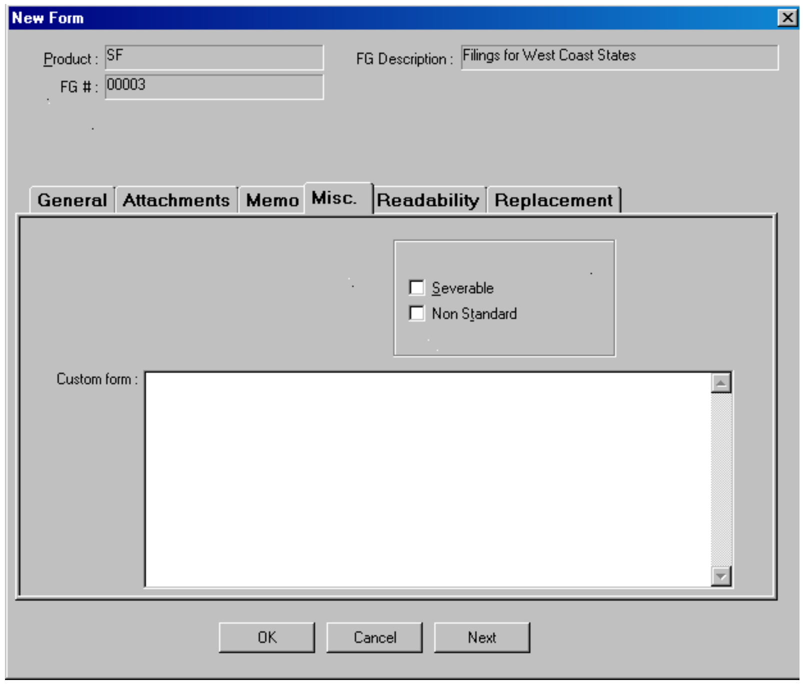


**6.** On the **Memo** tab:



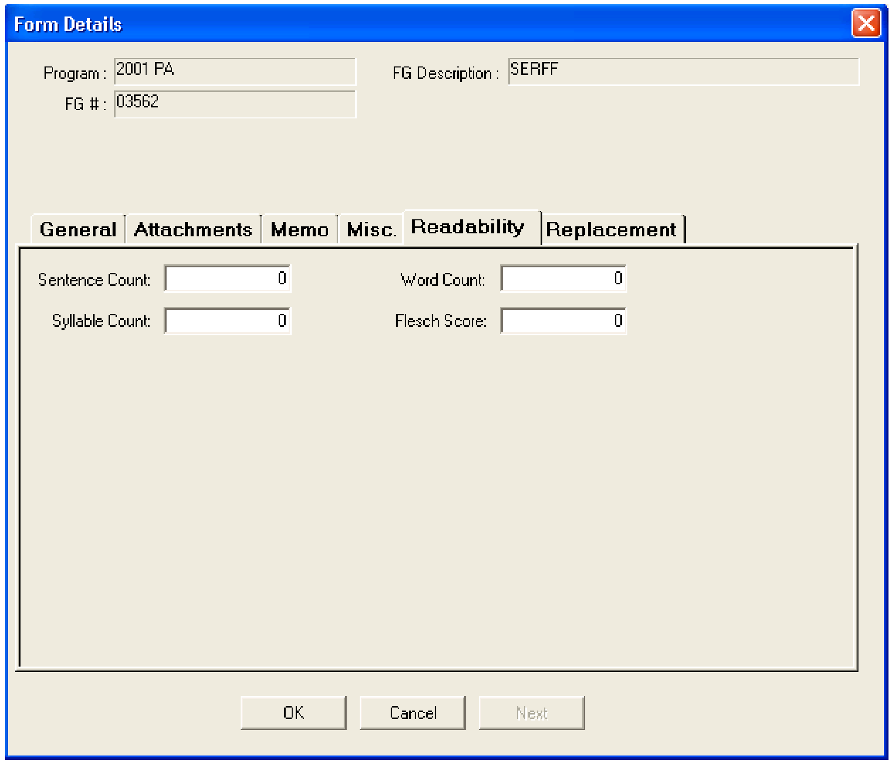

- The **Form #** field displays the form number.
- The **Title** displays the form title.
- In the **Memo** field, enter a comment or description of the form. This text is included in the long filing letter. (See *Understanding Filing Letters* on page 341.)

7. On the **Misc.** tab:



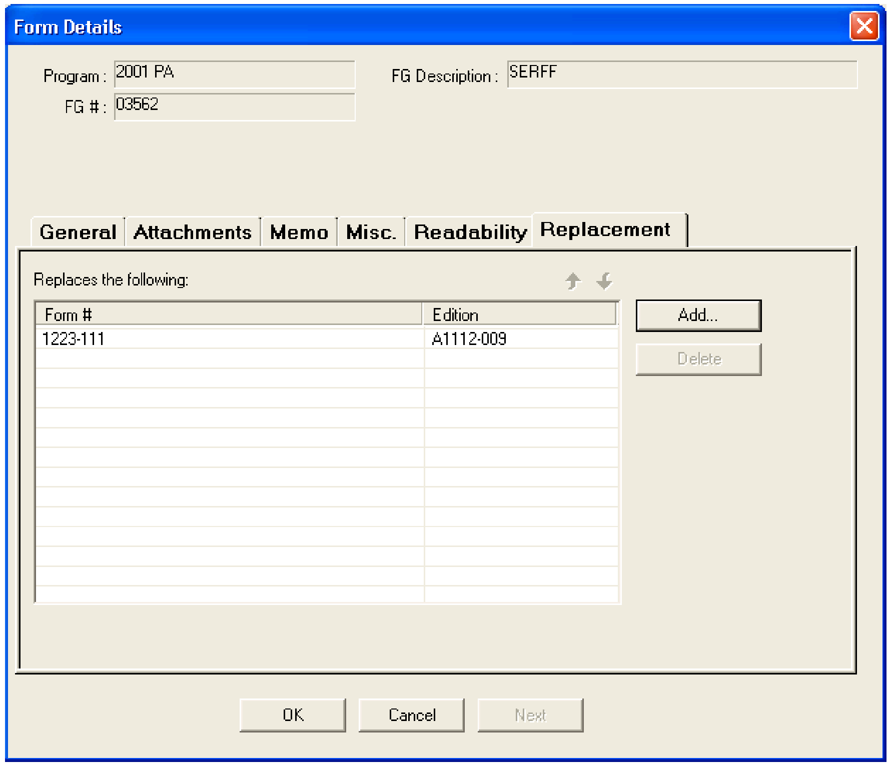

- In the **Custom** field, you can add more information about the form. Information in this field will not appear in the final filing package.
- In the **Requirement** area, select **Mandatory**, **Optional**, **Conditional Mandatory**, or **Not Applicable**.
- If this form will have an impact on related rates, select the **Form Impacts Rates** check box.On the **Readability** tab:

**8.** On the **Readability** tab:



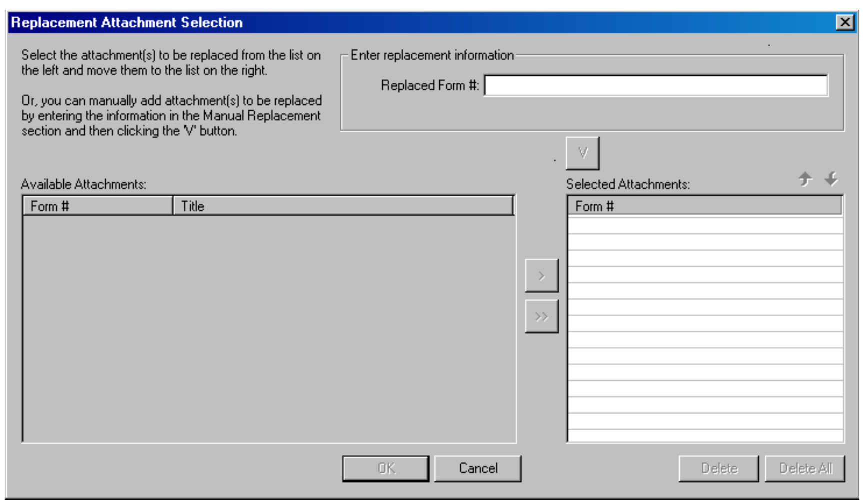

- In the **Sentence Count** field, enter the number of sentences in the text of the form.
- In the **Word Count** field, enter the number of words in the text of the form.
- In the **Syllable Count** field, enter the number of syllables in the text of the form.
- In the **Flesch Score** field, enter the Flesch Score (readability score) of the form.

**9.** On the **Replacement** tab:




- Click **Add.**

  The **Replacement Attachment Selection** dialog displays.




The Available Attachments table displays a list of all the forms in the system that this new forms may be replacing.

To move one or more forms from the list of Available Attachments to the Selected Attachments table, highlight the applicable forms, then use the >, >>, <, << buttons to move your selections.

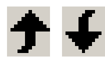
Enter the applicable replaced information as follows:

a. Enter the **Replaced Form #** and **Replaced Edition**.

b. Click the V button to add your manual entry to the **Selected Attachments** table.

c. Repeat steps (a) and (b) as necessary to add additional replaced rates.

d. Use the up and down arrows above the Selected Attachments table to move the entries within this table so that the list of attachments are in the correct order.



10. To add another new form, click **Next**.

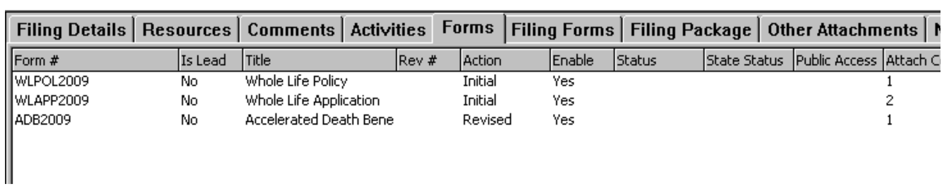
    *OR*

    To finish, click **OK**.

    The new form(s) will be added (or the existing form updated), and the dialog will close.

## The Forms Tab — Filing Level

The Filing level **Forms** tab lists all of the forms for this filing, both Filing Group level forms and Filing level forms.



Filing Details | Resources | Comments | Activities | Forms | Filing Forms | Filing Package | Other Attachments

| Form # | Is Lead | Title | Rev # | Action | Enable | Status | State Status | Public Access | Attach C |
|---|---|---|---|---|---|---|---|---|---|
| WLPOL2009 | No | Whole Life Policy | | Initial | Yes | | | | 1 |
| WLAPP2009 | No | Whole Life Application | | Initial | Yes | | | | 2 |
| ADB2009 | No | Accelerated Death Bene | | Revised | Yes | | | | 1 |

From this tab, you can access the details for any of the forms listed.

1. On the **Forms** tab, select the form record you want to view and double-click it to open the related **Form Details** dialog.
2. Click a tab title to view information on that tab screen.

### Adding a New (or Editing an Existing) Filing Level Form

When you add a form at the *Filing Group* level, all filings with a Start status in that filing group will automatically contain the form. You can see these *Filing Group* level forms at the *Filing* level, and any changes made at the *Filing Group* level will appear in filings at the *Filing* level with a status of Start. If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then any new or modified forms that were not previously included in that filing are still not included in the filing after the status change. However, if you change certain fields at the *Filing* level, marked in this guide with a broken link icon, , the form will become independent of changes at the *Filing Group* level, in effect becoming a *Filing* level form.

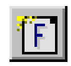
### Notes:

- Filing level forms can be edited if the filing has not been submitted.
- Forms attached at the Filing level only apply to that filing.

## Add and edit forms at the Filing level

### Method: Add a new or edit an existing Filing level form

**1.** Navigate to the Filing level for the desired filing.

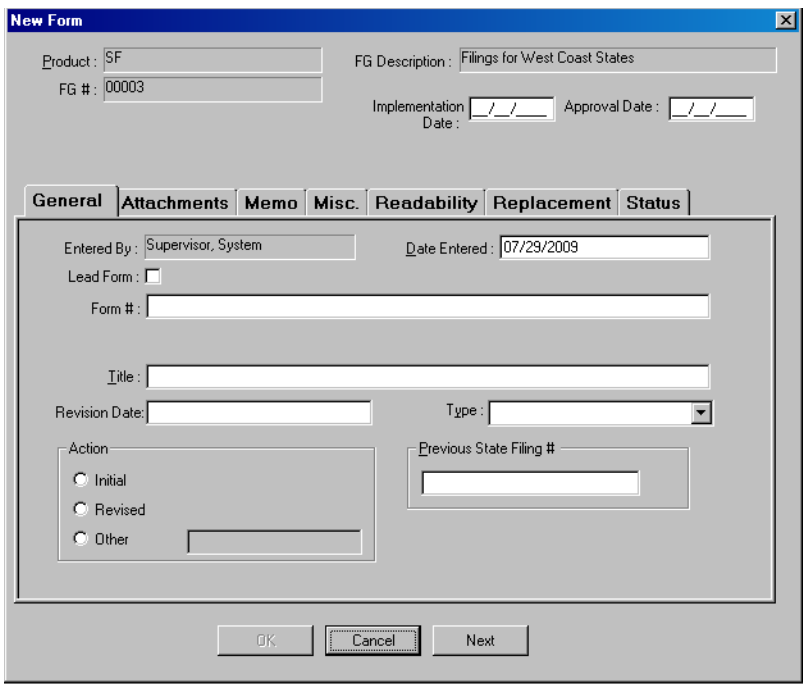
**2.** Click the **New Form** toolbar button  or select **Insert > New Form**.

The **New Form** dialog displays (shown below).

***Alternatively:***

**To edit an existing form**, double-click the desired form on the **Forms** tab.

The **Form Details** dialog box opens (not shown, but similar to **New Form**).




**3.** The basic information fields at the top of the dialog box will be automatically filled with information from the filing record. Check these to ensure that you are adding the form to the desired record.

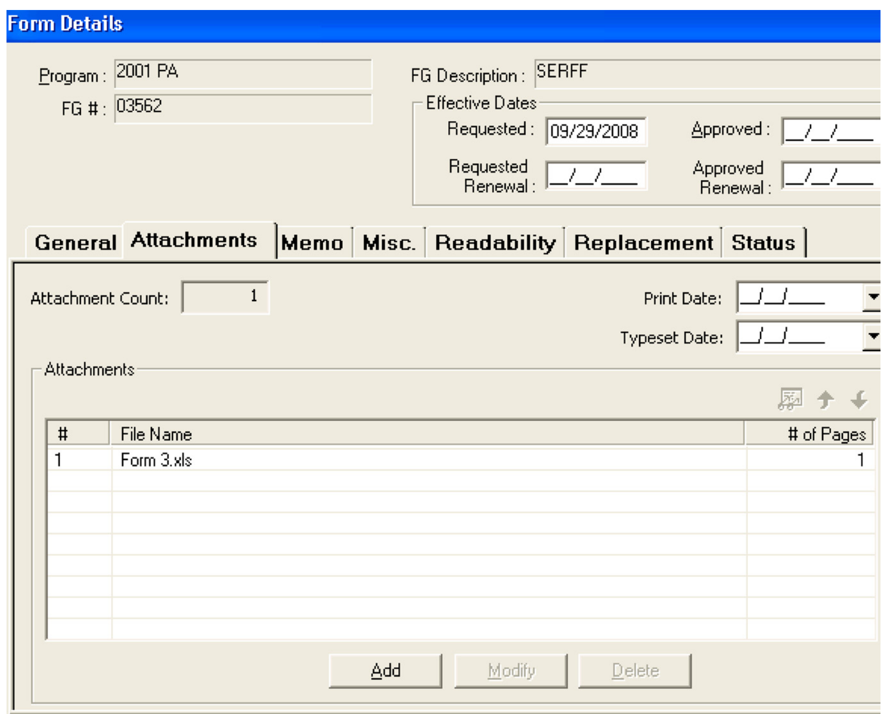
**4.** On the **General** tab:

- The **Entered By** and **Date Entered** fields will automatically be filled in with your name and today's date.

- In the **Form #** field, enter the code/number assigned to this form by your company.
- If applicable, in the **Advisory Form #** field, enter the code/number assigned to this form by the relevant Advisory Organization
- In the **Title** field, enter a brief title for this form.
- In the **Edition Date** field, enter the edition date of this form.
- In the **Type** field, select the form type from the drop down list
- In the **Action** area, select whether this is a **New**, **Replacement**, or **Withdrawn** form attachment. Note that this is a mandatory field for SERFF filings

If this is a **Replacement**, enter the **Previous State Filing #**. (This is the DOI file number assigned by the state to the previous filing.)If **Other**, enter an explanation.

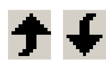
**5.** On the **Attachments** tab:



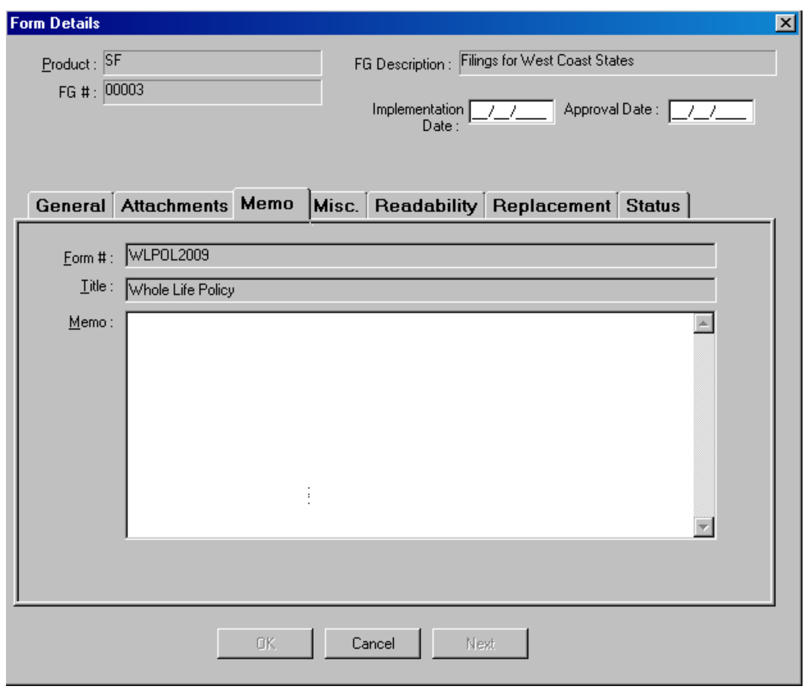

- To add a new attachment, click **Add**, and using the file browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.

**Tip:** Select a file on a shared network drive or a DMS, not a local drive. This will help prevent problems if other users work with this filing.

- To view an existing attachment, select the document and click **View Attachment**, or double-click the attachment.
- To replace an existing attachment, select the attachment in the **Attachments** table and click **Modify**, and using the browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.
- In the **No. of Pages** field, enter the number of pages in the attached document.
- Repeat above steps for additional attachments.
- Use the up and down arrows above the **Attachments** table to move the entries within this table so that the list of attachments are in the correct order.

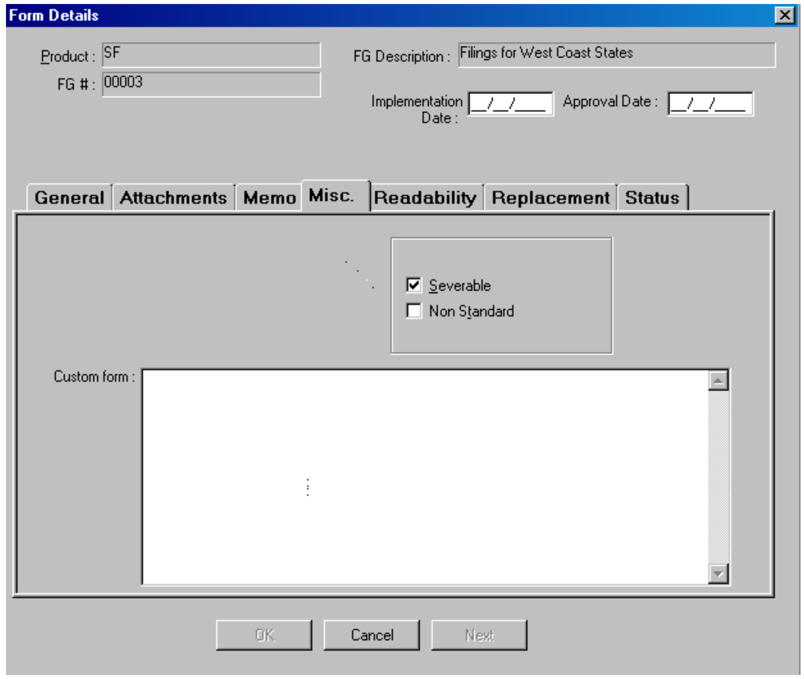


6. On the **Memo** tab:



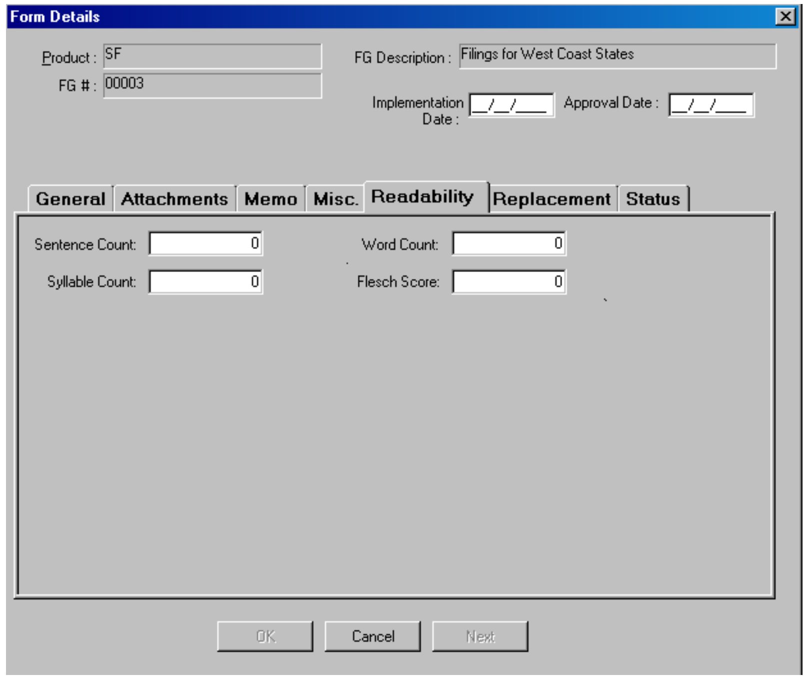

You can enter a comment or description of the form. Text entered here is included in the long filing letter. (See *Understanding Filing Letters* on page 341.)

**7.** On the **Misc**. tab:



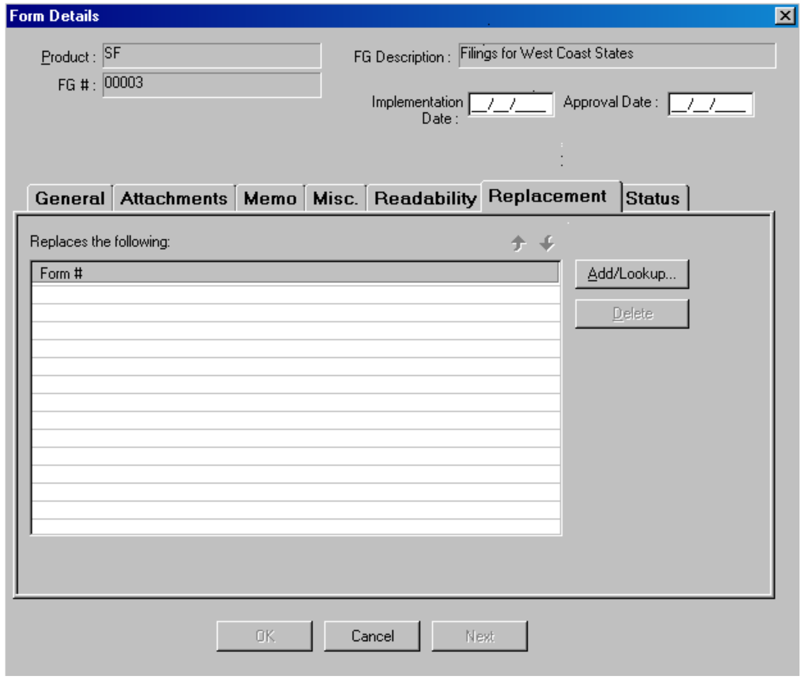

- If this form is severable, select the **Severable** check box.
- If this form is non-standard, select the **Non Standard** check box.
- In the **Custom** field, you can add more information about the form. Information in this field will not appear in the final filing package.

8. On the **Readability** tab:



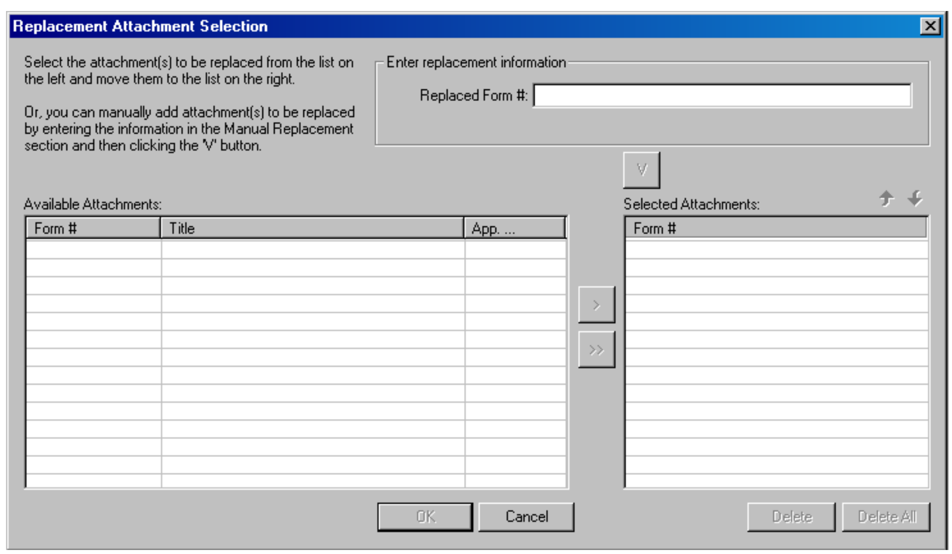

- In the **Sentence Count** field, enter the number of sentences in the text of the form.
- In the **Word Count** field, enter the number of words in the text of the form.
- In the **Syllable Count** field, enter the number of syllables in the text of the form.
- In the **Flesch Score** field, enter the Flesch Score (readability score) of the form.

**9.**  On the **Replacement** tab:




**10.** Click **Add/Lookup**.

The **Replacement Attachment Selection** dialog opens.




The Available Attachments table displays a list of all the forms in the system that this new form may be replacing.

To move one or more forms from the list of Available Attachments to the Selected Attachments table, highlight the applicable form, then use the >, >>, <, << buttons to move your selections.

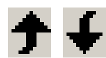
If the list of Available Attachments is blank or does not contain the form to be replaced, enter the replaced information.

**a.** Enter the **Replaced Form** #and the **Replaced Edition** field.

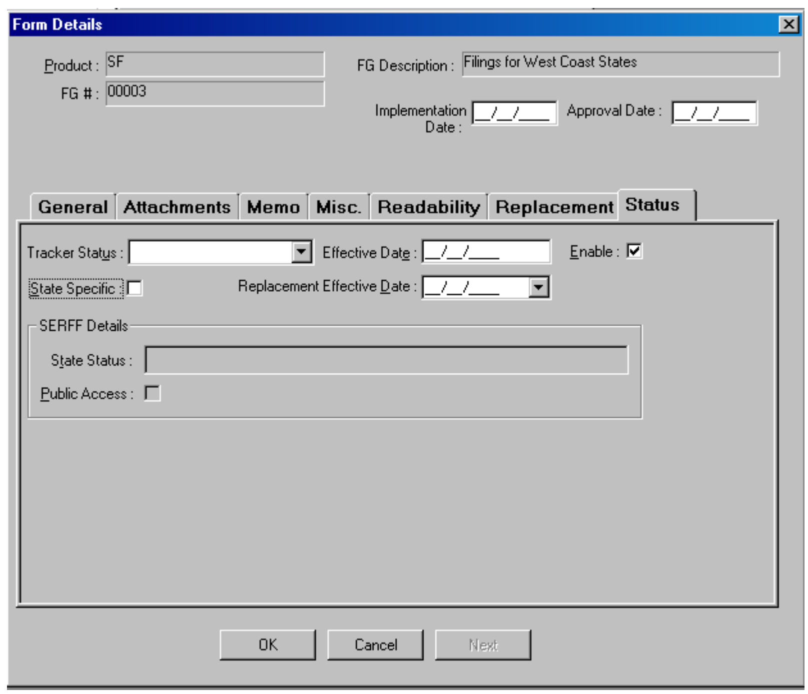
**b.** Click the V button to add your manual entry to the **Selected Attachments** table.

**a.** Repeat steps (a) and (b) as necessary to add additional replaced forms.

**b.** Use the up and down arrows above the Selected Attachments table to move the entries within this table so that the list of attachments are in the correct order.



**11.** On the **Status** tab:




- On the **Tracker Status** drop-down list, you can select a status for this form only, independent of the status of the filing, but use with caution.

-  If you want the form to be included in the overall filing, select the **Enable** check box.

-  If this form is specific for this state, select the **State Specific** check box.

- The **Replacement Effective Date** will be automatically entered by the system in the future when this new form is replaced, but only if the form was added to the **Replacement** tab of the new form.

**12.** To add another new form, click **Next**.

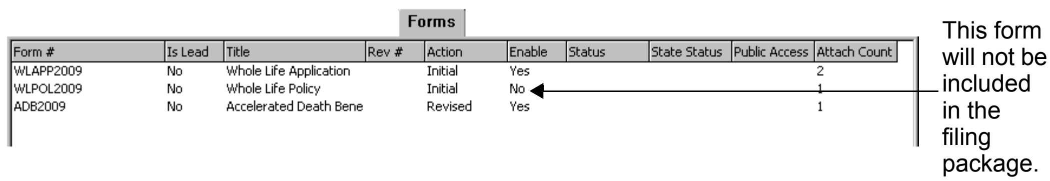
*OR*

To finish, click **OK**.

The new form reference(s) will be added (or the existing form reference updated), and the dialog will close.

## Enabling Forms

Tracker provides the ability to selectively enable forms.




When a form is enabled (**Enable** set to **Yes**), it will be sent to SERFF with the initial filing or it can be added to a Filing Amendment or Objection Response, or it will be included in a paper filing (will print as part of the filing package). When a form is not enabled (**Enable** set to **No**), it is not available for a SERFF filing nor will it be included in a paper filing.

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### Method: Disable a form

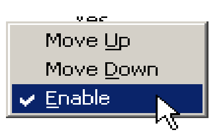
---

By default, most forms will be enabled—form part of the filing package. To disable a form and not include it in the filing package you must perform the following steps:

**1.** On the **Forms** tab, highlight the form that you would like to disable.

**2.** Right-click the form that is selected.

A dialog displays.




**3.** By default, the form will already have a checkmark to the left of the **Enable** option.

**4.** Click **Enable**.

The dialog closes and **No** appears in the **Enable** column in the table of forms.

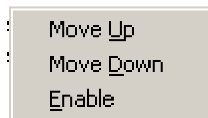
**Note:** You must repeat the Generate Complete Filing Activity for this change to take effect in the print process.

## Method: Enable a form

If you have disabled a form and you want to enable it, follow these steps:

1. On the **Forms** tab, highlight the form that you would like to enable.
2. Right-click the form that is selected.

   A dialog displays.

3. Click **Enable**.

   The dialog closes and **Yes** appears in the **Enable** column in the table of forms.

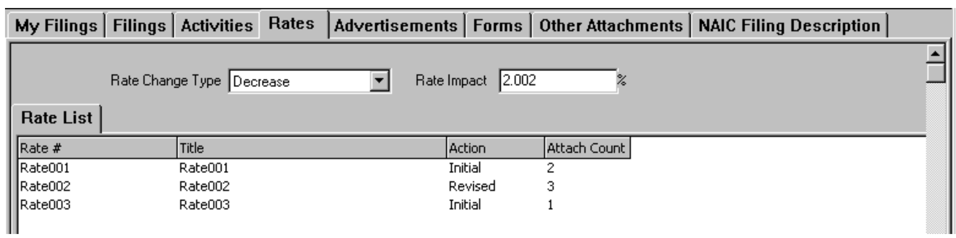
**Note:** You must repeat the Generate Complete Filing Activity for this change to take effect in the print process.

# Rates and Rate Exceptions

Rates are the premium amounts which insurance companies charge their customers. Rate exceptions are rates, devised by individual insurance companies,which deviate from state-established standards. Rates are generally managed and tracked through the use of standard manuals and manual pages; new rates, rate alterations, and rate exceptions must often be filed with individual State Insurance Departments, with references made to the manual pages affected, in order to meet regulations.

## The Rates Tab — Filing Group Level

The Filing Group level **Rates** tab lists all of the rates attached to this filing group.




From this tab you can access the rate details for any of the rates listed.

1. On the **Rates** tab for the desired filing group**,** double-click any rate in the **Rate List** subtab to open the related **Rate Details** dialog.
2. On the **Rate Details** dialog, click a tab to display its information.

### Setting the Filing Group Level Rate Information

The values in these fields flow through to the filings unless these fields are changed at the Filing level.

#### Method: Set the Filing Group level rate information

At the Filing Group level for the desired filing group, on the **Rates** tab:

- Select a **Rate Change Type** from the drop-down list: **Decrease, Increase**, **Rate Neutral.** or leave the default value of blank.

### Adding a New (or Editing an Existing) Filing Group Level Rate

When you add a rate at the *Filing Group* level, all filings in that filing group with a status of Start will automatically contain the rate. You can see these *Filing Group* level rates at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level. If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then any new or modified rates that were not previously included in that filing are still not included in the filing after the status change. Adding rates at the Filing Group level then making required changes at the Filing level may save you time compared to adding rates individually at the Filing level.

## Method: Add a new (or edit an existing) Filing Group level rate

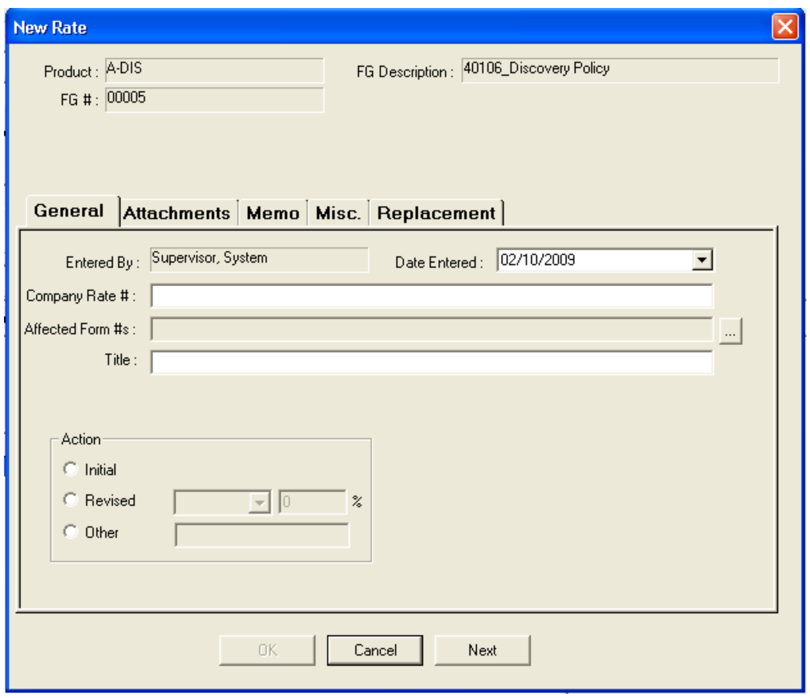
1. Navigate to the Filing Group level for the desire filing group.
2. **To create a new Filing Group Level Rate**, click the **New Rate** toolbar button  to open the **New Rate** dialog, or select **Insert > New Rate.**

   The **New Rate** dialog displays.

   ***Alternatively:***

   **To edit an existing Filing Group Level Rate,** double-click the rate attachment on the **Rate List** on the **Rates** tab.

   The **Rate Details** dialog displays (similar to **New Rate**).

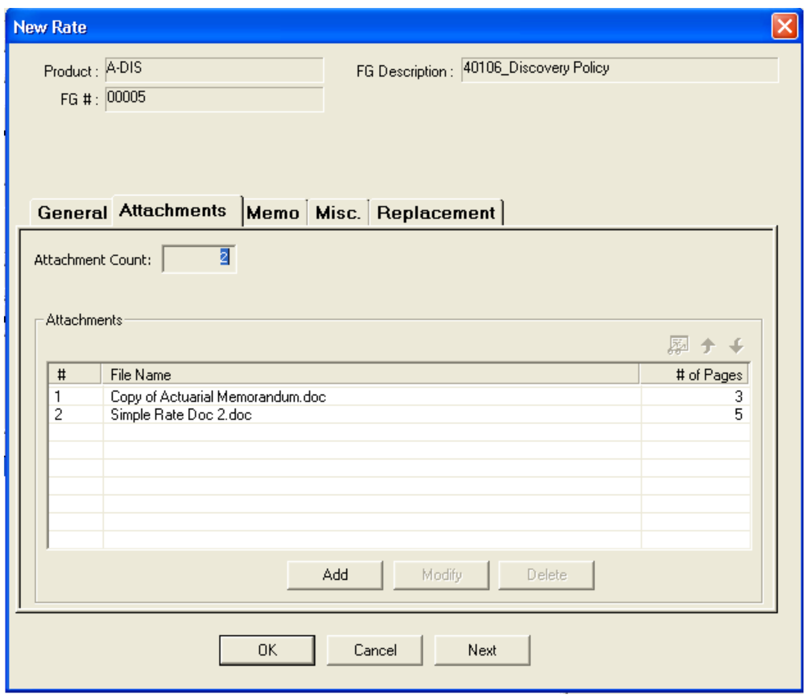



3. The basic information fields at the top of the dialog will be automatically filled with information from the filing group record. Check these to see that you are adding the rate to the desired filing group.

   Begin entering information on the **General** tab for the next rate.
4. On the **General** tab:

- The **Entered By** field will automatically be filled in with your name. The **Date Entered** field will have the rate's creation date. The date can be changed by clicking the drop-down button and selecting a date from the calendar.
- In the **Company Rate #** field, enter the code/number assigned to this rate by your company.
- In the **Advisory Rate # field**, enter the number assigned to this rate by the advisory organization.
- Enter the **Exception Page #**.
- Enter the **Edition Date**.
- In the **Title** field, enter a brief title for this rate attachment.
- In the **Action** area, select whether this is a **New, Replacement or Withdrawn** rate attachment. Note that this is a mandatory field for SERFF filings.

**5.** On the **Attachments** tab:



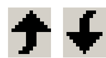

- To add a new attachment to the rate, click **Add**, and using the file browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in aDMS.

**Tip:** Select a file on a shared network drive or a DMS, not a local drive. This will help prevent problems if other users work with this filing.

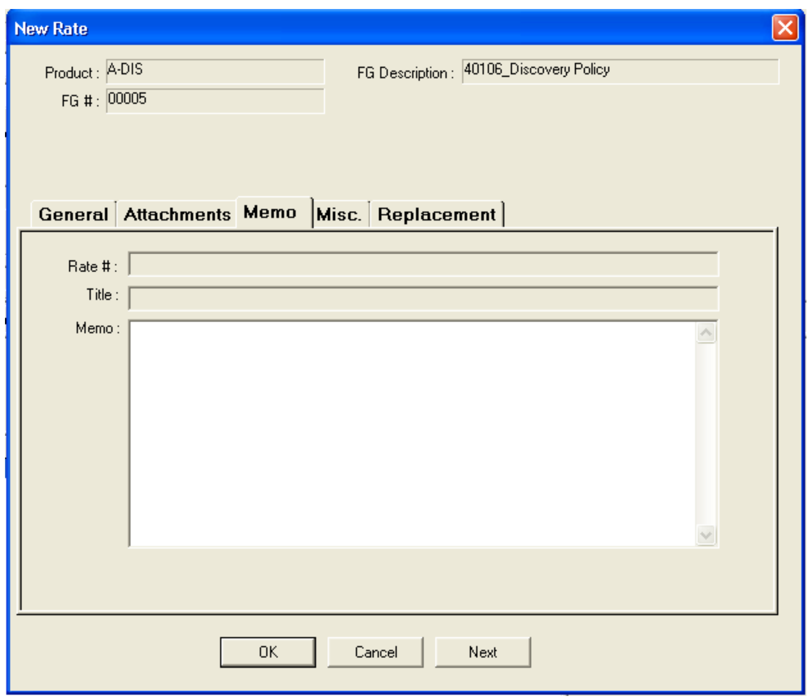
- To view an existing attachment, select the document and click **View Attachment**, or double-click the attachment.

- To replace an existing attachment, select the attachment in the **Attachments** table and click **Modify**, and using the browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.
- In the **No. of Pages** field, enter the number of pages in the attached document.
- Repeat above steps for additional attachments.

**a.** Use the up and down arrows above the **Attachments** table to move the entries within this table so that the list of attachments are in the correct order.

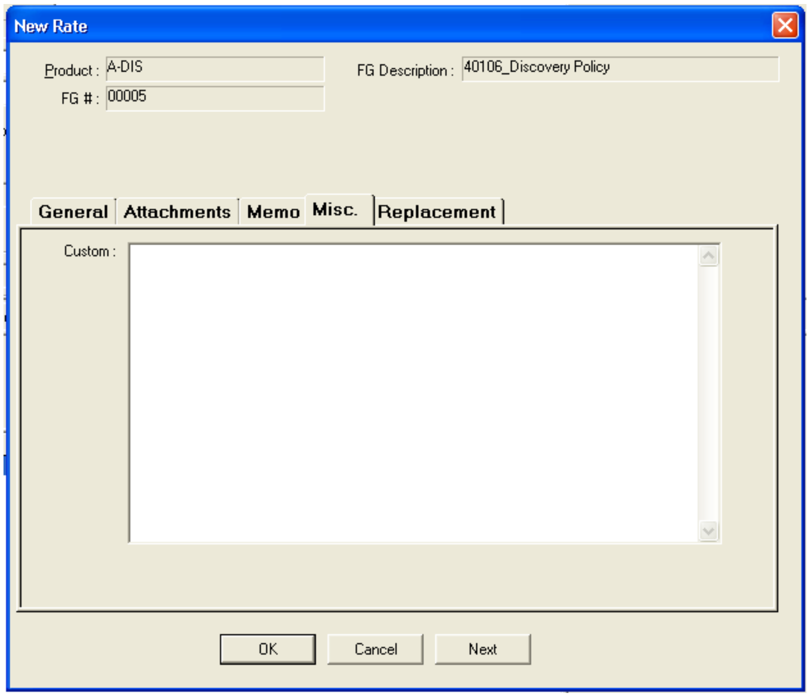


**6.** On the **Memo** tab:



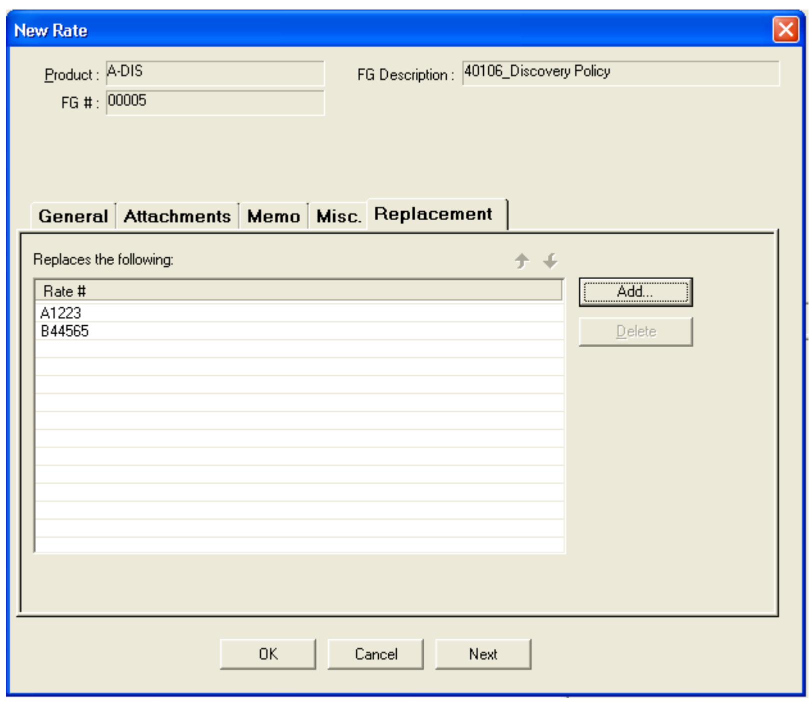

- The **Rate #** and **Title** are automatically filled in.
- The **Memo** field provides room for a lengthy comment or background description of the attachment. Text entered here is included in the long filing letter. (See *Understanding Filing Letters* on page 341.)

7. On the **Misc.** tab:

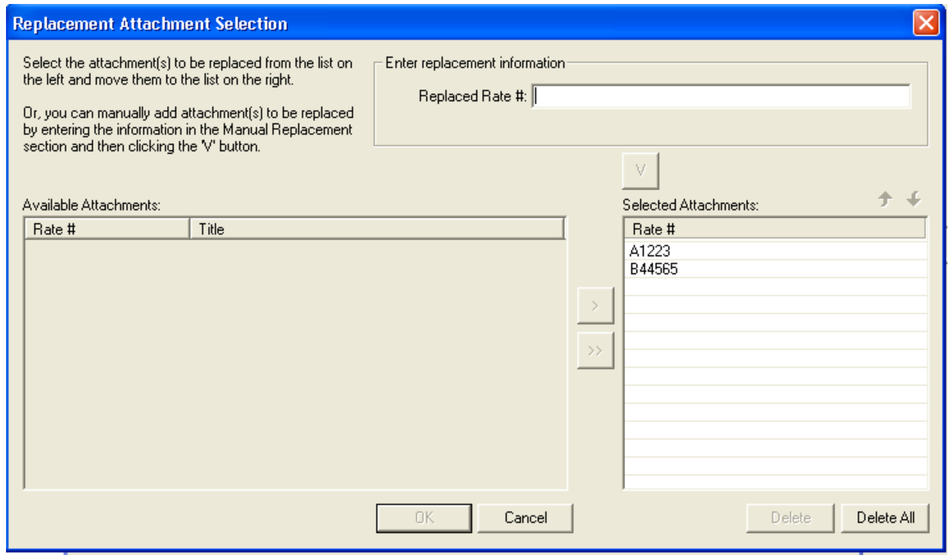



The **Custom** field allows you to add more information about the rate. Information in this field will not appear in the final filing package.

8. On the **Replacement** tab:




9. Click **Add**, and the **Replacement Attachment Selection** dialog displays.




The Available Attachments table displays a list of all the rate attachments in the system that this new rate attachment may be replacing.

To move one or more rate attachments from the list of Available Attachments to the Selected Attachments table, highlight the applicable rate attachment, then use the >, >>, <, << buttons to move your selections.

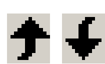
If the list of Available Attachments is blank or does not contain the rate to be replaced, enter the replaced information.

**a.** Enter the **Replaced Rate #** and the **Replaced Edition** field.

**b.** Click the V button to add your manual entry to the **Selected Attachments** table.

**a.** Repeat steps (a) and (b) as necessary to add additional replaced rates.

**b.** Use the up and down arrows above the Selected Attachments table to move the entries within this table so that the list of attachments are in the correct order.



**10.** Click **Next**.

The information on all the tabs will be saved, the new rate reference will be added to the main **Rate** tab at Filing Group level, and another **New Rate** dialog will open.

*OR*

Click **OK**.

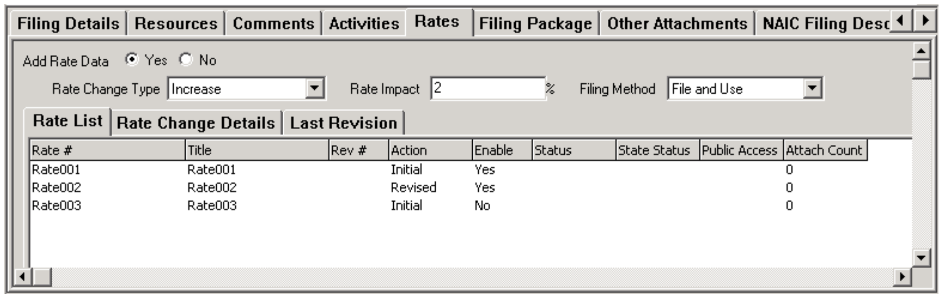
The information on all the tabs will be saved, the new rate item will be added to the main **Rate** tab at Filing Group level, and the **New Rate** dialog will close.

*OR*

Click **Cancel** to close the **New Rate** dialog without saving.

## The Rates Tab – Filing Level

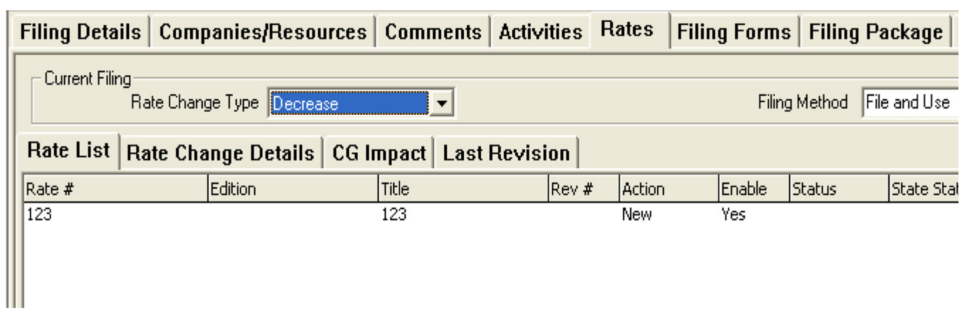
The Filing level **Rates List** tab lists all of the rates for this filing; both Filing Group level filings and Filing level filings.




From this tab you can access the rate details for any of the rates listed.

1. On the **Rates** tab for the desired filing**,** double-click any rate in the **Rate List** subtab to open the related **Rate Details** dialog.
2. Click a tab title to view information on that tab screen.

If this is a Company Group filing, a **CG Impact** tab will also display.




### Viewing or Changing Rates and Rate Exceptions at the Filing Level

On the **Rates** tab for a filing, you can access the details for any of the rates or listed, and enter or change the information for this filing.

**Note:** When changed at the Filing level, a filing's **Rate Change Type** will become independent of the **Rate Change Type** setting at the Filing Group level.

### Entering Filing Level Rate Information

You can enter or change the rate information that applies to this filing only. This can include performing a rate action to request an increase or decrease in a rate.

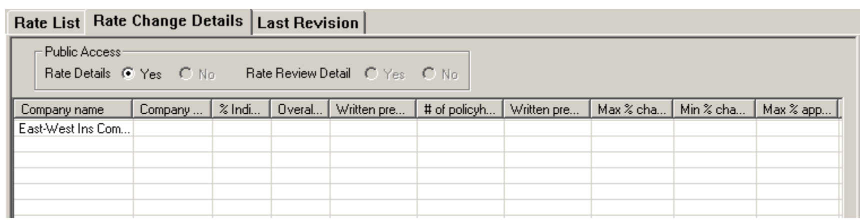
If this is a PPACA filing, you can enter values for # of Policy Holders and # of Covered Lives for the following product types:

### Method: Enter Filing level rate information

1. Navigate to the Filing level for the desired filing.
2. Click the **Rates** tab.
3. If required, select an entry from the **Rate Change Type** drop-down list (blank, **Increase**, **Decrease**, or **Rate Neutral**).

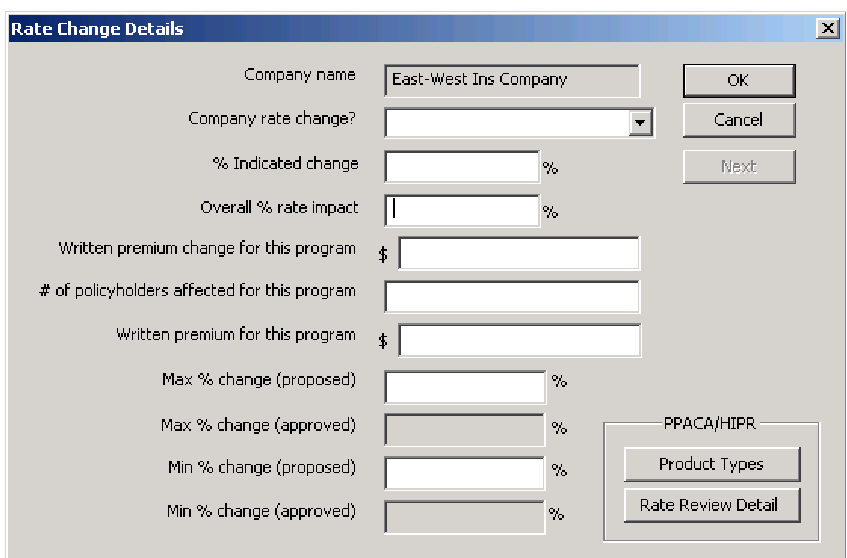
**Note:** When changed at the Filing level, a filing's **Rate Change Type** will become independent of the **Rate Change Type** setting at the Filing Group level.

4. Select an entry from the **Filing Method** drop-down list, which by default shows **Prior Approval, File and Use,** or **Use and File**. (This list can be customized by the Tracker Administrator. See *Filing Method (Rate)* on page 98.)
5. Click the **Rate Change Details** tab. This tab contains the Public Access section (which indicates whether the rate data (and the PPACA/HIPR Rate Review Detail) affiliated with the filing can be publicly accessed) and a grid with company-specific rate change information for the filing.




6. Double-click a row containing data.

   The **Rate Change Details** dialog opens.




7. Enter (or view) the company-specific rate change information for the filing, as follows:

a. The **Company Name** field is read-only.

b. In the **Company rate change?** field, select a value from the drop-down list. For PPACA filings, this field is required.

c. In the % **Indicated change,** enter a positive or negative percentage value.

d. In the **Overall % Rate Impact** field, enter a positive or negative percentage value.

e. In the **Written premium change for this program** field, enter a positive or negative dollar value. The value cannot exceed ten digits and must be a whole number; the maximum value that can be entered is 2 billion.

f. In the **# of policyholders affected for this program** field, enter a value. It cannot exceed ten digits or 2 billion and must be a whole number.

g. In the **Written premium for this program** field, enter a dollar value.

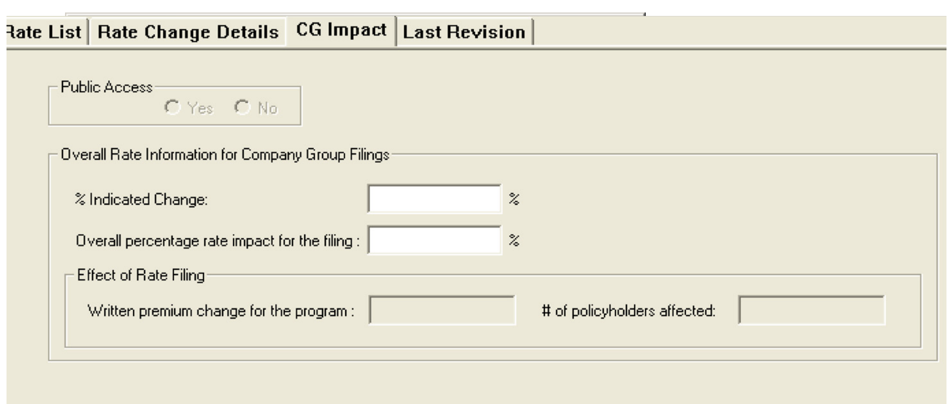
h. In the **Max % change requested for this program** field, enter a positive percentage value.

i. The **Max % approved for this program** is the maximum percentage increase allowed by the state. The approved values for SERFF filings will be shown on the disposition report and will be populated into the approved fields by the system for SERFF filings. This field is read-only.

j. In the **Min % change requested for this program** field, enter a positive percentage value.

k. The **Min % approved for this program** is the minimum percentage increase allowed by the state. The approved values for SERFF filings will be shown on the disposition report and will be populated into the approved fields by the system for SERFF filings. This field is read-only.

8. If this is a company group filing, a **CG Impact** tab is displayed. Click this tab.



   **a.** In the **% Indicated Change** field**,** enter a positive or negative percentage value.

   **b.** Enter the **Overall percentage rate impact for the filing**.

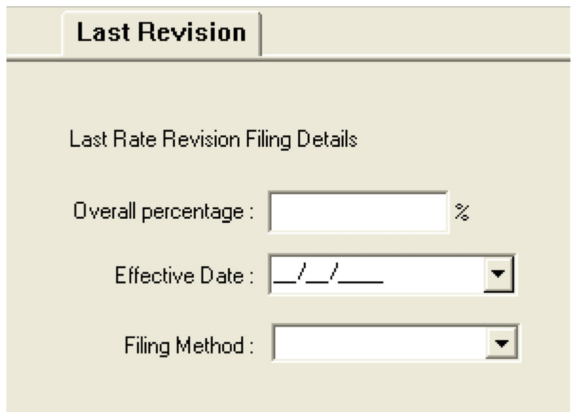
   The **Effect of Rate Filing** section in this tab includes two read-only fields:

   - Written premium change for this program
   - # of policyholders affected

**9.** Click the **Save** button on the Tracker toolbar to save your changes.

**10.** Click **OK** to save your changes.

**11.** Click the **Last Revision** tab.




**12.** In this tab, enter the following information for the previous rate revision:

   - **Overall percentage**
   - **Effective Date –** click the drop-down arrow to select a date from the calendar
   - **Filing Method – Prior Approval, File and Use,** or **Use and File.** (This list can be customized by the Tracker Administrator. See *Filing Method (Rate)* on page 290.)

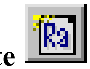
**13.** Click the **Save** button on the Tracker toolbar to save your changes.

## Adding a New (or Editing an Existing) Filing Level Rate

When you add a rate at the *Filing Group* level, all filings in that filing group with a status of Start will automatically contain the rate. You can see these *Filing Group* level rates at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level. If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then any new or modified rates that were not previously included in that filing are still not included in the filing after the status change. However, if you change certain fields at the *Filing* level, marked in this guide with a broken link icon, , the rate attachment will become independent of changes at the *Filing Group* level, in effect becoming a *Filing* level rate attachment. If a filing that is not in Start status changes back to Start status (as the result of an activity being run), then any new or modified Filing Group level rate attachments that were not previously included in that filing are still not included in the filing after the status change.

### Method: Add a new (or edit an existing) Filing level rate

**1.** Navigate to the desired filing.

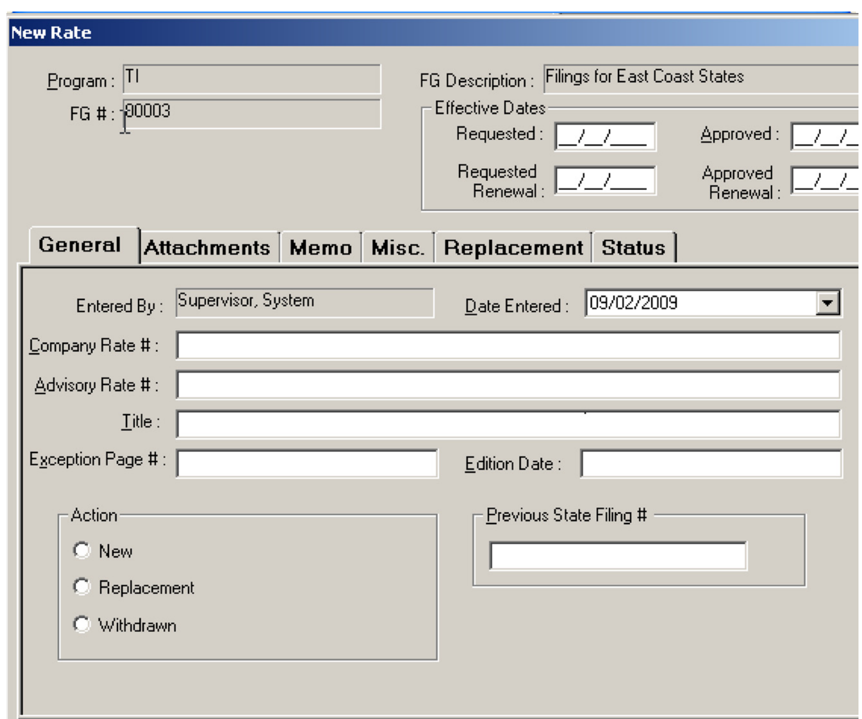
**2.** **To create a new Filing Level rate attachment**, click **New Rate**  to open the **New Rate** dialog, or select **Insert > New Rate.**

The **New Rate** dialog opens (shown below).

Alternatively***:***

**To edit an existing Filing Level rate attachment,** double-click the rate attachment on the **Rate List** on the **Rates** tab.

The **Rate Details** dialog displays (not shown, but similar to New Rate).



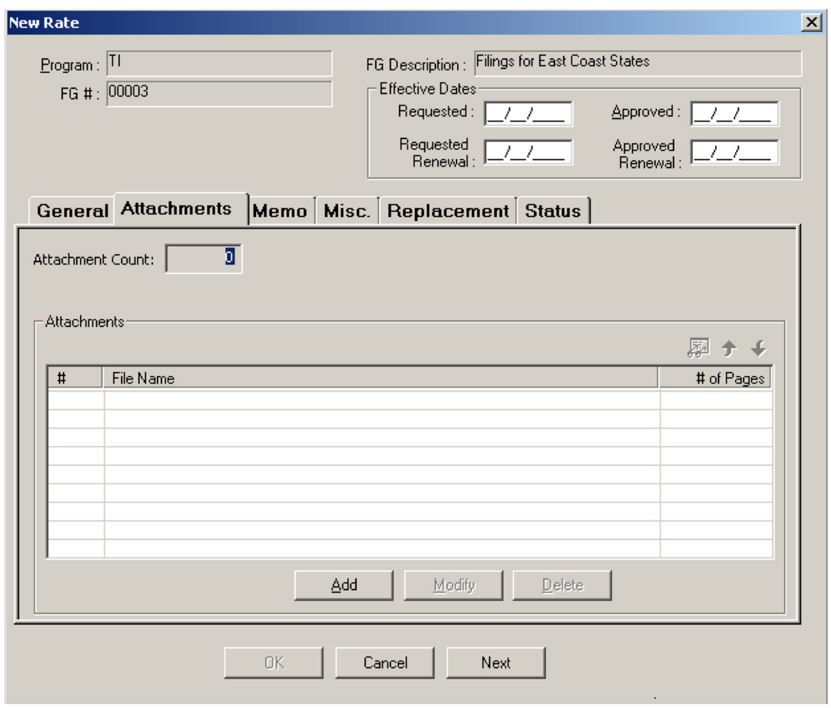

The basic information fields at the top of the dialog will be automatically filled with information from the filing record. Check these to see that you are adding the rate attachment to the desired record.

**3.** On the **General** information tab:

- The **Entered By** and **Date Entered** fields will automatically be filled in with your name and today's date. The date can be changed by clicking the drop-down button and selecting a date from the calendar.

- In the **Company Rate #** field, enter the code/number assigned to this rate by your company.
- In the **Advisory Rate #** field, enter the number assigned to this rate by the advisory organization.
- Enter the **Exception Page #**.
- Enter the **Edition Date**.
- In the **Title** field, enter a brief title for this rate attachment.
- In the **Action** area, select whether this is a **New**, **Replacement**, or **Withdrawn** rate attachment. Note that this is a mandatory field for SERFF filings. If this is a replacement, enter the **Previous State Filing#**. (This is the DOI file number assigned by the state to the previous filing.).

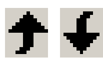
**4.** Note that this is a mandatory field for SERFF filings.On the Attachments tab:



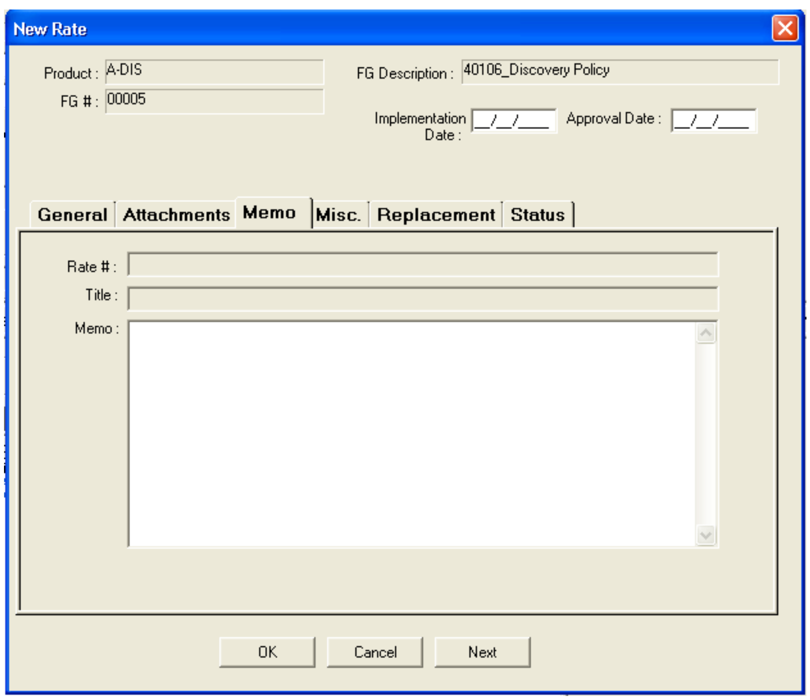

- To add a new attachment, click **Add**, and using the file browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.

**Tip:** Select a file on a shared network drive or a DMS, not a local drive. This will help prevent problems if other users work with this filing.

- To view an existing attachment, select the document and click **View Attachment**, or double-click the attachment.
- To replace an existing attachment, select the attachment in the **Attachments** table and click **Modify**, and using the browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.
- In the **No. of Pages** field, enter the number of pages in the attached document.
- Repeat above steps for additional attachments.
- Use the up and down arrows above the **Attachments** table to move the entries within this table so that the list of attachments are in the correct order.



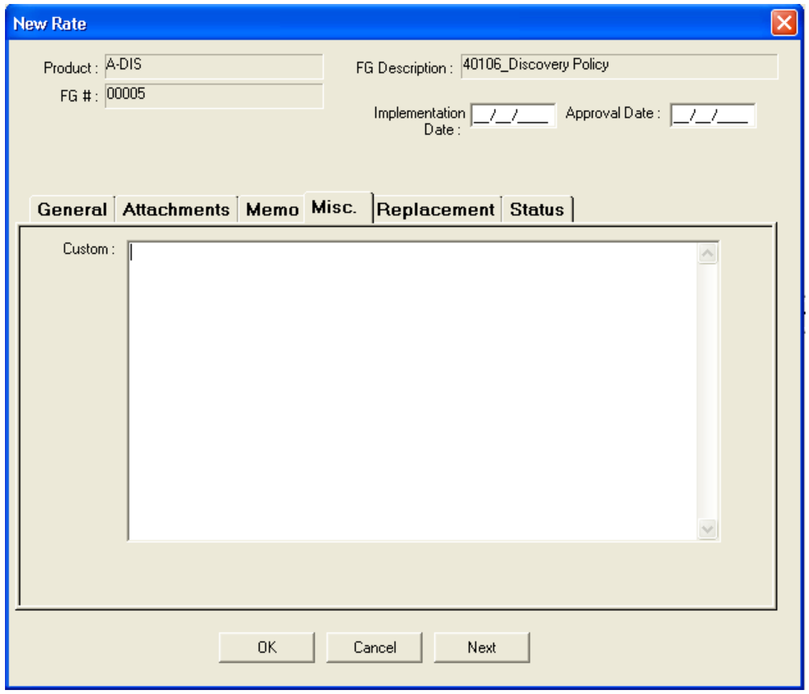
**5.** On the **Memo** tab:




- The **Rate #** and **Title** are automatically filled in.

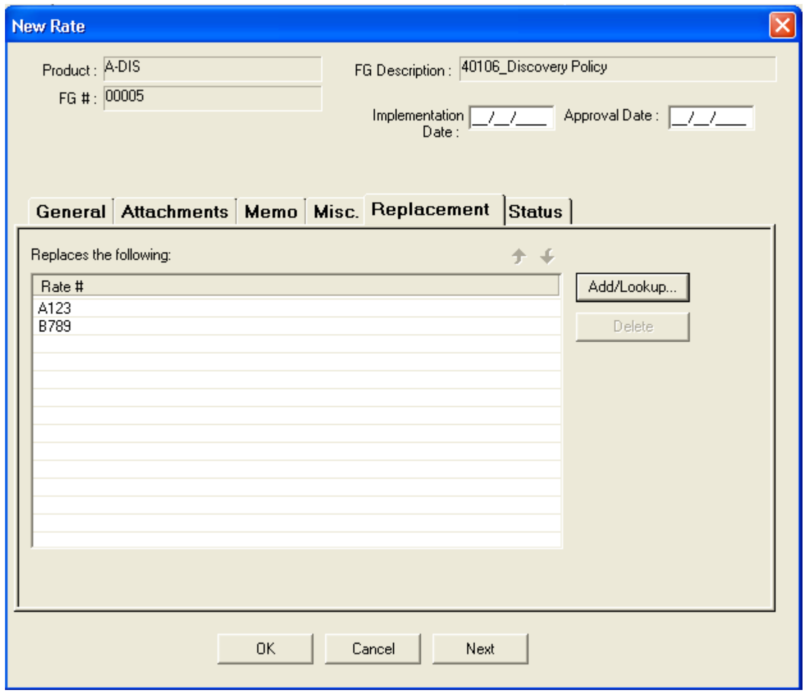
- The **Memo** field provides room for a lengthy comment or background description of the attachment. Text entered here is included in the long filing letter. (See *Understanding Filing Letters* on page 341.)

**6.** On the **Misc.** tab:




 The **Custom** field allows you to add more information about the rate. Information in this field will not appear in the final filing package.

7.  On the **Replacement** tab:




8. Click **Add/Lookup**, and the **Replacement Attachment Selection** dialog opens.

   The Available Attachments table displays a list of all the rate attachments in the system that this new rate attachment may be replacing.

   To move one or more rate attachments from the list of Available Attachments to the Selected Attachments table, highlight the applicable rate attachment, then use the >, >>, <, << buttons to move your selections.

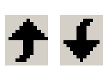
   If the list of Available Attachments is blank or does not contain the rate to be replaced, enter the replaced information:

   **a.** Enter the **Replaced Rate #**

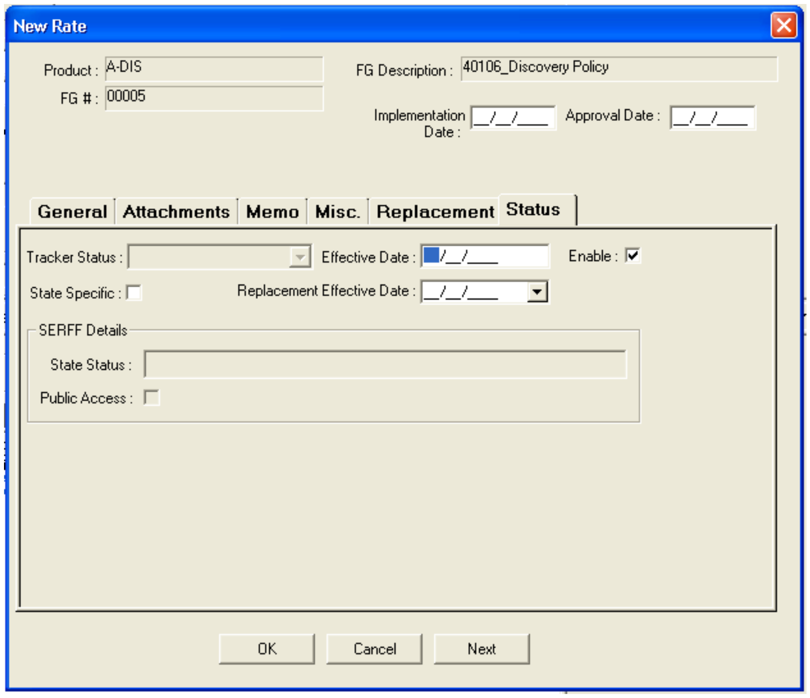
   **b.** Click the V button to add your manual entry to the **Selected Attachments** table.

   **c.** Repeat steps (a) and (b) as necessary to add additional replaced rates.

   **d.** Use the up and down arrows above the Selected Attachments table to move the entries within this table so that the list of attachments are in the correct order.

**9.** On the **Status** tab:




Enter the following information:

- The **Status** field allows you to enter a status for this rate attachment only, independent of the status of the filing. However, use this field with caution if you chose to manually manipulate the status for a rate attachment.
- The **Effective Date** is the Approved Effective Date of the filing. It will be populated by the system when you perform the activity to approve the filing.
-  If you want the rate attachment to be included in the overall filing, select the **Enable** check box.
-  If this rate is specific for this state, select the **State Specific** check box.
- The **Replacement Effective Date** will be automatically entered by the system in the future when this new rate is replaced, but only if the rate was added to the **Replacement** tab of the new rate.

**10.** To add another new rate attachment, click **Next**.

The **New Rate** dialog will re-appear ready for another new rate attachment.

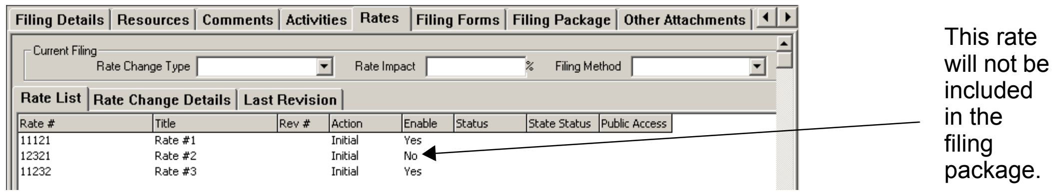
*OR*

To finish, click **OK**.

The new rate attachment(s) will be added, (or the existing rate attachment will be updated) and the dialog will close.

## Enabling Rates

Tracker provides the ability to selectively enable filing rates.




When a rate is enabled (**Enable** set to **Yes**), it is available for a SERFF filing (available to satisfy filing requirements) or will be included in a paper filing (will print as part of the filing package). When a rate is not enabled (**Enable** set to **No**), it is not available for a SERFF filing (it is not available to satisfy filing requirements) or it will not be included in a paper filing (it will not print as part of the filing package).

### Method: Disable a rate

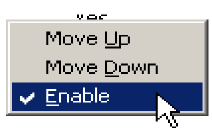
By default, most rates will be enabled—form part of the filing package. To disable a rate and not include it in the filing package you must perform the following steps:

**1.** Navigate to the Filing level of the desired filing.

**2.** Click the **Rates** tab.

**3.** Right-click the rate that you would like to disable.

A dialog displays.




**4.** By default, the rate will already have a checkmark to the left of the **Enable** option.

**5.** Click **Enable**.

The dialog closes and **No** appears in the **Enable** column in the table of rates.

**Note:** You must repeat the Generate Complete Filing Activity for this change to take effect in the print process.

### Method: Enable a rate

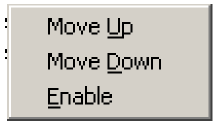
If you have disabled a rate and you want to enable it, follow these steps:

**1.** Navigate to the Filing level of the desired filing.

**2.** Click the **Rates** tab.

3. Right-click the rate that you would like to enable.

   A dialog displays.

4. Click **Enable**.

   The dialog closes and **Yes** appears in the **Enable** column in the table of rates.

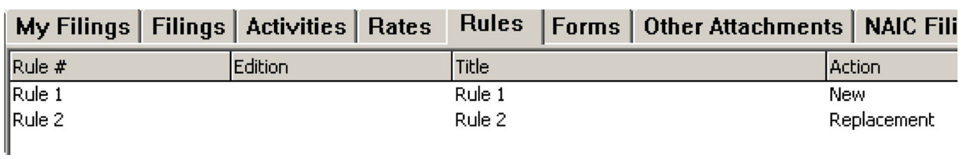
**Note:** You must repeat the Generate Complete Filing Activity for this change to take effect in the print process.

# Rules and Rule Exceptions

Rules are underwriting guidelines used in the insurance industry to determine what rate category applies to an applicant's insurance coverage. Rule exceptions are rules, devised by individual insurance companies, which deviate from state established standards. Rules are generally managed and tracked through the use of standard manuals and manual pages; new rules, rule alterations, and rule exceptions must often be filed with individual State Insurance Departments, with references made to the manual pages affected, in order to meet compliance regulations.

## The Rules Tab — Filing Group Level

The Filing Group level Rules tab lists all of the rules and rule exceptions attached to this filing group.




From this tab, you can access the details for any of the Filing Group level rules.

1. On the **Rules** tab for the desired filing group, double-click any advertisement to open the related **Rules** dialog.
2. Click a tab title to view information on that tab.

### Adding a New (or Editing an Existing) Filing Group Level Rule

The Rules tab at the Filing Group level lists all of the rules added to the selected filing group.

When you add a rule at the *Filing Group* level, all filings in that filing group with a status of Start will automatically contain the advertisement. You can see these *Filing Group* level advertisements at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level. If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then any new or modified rules that were not previously included in that filing are still not included in the filing after the status change.

**Tip:** Adding rules at the Filing Group level then making required changes at the Filing level may save you time compared to adding rules individually at the Filing level.

**Method: Add a new (or edit and existing) Filing Group level rule**

1. Navigate to the desired filing group.

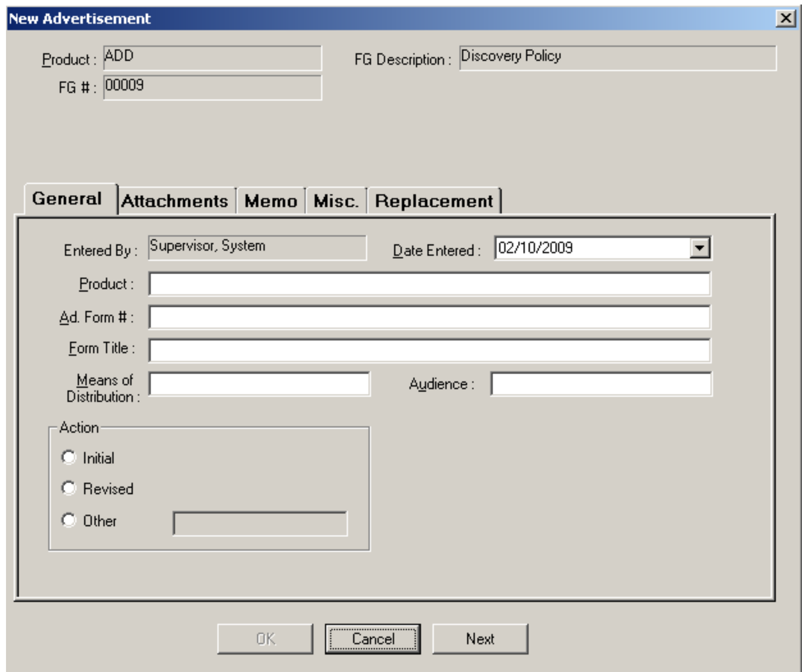
2. **To add a new Rule** to a filing group, click the **New Rule** toolbar button  ***or*** select **Insert** > **New Rule**.

   The **New Rule** dialog opens (shown below).

   ***Alternatively***:

   **To edit an existing Rule**, double-click the desired rule.

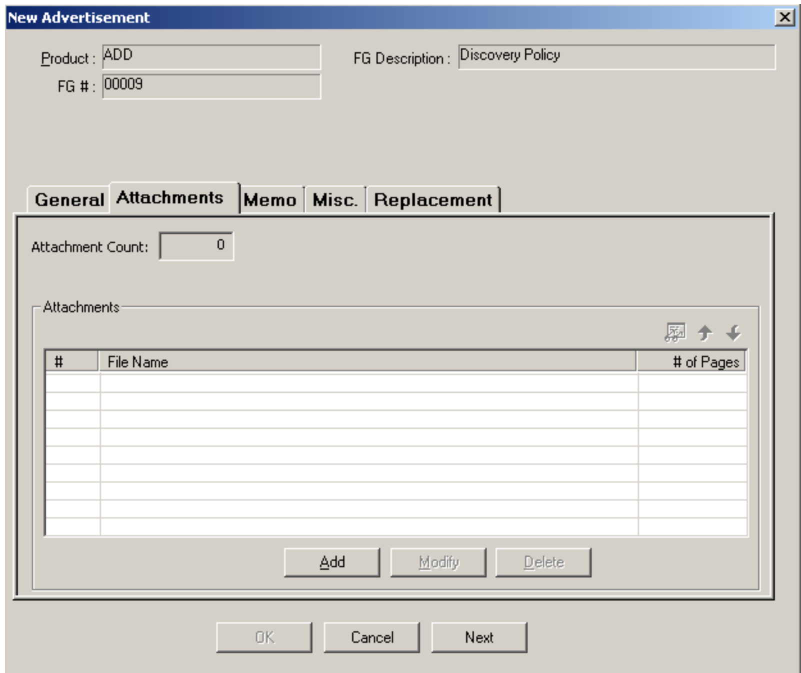
   The **Rule Details** dialog opens (not shown, but similar to **New Rule**).




3. The basic information fields at the top of the dialog will be automatically filled with information from the filing group record. Check these to ensure that you are adding the rule to the desired record.
4. On the **General** tab:
   - The **Entered By** and **Date Entered** fields will automatically be filled in with your name and today's date. The date can be changed by clicking the drop-down button and selecting a date from the calendar.
   - In the **Company Rule #** field, enter the code/number assigned to this rule by your company.
   - If applicable, in the **Advisory Rule #** field, enter the code/number assigned to this rule by the relevant advisory organization.
   - In the **Title** field, enter a brief title for this rule.
   - In the **Exception Page #** field, enter the manual page number for this rule.
   - In the **Edition Date** field, enter the edition of this rule.

- In the **Action** area, select whether this is a **New, Replacement**, or **Withdrawn** rule.

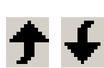
**5.** On the **Attachments** tab:



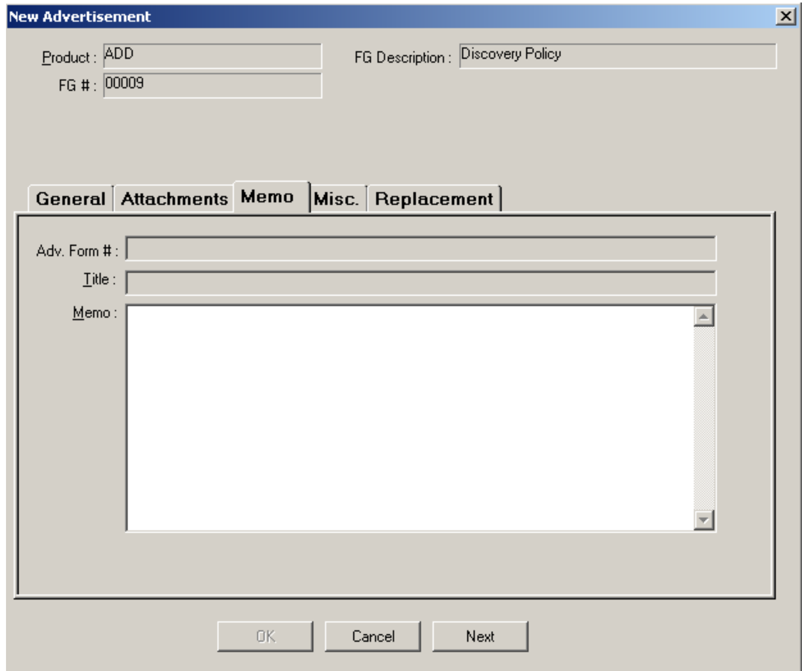

- To add a new attachment to the rule, click **Add**, and using the file browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in aDMS.

**Tip:** Select a file on a shared network drive or a DMS, not a local drive. This will help prevent problems if other users work with this filing.

- To view an existing attachment, select the document and click **View Attachment**, or double-click the attachment.
- To replace an existing attachment, select the attachment in the **Attachments** table and click **Modify**, and using the browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.
- In the **No. of Pages** field, enter the number of pages in the attached document.
- Repeat above steps for additional attachments.
- Use the up and down arrows above the **Attachments** table to move the entries within this table so that the list of attachments are in the correct order.

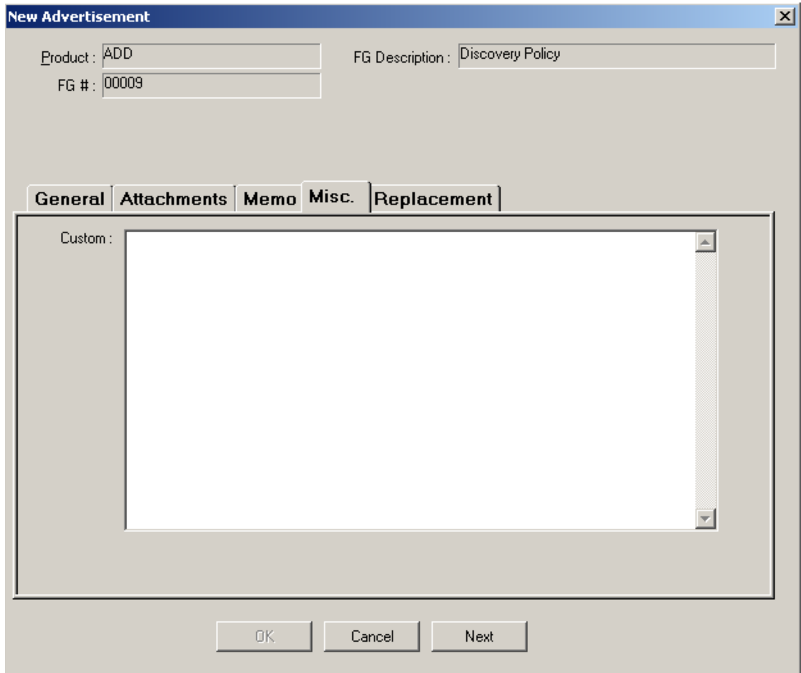


**6.** On the **Memo** tab:



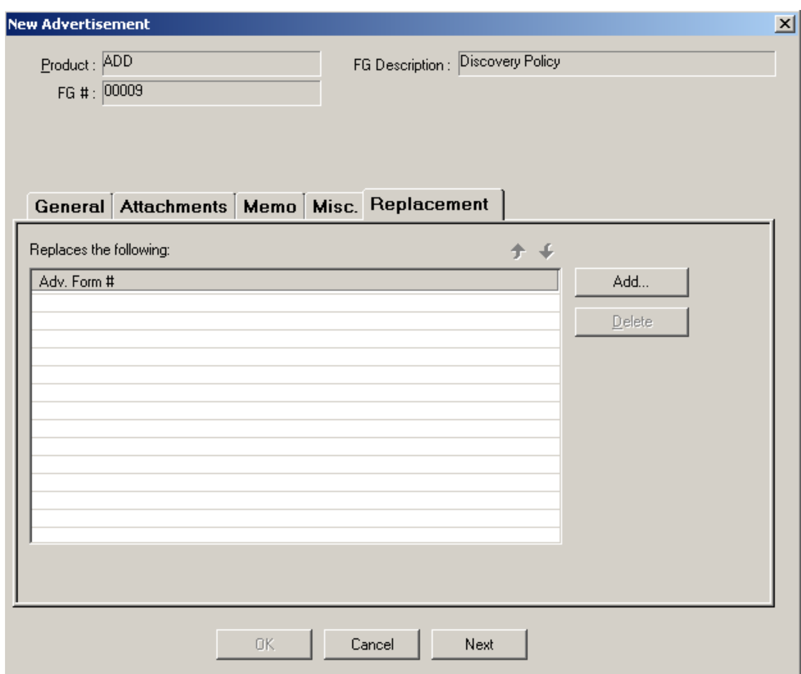

- The **Rule #** field displays the rule number entered on the General tab.
- The **Title** field displays the advertisement title entered on the General tab.
- In the **Memo** field, enter a comment or background description of the rule. This text is included in the long filing letter. (See *Understanding Filing Letters* on page 341.)

7. On the **Misc.** tab:

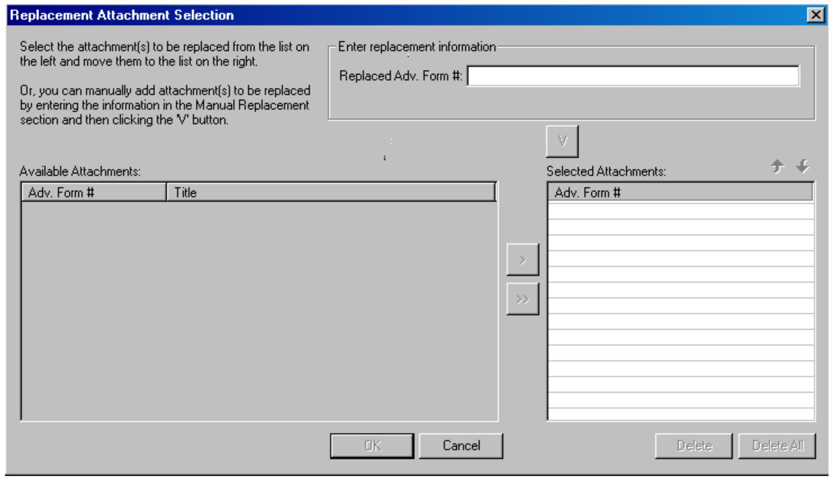



The **Custom** field allows you to add more information about the rule. Information in this field will not appear in the final filing package.

8. On the **Replacement** tab:




9. Click **Add**, and the **Replacement Attachment Selection** dialog displays.




The Available Attachments table displays a list of all the rules in the system that this new rule may be replacing.

To move one or more rules from the list of Available Attachments to the Selected Attachments table, highlight the applicable rule, then use the >, >>, <, << buttons to move your selections.

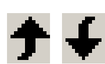
If the list of Available Attachments is blank or does not contain the advertisement to be replaced, enter the replaced information.

**a.** Enter the **Replaced Rule #** and **Replaced Edition**.

**b.** Click the V button to add your manual entry to the **Selected Attachments** table.

**c.** Repeat steps (a) and (b) as necessary to add additional replaced advertisements.

**d.** Use the up and down arrows above the Selected Attachments table to move the entries within this table so that the list of attachments are in the correct order.



**e.** Click **OK** when done.

**10.** To add another new rule  reference, click **Next**.

The New Rule dialog opens

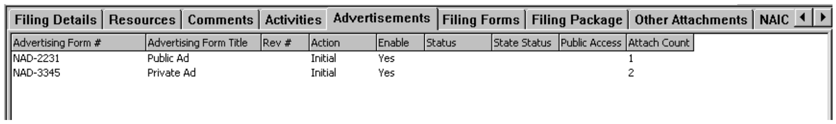
*OR*

To finish, click **OK**.

The new rule will be added (or the existing rule updated), and the dialog will close.

## The Rule Tab – Filing Level

The Filing level **Rules** tab lists all of the rules for this filing at both the Filing Group and Filing levels.




From this tab, you can access the details for any of the rules listed.

**1.** On the **Rules** tab, double-click the rules record to open it.

**2.** Click a tab title to view or change information.

## Adding a New (or Editing an Existing) Filing Level Rule

When you add rule at the *Filing Group* level, all filings in that filing group with a status of Start will automatically contain the advertisement. You can see these *Filing Group* level rules at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level. If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then any new or modified rules that were not previously included in that filing are still not included in the filing after the status change. However, if you change certain fields at the *Filing* level, marked in this guide with a broken link icon, , the rule will become independent of changes at the *Filing Group* level, in effect becoming a *Filing* level rule.

### Method: Add a new (or edit an existing) Filing level rule

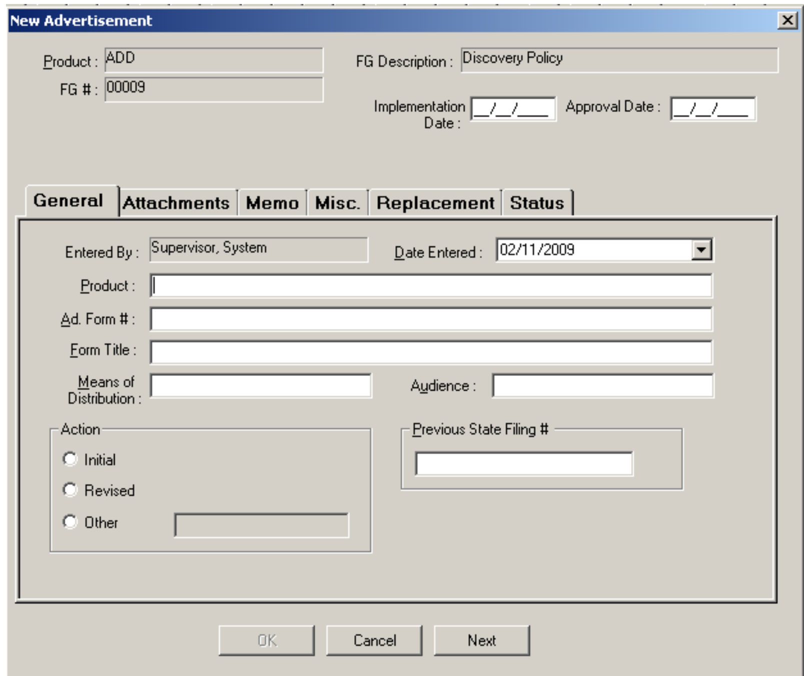
**1.** **To add a new Rule**, at the Filing level, click the **New Rule** toolbar button ***or*** select **Insert** > **New Rule**.

The **New Rule** dialog displays (shown below).

*OR*

**To edit an existing Rule**, double-click the desired rule.

The **Rule Details** dialog displays (not shown, but similar to **New Rule**).

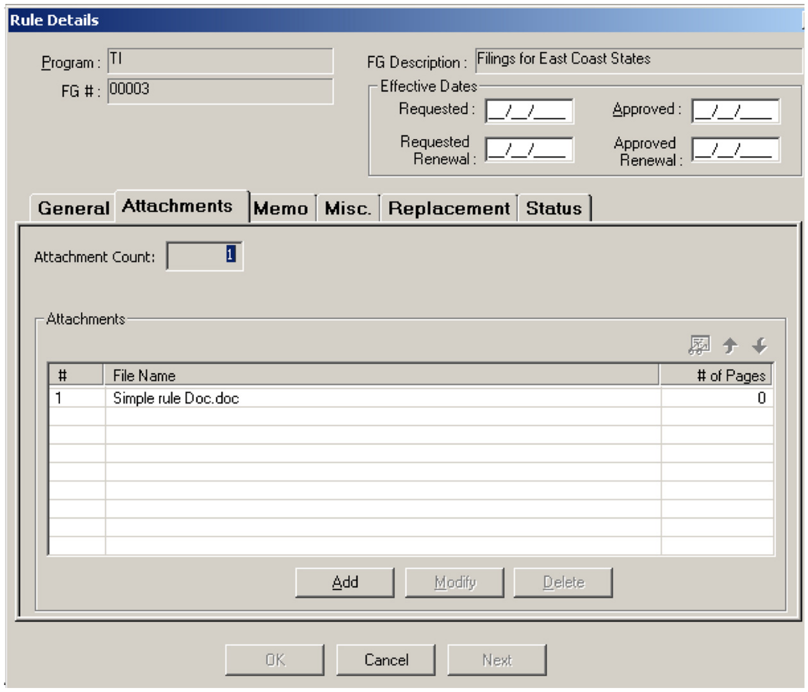



2. The basic information fields at the top of the dialog will be automatically filled with information from the filing record. Check these to ensure that you are adding the rule to the desired record.

3. On the **General** tab:

- The **Entered By** and **Date Entered** fields will automatically be filled in with your name and today's date.
- In the **Company Rule #** field, enter the code/number assigned to this rule by your company.
- If applicable, in the **Advisory Rule #** field, enter the code/number assigned to this rule by the relevant advisory organization.
- In the **Title** field, enter a brief title for this rule.
- In the **Exception Page #** field, enter the manual page number for this rule.
- In the **Edition Date** field, enter the edition of this rule.
- In the **Action** area, select whether this is a **New**, **Replacement**, or **Withdrawn** rule. Note that this is a mandatory field for SERFF filings. If this is a **Replacement**, enter the **Previous State Filing #**. (This is the DOI file number assigned by the state to the previous filing.).

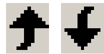
**4.** Note that this is a mandatory field for SERFF filings. On the **Attachments** tab:



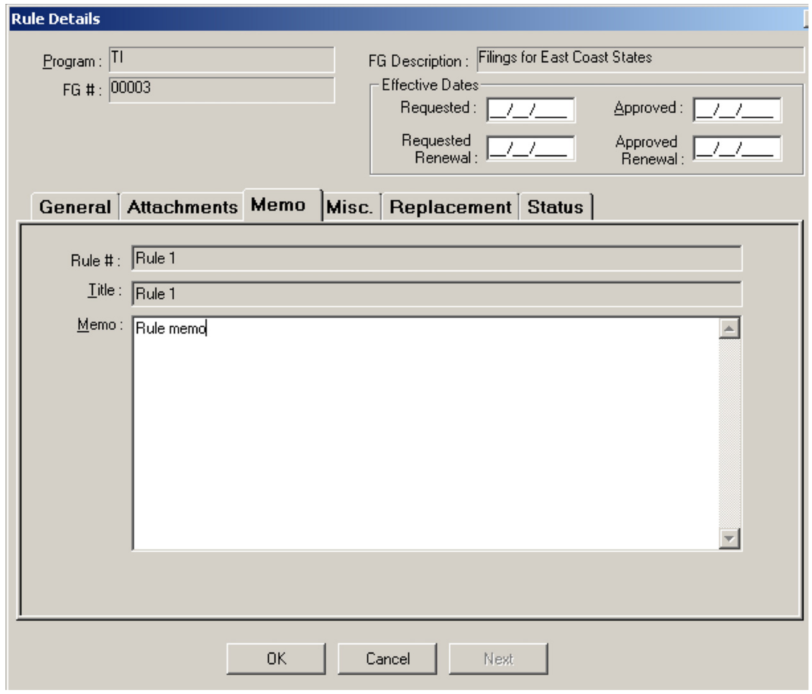

- To add a new attachment, click **Add**, and using the file browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.

**Tip:** Select a file on a shared network drive or a DMS, not a local drive. This will help prevent problems if other users work with this filing.

- To view an existing attachment, select the document and click **View Attachment**, or double-click the attachment.
- To replace an existing attachment, select the attachment in the **Attachments** table and click **Modify**, and using the browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.
- In the **No. of Pages** field, enter the number of pages in the attached document.
- Repeat above steps for additional attachments.
- Use the up and down arrows above the **Attachments** table to move the entries within this table so that the list of attachments are in the correct order.

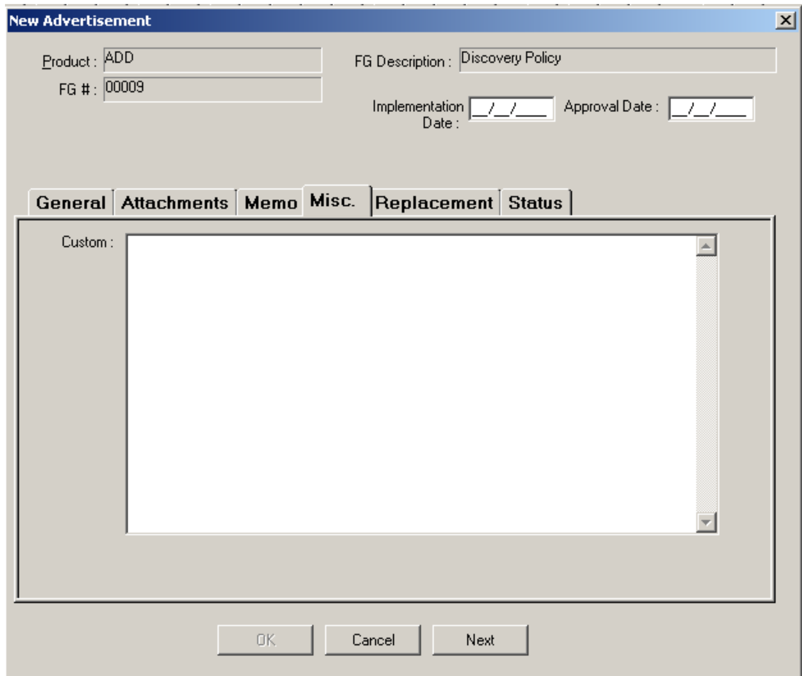


**5.** On the **Memo** tab:




- The **Rule** # field displays the Rule number.
- The **Title** displays the rule's title.
-  In the **Memo** field, enter a comment or background description of the rule. This text is included in the long filing letter. (See *Understanding Filing Letters* on page 341.)

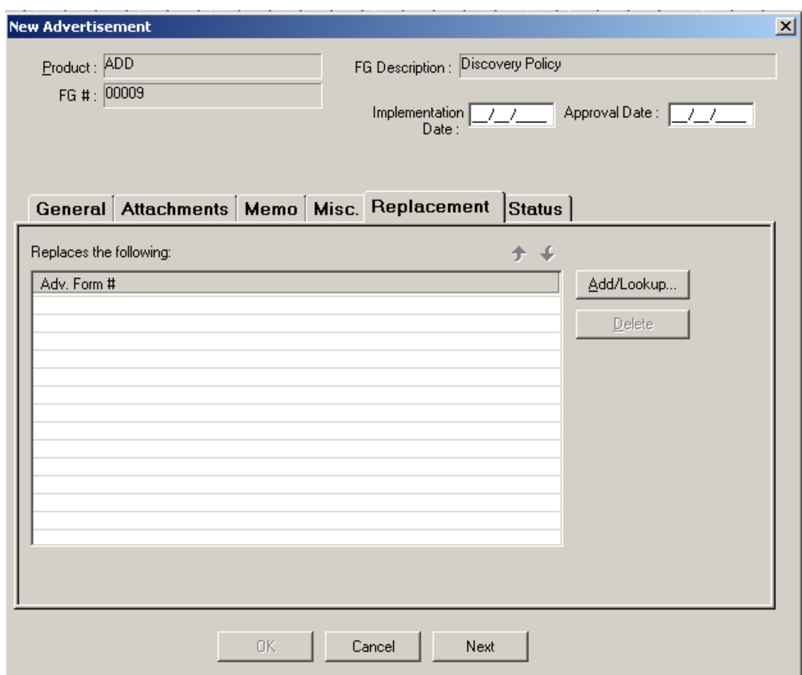
6. On the **Misc.** tab:



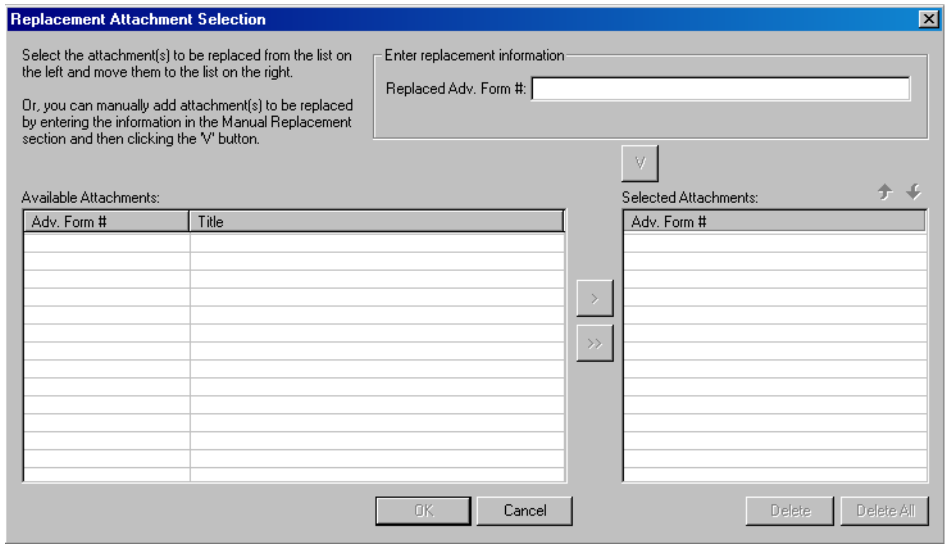


In the **Custom** field, you can add more information about the rule. Information in this field will not appear in the final filing package.

7. On the **Replacement** tab:



- Click **Add/Lookup**, and the **Replacement Attachment Selection** dialog appears. The Available Attachments table displays a list of all the advertisements in the system that this new rule may be replacing.




To move one or more rules from the list of Available Attachments to the Selected Attachments table, highlight the applicable rule, then use the >, >>, <, << buttons to move your selections.

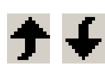
If the list of Available Attachments is blank or does not contain the rule to be replaced, enter the replaced information.

**a.**  Enter the **Replaced Rule #** and **Replaced Edition**.

**b.** Click the V button to add your manual entry to the **Selected Attachments** table.

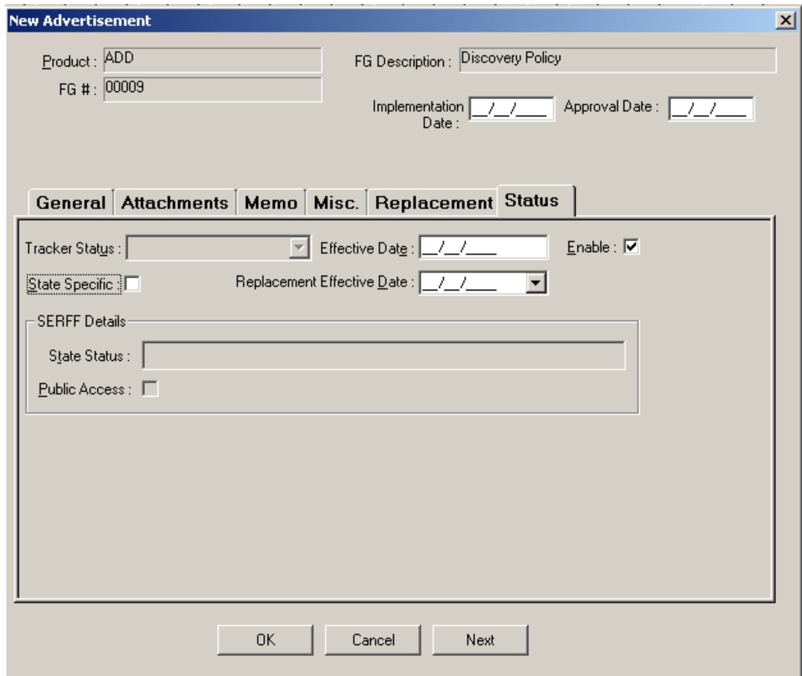
**c.** Repeat steps (a) and (b) as necessary to add additional replaced rules.

**d.** Use the up and down arrows above the Selected Attachments table to move the entries within this table so that the list of attachments are in the correct order.



**e.** Click **OK** when changes to this window are complete, or click **Cancel** to close this window without making any changes.

**8.** On the **Status** tab:




- On the **Tracker Status** drop-down list, you can select a status for this rule only, independent of the status of the filing, but use with caution.
-  If you want the rule to be included in the overall filing, select the **Enable** check box.
-  If this rule is specific for this state, select the **State Specific** check box.
- The **Replacement Effective Date** will be automatically entered by the system in the future when this new rule is replaced, but only if the rule was added to the **Replacement** tab of the new rule.

**9.** To add another new rule, click **Next**.

*OR*

To finish, click **OK**.

The new rule reference(s) will be added (or the existing rule reference(s) updated), and the dialog will close.

# Linking Related Filings

Sometimes, you may need to file related filings (of different types) separately.

You may be doing this because certain states do not allow you to, for example, file forms and rates together, or because your company may not allow combined filings as a general business practice. In cases where you submit related filings separately, states may require a cross-reference (or "link") in each filing to any related filings.

You add these cross-references to the **Related Filings** section in one of three ways:

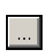
- by selecting a filing from a list of filings that Tracker has determined may be related
- by searching the system and selecting from the search results
- by typing in a value (You would do this if a state requires data in these fields that differs from the data that Tracker provides using the other two methods.)

After the ID has been entered, the filings are effectively linked to each other.

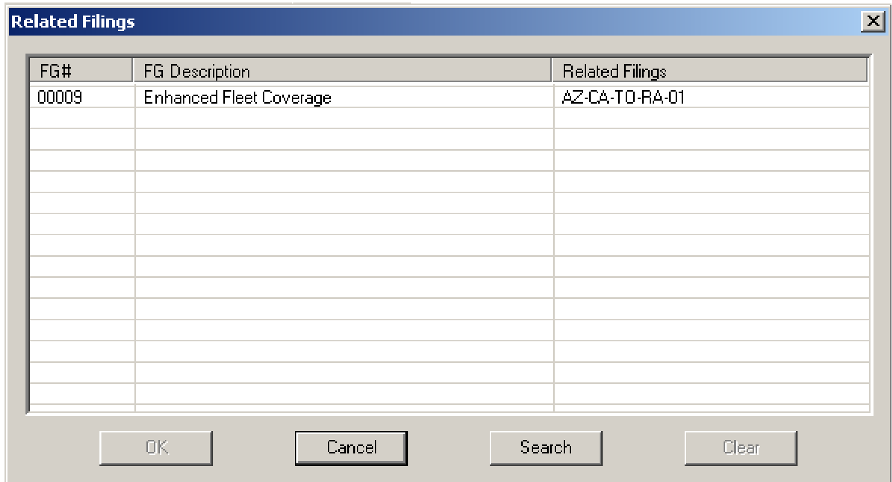
### Notes

- The ID that is used is the related filing's **Company Reference #** if one exists at the time the filing is sent to SERFF. If no **Company Reference #** is present in the related filing, then the field will be populated with the **Tracker Filing ID** of the related filing. If the related filing's **Company Tracking #** changes prior to submitting the filing to SERFF (because the user added, changed, or deleted the **Company Reference #**), then the number shown in the **Related Filings** area will be updated. After the filing is submitted to SERFF, the value in the field will be updated in Tracker, but not passed to SERFF.
- After performing the activities **SERFF: Generate SERFF Filing** or **Generate Complete Filing**, the values for Related Filings are not editable.

### Method: Link related filings

**1.** In the **Related Filings** section of the filing header at the Filing level, click the  button next to the filing type you want to search.

The **Related Filings** dialog displays. Any potentially related filings are listed.




2. If the related filing you are searching for is listed, double-click it to add it to the respective **Related Filings** type.


If the related filing you are searching for is *not* listed, you can search for the filing manually.

**a.** Click **Search**.

**b.** Enter your search criteria, then click **Search** again. (For more information about searching Tracker, see *Performing Tracker Searches* on page 376.)

Any filings matching your search criteria are displayed in the **Search Results** tab.

**c.** If the related filing you are searching for is listed, double-click it to add its filing ID to the respective **Related Filings** type.

After the filing ID has been entered, the related filing is now linked to the filing you are working on. You can double-click the filing ID of the related filing to quickly open the related filing.

**Note:** If the related filing is a *combined* filing, two of the **Related Filings** fields will be populated with the related filing values. For example, if the related filing is a combined Rate and Form filing, then both the **Form** and **Rate** fields in the **Related Filings** section will be populated with filing numbers.

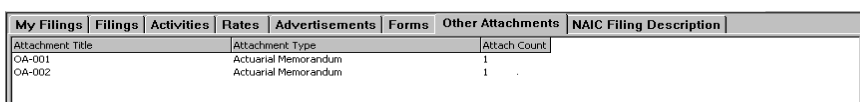
# Other Attachments

In addition to rates, rules, and forms, filings usually require other supporting documentation (for example, actuarial memorandums, exhibits, certifications, and so on). SERFF uses fillable filing forms for this purpose. For SERFF filings, you can access the fillable filing forms by clicking **View Requirements** on the filing's SERFF tab, Supporting Documentation sub-tab. After opening a fillable filing form and saving it to your file system or DMS, it can be opened outside of Tracker, completed, then saved. The completed fillable filing form can then be used as an attached document for Other Attachments at the filing group or filing level.

**Tip:** You can enter data into the fields on the fillable filing form using Adobe Reader (a free download). You can also use Adobe Reader to sign the document by using the **Sign Document** command. If you don't already have a digital signature, Adobe Reader will guide you through the steps to create one when you perform the Sign Document command.

## The Other Attachment Tab — Filing Group Level

The **Other Attachments** tab is the area within Tracker in which any supporting documentation you want to include in the filing should be attached. You can add these other attachments at either the Filing Group or Filing level. The **Other Attachments** tab at the Filing Group level lists all of the Other Attachments added to the selected filing group.




### Adding a New (or Editing an Existing) Filing Group Level Other Attachment

If you add Other Attachments at the Filing level, you can choose whether they print with the filing.

If you add an Other Attachment at the Filing Group level, then for each filing in the filing group, the new attachment will be automatically set to print with the filing.

When you add an Other Attachment at the *Filing Group* level, all filings in that filing group with a status of Start will automatically contain the Other Attachment. You can see these *Filing Group* level other attachments at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level in filings with a status of Start. If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then any new or modified Filing Group level items that were not previously included in that filing are still not included in the filing after the status change.

**Tip:** Adding Other Attachments at the Filing Group level then making required changes at the Filing level may save you time compared to adding Other Attachments individually at the Filing level.

### Method: Add a new or edit an existing Filing Group level Other Attachment

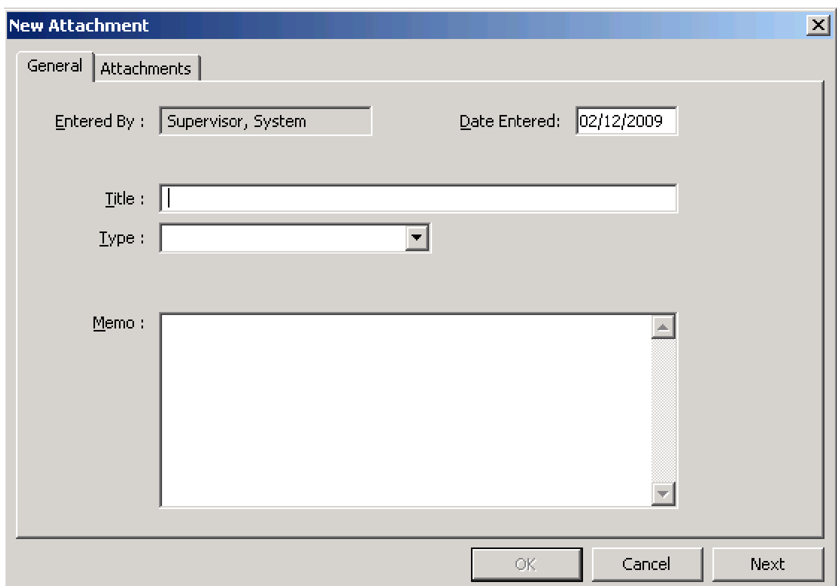
1. Navigate to the Filing Group level of the desired filing group.
2. **To create a new Other Attachment**, click the **New Other Attachment** toolbar button or select **Insert > New Other Attachment**.

   The **New Attachment** dialog opens (shown below).

   *OR*

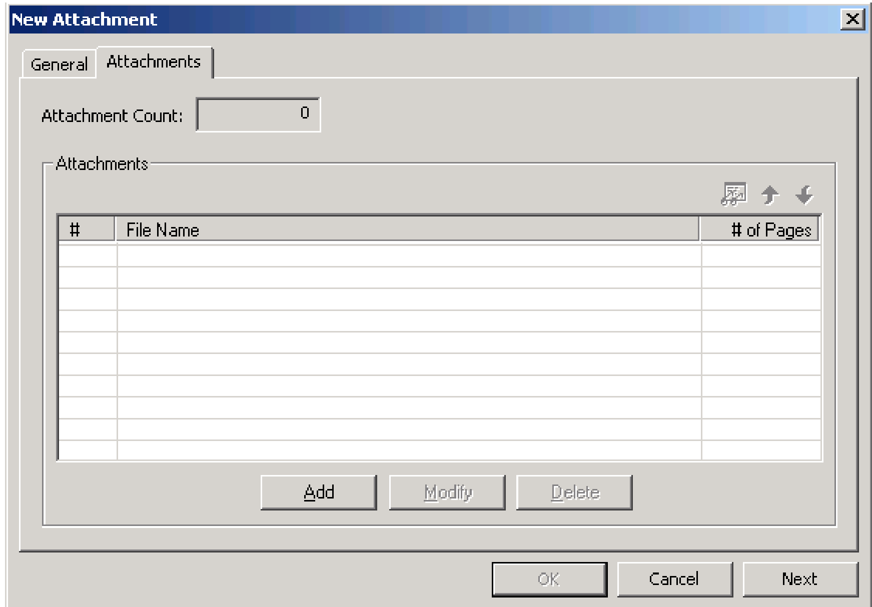
   **To edit an existing Other Attachment**, double-click the attachment on the **Other Attachments** tab.

   The **Attachment Details** dialog opens (not shown, but similar to New Attachment).




3. On the **General** tab:
   - The **Entered By** and **Date Entered** fields will automatically be filled in with your name and today's date. The date can be changed by clicking the drop-down button and selecting a date from the calendar.
   - Enter the **Title** of the new attachment, or edit the existing **Title**.
   - Select an attachment **Type** from the drop-down menu.
   - If required, enter (or edit) text in the **Memo** box to describe this attachment. Text entered here will not appear in the final filing.

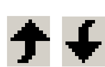
**4.** On the **Attachments** tab:




- To add a new Other Attachment, click **Add**, and using the file browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.

**Tip:** Select a file on a shared network drive or a DMS, not a local drive. This will help prevent problems if other users work with this filing.

- To view an existing attachment, select the document and click **View Attachment**, or double-click the attachment.
- To replace an existing attachment, select the attachment in the **Attachments** table and click **Modify**, and using the browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.
- In the **No. of Pages** field, enter the number of pages in the attached document.
- Repeat above steps for additional attachments.
- Use the up and down arrows above the **Attachments** table to move the entries within this table so that the list of attachments are in the correct order.



**5.** To add another Other Attachment, click **Next**.

*OR*

- To finish, click **OK**.

The new Other Attachment(s) will be added (or the existing Other Attachment updated), and the dialog will close.

**Note:** For SERFF filings: If you attempt to delete or modify an Other Attachment that has been affiliated with a SERFF requirement in a filing that has been submitted, you will get a warning message.

## The Other Attachments Tab — Filing Level

The **Other Attachments** tab is the area within Tracker in which any supporting documentation you want to include in the filing should be attached. You can add these other attachments at either the Filing Group or Filing level.


### Adding a New (or Editing an Existing) Filing Level Other Attachment

If you add other attachments at the Filing level, you can choose whether they print with the filing.

**Important:** When you add an Other Attachment at the *Filing Group* level, all filings in that filing group with a status of Start will automatically contain the Other Attachment. You can see these *Filing Group* level other attachments at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level in filings with a status of Start. If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then any new or modified Filing Group level items that were not previously included in that filing are still not included in the filing after the status change. However, if you change certain fields at the *Filing* level, marked in this guide with a broken link icon, , the other attachment will become independent of changes at the *Filing Group* level, in effect becoming a *Filing* level other attachment.

**Method: Add a new or edit an existing Filing level Other Attachment**

At the Filing level:

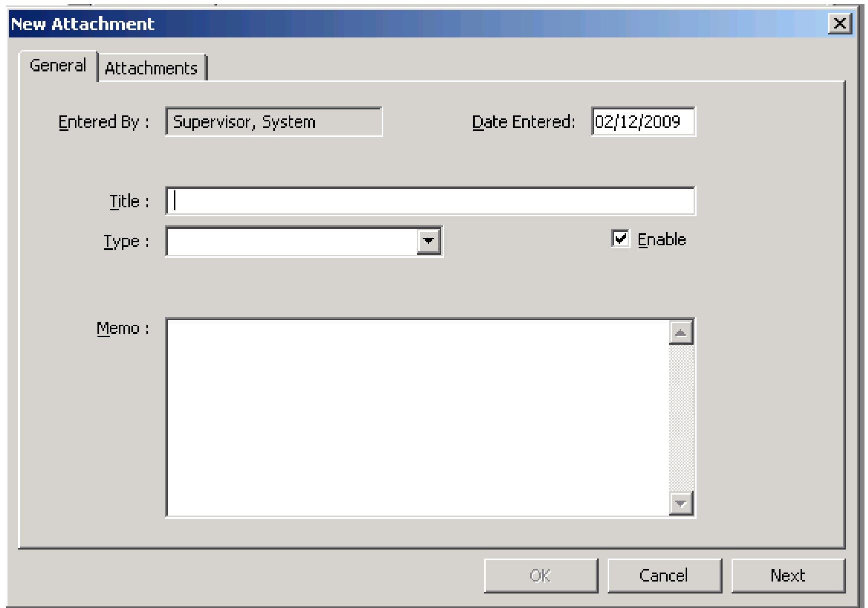
1. **To create a new Other Attachment**, click the **New Other Attachment** toolbar button  or select **Insert > New Other Attachment**.

   The **New Attachment** dialog displays.

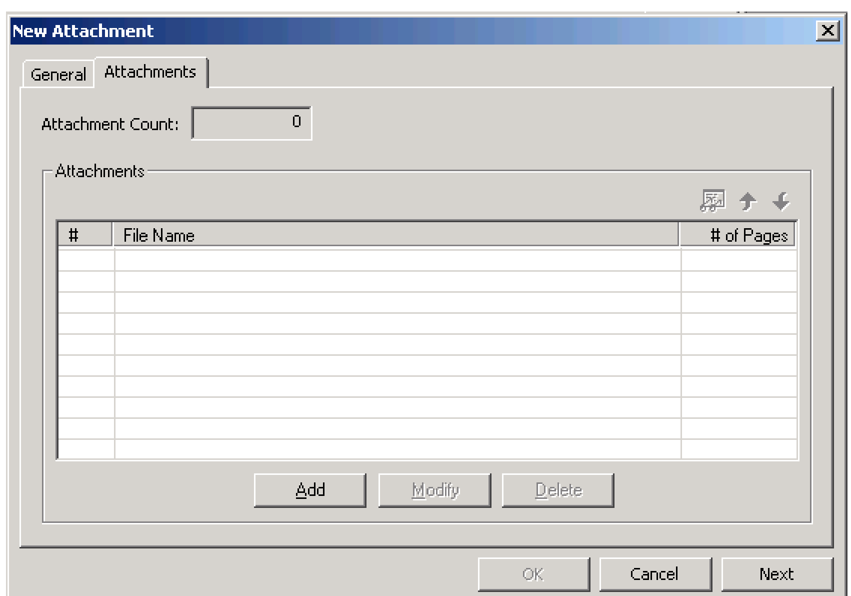
   *OR*

   **To edit an existing Other Attachment**, double-click the attachment on the **Other Attachments** tab.

The **Attachment Details** dialog displays.




2. On the **General** information tab:
   - Enter the **Title** of the new attachment, or edit the existing **Title**.
   - Select an attachment **Type** from the drop-down menu.
   - If required, enter (or edit) text in the **Memo** box to describe this attachment. Text entered here will not appear in the final filing.
   - If required, select **Enable**.
3. On the **Attachments** tab:



- To add a new attachment, click **Add**, and using the file browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.

**Tip:** Select a file on a shared network drive or a DMS, not a local drive. This will help prevent problems if other users work with this filing.

- To view an existing attachment, select the document and click **View Attachment**, or double-click the attachment.
- To replace an existing attachment, select the attachment in the **Attachments** table and click **Modify**, and using the browser that opens, locate the required document. Double-click the required document, or select the document and click **Open.** If you have a DMS, select **Browse DMS** if the attachment is located in a DMS.
- In the **No. of Pages** field, enter the number of pages in the attached document.
- Repeat above steps for additional attachments.
- Use the up and down arrows above the **Attachments** table to move the entries within this table so that the list of attachments are in the correct order.

**4.** To add another Other Attachment, click **Next**.

*OR*

To finish, click **OK**. The new Other Attachment(s) will be added, and the dialog box will close.

# NAIC Filing Descriptions

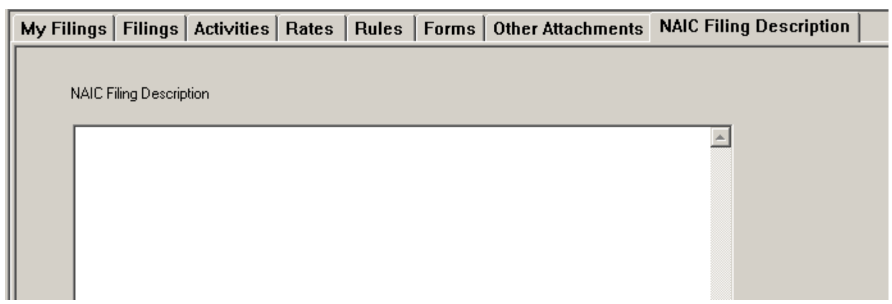
You can enter the NAIC filing description at the Filing Group level or Filing level. For SERFF filings, the information is sent with the filing electronically to the state.

When you add a NAIC filing description at the *Filing Group* level, all filings in that filing group with a status of Start will automatically contain the NAIC filing description. You can see the *Filing Group* level NAIC filing description at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level in filings with a status of Start. If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then any new or modified Filing Group level items that were not previously included in that filing are still not included in the Filing after the status change.

### Method: Enter (or edit) the NAIC filing description at the Filing Group level

**1.** Navigate to the Filing Group level of the desired filing group.

**2.** Click the **NAIC Filing Description** tab.




**3.** Enter (or edit) the **NAIC Filing Description**, then click the **Save** button on the Tracker toolbar.

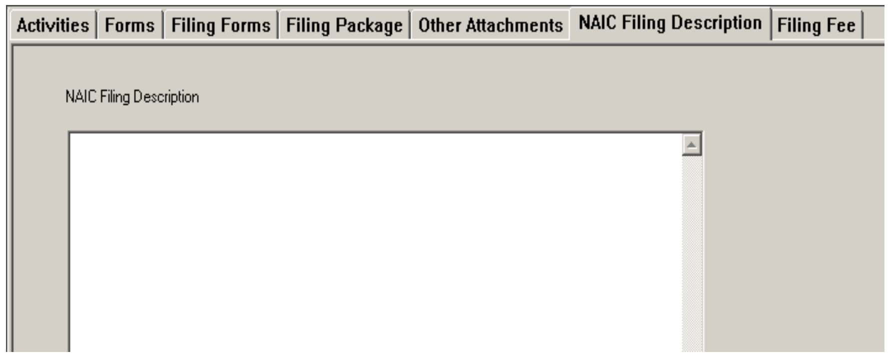
The filing description is saved and is copied into the filings in this filing group. If you change this description later, the change will automatically appear in the filings in this filing group, unless you have edited the description at the Filing level.

### Method: Enter (or edit) the NAIC filing description at the Filing level

If you add or modify the NAIC filing description at the *Filing* level, the filing description will become independent of changes at the *Filing Group* level, in effect becoming a *Filing* level NAIC filing description, as indicated below by the broken link icon. 

If a filing that is not in Start status changes back to Start status (as a result of performing or deleting an activity), then the NAIC Filing Description that was not previously included in that filing will still not be included in the filing after the status change.

1. Navigate to the Filing level of the desired filing.
2. Click the **NAIC Filing Description** tab.




3.  Enter (or modify) the **NAIC Filing Description**, then click the **Save** button on the Tracker toolbar.

   The filing description is saved.

# Entering Filing Fees

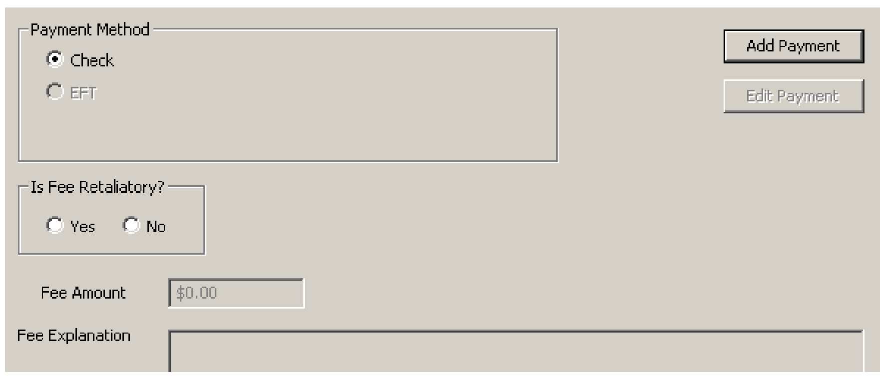
Use the **Filing Fee** tab to enter fee payment information for a filing. If you are using SERFF, you can pay by check or EFT: see *Paying Filing Fees via EFT* on page 268.

## Entering Filing Fees Paid by Check

If you are paying filing fees by check, complete the following procedure to enter the filing fee payment information.

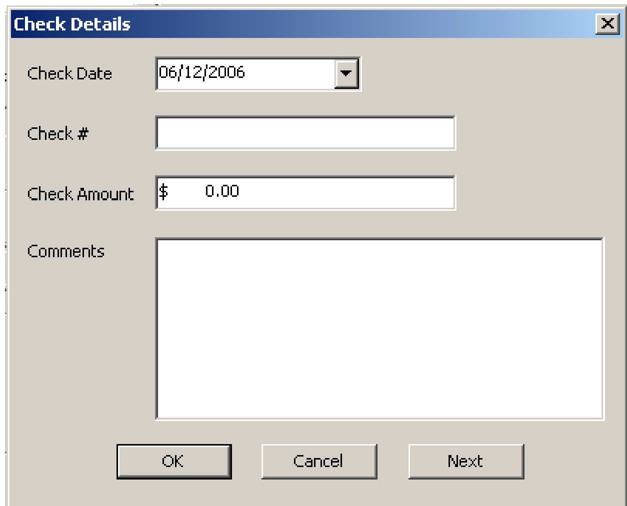
### Method: Enter filing fees paid by check

1. Navigate to the desired filing
2. Click the **Filing Fee** tab.



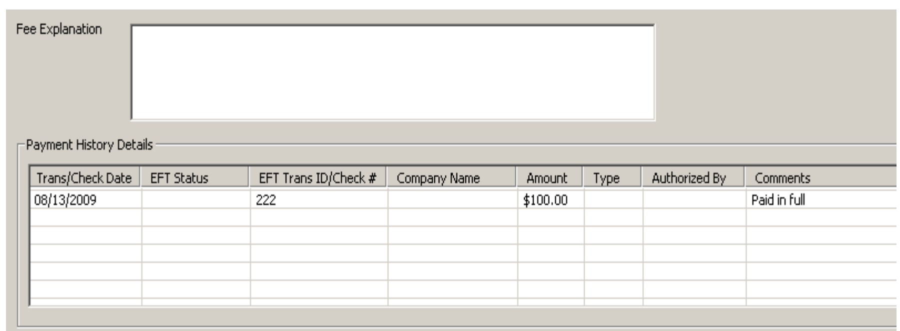

3. Under **Payment Method**, select **Check**.
4. If any portion of the fee is being paid on a retaliatory basis, click **Yes** in the **Is Fee Retaliatory?** section.
5. Click **Add Payment**.

   The **Check Details** dialog displays.




6. Enter the **Check Date, Check #** and **Check Amount**.
7. Enter any descriptive notes in the **Comments** field.
8. To enter another payment, click **Next**, otherwise click **OK**.

   The check payments you entered are displayed in the **Payment History Details** table at the bottom of the **Filing Fee** tab.




9. Enter any descriptive information in the **Fee Explanation** field.
10. Click the **Save** button on the Tracker toolbar to save your changes.

## Editing Filing Fee Check Payments

**Note:** You can edit all the fields in the **Check Details** dialog box before submitting the filing. Once submitted, only the **Comments** field and **Fee Explanation** field can be edited.

### Method: Edit check filing fee payments

1. Navigate to the desired filing.
2. Click the **Filing Fee** tab.
3. Scroll down to the **Payment History Details** table.

4. Double-click any of the payments listed in the **Payment History Details** table.
5. Make any required changes.
6. Click **OK**.

# Copying Filings

Tracker supports the ability to create new filings based on existing filings.

This section includes the following topics:



## Copying Attributes

The new filings you create by copying will have the following attributes copied from the original (not revised) version of the selected filing(s):

- Filing Group-level NAIC filing description
- Program field
- State field
- LOB field
- Group # field
- Company field
- Project Start Date field
- Filing Type field
- Custom field
- Description field
- Filing Statute field
- All comments in the Comments tab
- All users in the Resources tab

The new filings you create by copying will not have the following attributes copied from the original (not revised) version of the selected filing(s):

- **Filing Status** is set to Start
- A unique **Filing ID** is assigned (the sequence number component of the Filing ID is incremented)
- **Filing Manager** is set to current user
- **Retaliatory** is set to blank
- **PaymentMethod** is set to blank

For SERFF filings:

- Copy Filing functionality does not copy public access information, nor does it copy TOI, SubTOI or Filing Type information.

- The SERFF status of copied items (including the SERFF status) is empty or blank.

## Copying Multiple Filings

To create multiple filings when you copy, select multiple filing types in the dialog and Tracker will create a copy of the original filing with each of your selected filing types. These copies are usually separate filings, but Tracker will combine filings based on type of filing and the rules for combined filings in the states selected.

When copying combined filings, if you select the filing types for your copy that are the same as the original, Tracker will create a combined filing like the original; it will not split the combined filing into multiple, separate filings.

## Copying Schedule Items

When copying filings, you have the following mutually exclusive options regarding the schedule items:

1. Include Group level items
2. Include Group and Filing level items

With option 2, the new filings will contain all Filing-level forms, rates, advertisements, and other attachments associated with the filing(s) being copied, including all metadata for each attachment, attachment paths, sub-tabs and data on sub-tabs, and so on—everything for each attachment. The following also results:

- The Filing level attachments in the new filing(s) have the same relationship with the filing group as the original filing, that is, if the link with the Filing Group attachment is broken, the link in the copy is also broken.
- The Filing level-**NAIC Filing Description** from the filing(s) is copied and its relationship with the filing group is maintained, that is, if the link with the filing group is broken, the link in the copy is also broken.
- The **Enable** setting is copied.
- On the **Status** sub-tab, the **State Specific** indicator and the **Enabled** indicator are copied, all other fields will be empty or blank.
- All **Related Filings** information is copied.

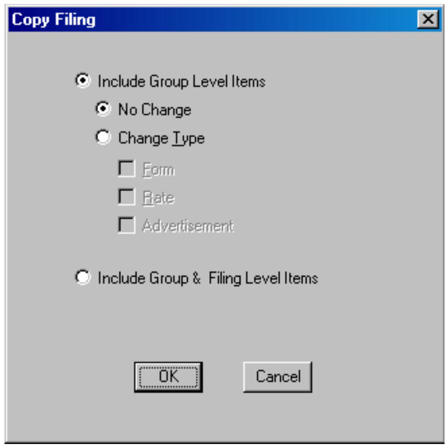
## Copying Filings

When creating copies of existing filings, you can choose to use new or existing Filing Group-level attachment types.

### Method: Copy a filing

1. Navigate to the Filing Group level and highlight a filing.
2. Click **Insert > Copy Filing**.

The **Copy Filing** dialog displays.




**3.** Complete one of the following steps:

### To create copies with the same filing type and Group-level items:

**a.** Select **Include Group Level Items**

The default **No Change** is selected**.**

**b.** Click **OK**.

The **Copy Filing** dialog closes. The result of the copy is displayed.

**c.** Click **OK**.

The list of filings is updated with the new filing(s).

*OR*

### To create copies with different filing types:

**a.** Select **Change Type**.

The filing type selectors become active.

**b.** Select the filing type(s) for the new filing(s).

**c.** Click **OK**.

The **Copy Filing** dialog closes. The result of the copy is displayed.

**d.** Click **OK**.

The list of filings is updated with the new filing(s).

*OR*

### To create copies with the same filing type using Group-level *and* Filing-level items:

**a.** Select **Include Group & Filing Level Items**.

**b.** Click **OK**.

The **Copy Filing** dialog closes. The result of the copy is displayed.

**c.** Click **OK**.

The list of filings is updated with the new filing(s).

# Chapter 6

# Working with Common Filing Tasks

This chapter deals with tasks you will perform when you are creating filings within Tracker.

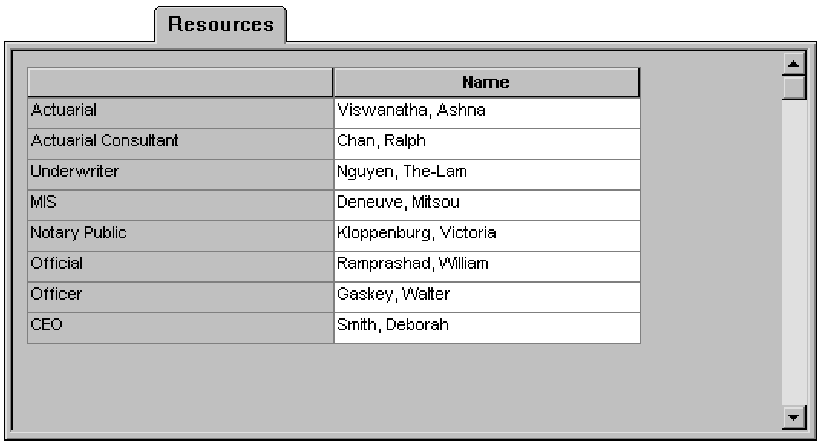
This chapter describes:

# Filing Resources

This section describes resources and how they relate to filings. *Resources* refer to employees at your company who are involved in the filing process.

## The Resources Tab

The **Resources** tab displays a list of company personnel responsible for various facets of the filing and the product to which it belongs.




Resources are entered into the system via the administrative User and Company functions. See *User Profiles* on page 68 and *Adding New Companies* on page 43 for more information on how to add users and companies to Tracker.

## Entering Filing Resources

When you create a filing, the Resources tab will be automatically populated with the resources listed for the company to which the filing pertains. You may, however, choose to change the resources listed for a particular filing.

### Method: Enter filing resources

1. Navigate to the filing where you want to enter resources.
2. Select the **Resources** tab.
3. For each applicable personnel type field select a name from the related drop down list.
4. Click **Save** to save your resources information.

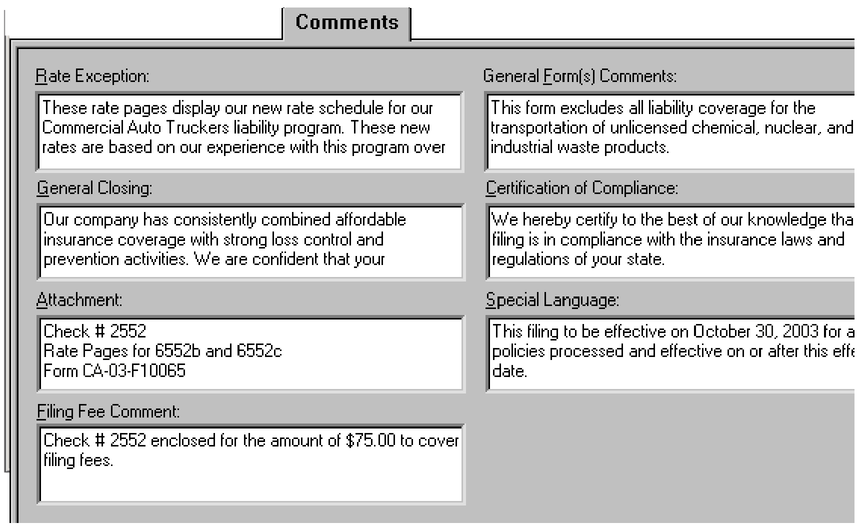
Resources may be edited at any time. Always click **Save** when you have finished editing to ensure that your changes are preserved.

# Filing Letter Comments

This section describes filing letter comments and how they relate to filings.

## The Comments Tab

The **Comments** tab provides a number of large text fields in which you can enter comments to add extra information to your filing letters. Any information entered here will automatically be added in the appropriate places to any relevant filing letters created for that filing.




## Adding Filing Letter Comments

At the Filing level:

1. Select the **Comments** tab.
2. Locate the text field for the type of comment you want to add.
3. In the text field type the comment as you want it to appear on the letter.
4. Repeat steps **2** and **3** for all comments required.
5. Click **Save** to save your comment information.

**Note:** Comments may be edited at any time. Always click **Save**  when you have finished editing to ensure that your changes are preserved.

# Activities

This section describes activities at the Filing level:

- *Specific Filing Level Activities* on page 200
- *The Activities Tab – Filing Level* on page 200

## Specific Filing Level Activities

A number of specialized functions are accessed and performed via the Filing level **Perform Activity** function.

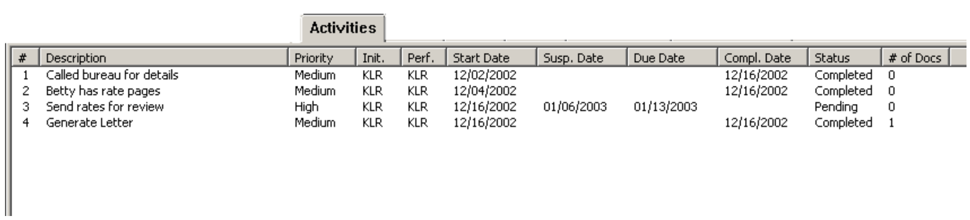
Filing letters can be accessed within certain types of activities. The activity dialog box then allows you to select the type of letter required. Information to populate the letter is automatically taken from the administrative, regulatory, and filing specific information (such as letter comments) already entered into the system.

Any additional documents required for a filing, such as actuarial proofs, or marketing brochures, can also be accessed and attached via the Activities function. You simply choose an *Attachment* activity, and then browse for, and attach, your file. You can even make notes regarding the attachment in the activity's memo field. Document attachments can also be edited via the Activities function, as long as the software used to create those attachments is available on the system running Tracker.

The generation of completed filings is also done via the **Perform Activity** function. The generate filing activity gathers together all of the documents specified for the filing.

## The Activities Tab – Filing Level

The Filing level **Activities** tab lists all activities that have been performed upon (or are pending performance upon) this filing. From this tab you can access the activity details for any of the activities listed.


Activities

| # | Description | Priority | Init. | Perf. | Start Date | Susp. Date | Due Date | Compl. Date | Status | # of Docs |
|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Called bureau for details | Medium | KLR | KLR | 12/02/2002 | | | 12/16/2002 | Completed | 0 |
| 2 | Betty has rate pages | Medium | KLR | KLR | 12/04/2002 | | | 12/16/2002 | Completed | 0 |
| 3 | Send rates for review | High | KLR | KLR | 12/16/2002 | 01/06/2003 | 01/13/2003 | | Pending | 0 |
| 4 | Generate Letter | Medium | KLR | KLR | 12/16/2002 | | | 12/16/2002 | Completed | 1 |

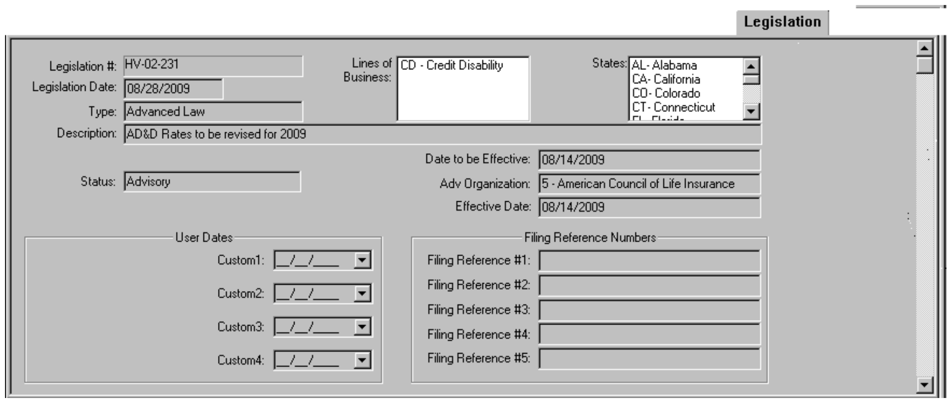
# Related Publication

This section describes publication at the Filing level. These topics include:

- *The Publication Tab* on page 201
- *Adding a Publication Reference* on page 201

## The Publication Tab

Filings are often created in response to the receipt of publication bulletins from an advisory organization or legislative body. The Filing level **publication** tab displays information about a publication record in the system related to or pertaining to this particular filing. The information contained on this tab is identical to the information presented on the related publication record's details screen; see *The Legislation Details Tab* on page 354 for more information.




Note that the publication tab appears at the Filing level only if that filing was created or referenced in relation to a particular publication record in your system.

## Adding a Publication Reference

A publication reference can be added to a filing only from the originating publication details screen. This occurs automatically when a filing is created directly from a publication record. A reference can also be created manually from a publication detail record by using the **Insert** > **New Filing Reference** option. See *Linking Legislations to Filings* on page 360.

# Chapter 7

# Working with Activities

This chapter provides detailed information about performing, posting, and working with activities in the Tracker system. Instructions for performing activities for filing groups, filings, multi-filings, and publication are also contained here, including instructions for attaching filing letters and actuarial exhibits to a filing, and procedures for generating and printing filings.

This chapter describes:

# Tracker Activities

In the Tracker system, an **Activity** is any action related to or performed upon a filing group, filing, or publication record. These actions can be anything:

- creating a memo or a note-to-self
- recording a phone call to/from a state insurance department
- generating a filing, and so on.

All of these actions can be recorded and kept as a history within the activity function. The **Filing Level Activity** function encompasses a wide range of passive and active activities, including generating, editing, and printing filing documents.

## Passive Activities

Passive activities are usually related to recording information (for example, the recording of a memo or phone call in relation to a record). They do not change any documents related to a filing.

## Active Activities

Active activities are usually related to generating documents (for example, creating a filing letter, or generating and printing a complete filing). They generally update or create documents related to a filing.

## Status Changes and Active Activities

Some activities update status fields or dates in the system, so that your record is automatically updated when you perform that activity. For example, when you perform an activity to record the receipt of DOI approval for a filing, the activity automatically updates the status of the filing record to **Approved** and updates the **Approval Date** of the filing record to the date specified in the activity).

## Activities and Post Activities

Activities can be **Performed** (performed and recorded under today's date or given a past date) or **Posted** (recorded with a future date or suspense date to act as a reminder); each function has a separate menu option and toolbar button accessible on any of the Filing Group level, Filing level, or publication Activity tab screens. The Post Activity function is especially useful for setting Suspense Dates to remind yourself (or your co-workers) about due dates and tasks which need to be completed on or by a certain date.

Any record having a future or suspense dated activity attached to it is flagged with the date and activity description where it is listed in the main tab screens (such as the Filing Groups tab, the **My Filings – All** tab, the Filings tab, the **My Filings** tab, and the **publications** tab). Also, the **Suspended** button located above each of these tab screens can be pushed to show only those records having a future or suspense activity attached, so that you can view only those records that need to be worked with, and can see what tasks you have upcoming.

## The Activities Tab – Filing Group Level

The Filing Group level **Activities** tab lists all activities that have been performed upon (or are pending performance upon) this filing group. From this tab, you can access the activity details for any of the activities listed.

## Standard Tracker Activities

Tracker comes with a set of over thirty standard activities covering most of the activities you will want to perform in relation to your filing group, filing, and publication records. If there are other activities you want to be able to perform through this function, or if you want to tailor some of the activities to your own needs, this can be done through the Tracker administrative **Custom Tables** function, or by an Tracker Support Representative. Contact your Tracker administrator, or see *Activity Codes* on page 80.

The following table lists of all the standard activities in the Tracker system, and a brief description of their function.

| Activity | Description |
|---|---|
| Approve Filing in System | Use this activity to record the receipt of a DOI's approval of a filing.<br>It updates the status of the filing to **Approved**. |
| Attach Exhibit/<br>Backup Material | This activity allows you to attach a document, exhibit, or other backup material to a filing. |
| Background Information | This allows you to enter background or extra information about a record. |
| Build Rate for EDP System | Use this activity to enter/update your Build Rate for EDP date for a filing. |
| Correspondence for Filing | Use this activity to generate a correspondence letter to a DOI (Department of Insurance) for a filing. It updates the status of the filing to **Pending**. |
| Form Development | Record information regarding form development using this activity. |
| Form Revision | Use this activity to enter and track form revision information. |
| Generate Complete Filing | This activity lets you generate a complete filing, view it, and then print it out.<br>It updates the status of the filing to **Pending**. |
| Generate Letter | This activity lets you generate, view, and print a filing letter; you may choose from several types of letter. |
| Instructions for Filing | Use this activity to record instructions for tasks to be performed upon this filing at a later date.<br>This activity can be post-dated. It will appear on the Filing Approval Notification Report. |
| Instructions for publication | Use this activity to record instructions for tasks to be performed upon this filing at a later date.<br>This activity can be post-dated. It will appear on the Filing Approval Notification Report. |

| Activity | Description |
|---|---|
| Inter-Department Request | Use this activity to record a request for action or information to another department.<br>This activity can be post-dated. |
| Mail Filing to DOI | Use this activity to record the date that a filing was sent to a state DOI (Department of Insurance). |
| Memo/Notes | The Memo/Notes activity allows you to enter notes and information about a record as you work with it. |
| Respond to DOI – Objection | Use this to create a response letter following a DOI (Department of Insurance) Objection.<br>Updates the status of the filing to **Pending**. |
| Respond to DOI – Resubmit Filing | Use this to create a re-filing letter following a response from a DOI (Department of Insurance).<br>Updates the status of the filing to **Pending**. |
| Response from DOI – Disapproved Filing | Records the date of the receipt of a Disapproval from a DOI (Department of Insurance).<br>Updates the status of the filing to **Disapproved**. |
| Response from DOI – General | Records the receipt of a Response from a DOI (Department of Insurance). |
| Response from DOI – Objection | Records the date of the receipt of an Objection from a DOI (Department of Insurance).<br>Updates the status of the filing to **Objection**. |
| Schedule Mailing Date to DOI | Use this activity to set a scheduled mailing date.<br>This activity can be post-dated. |
| Set Suspense Action Date | This activity allows you to post a future suspense (reminder) date. |
| Update Objection Respond by Date | Use this activity to document a change to the Respond by Date |
| Withdraw Filing | Use this to create a withdrawal letter and record the date when you withdraw a filing from a DOI.<br>Updates the status of the filing to **Withdrawn**. |

**Note:** Not all activities are available at every level of the system. Filing Group level and publication activities are generally limited to information-recording activities (such as memos and notes, background information, and suspense dates), while a much wider of activities may be performed upon at the Filing level (such as generating letters and filings).

## Standard SERFF Activities

If you are using Tracker with SERFF, the following standard activities are included to help you manage and submit your SERFF filings.

| Activity | Description |
|---|---|
| SERFF: Generate SERFF Filing | Use this activity to generate and submit a filing to SERFF after you have finished developing it. |
| SERFF: Get Filing Requirements | Use this activity to retrieve the requirements for a SERFF filing from the given state for your selected combination of TOI, sub TOI and filing type for that state. |
| SERFF: Submit Note to Reviewer | Use this activity to submit a note to the state reviewer for an open or closed filing (if allowed by the state). |
| SERFF: Submit Additional Fee | Use this activity to allocate and submit EFT fee payments. |
| SERFF: Submit Filing Amendment | Use this activity to submit an amendment to a filing. This can include revised or additional schedule items. |
| SERFF: Submit Objection Response | Use this activity to submit a objection response to an objection letter.<br>An objection response may include revised and/or additional schedule items. |
| SERFF: Submit Confidentiality Request | Use this activity to request confidentiality for all or part of a filing. |
| SERFF: Submit Post Submission Update | Use this activity to submit changes to a filing after submission. |

# Performing Basic Activity Procedures

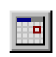
This section describes basic procedures used with activities:



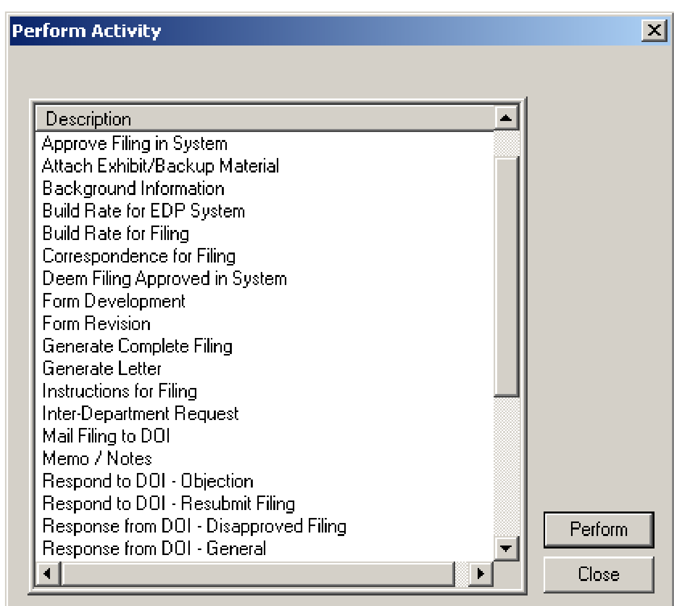
## Performing an Activity

Use the following method to perform an activity from a Filing Group or Filing level, or publication screen Activities tab screen.

### Method: Perform an activity

1. Click **Perform Activity** on the toolbar. 

   The **Perform Activity** dialog displays.

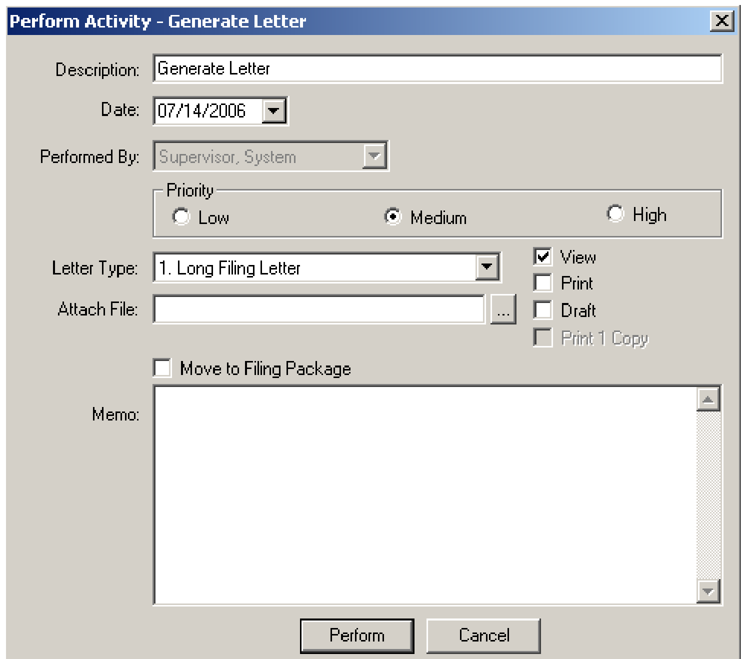



2. In the **Perform Activity** dialog, select the activity you want to perform.

3. Click **Perform**.

   The **Perform Activity** dialog for the selected activity displays.

**Note:** The following describes the steps in the **Generate Letter** activity. Each activity dialog will look slightly different.




4. Enter information in the applicable fields:
   - Usually, the default **Description** should be used.
   - The **Date** field will automatically be filled in with today's date.
   - The **Performed By** field will automatically be filled in with your name.
   - Indicate the **Priority** of the activity by clicking in one of the **Low**, **Medium**, or **High** selection buttons (the default priority is **Medium**).
   - If you are generating a filing letter, select a **Letter Type** from the drop-down list to the right of the field.
   - Clear the **View**, **Print**, **Draft**, and **Print One Copy** check boxes as required.

     If you select the **View** check box, the generated letter will open in a Microsoft Word window for viewing. You may then use Word's print command to print the letter, if desired.

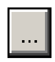
     If the **Print** check box is selected, the letter will automatically be printed following generation.

     If you select the **Draft** check box, the letter will be generated, but will not be saved for future viewing in the activity record.

If you select the **Print One Copy** check box, only one copy of each document in the filing package will be printed. You might do this if you wanted to review the entire filing package and did not want to print out the multiple copies of each document that are usually required with a complete filing package.

- Use the **View/Draft** check combination to generate and preview draft filing letters. If you want to generate and save a letter, and have it generate and print as part of the final Complete Filing generation, make sure that you clear the **Draft** check box.

  Generated (non-draft) letters will be saved, and will be accessible later from the activity detail record.

- Use the **Attach File** field to enter the location (path) of a document file you want to attach to the filing (such as an extra form or exhibit). You can type in the path (to a maximum of 255 characters) or click the browse button  located to the right of the field to locate and select the correct path. The attached document will then be accessible from the activity detail record.

  All attachments that you want to have generated and printed as part of the final filing must be performed with both **View** and **Print** selected, and **Draft** cleared.

- Use the large **Memo** field to record the main text or information such as a note, memo, or phone message. This field can also be used to add extra text to any filing letter.

**5.** Click **Perform**.

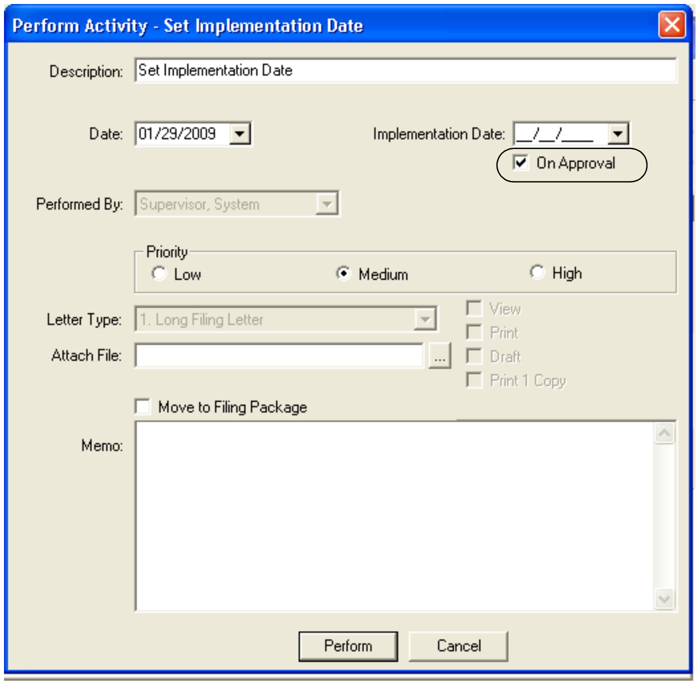
The activity will be performed and will appear on the related Filing Group, Filing, or publication Activity list tab.

**6.** To finish, click **OK**.

The new activity will be performed or recorded, and the dialog will close.

## Performing Activities with an On Approval Option

The Implementation **Date** may be affiliated with an activity by the Tracker Administrator. (See *Adding Active Activity Codes* on page 82.) In some cases, you will have an **On Approval** option in addition to the default calendar setting.



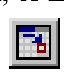

If the Administrator *has not* configured the activity for the **On Approval** option, when you perform the activity, you will see a date selection button, but not the **On Approval** checkbox.

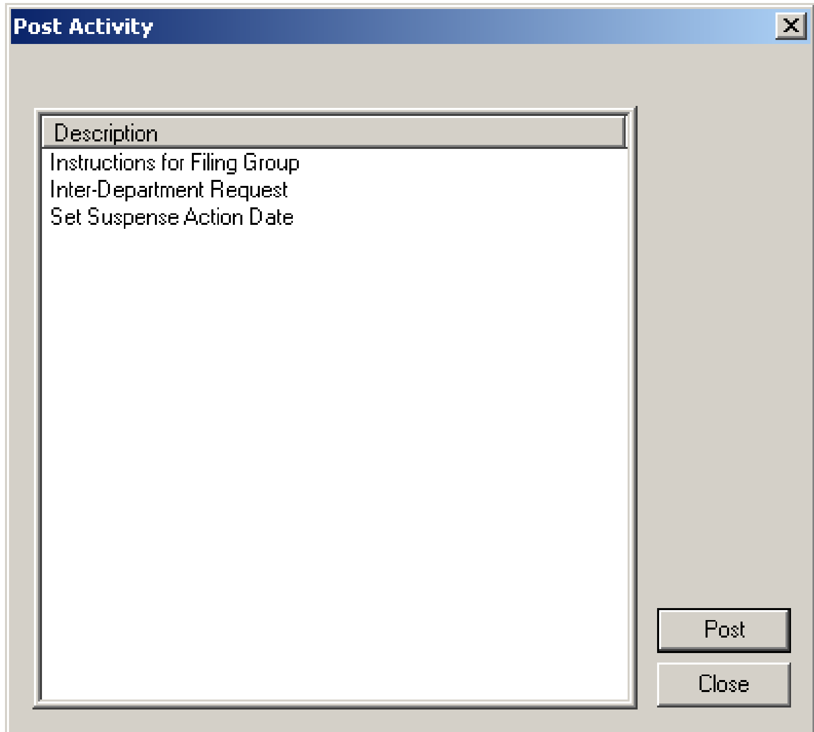
If the Administrator *has* configured the activity for the On Approval option, the default option is with the calendar unlocked and the On Approval check box not selected. If you select the On Approval check box, the system will clear the calendar and lock it. If you want to revert back to an actual date, you need to clear the On Approval check box. The system will then unlock the calendar and allow you to pick a specific date.

## Posting an Activity

Posting an activity allows you to specify a future target date on which that activity should be performed. This is very useful when posting suspense dates, or giving instructions which need to be performed at a future date.

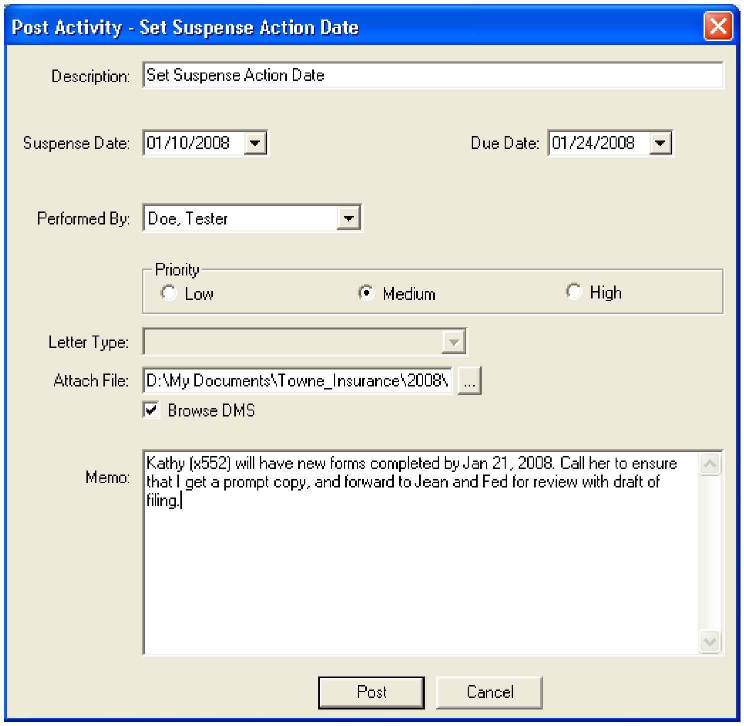
### Method: Post an activity

1. From a **Filing Group** or **Filing Level**, or **Legislation Activities** tab screen, click the **Post Activity** toolbar button  to open the Post Activity list box.




2. In the **Post Activity** list box, select the activity you want to post.
3. Click **Post**.

   The **Post Activity** dialog displays. (The example below is for the Set Suspense Action Date activity. Each activity window will look slightly different):




**4.** Enter information in the applicable fields.

Use the **Description** field to enter a brief description of the activity you are posting. Usually, the default **Description** can be used.

In the **Suspense Date** field, enter the date on which you want this activity to be performed (such as the suspense dates, reminder dates, due dates, and so on).

The **Due Date** field is the actual date on which this activity must be completed. This field allows you to bring up activities by suspense date before the due date.

The **Performed By** field will automatically be filled in with your name; you may select a different name if someone else is to perform the posted activity.

Indicate the **Priority** of the activity by clicking in one of the **Low**, **Medium**, or **High** selection buttons (the default priority is **Medium**).

Use the **Memo** field to record the main text or information of a suspense note, memo, or instruction.

**5.** Click **Post**.

The activity will be posted and will appear on the related Filing Group, Filing, or Legislation Activity list tab.

## Accessing a Single Activity Detail Record

You can display the details of any activity record.

#### Method: Access an activity detail record

1. Navigate to the required filing group, filing or publication**.**
2. Click the **Activities** tab.
3. Select the activity record you want to complete, and double-click it to open the related **Edit Activity** dialog.
4. Click **OK** or **Cancel** when finished viewing the record.

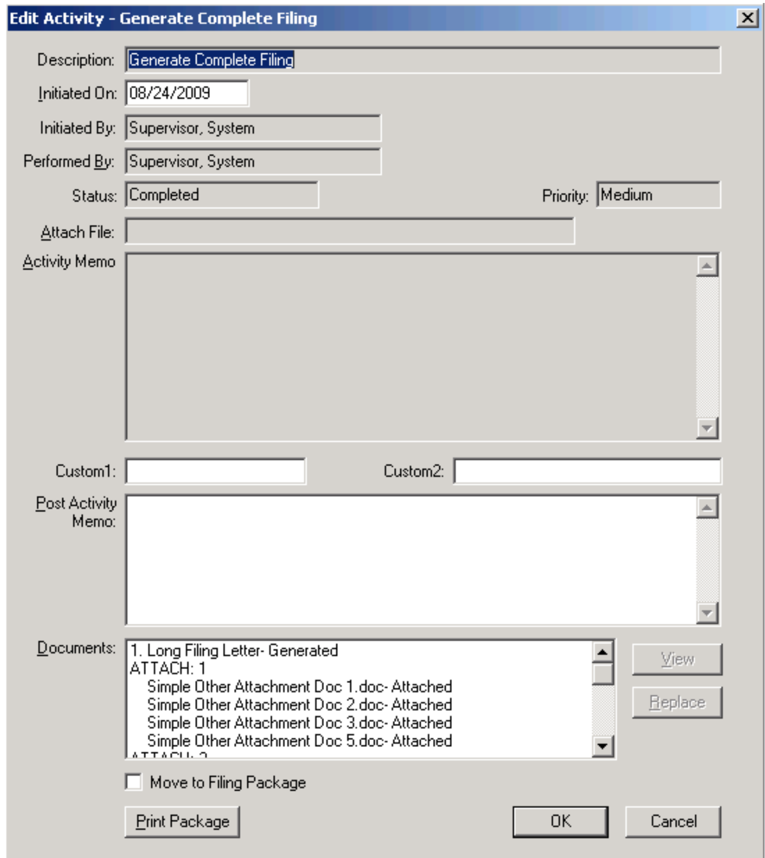
## Editing an Activity Detail Record

You may edit, change, or add to the information on an activity detail record at any time (provided that you have a system security level which permits editing).

#### Method: Edit an activity record

1. Navigate to the required filing group, filing or publication**.**
2. Click the **Activities** tab.
3. Select the activity record you want to complete, and double-click it to open the related **Edit Activity** dialog.

   It will look like the original **Perform Activity** or **Post Activity** dialog, but will have additional fields. (The example below is for the **Generate Complete Filing** activity. Each **Edit Activity** box will look slightly different.)




4. Make any necessary changes or additions to the information displayed on the screen.

   Note that:

   - The **Post Activity Memo** field allows you to store information pertinent to the completion or results of an activity.
   - The **Documents** field will list any documents generated in the original posting.

     To view one of these documents, select it from the list and click **View Document**. The document opens in its native application.

5. Click **OK** to save your changes and exit the dialog.

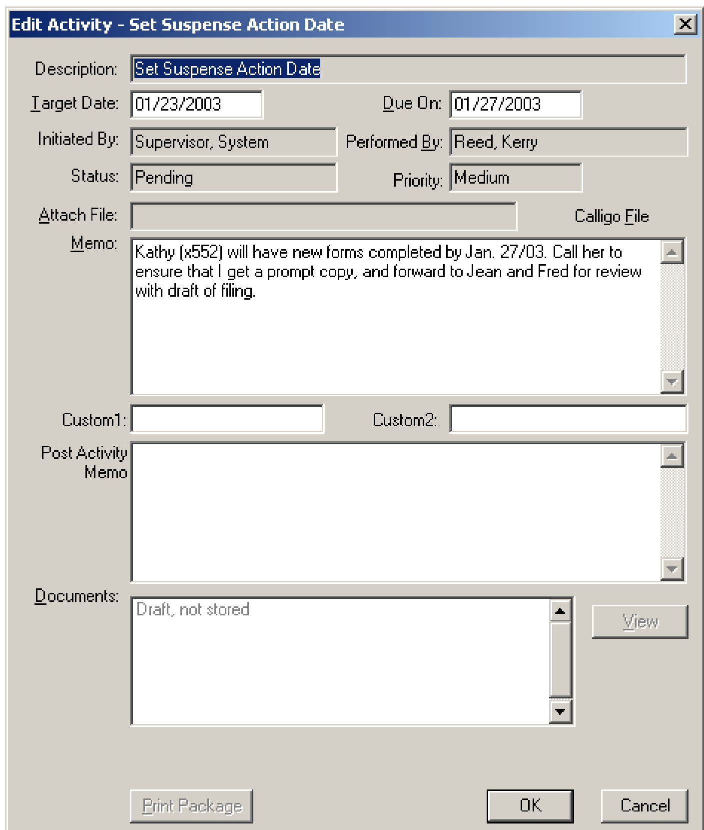
## Completing an Activity

When you post an activity for a future date, you leave it open until that activity has been performed, for example, until you've forwarded the necessary documents, made the required phone call, finished the task, and so on. When you have finished a posted activity, you should open the related activity record and note that it has been completed, and then close the record. It will then appear as **Completed** in the related **Activities** list tab.

## Method: Complete an activity

1. Navigate to the required filing group, filing or publication.
2. Click the **Activities** tab.
3. Select the activity record you want to complete, and double-click it to open the related **Edit Activity** dialog.

   It will look like the original **Post Activity** dialog, but will have additional fields. (The example below is for the **Set Suspense Date** activity. Each **Edit Activity** box will look slightly different):




4. In the **Post Activity Memo** field, enter any information relating to the performance or completion of the original posted activity.
5. When you have added any necessary notes, click **OK.**

   If today's date is equal to or later than the original suspense date, a message appears asking if you want to complete the activity.
6. Click **Yes** to complete the activity, or click **No** to leave the activity open if you haven't yet completed all required tasks.

   Your changes will be saved and **Edit Activity** will close.

## Completing a Recurrent Activity

Follow this method to complete a recurrent activity. After you complete a recurrent activity you can optionally create a new filing.

### Method: Complete a recurrent activity

1. Navigate to the desired filing, open the activity, on the due date, that you want to complete.
2. Click **OK**.

   A dialog displays asking you if you want to complete the activity.
3. Click **Yes**.

   A dialog displays.
4. Click **No** to complete the recurrent activity but not create a new filing.

   *OR*

   Click **Yes** to complete the recurrent activity and to create a new filing.
5. If you click **Yes**, you are prompted to choose the filing group in which the new filing is created.

   Once the new filing is created, the recurrent activity is created for this filing. The suspense date and due date of the recurrent filing are incremented by the period specified by the activity type.

## Deleting an Active Activity Detail Record

Activities should only be deleted when absolutely necessary. Only the most recently performed (or posted) activity attached to a record may be deleted. Therefore, to delete the third last active activity performed, you need to delete every activity which followed it as well. Deleting an activity reverses any actions performed in the system (such as status or date updates) as a result of that activity.

### Method: Delete an activity detail record

1. Navigate to the required filing group, filing or publication.
2. Click the **Activities** tab.
3. Select the activity you want to delete.
4. Click **Delete** on the toolbar.
5. Click **Yes** to delete the activity, or **No** to cancel.

## Deleting a Passive Activity Detail Record

Passive activities can be deleted in any order.

### Method: Delete a passive activity detail record

1. Navigate to the required filing group, filing or publication.
2. Click the **Activities** tab.
3. Select the activity you want to delete.
4. Click **Delete**.
5. Click **Yes** to delete the activity, or **No** to cancel.

**Note:** Because the activity feature helps you to track, as a history, all actions performed during the filing process, it is recommended that you perform a new activity each time you perform an action, or that you edit an existing activity only by responding to and adding to the information already recorded, rather than deleting existing activity information.

# Performing Filing Activity Procedures

This section describes activities specific to filings:


- *A Sample Filing Letter* on page 220
- *Information In the Filing Letter* on page 222
- *Filing Letter Comments* on page 223
- *Activities and the Filing Package Tab* on page 223


## A Sample Filing Letter

On the following page is a sample of a Long Filing Letter, containing all possible elements. In this example, filing letter Comments information appears on a gray background (this information is entered via the Filing level Comments tab; see *The Comments Tab* on page 205 for details). Other portions of the letter are generated automatically by the system from information previously entered for the filing, and from the Regulatory Specialist records that you entered for that state and line of business.

11:05:20 AM 3/5/2004

March 1, 2003

Commissioner of Insurance Julianne M. Bowler
Policy Review Area
Massachusetts Division of Insurance
One South Station
Boston, MA 02210

Attn: Life Policy Review Section

| | |
|---|---|
| RE: | Form Filing - Folder B - INS10097 |
| | Annuity Equity Index |
| | Company Filing#: AE MA0001401F01 |
| | L&H Company 1 NAIC#: 1234-45678 FEIN#: 32-567890 |
| | State ID#: 8989 |
| | Lead Form No.: Form #2 02/02/02 et al |

Dear Commissioner Bowler:

We wish to submit the following Form filing for Other, Annuity Equity Index for use in Massachusetts. This filing is to be effective on or after March 25, 2003.

This filing has been submitted to or is exempt from filing in our domiciliary state of Alabama.

Policy Form(s) and Endorsement(s) Submitted:

| | | | |
|---|---|---|---|
| Form Title: | Created at the group level for testing folder A,B,C | | |
| Form No.: | Form #1 | Replaces: | 11111 |
| Edition Date: | 01/01/01 | | |
| Form Type: | Amendment | | |
| | | | |
| Form Title: | Created at the filing level for testing INS10097 | | |
| Lead Form No.: | Form #2 | | |
| Edition Date: | 02/02/02 | | |
| Form Type: | Amendment | | |

We trust with the enclosed information, you will be able to review our filing and grant an approval. If you have any questions, please contact the undersigned. Thank you in advance for your help and attention to this matter.

11:05:20 AM 3/5/2004

| | | |
|---|---|---|
| Ms. Kerry Reed | | |
| Manager, Compliance | | |
| Phone: | 555-555-1212 | Ext.: 1122 |
| Fax: | 555-555-1111 | |
| Email: | nimli@insystems.com | |

## Information In the Filing Letter

The following information is included in a typical filing letter. This information is drawn from various data already entered in connection to the filing, and from the Regulatory Specialist records you entered for that state, line of business, and filing type.

**Note:** Each letter format contains slightly different information, depending on its scope and purpose.

- **Date**
  Tracker checks for any filing date first. If there is no filing date, then Tracker looks for the activity date. Either of these dates could be the current date. This date can be edited in Microsoft Word if required.

**Note:** When generating a letter using the Generate Complete Filing activity, the letter uses the filing date that is entered in the activity, not today's date.

- **Name and Address**
  The name and address of the State Insurance Department are generated automatically. If you are creating multiple filing letters, each one will have a different Insurance Department name and address.
- **Attention Line**
  The attention line is generated automatically.
- **Reference**
  Reference information includes the NAIC Number, FEIN Number, Tracker Filing Identification Number, and the State ID. It is automatically generated.
- **Salutation Line**
  The title of the recipient is automatically generated.
- **Introductory Paragraph**
  The first paragraph is automatically generated.
- **Activity Memo**
  Any information from the activity memo field is included in the letter.
- **Form Information**
  If the filing includes Forms, this section is included in the letter. For each entry identified as a form, the system automatically includes the form number, revision date, and description. If this is a replacement form, the replaced form number is identified if it has been entered in Tracker. If it is a new form, it is identified as an introductory filing.

  If you want to include descriptive information for each form, such as its purpose or deviations from industry standard form provisions, you can add an explanatory comment from the form detail memo field.
- **Rate Information**
  If the filing includes Rates, this section is included in the letter. For each entry identified as a manual rate page, the system automatically includes the rate page number, edition, and description. If this is a replacement page, the replaced page is identified. If it is a new page, it is identified as an introductory filing.

If you want to include supporting arguments to explain or justify a rate filing, you can add an explanatory comment. If you want to include comments about the specific rate effect for the proposed rate change, you can add such comments in the memo field of each rate.

- **Advertisement Information**

  If the filing includes advertisements, this section is included in the letter. For each entry identified as a advertisement, the system automatically includes the advertisement title, name, and the advertisement number. If this is a replacement advertisement, the replaced advertisement number is identified. If you want to include comments about the advertisement, you can add such comments in the memo field of each advertisement.

## Filing Letter Comments

Depending on what has been specified in your filing, you may need to enter some comment information as part of the filing letter creation process. Filing letter comments are added in at the Filing level. See *Filing Letter Comments* on page 344.

## Activities and the Filing Package Tab

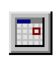
Activities can be added to the Filing Package tab, as well as any supporting documentation for those activities. Any files attached to them will be converted to Portable Document Format (PDF). All files converted in this fashion will also be printed when you generate the complete filing package.

**Note:** Once you have moved activities to the filing package, you cannot modify or delete the activities or their supporting documents. However, you *can* edit text in the **Post Activity Memo** field.

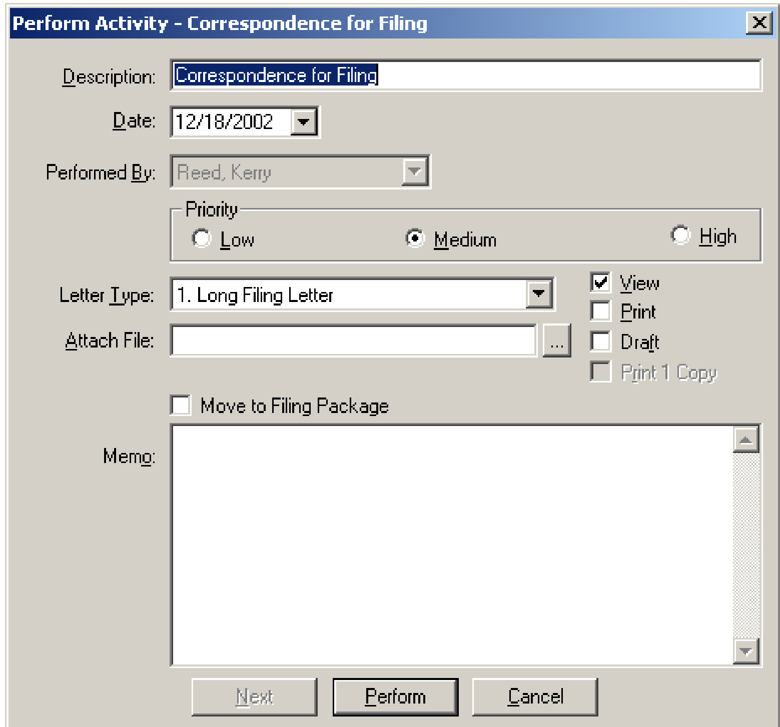
---

### Method: Add an activity to the Filing Package

---

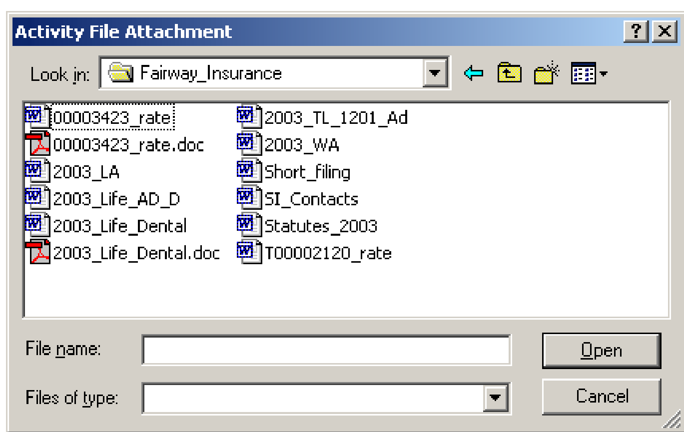
1. Click the **Perform Activity** button. 
2. Select the activity you want to perform and click **Perform**.

   The activity dialog displays.

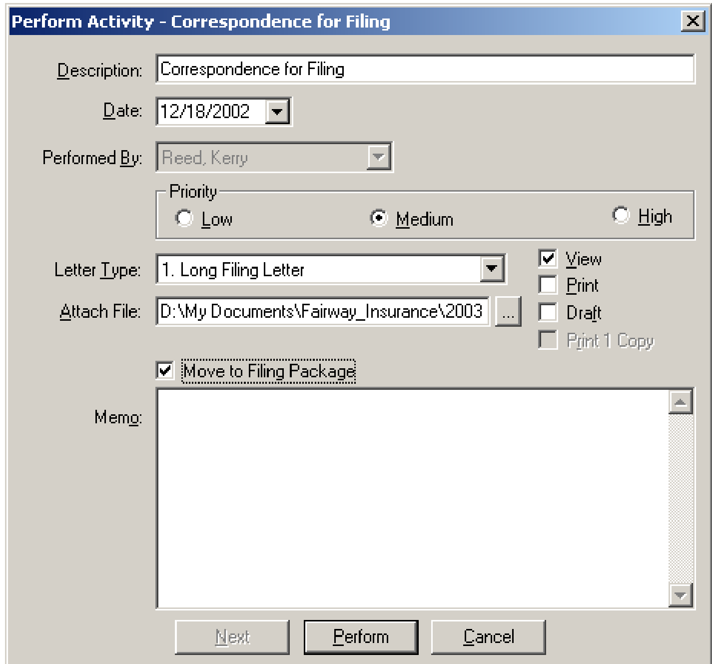



3. On the **Perform Activity** dialog, attach the file you want to associate with this activity and print in the filing package by clicking the **Browse** button.

   The **Activity File Attachment** file browser displays.



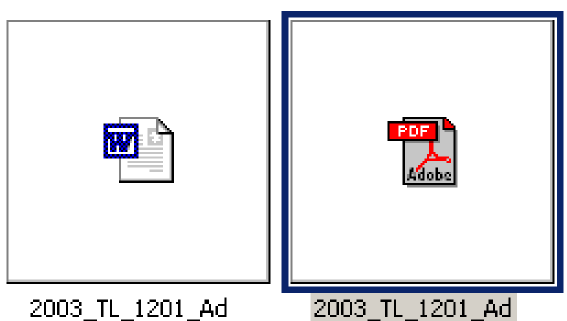

4. In the **Activity File Attachment** file browser, choose the file you want to attach and click **Open**.
5. Click **Move to Filing Package**.
6. Click **Perform**.



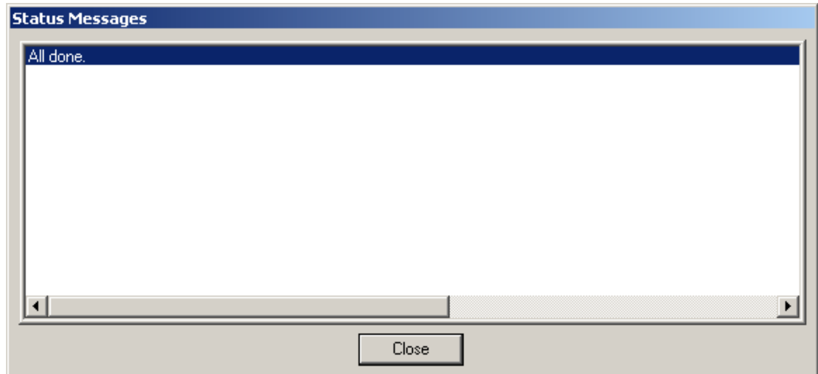

**7.** On the message box that opens (text below), click **Yes**.

> *Option "Move To Filing Package" has been chosen. Once the activity has been moved to the Filing Package tab, you will not be able to edit or delete the activity not will you be able to edit, replace or delete any of the documents(s) contained within the activity. Do you want to proceed?*

The PDF printer creates a PDF copy of the attachment and saves the copy in the directory where the attachment is located.




**8.** After the **Status** window that opens has finished updating, click **Close**.




The PDF file you created will be printed out on all subsequent printings of the complete filing package and appears in the **Filing Package** tab.

# Working with Attachments

The following section deals with using attachments with filings:



## Attaching Documents to a Filing

You may add extra documents to a filing using an attachment activity.

---

**Method: Attach a document to a filing**

---

1. Navigate to the filing you want to attach a document to.
2. Click the **Perform Activity** button to open the **Activity List** box.
3. Click the desired attachment activity.
4. Click **Perform** to open the related Activity dialog.
5. Enter any required information in the fields provided.
6. Click the ... button beside **Attach File** field to open a file browser.
7. Select the file path for the document you want to attach. (The path name cannot exceed 255 characters.)
8. Click **Open** to confirm the file path and return to the activity dialog.

   The selected file path will now appear in the **Attach File** field.
9. Click **Perform** to save the activity and exit the dialog.

**Note:** This attached document will be printed as part of the entire filing, but only when the **Generate Complete Filing** activity is performed.

## Generating and Printing Filings

Once you have added and completed all the components of a filing, the entire filing can be generated and printed using a single activity command. When you generate and print a filing, all documents related to or attached to the filing will be generated and printed, including:

- any filing letters created for the filing
- any attached rate, advertisement, or form pages (as specified)
- any additional documents or exhibits which you have attached in either the Other Attachments tab or within the activity of **Generate Complete Filing**.

### Method: Generate and print a filing

1. Navigate to the filing you want to generate and print.
2. Click the **Perform Activity** toolbar button to open the **Activity List** box.
3. Select the **Generate Complete Filing** activity.
4. Click **Perform** to open the related **New Activity** box.
5. Enter information in the applicable fields:
   - Use the large **Memo** field to record any notes regarding the filing. This text will appear in the generated letter.
   - Attach documents such as actuarial memorandum (if desired), using the **Browse** button ... in conjunction with the **Attach File** field.
6. Click **Perform**.

   The filing generates. During the generation process, a Document Generation window appears, tracking the generation in progress (this may take a while, depending on the size of the filing). The document then opens in Microsoft Word. Here you can view and print the filing letter, as required.
7. Close Microsoft Word.
8. Click **OK** to finish.

   The activity will be saved and listed on the filing's **Activity** tab. The filing documents will remain available via the corresponding activity detail record.

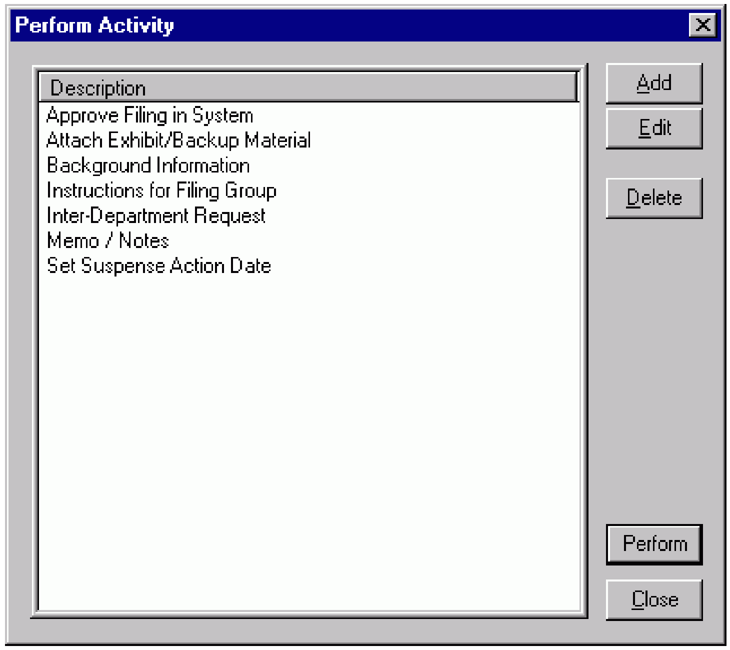
## Performing the Filing Approval Activity

Use this method to approve a filing's Rate/Form/Advertisement.

### Method: Perform the Filing Approval activity

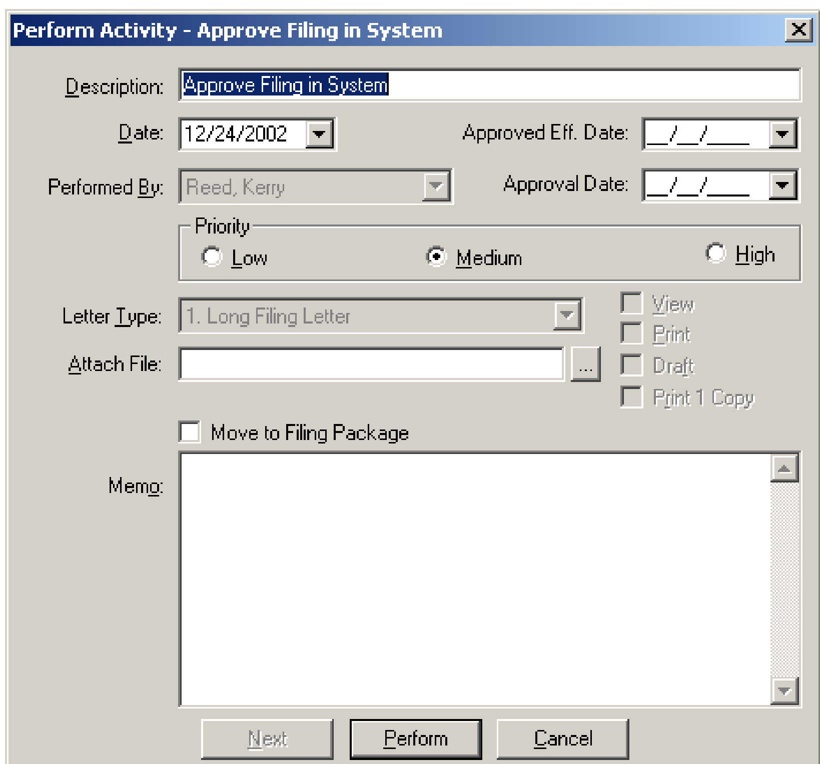
1. Navigate to the filing where you want to perform the Approve Filing in System activity.
2. Click the **Perform Activity** button.

   The **Perform Activity** window opens.




3. Select **Approve Filing in System** and click the **Perform** button.

   The **Perform Activity – Approve Filing in System** window opens.




4. Using the calendar popup boxes, select the **Approval Eff. Date** and **Approval Date**.

5. Click **Perform**.

A **Status Message** window opens indicating whether the activity was performed successfully.

6. Click **Close**.

   You can see that the status for the filing is changed to **Approved**. As well, the status for the Rate/Form/Advertisement is changed to **Approved**.

# Performing Activity Searches

You can search for activities using the **Search** function. When you find the appropriate activity, you can open the filing, filing group, or publication with the **Activities** tab visible when you select this activity from the search window.

The following tasks deal with activity searches:

- *Activity Search Options* on page 231
- *Searching for Activities* on page 231

## Activity Search Options

The following options are available to you when a search is performed on activities. Each description of the option also contains the details provided in the search results:

**Activities:** When this option is selected from the **Search For** drop-down box, all activities that meet the defined criteria are displayed in the search results. The results provide you with the activity description, who initiated the activity, the status, the activity code, and the source type (filing group, filing, or publication).

**Activities – Filing Groups:** When this option is selected from the **Search For** drop-down box, all of the activities in filing groups that meet the defined criteria are displayed in the search results. The results provide you with the filing group number, the activity description, who initiated the activity, the status, and the activity code.

**Activities – Filings:** When this option is selected from the **Search For** drop-down box, all of the activities in filings that meet the defined criteria are displayed in the search results. The results provide you with the filing number, the activity description, who initiated the activity, the status, and the activity code.

**Activities – publications:** When this option is selected from the **Search For** drop-down box, all of the activities in filings that meet the defined criteria are displayed in the search results. The results provide you with the publication number, the activity description, who initiated the activity, the status, and the activity code.

**Note:** Because all of the headings cannot fit into the Search Result tab, you must use the scroll bar if you want to view the complete result details.

## Searching for Activities

To search for an activity, complete the steps described in *Performing Tracker Searches* on page 376. The activity search options in the **Search For** drop-down box are described in *Activity Search Options* on page 231.

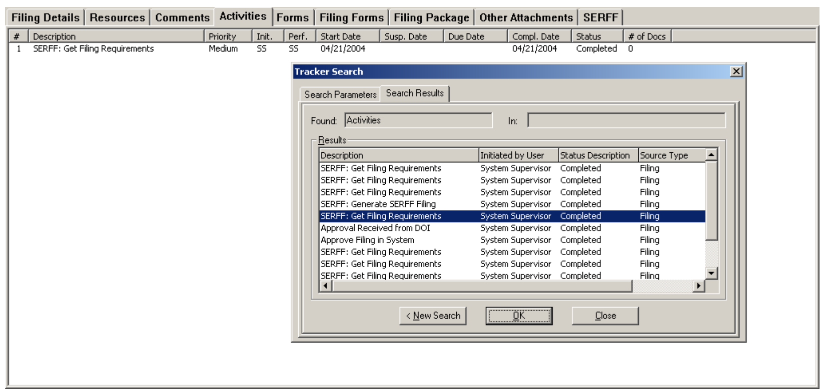
After performing the search, the **Search Results** dialog displays, from which you can select an activity.When selecting an activity from the **Search Results** tab of the **Tracker Search** window, you can view the associated filing, filing group, or publication for that activity immediately, allowing you to determine if this is the appropriate activity. Because the **Tracker Search** window remains open, you have the option to continue selecting activities from the search results until you find the right activity.

### Method: Select and open a filing, filing group, or publication from an activity search

**1.** Perform a search for an activity as described above.

**2.** Select an activity from the **Search Results** tab and click **OK**.

The associated filing, filing group, or publication is displayed behind the Tracker Search window with the **Activities** tab visible.




**3.** If the selected activity is not the activity you are looking for, repeat the above step until you have found the appropriate activity.

**4.** Once you find the activity you are looking for, click the **Close** button on the **Tracker Search** window.

# Multi-Filing Activities

The following sections describe multi-filing activities:


- *Performing Activities for a Multi-Filing* on page 233
- *Posting Activities for a Multi-Filing* on page 233
- *Generating and Printing Activities on Multiple Filings* on page 234


## Performing Activities for a Multi-Filing

The Perform Activities function works the same for multi-filings as it does for single filings; the activity is simply applied across more than one filing.

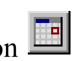
---

### Method: Perform an activity for a multi-filing

---

**1.** Navigate to the filing group where you want to perform an activity on a multi-filing.

**2.** On either the **My Filings** or the **Filings** tab, select all of the filings to which you want this activity to apply. You can select multiple filings by holding down the **Shift** (to select a series) or **Control** (to select random multiples) key while you click them.

**3.** Click the **Perform Activity** button .

The **Activities List** dialog displays.

**4.** Select the activity you want to perform and click **Perform.**

The related **New Activity** dialog displays.

**5.** Enter information in the applicable fields.

**Note that:**

- The **Performed By** field will automatically be filled in with your name.
- The **Date** field will automatically be filled in with today's date.
- Use the large **Memo** field to record the main text or information about a note, letter, or phone message.

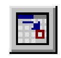
**6.** To finish, click **OK**.

The new activity will be performed or recorded, and the dialog box will close. The activity record will be added to the activity tabs of all the selected filings. These activity details records can now be treated and updated individually.

## Posting Activities for a Multi-Filing

The Post Activities function works the same for multi-filings as it does for single filings; the activity is simply applied across more than one filing.

### Method: Post an activity to a multi-filing

1. Navigate to the filing group where you want to post an activity on a multi-filing.
2. On either the **My Filings** or the **Filings** tab, select all of the filings to which you want this activity to apply. You can select multiple filings by holding down the **Shift** (to select a series) or **Control** (to select random multiples) key while you click them.
3. Click the **Post Activity** button  to open the Activities List box.
4. Click the activity you want to post.
5. Click **Post** to open the related New Activity dialog.
6. Enter information in the applicable fields.

   **Note that:**

   - The **Performed By** field will automatically be filled in with your name.
   - Use the **Suspense Date** field to enter Suspense Dates, reminder dates, due dates, and so forth. You can sort your **My Filings** and **My Filings — All** tabs by these activity dates.
   - Use the large **Memo** field to record the main text or information about a note, letter, or phone message.
7. To finish, click **Post**. The new activity will be posted, and the dialog will close.

   The activity record will be added to the activity tabs of all the selected filings. These activity details records can now be treated and updated individually.

## Generating and Printing Activities on Multiple Filings

Generating and printing activities can be performed on multiple filings in the same manner as single filings, using the method described for *Performing Activities for a Multi-Filing* on page 233.

Follow the directions above, selecting a *generation* activity (such as Generate Filing – Complete, Generate Filing – Cover Letter Only, and so on) from the activity list. The generation will be performed for all of the filings, and the documents will be opened in Microsoft Word so that you can view, print, and then close the generated documents as required.

**Note:** Each document generated will contain information specific to that filing, as drawn from that filing's record information. The generation activities will then be added to each of the filings' activity tabs, where the related activity detail records, and the generated documents, can later be accessed and modified individually.

**Note:** To print a complete filing package, you would not use Microsoft Word. You would click the **Print Package** button on the **Edit Activity** window.

# Chapter 8

# Working with SERFF Filings

This chapter describes:



**Note:** Before performing the procedures described in this chapter, you would need to have completed the procedures described in the previous chapter, *Working with Filings* on page 115.

# SERFF

SERFF is the system designed and maintained by the NAIC that allows insurance companies to send filings electronically to states that participate in SERFF. In contrast to traditional paper-based filings, submitting a filing through SERFF allows you to send all required filing documentation electronically.

Tracker integrates with SERFF to allow you to access the most current state requirements for filings as stored in the SERFF filing rules database, including all required fillable filing forms.

The previous chapter (*Working with Filings* on page 115) described the following steps performed in Tracker to create a traditional paper-based or SERFF filing:

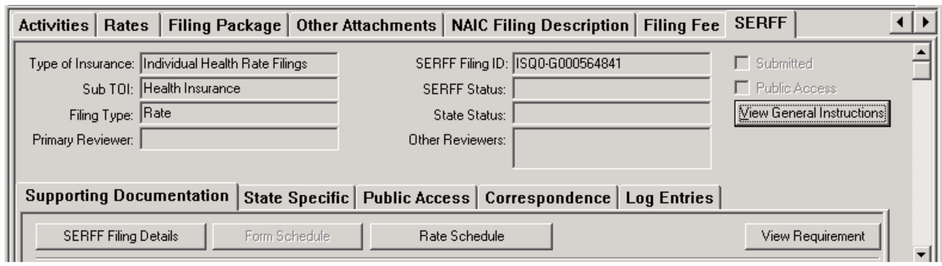
- Create your filing groups
- Create your filings
- Add the filing content of rates/advertisements/forms to your filing
- Add other attachments to your filing under the **Other Attachments** tab

This chapter describes how to use Tracker to submit filings electronically to SERFF and to manage the filing process for electronic filings. You need to perform the following procedures, but note that their order depends somewhat on your own business process.

1. Selecting the TOI, the sub TOI, and the filing type.
2. Retrieving and reviewing the SERFF supporting documentation filing requirements
3. Reviewing the General Instructions.
4. Satisfying or bypassing filing requirements.
5. Creating any user added requirements.
6. Entering State-Specific values.
7. Setting Public Access values.
8. Selecting the filing fee payment method (check or EFT) and entering the payment details.
9. Reviewing the SERFF filing details.
10. Generating a draft of the SERFF filing.
11. Reviewing the generated filing.
12. Submitting your filing to SERFF.
13. If necessary, revising or amending submitted filings.

# The SERFF Tab (Filing Level)

Initially, no SERFF tab appears in filings. On the **Filing Details** tab, a SERFF area includes fields (initially blank) for TOI, Sub TOI, and Filing Type. After selecting values for these fields, and performing the activity to get the filing requirements, a **SERFF** tab is added to the filing.




## SERFF Tab Banner

The **SERFF** tab contains a banner with the following read-only fields:

- **Type of Insurance**, **Sub TOI**, **Filing Type –** These fields are populated with your previous selections for these values.
- **SERFF Filing ID –** Prior to the submission of the filing via SERFF, the system generates the SERFF Filing ID after the SERFF: Get Filing Requirements activity is performed.
- **SERFF Status** – A value does not appear here until the filing is successfully submitted via SERFF. The status will change as the filing progresses through the review process at the state.
- **State Status** – A value does not initially appear here but will be populated by the system with the value sent from SERFF as the filing moves through the review process at the state.
- **Submitted** – This read-only check box is selected after the filing has been successfully submitted via SERFF.
- **Public Access –** This read-only check box is initially not selected, indicating that the filing is not Public Access. The system will select the check box when the state sets the public access status of the filing to **Yes** (which occurs when the Public Access status of any item in the filing is set to True).
- **Primary Reviewer** and **Other Reviewers –** names and phone numbers, if available, provided by SERFF

Related topics:

- *Working with General Instructions at the Filing Level* on page 257

## SERFF Tab Subtabs

The **SERFF** tab contains the following subtabs:

- **Supporting Documentation –** Contains the supporting documentation schedule item requirements for this filing. From this tab, you can view the SERFF filing details, SERFF-specific requirements, form schedules, and rate schedules.
- **State Specific –** From this tab, you can enter any required state values for an individual filing.
- **Correspondence –** This tab displays a table of all correspondence associated with this filing, such as Notes to Filers, Objection Letters, Post Submission Updates, and Disposition Reports. Double-click an item to open it. From this tab, you can also create a Filing Amendments, Notes to Reviewers, Post Submission Updates, and Objection Responses.

  By default, the entries in the table are sorted by Date Received/Sent, newest first (ascending). Right-clicking on the date of an entry displays a context menu where you can select to sort the table by that date in ascending or descending order.
- **Public Access** – From this tab, you can mark certain parts of the filing or the filing itself as confidential to request that the state keep these items confidential and not make them available via Public Access.
- **Log Entries –** From this tab, you can view the various SERFF messages associated with this filing.

From the **SERFF** tab and its subtabs, you will perform a variety of tasks to prepare the filing for submission to SERFF, as well as to manage the filing through the review process.

# Working with SERFF Filings En Masse

You can work with SERFF filings in two ways:

- *en masse* (working with multiple filings within a filing group at the same time)
- at the Filing level

Initially, you will work with filings en masse because it allows you to enter information much more quickly and efficiently. Later in the process, you will work with filings at the Filing level. Changes you make at the Filing level will appear when working with that filing group en masse.

The procedures that you can perform for filings en masse are:

- *Selecting TOI, Sub TOI and Filing Type for Filings En Masse* on page 241
- *Retrieving Requirements for Filings En Masse* on page 243
- *Satisfying Requirements for Filings En Masse* on page 245
- *Bypassing Requirements for Filings En Masse* on page 247

## Selecting TOI, Sub TOI and Filing Type for Filings En Masse

The initial step in preparing a filing for submission to SERFF involves selecting a filing's Type of Insurance (TOI), a sub TOI, and a Filing Type for filings within a particular Tracker Line of Business (LOB). The *Product Coding Matrix* (also called simply "the matrix") is maintained by the NAIC and contains the uniform classifications for TOIs, sub TOIs, and Filing Types. The matrix represents a more exact and detailed classification than the Tracker LOB.

SERFF assumes that all states are using the matrix. By using the en masse procedure below, you can make TOI, sub TOI and filing type selections for all states using the matrix by making a single selection.

States where no values are returned are, by definition, *non-matrix* states. For these states, you will have to select the TOI, sub TOI and filing type on a state-by-state basis. You can do this within the en masse screen (as described below) or at the Filing level, as described in *Selecting the TOI, Sub TOI and Filing Type at the Filing Level* on page 250.

---

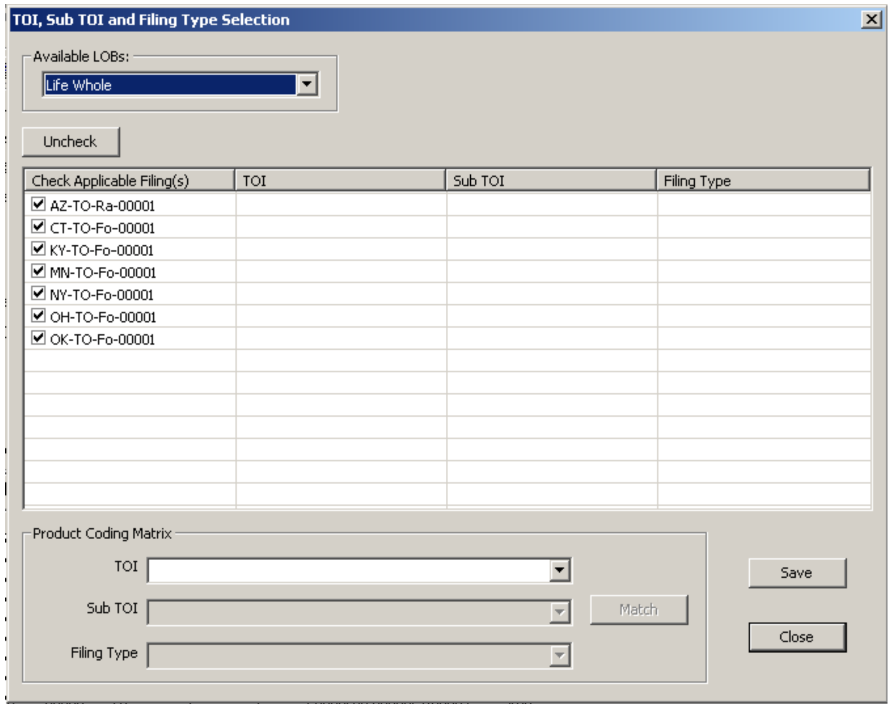
#### Method: Select a TOI, sub TOI and filing type for filings en masse

---

1. Navigate to the desired filing group.

2. Click the Select TOI, Sub TOI and Filing Type button on the toolbar  or select **Insert > TOI Selection**.

   The **TOI, Sub TOI and Filing Type Selection** dialog displays.



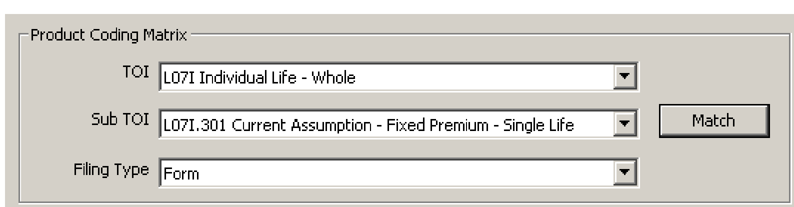

The LOB for this filing group is automatically selected in the **Available LOBs** drop-down list. If there is more than one LOB in this filing group, then the LOBs are displayed in the **Available LOBs** drop-down list in alphabetical order, and the first LOB in this list is automatically selected.

3. If there is more than one LOB in this filing group, from the **Available LOBs** drop-down list, select an LOB.

   Filings belonging to the LOB you selected are displayed.

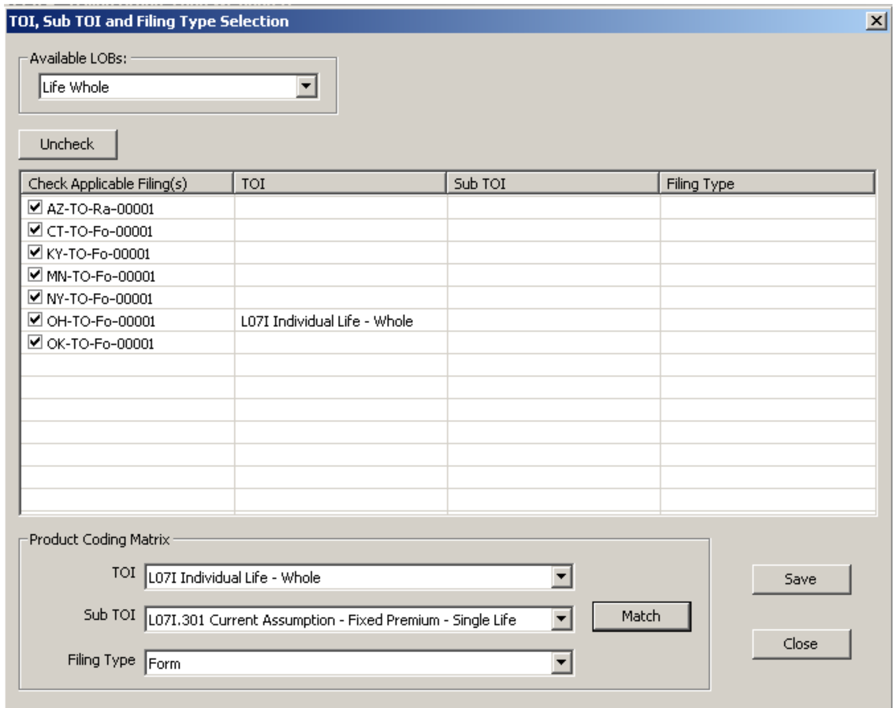
4. Ensure that all the filing(s) for which you want to make the TOI, Sub TOI and Filing Type selection are selected in the **Check Applicable Filing(s)** column. If this is the first time you are accessing the en masse selection screen, by default, all the filings are marked as selected. You can clear or select the individual check boxes as necessary. To quickly clear all the selected filings, click **Uncheck**.

5. In the **Product Coding Matrix** section, first select the **TOI,** then **Sub TOI** and finally the **Filing Type** which corresponds to the LOB of your filings.




6. Click **Match**.

   The system compares the selections for **TOI**, **Sub TOI** and **Filing Type** with each state's list of active TOIs, sub TOIs and filing types. Matches for each state using the matrix are displayed.




If no match is found, no value is displayed for the selected state. (If no matches are found for any selected filings, a message box appears.) You can then manually select a value from a drop-down list in each cell.

Note that the system may find a match for the **TOI**, but not for the **Sub TOI** or **Filing Type.** If so, you would then have to make a selection in those cells.

**7.** When you are done making your selections, click **Save**.

**8.** Click **Close** to exit.

## Retrieving Requirements for Filings En Masse

After you have selected a TOI, sub TOI, and filing type, you need to retrieve the supporting documentation filing requirements from SERFF.

**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

Complete the following procedure to simultaneously retrieve the requirements for more than one filing in the same filing group. This is known as working with retrieving filing requirements *en masse*. (See also: *Retrieving Requirements at the Filing Level* on page 254.)

### Method: Retrieve the requirements for filings en masse

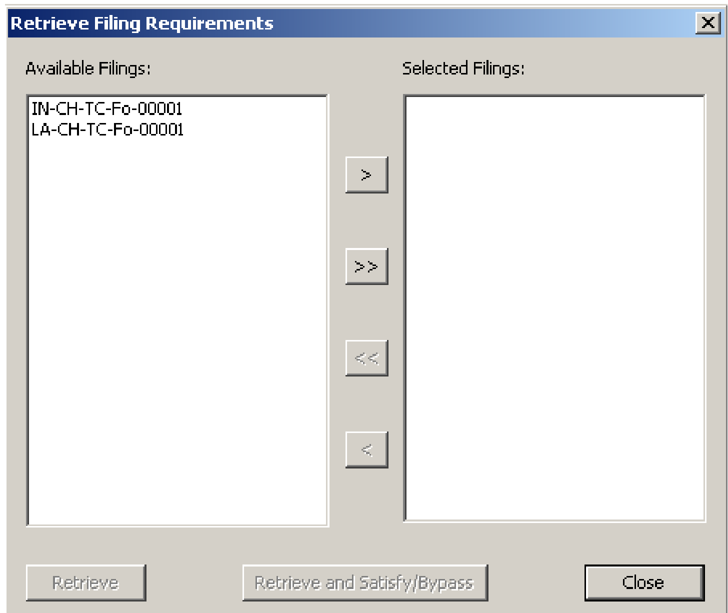
**1.** Navigate to the filing group that contains the filings for which you want to retrieve the filing requirements.

2. Click the **Retrieve Filing Requirements** button in the SERFF tool bar. 

   The **Retrieve Filing Requirements** screen opens.

   The **Available Filings** list includes filings from this filing group

   - that have a TOI, sub TOI, and Filing Type populated; and
   - for which no filing requirements have been retrieved, whether at the en masse level or Filing level




3. In the **Available Filings** area, select (using click, Ctrl-click or Shift-click) the filings for which you want to get the filing requirements.
4. Click the right arrow button.

   The selected filings are moved to the **Selected Filings** table. The **Retrieve** and **Retrieve and Satisfy/Bypass** buttons then become active.
5. Click **Retrieve.**

   Tracker displays progress messages as it attempts to download the filing requirements for each of the selected filings.

   (To retrieve *and* satisfy or bypass the requirements in one step, you can click **Retrieve and Satisfy/Bypass**. For additional information, see *Satisfying Requirements for Filings En Masse* on page 245 and *Bypassing Requirements for Filings En Masse* on page 247.)
6. Click **Close** on the message box.

If Tracker finds a direct match between a filing's TOI, sub TOI, and filing type and the state's current active list, it performs the following actions for that filing:

- retrieves the Filing Requirements

- performs the Filing Level activity assigned to get the SERFF Filing Requirements (this may be a custom activity)
- retrieves the SERFF Tracking ID
- displays the activity on the **Activities** tab at the Filing level
- locks the **TOI, sub TOI** and **Filing Type** values at the Filing level

Tracker will normally find a match, but if it does not, possibly because during the time interval between

**a.** retrieving the TOI, and

**b.** retrieving the filing requirements

the state had changed its TOIs, Tracker deletes that filing's TOI, sub TOI, and filing type choices.

When complete, Tracker displays the **SERFF Activity Status Message** window listing **success** or **failed** for each filing involved.

The failed filings will need to have new TOI, sub TOI, and filing type values selected before you can repeat this procedure. (See *Selecting TOI, Sub TOI and Filing Type for Filings En Masse* on page 241, or *Selecting the TOI, Sub TOI and Filing Type at the Filing Level* on page 250.)

**Note:** A **SERFF** tab will now appear on the filings for which you successfully retrieved their requirements.

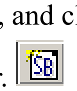
## Satisfying Requirements for Filings En Masse

**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

After retrieving the requirements, you can then satisfy the requirements for the unsubmitted filings en masse using the **Filing Requirements** screen.

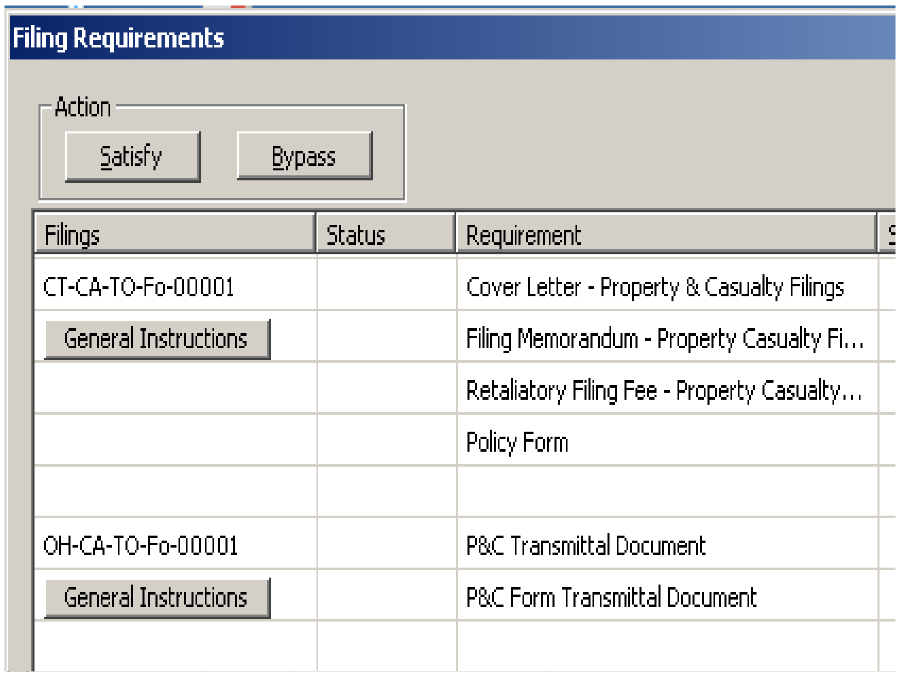
Using the en masse method, you can only satisfy requirements for which the document which applies is an Other Attachment that has been added at the Filing Group level. (See *Other Attachments* on page 187.) To satisfy a requirement with just a comment but no Other Attachment, you must use the Filing level method. (See *Satisfying Requirements at the Filing Level* on page 259.)

### Method: Satisfy the requirements for filings en masse

**1.** Navigate to the desired filing or filing group, and click the **Satisfy/Bypass Requirements** button on the Tracker toolbar. 

The **Filing Requirements** screen opens. It contains a table with the following columns:

- **Filings** from that filing group that have had their requirements retrieved are listed in alphanumeric order by an ID that includes a two-digit state code, a two-digitLOB code, a two-digit company code (or CG, if a company group), and a five digit sequence number
    - filing **Requirement**s and their corresponding **Status**
    - **Satisfy/ByPass Details**



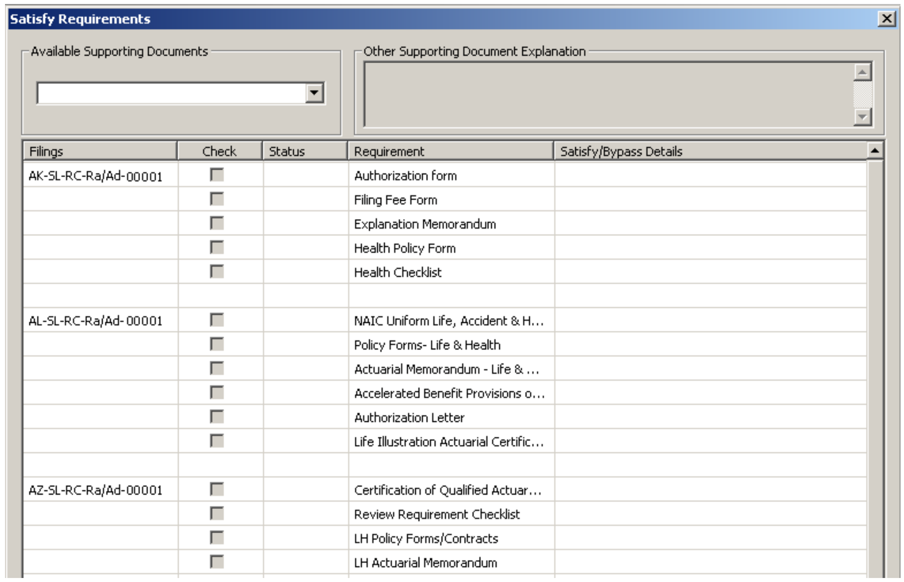

**Tip:** This screen provides a summary of where you are in the process of working with requirements. It shows previous work done to filings in this filing group using this en masse process, and any work done at the Filing level. However, filings that have been submitted to SERFF are not shown.

2. From this screen, you can quickly access additional information:
    - To view the details of a requirement, mouse over or double-click the **Requirement** name.
    - To view the general instructions of a filing, click **General Instructions** under the corresponding filing ID.

**Note:** You can quickly open a filing by double-clicking the filing ID. This closes the **Filing Requirements** dialog box, however you can quickly open it again by clicking the **Satisfy/Bypass Requirements** button on the Tracker toolbar. In this way, you can quickly toggle between the en masse view and an individual filing.

3. To satisfy requirements by affiliating them with Other Attachments you have previously added to this filing group, click **Satisfy**.

   The **Satisfy Requirements** dialog opens.




**Note:** Requirements in **bold** must be satisfied and cannot be bypassed.

4. Select a document from the **Available Supporting Documents** drop-down list.

   The check boxes in the **Check** column and the **Comments** box become available.

5. Select the check boxes beside the requirements that you want to satisfy with the **Available Supporting Document** you selected.

**Note:** If a check box is greyed out, you will not be able to affiliate the selected Other Attachment with that requirement. This is because the Other Attachment has been modified at the Filing level.

6. Enter any optional notes or description in the **Comments** box.
7. Click **Satisfy**.

   The requirements' corresponding **Status** is updated to **Satisfied**.

8. Repeat steps 4 through 7 to satisfy any other requirements with another **Available Supporting Document**.
9. If you want, you can bypass requirements at this point by clicking **Bypass** and following the steps beginning with step 3 in *Bypassing Requirements for Filings En Masse* on page 247.
10. When you are done, click **Close**.

## Bypassing Requirements for Filings En Masse

**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

After retrieving the requirements, you can then bypass the requirements for the unsubmitted filings en masse using the **Filing Requirements** screen.

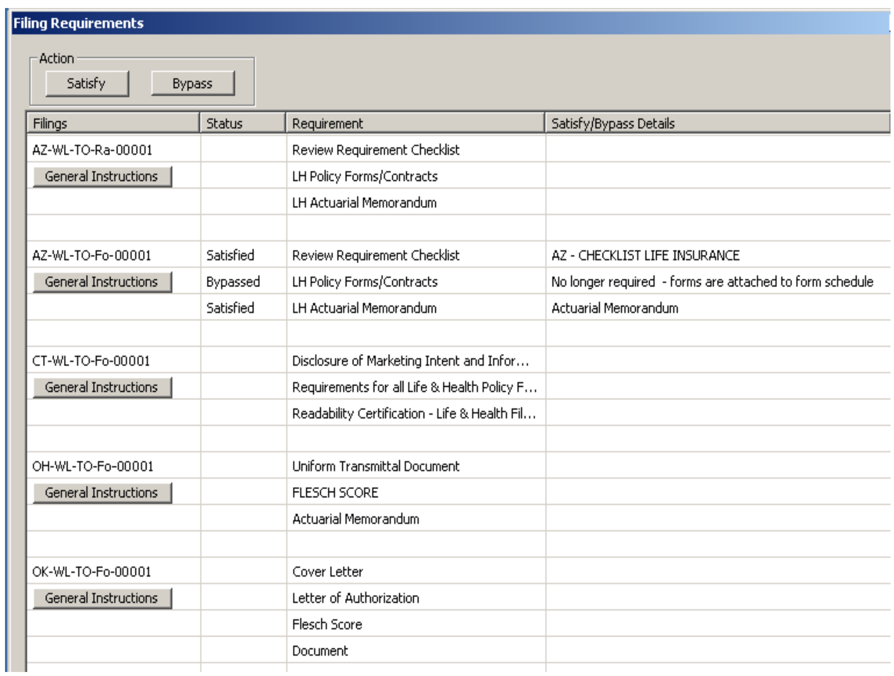
**Note:** Certain requirements may be designated by the state as “non-bypassable.” You cannot bypass these requirements; you can only satisfy them. These requirements will be displayed in **bold**.

### Method: Bypass the requirements for filings en masse

1. Navigate to the desired filing or filing group, and click the **Satisfy/Bypass Requirements** button on the Tracker toolbar. 

   The **Filing Requirements** screen opens. It contains a table with the following columns:

   - **Filings** from that filing group that have had their requirements retrieved are listed in alphanumeric order by an ID that includes a two-digit state code, a two-digit LOB code, a two-digit company code ( or CG, if a company group), and a five-digit sequence number
   - filing **Requirement**s and their corresponding **Status**
   - **Satisfy/ByPass Details**




| Filings | Status | Requirement | Satisfy/Bypass Details |
|---|---|---|---|
| AZ-WL-TO-Ra-00001 | | Review Requirement Checklist | |
| General Instructions | | LH Policy Forms/Contracts | |
| | | LH Actuarial Memorandum | |
| | | | |
| AZ-WL-TO-Fo-00001 | Satisfied | Review Requirement Checklist | AZ - CHECKLIST LIFE INSURANCE |
| General Instructions | Bypassed | LH Policy Forms/Contracts | No longer required - forms are attached to form schedule |
| | Satisfied | LH Actuarial Memorandum | Actuarial Memorandum |
| | | | |
| CT-WL-TO-Fo-00001 | | Disclosure of Marketing Intent and Infor… | |
| General Instructions | | Requirements for all Life & Health Policy F… | |
| | | Readability Certification - Life & Health Fil… | |
| | | | |
| OH-WL-TO-Fo-00001 | | Uniform Transmittal Document | |
| General Instructions | | FLESCH SCORE | |
| | | Actuarial Memorandum | |
| | | | |
| OK-WL-TO-Fo-00001 | | Cover Letter | |
| General Instructions | | Letter of Authorization | |
| | | Flesch Score | |
| | | Document | |

**Tip:** This screen provides a summary of where you are in the process of working with requirements. It shows previous work done to filings in this filing group using this en masse process, and any work done at the Filing level. However, filings that have been submitted to SERFF are not shown.

2. From this screen, you can quickly access additional information:

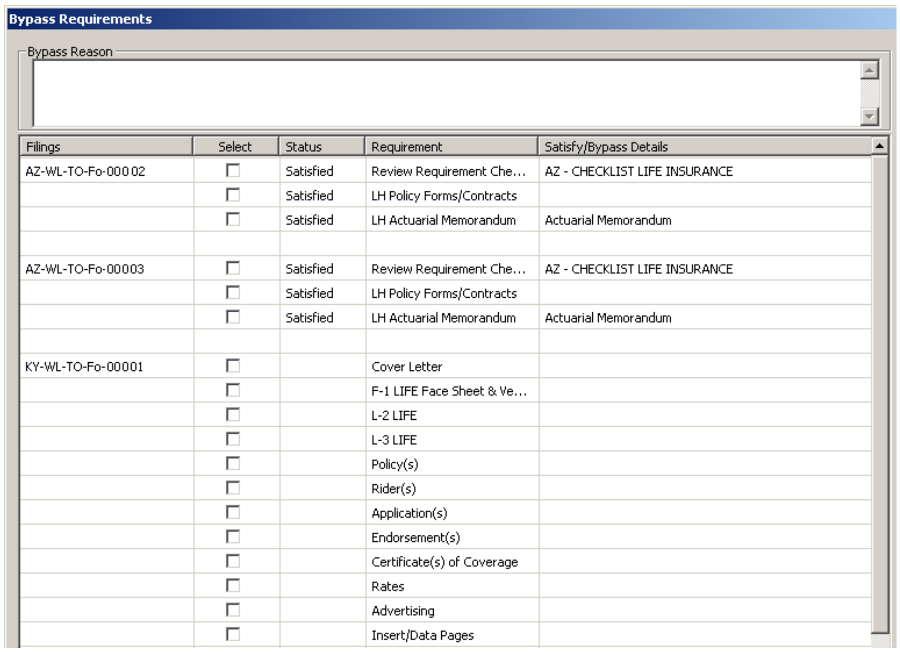
   - To view the details of a requirement, mouse over or double-click the **Requirement** name.

- To view the general instructions of a filing, click **General Instructions** under the corresponding filing ID.

**Note:** You can quickly open a filing by double-clicking the filing ID. This closes the **Filing Requirements** dialog box, however you can quickly open it again by clicking the **Satisfy/Bypass Requirements** button on the Tracker toolbar. In this way, you can quickly toggle between the en masse view and an individual filing.

3. To bypass requirements and provide a reason, click **Bypass**.

   The **Bypass Requirements** dialog displays. All the check boxes and the Bypass Reason box become available.




4. Enter a reason in the **Bypass Reason** box.
5. Select all the requirements that you want to bypass using this reason.
6. Click **Bypass**.

   The requirements' corresponding **Status** is updated to **Bypass**, and the reason is displayed in the **Satisfy/Bypass Details** column.
7. Repeat steps 4 through 6 to bypass any other requirements.
8. If you want, you can satisfy requirements at this point by clicking **Satisfy** and following the steps beginning with step 3 in *Satisfying Requirements for Filings En Masse* on page 245.
9. When you are done, click **Close**.

# Working with SERFF Filings at the Filing Level

You can work with SERFF filings in two ways:

- *en masse* (working with multiple filings within a filing group at the same time)
- at the Filing level

Initially, you will work with filings en masse because it allows you to enter information much more quickly and efficiently. Later in the process, you will work with filings at the Filing level. Changes you make at the Filing level will appear when working with that filing group en masse.

This section describes the procedures that you can perform for individual SERFF filings:


- *Selecting the TOI, Sub TOI and Filing Type at the Filing Level* on page 250
- *Clearing the TOI, Sub TOI, and Filing Type at the Filing Level* on page 253
- *Working with Supporting Documentation Filing Requirements at the Filing Level* on page 253
- *Creating a User Added Requirement at the Filing Level* on page 262
- *Entering State-Specific Values at the Filing Level* on page 267
- *Setting Public Access Values* on page 268
- *Paying Filing Fees* on page 264


**Note:** See also: *Working with SERFF Filings En Masse* on page 241.

## Selecting the TOI, Sub TOI and Filing Type at the Filing Level

You initiate the process of working with a SERFF filing by selecting the TOI, sub TOI, and filing type at the Filing level.

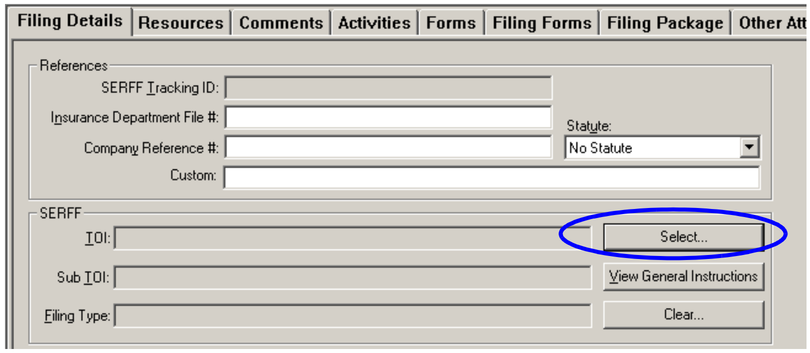
**Note:** You can also select the TOI, sub TOI, and filing type for multiple filings within a filing group at one time: see *Selecting TOI, Sub TOI and Filing Type for Filings En Masse* on page 241.

---

**Method: Select the TOI, Sub TOI and Filing Type at the Filing level**

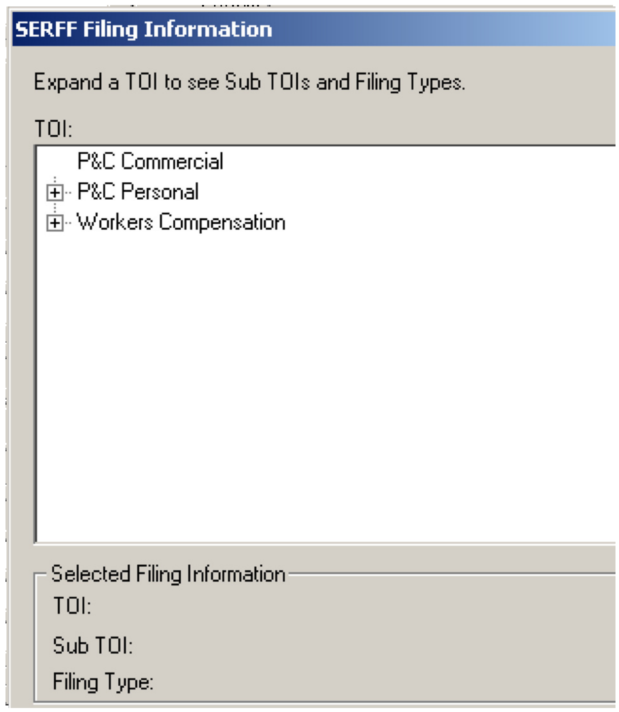
---

1. Navigate to the filing you want to work on as a SERFF filing.
2. In the SERFF area of the **Filing Details** tab, click **Select**.

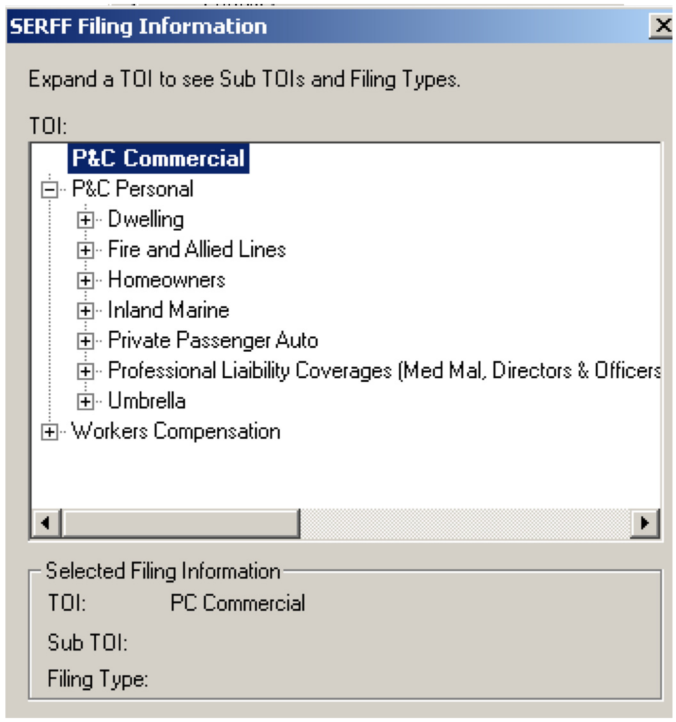



Tracker connects directly to SERFF and returns the list of Active **TOI**s, **sub TOI**s, and **Filing Type**s for that state.

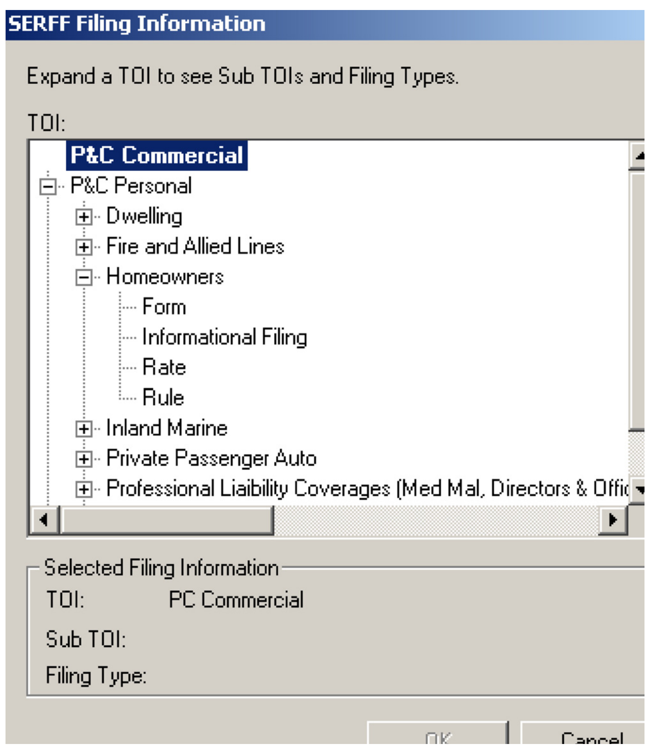
The **SERFF Filing Information** dialog box opens.




3. Expand the **TOI** entries by double-clicking on the desired **TOI**, or clicking on the [+] to the left of the desired **TOI**.




4. Expand the **sub TOI** entries by double-clicking on the desired **sub TOI** or clicking on the [+] to the left of the desired **Sub TOI.**




5. Click the desired filing type under the **Sub TOI**.

   The **OK** button becomes active.

**6.** Click **OK**.

The SERFF area displays the selected **TOI**, **sub TOI**, and **Filing Type** for this filing.


At the bottom of the SERFF area, Tracker displays other information about the filing that is obtained from SERFF at the time the user selects the TOI, sub TOI, and Filing Type:

- **State Accepts EFT**
- **State Charges Fee Per Company**

## Clearing the TOI, Sub TOI, and Filing Type at the Filing Level

If you have entered an incorrect TOI, sub TOI or filing type, you can clear these values at the Filing level before you retrieve the requirements for this filing.

**Important:** If you have already obtained the filing requirements for this filing, then you cannot clear the TOI, sub TOI, and filing type for this filing. If you want to clear the TOI, sub TOI, and filing type for a filing where you have already obtained the filing requirements, you must delete the **SERFF: Get Filing Requirements** activity: see *Deleting an Active Activity Detail Record* on page 224.

---

**Method: Clear the TOI, sub TOI, and filing type at the Filing level**

---

In the **SERFF** area of the **Filing Details** tab, click **Clear**. The **TOI**, **Sub TOI**, and **Filing Type** are cleared.

Alternatively, you can click **Select** and select a new TOI, sub TOI, and filing type.

## Working with Supporting Documentation Filing Requirements at the Filing Level

The **Supporting Documentation** tab within the **SERFF** tab of a filing contains the current list of filing requirements for the TOI, sub TOI, and filing type that you have selected for this SERFF filing. You must either *bypass* or *satisfy* each requirement in order to submit the filing to SERFF.

This section describes:

- *Retrieving Requirements at the Filing Level* on page 254
- *Viewing Requirements at the Filing Level* on page 256

- *Working with General Instructions at the Filing Level* on page 257
- *Satisfying Requirements at the Filing Level* on page 259
- *Removing Requirements Attachments at the Filing Level* on page 261
- *Bypassing Requirements at the Filing Level* on page 261

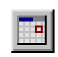
## Retrieving Requirements at the Filing Level

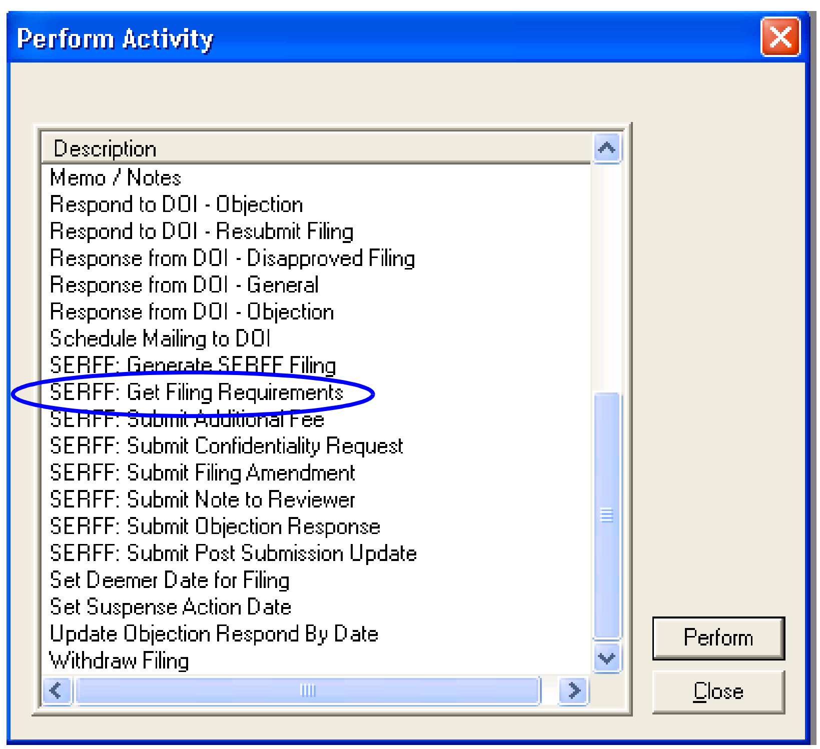
Supporting documentation filing requirements are referred to as *requirements* in this documentation. You can retrieve the SERFF filing requirements at the Filing level by performing the **SERFF: Get Filing Requirements activity**.

**Note:** You can also retrieve the SERFF filing requirements for multiple filings within a filing group at one time: see *Retrieving Requirements for Filings En Masse* on page 243.

### Method: Retrieve the filing requirements at the Filing level

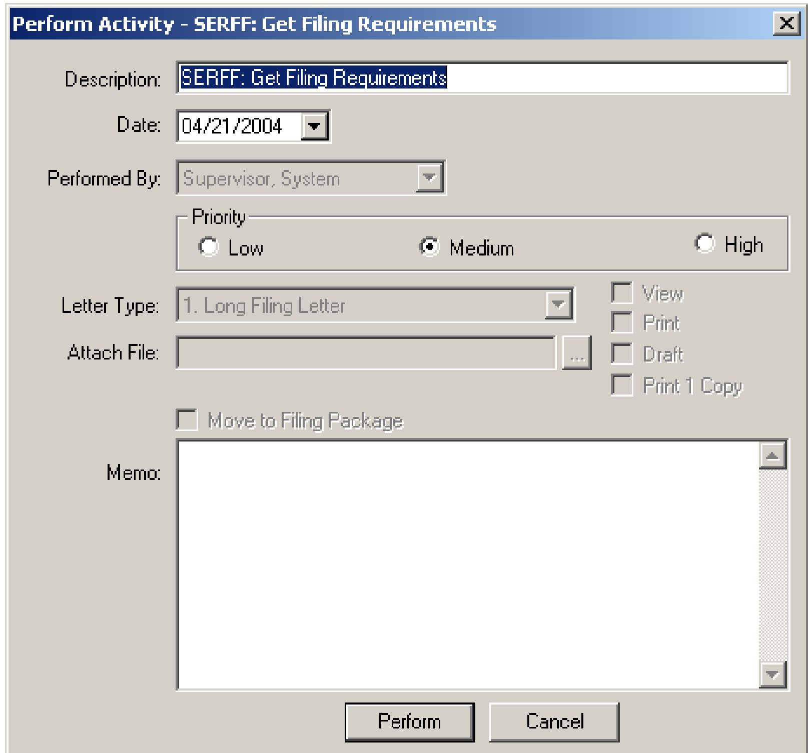
1. Open the SERFF filing for which you have already selected a TOI, sub TOI, and filing type.

2. Click the **Perform Activity** button on the toolbar. 




3. From the list of activities, click **SERFF: Get Filing Requirements,** then click **Perform**.

   The **Perform Activity – SERFF: Get Filing Requirements** dialog opens.




4. Change the **Priority** if necessary, and enter a **Memo** if required.

5. When you are done, click **Perform**.

   Tracker displays progress messages as it attempts to download the filing requirements.

   If Tracker finds a direct match between the filing's TOI, sub TOI, and filing type and the state's current active list, it performs the following actions for the filing:

   - retrieves the Filing Requirements
   - performs the activity assigned to get the SERFF Filing Requirements (this may be a custom activity)
   - retrieves the SERFF Tracking ID
   - displays the activity on the **Activities** tab at the Filing level
   - locks the **TOI, sub TOI** and **Filing Type** values at the Filing level

**Note:** Tracker will normally find a match, but if it does not—possibly because the state had changed its TOIs during the time interval between retrieving the TOI and retrieving the filing requirements—Tracker deletes that filing's TOI, sub TOI, and filing type choices. You need to choose new TOI, sub TOI, and filing type values for the filing before you can repeat this procedure. (See *Selecting the TOI, Sub TOI and Filing Type at the Filing Level* on page 250.)

When complete, Tracker displays the **SERFF Activity Status Message** window listing **success** or **failed**.

**6.** Click **Close**.

The filing requirements have been downloaded for this filing, and are ready to be either satisfied or bypassed.

**Note:** A **SERFF** tab will now appear on this filing.

## Viewing Requirements at the Filing Level

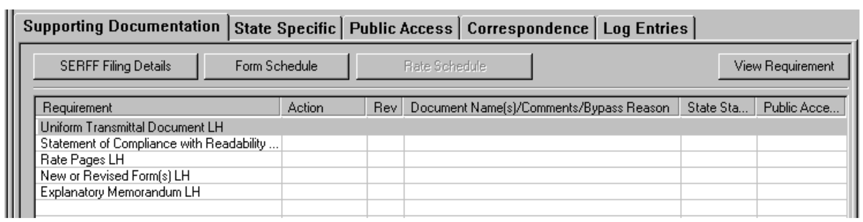
**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

Before associating any documents you have entered into Tracker with a requirement, you should first view the requirement to see its details.

### Method: View a requirement at the Filing level

**1.** Navigate to the filing where you want to view the SERFF filing requirements, and click the **SERFF** tab.

**2.** Click the **Supporting Documentation** subtab.



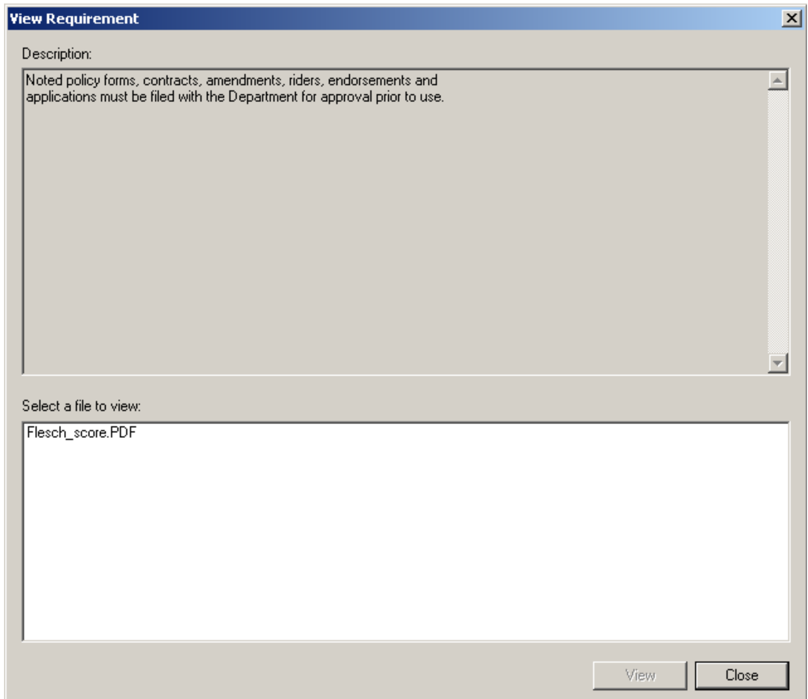

The **Supporting Documentation** subtab lists the supporting documentation filing requirements in a table that contains the following columns:

- **Requirement** – the name of the supporting documentation filing requirement; you can mouse over the **Requirement** name to view its description as a pop-up
- **Status** – the status of the supporting documentation filing requirement (**Bypassed** or **Satisfied**)
- **Rev** – identifies revisions to supporting documentation schedule items with an R.
- **Document Name(s)/Comments/Bypass Reason** – the name of the associated document (attachment), any relevant comments, or the reason a bypassed requirement was bypassed
- **State Status** – a value can appear here after the state processes the filing, however, not all states update this field, in which case this value will remain blank
- **Public Access** – indicates whether the document affiliated with the requirement can be publicly accessed; the value for this field will remain blank until it updated by the state when they process the filing

3. In the **Supporting Documentation** subtab, click the **Requirement** you want to view from the requirements table to highlight it.

4. Click **View Requirement**.

   The **View Requirement** dialog displays.




5. If you click a URL in the **Description** field, your default browser opens and the selected page displays. If you click a file in the **Select a file to view** field, and click **View,** the selected file will download from SERFF and open on your computer.

6. When you have finished viewing this supporting documentation filing requirement, click **Close.**

## Working with General Instructions at the Filing Level

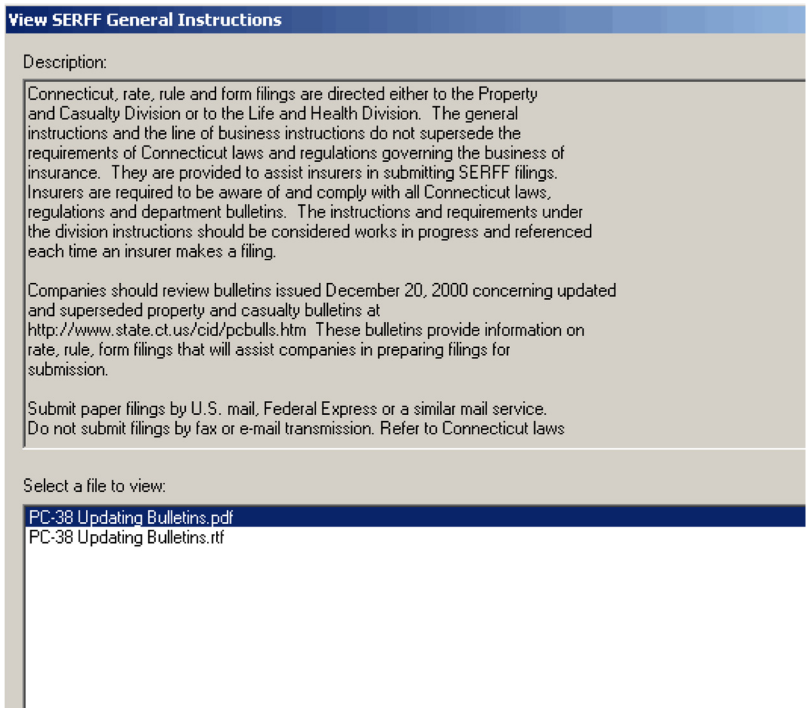
The SERFF General Instructions contain all general regulatory information and state requirements. You can view, print or save the general instructions from the state for a SERFF filing. You can also view, print or save any documents that the state has attached to the general instructions.

**Note:** You can view the General Instructions of multiple filings within a filing group at one time when satisfying or bypassing requirements en masse: see *Satisfying Requirements for Filings En Masse* on page 245 and *Bypassing Requirements for Filings En Masse* on page 247.

## Method: View, print or save general instructions at the Filing level

**1.** Within a filing, on the **Filing Details** or **SERFF** tab, click **View General Instructions**.

Tracker connects to SERFF and returns the general instructions for that state. **View SERFF General Instructions** opens.




**Description** contains the overall set of general instructions (such as fee information, filing mode, status in domicile, general guidelines, etc.) from the state. When you click a URL in the Description area, your default browser will open, and the selected page will display.

**2.** To print the general instructions, click the printer button in the upper-right corner of the dialog box.

**3.** To save the general instructions to a file, click the Save button in the upper-right corner of the dialog box.

**4.** Under **Select a file to view:** click a file name and click **View** to open the file.

The file opens in the corresponding application. You can then print or save the file.

**5.** Click **Close** when you have finished viewing the general instructions from the state for this filing.

## Satisfying Requirements at the Filing Level

**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

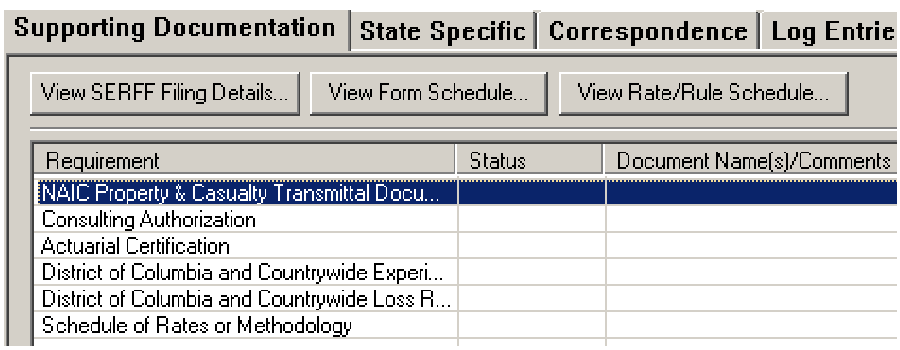
You satisfy a given state’s supporting documentation filing requirements by affiliating one or more Tracker attachments with that requirement. You can also satisfy a requirement with a comment about why no attachment is necessary.

**Tip:** You can also use this procedure to edit a requirement’s comments, or edit the list of affiliated attachments.

**Note:** You can also satisfy multiple requirements for multiple filings within a filing group at one time: see *Satisfying Requirements for Filings En Masse* on page 245.

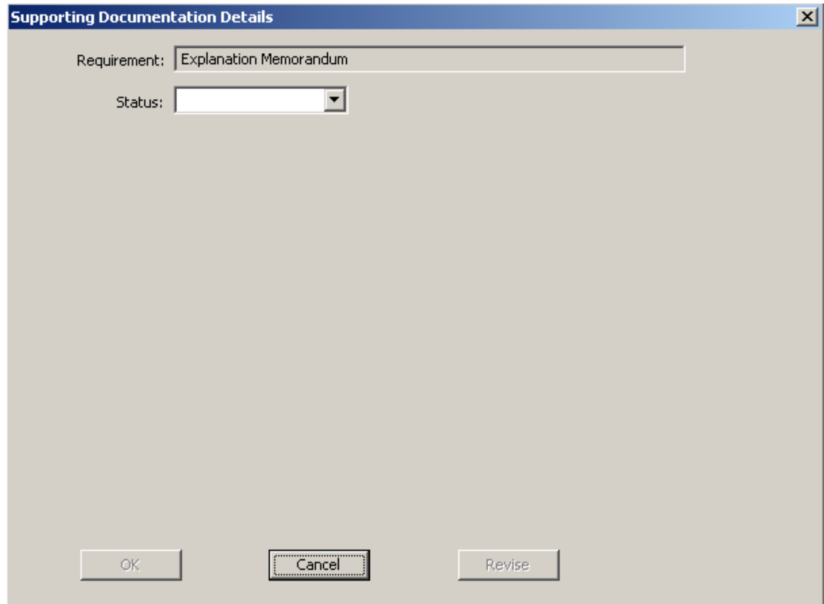
### Method: Satisfy requirements at the Filing level

1. In the filing, click the **SERFF** tab.

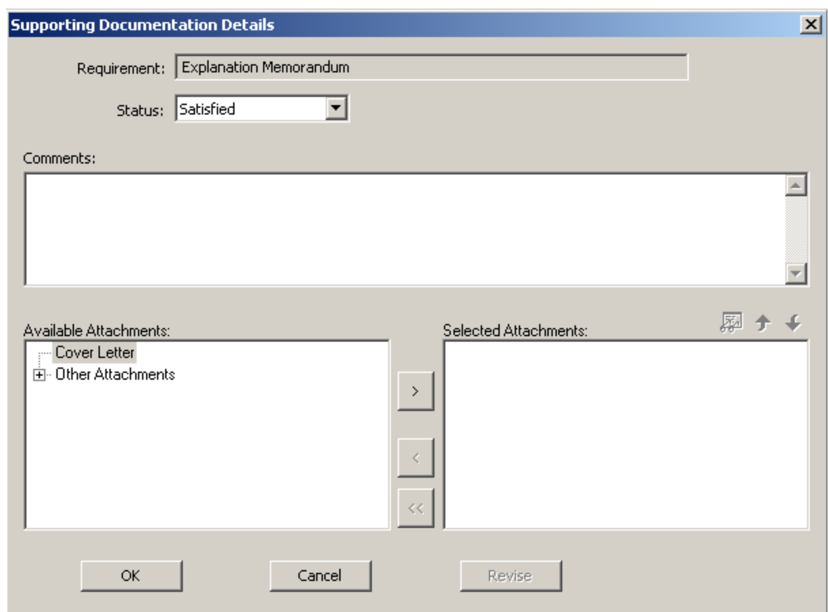



2. In the **Supporting Documentation** tab, double-click the **Requirement** you want to satisfy.

   The **Supporting Documentation Details** dialog displays.




3. From the **Status** drop-down list, select **Satisfied**.




4. In the **Comments** box, enter any additional information about the requirement or the attachment.
5. Click the attachment type in **Available Attachments**. If necessary, expand the list of attachments by clicking on the + to the left of the source of attachments.
6. Click the attachment and click the right arrow > to move the attachment to the **Selected Attachments** list.
7. Click **OK** to save your changes and close the dialog.

## Removing Requirements Attachments at the Filing Level

**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

You can remove any or all attachments you have associated with a supporting documentation filing requirement before or after submitting to SERFF.

---

**Method: Remove requirement attachments**

---

1. Double-click the requirement from which you want to remove an associated attachment.
2. In the **Selected Attachments** list, click the attachment you want to remove from this requirement, then click the left arrow button. 

3. To remove all attachments from this requirement, click the double left arrow button. 

4. Click **OK** to save changes and close the dialog.

## Bypassing Requirements at the Filing Level

**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

You can bypass a requirement—including bypassing a revised supporting doc that was previously satisfied—however, you must provide a reason. If you do not provide a reason, you will get an error message when you attempt to submit the filing to SERFF.

You can remove any or all attachments you have associated with a supporting documentation filing requirement before submitting to SERFF.

---

**Method: Bypass a requirement at the Filing level**

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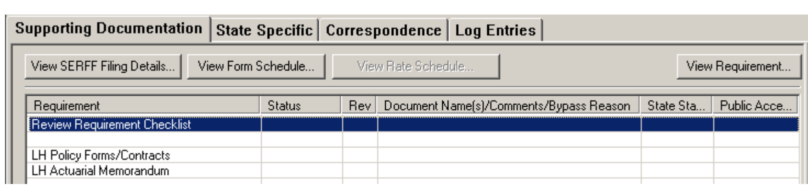
1. In the filing, click the **SERFF** tab.



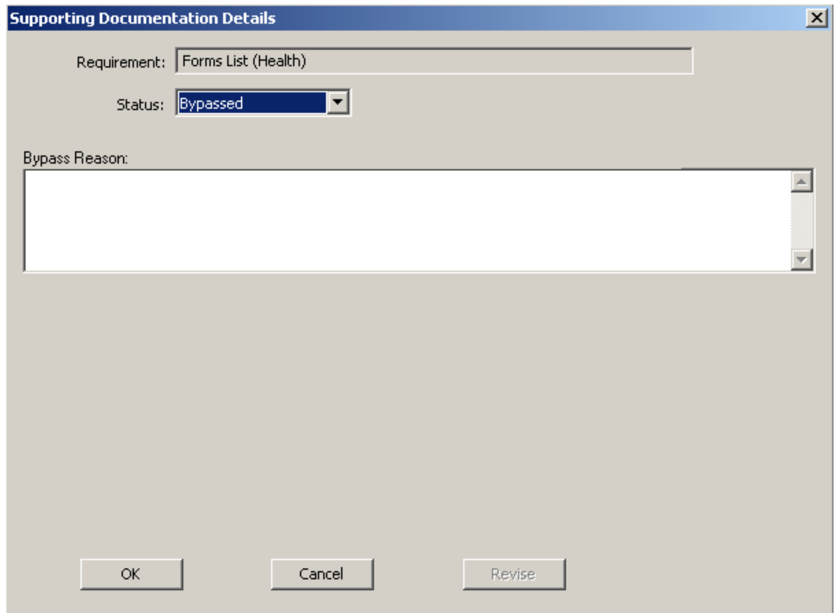

2. In the **Supporting Documentation** tab, double-click the **Requirement** you want to bypass.

**Note:** You cannot bypass requirements which are displayed in **bold**; you can only *satisfy* them: see *Satisfying Requirements at the Filing Level* on page 259.

The **Supporting Documentation Details** dialog displays.

3. From the **Status** drop-down list, select **Bypassed**.

   The **Bypass Reason** box is displayed.




4. In **Bypass Reason**, enter the reason why you are bypassing this requirement.

5. Click **OK** when you are done.

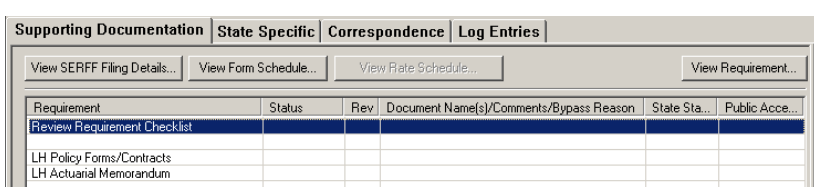
**Note:** You can also bypass multiple requirements on multiple filings within a filing group at one time: see *Bypassing Requirements for Filings En Masse* on page 247.

## Creating a User Added Requirement at the Filing Level

If you have a filing that needs a requirement that is not listed in the **Supporting Documentation** tab, you can add it. This type of supporting document requirement is called a *User Added Requirement*. An example of this is a document that was requested in the General Instructions but not included in the list of Filing Requirements.

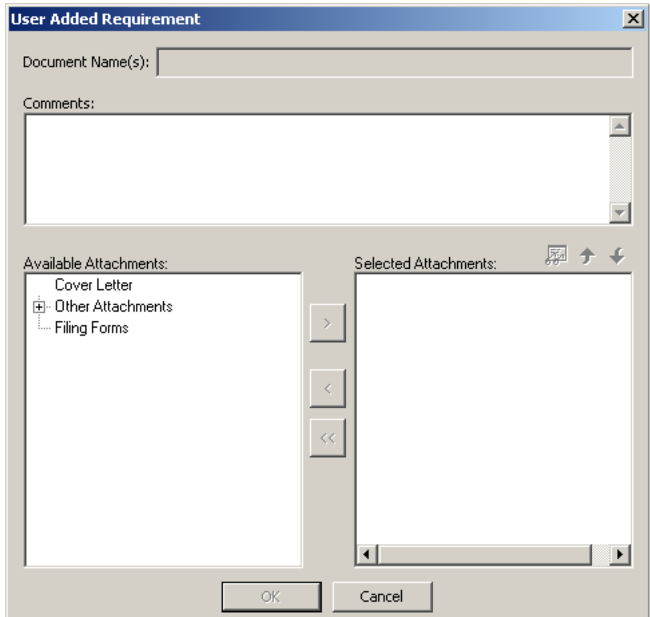
### Method: Create a user added requirement

1. In the filing, click the **SERFF** tab.



2. Click the User Added button on the SERFF toolbar.

   The **User Added Requirement** dialog displays.




3. In the **Comments** box, enter any notes or information about this requirement or attachment.
4. Click the attachment type in **Available Attachments**. If necessary, expand the list of attachments by clicking on the + to the left of the source of attachments.
5. Click the attachment and click the right arrow to move the attachment to the **Selected Attachments** list.
6. When you are done, click **OK**.

## Entering State-Specific Values at the Filing Level

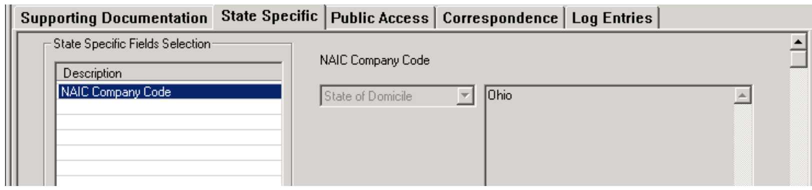
State-specific values represent other information required by the state for a SERFF filing. There are three ways you can add this information to Tracker:

- You can select matching data for these values from pre-existing data in Tracker.
- You can enter free-form data for values without defaults.
- You can edit or overwrite the default values provided.

**Note:** You must complete the state-specific fields.

**Method: Enter state-specific values at the Filing level**

1. Navigate to the filing where you want to enter state-specific values
2. Click the **SERFF** tab, then click the **State Specific** subtab.




3. In **State Specific Fields Selection**, click the **Description** for the state-specified field you need to enter.
4. Select the source of the field value from the drop-down list.

   The value of the source you have selected is displayed to the right of the source name.
5. To use a different value, edit the value in the text box. No Save or Enter is required.

## Setting Public Access Values

For details on public access settings and confidentiality requests, see *Working with Public Access/Confidentiality Requests* on page 331

## Paying Filing Fees

You can pay filing fees by check or EFT. For payment by check, see *Entering Filing Fees Paid by Check* on page 195. For EFT payments, see *Paying Filing Fees via EFT*.

### Paying Filing Fees via EFT

For SERFF filings, you can pay filing fees via EFT for states that allow EFT. The EFT payment option is available exclusively for SERFF filings. For details on a state's acceptance of EFT, see Regulatory Specialist, on the General subtab of the SERFF tab, on page 366.

**Note:** Once an EFT payment is made, subsequent payments must be made using EFT.

In order for fees to be paid via EFT, there are several items that must first be configured in the Administration section of Tracker. These include the **Payer UNID**, the EFT authorization levels, and—in some states—the **Advisory/Rating Organization** setting. See *Company Information* on page 43 and *SERFF Settings* on page 56.

When you make your selection of the TOI, sub TOI and filing type, whether the state accepts EFT payments or not is passed to Tracker and displayed on a filing's **Filing Fee** tab as follows:

- If the state accepts EFT payments, **EFT** is enabled in the **Payment Method** section and the **State Accepts EFT** field is displayed.
- If the state does *not* accept EFT payments, then the **EFT** payment method is grayed out.
- If the **State Charges Fee Per Company** field is displayed, it indicates that state charges the filing fee on a per company basis.

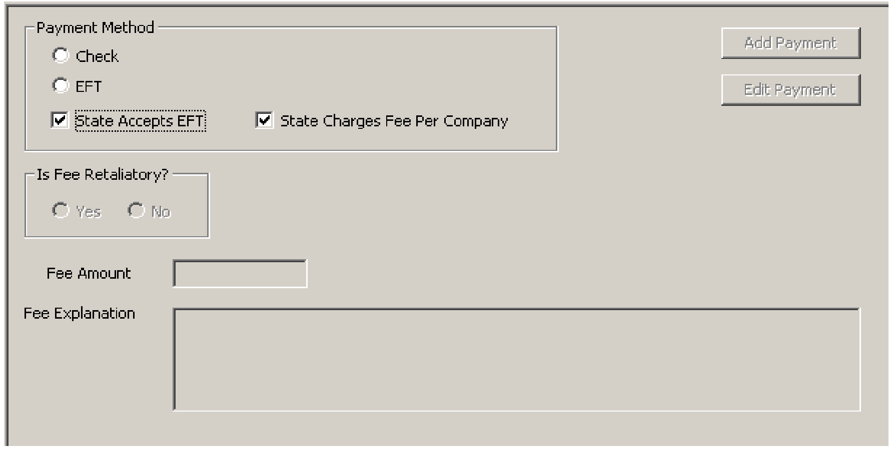
On the SERFF toolbar, the color of the EFT icon indicates the EFT payment status.

| Payment Status | Icon Color |
| --- | --- |
| EFT payment information is added to the Payment History Details table | Green<br> |
| EFT payment information is removed from the Payment History Details table, also the default status | Red<br> |
| No filing or multiple filings are highlighted at the Filing Group level or Top level | Grey<br> |

As well, when EFT payment information is added to a filing's Payment History Details table, the corresponding entry in the EFT column on the Filing Group level – My Filings, Filing Group level – Filings, or Top Level – My filings - All tabs display **Yes**, otherwise they display **No**.

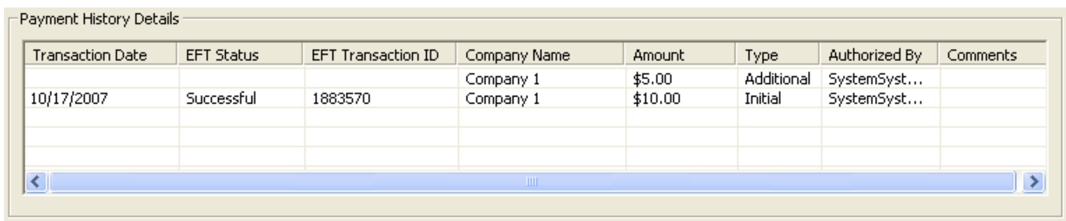
### Method: Pay the filing fee via EFT

1. Navigate to the filing where you want to pay the filing fee via EFT.
2. Click the **Filing Fee** tab.




3. In the **Payment Method** section, select **EFT.**

   The **Payment History Details** table will display.



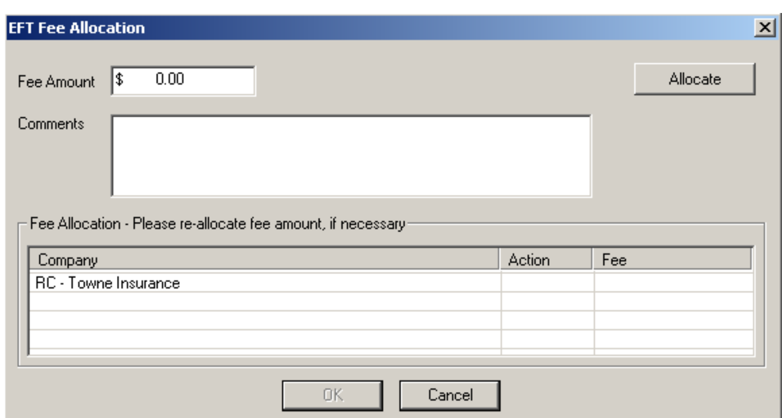

**Note:** An error message will be displayed if the Tracker Administrator has not configured a valid Payer UNID for the company. To configure a company's UNID, see *Entering or Editing General Information for Companies* on page 45.

4. If any portion of the fee is being paid on a retaliatory basis, click **Yes** in the **Is Fee Retaliatory?** section.

5. Enter any descriptive information (such as how the fee is calculated) in the **Fee Explanation** field.

6. Click **Add Payment**.

   The **EFT Fee Allocation** dialog displays.




7. Enter the **Fee Amount**.

**8.** Enter any descriptive notes in the **Comments** field.

**9.** Click **Allocate**.

The fee is added to the **Fee Allocation** table at the bottom of the dialog.

**Note:** If the fee amount you enter exceeds the maximum allowed for your EFT authorization level, a message will be displayed. In this case, you will not be able to proceed with the EFT payment for this filing. You will need to contact your Tracker Administrator to continue, or you will need to have another user with the appropriate EFT authority level complete the EFT information.

**10.** Click **OK** to save you work.

The filing fee you entered is displayed in the **Payment History Details** table at the bottom of the **Filing Fee** tab. (For more information about this table, see *Viewing EFT Transaction Information at the Filing Level* on page 267.)

The color of the EFT icon on the SERFF toolbar becomes green. On all screens where filings are listed, the corresponding entries in the EFT column display **Yes**.

## Viewing EFT Transaction Information at the Filing Level

The **Payment History Details** table (displayed on a filing's **Filing Fee** tab after a payment type has been selected) displays each payment for a filing. The information displayed includes:

- **Transaction Date**
- **EFT Status** – Pending, Successful or Failed
- **EFT Transaction ID** – provided by SERFF after a successful EFT payment
- **Company Name** – the name of the company that the transaction applies to
- **Amount** – the amount of the EFT transaction
- **Type** - the EFT transaction type: **Initial** or **Additional**: **Initial** means the EFT request was sent with the initial filing; **Additional** means additional fees were sent on the filing
- **Authorized By**
- **Comments**

See also: *Paying Filing Fees via EFT* on page 264.

**Note:** For a Company Group filing, in order for EFT to be an option, the Advisory/Rating Organization check box on the General tab of the Company Information dialog would have to be selected for all of the companies in the Company Group. If the Advisory/Rating Organization check box is not selected for any of the companies in the Company Group, then Check is the only option available for filing fees – EFT will not be an option.

**Method: Make the EFT payment**

Perform the **SERFF: Generate SERFF Filing** activity and click the **Move to Filing Package and Submit to SERFF** option.

The EFT information you entered in the **EFT Fee Allocation** dialog will automatically be transmitted with the filing to SERFF

## Allocating EFT Company Group Filing Fees

The way fees are allocated when paying company group filing fees via EFT depends on the administrative settings for the companies in the group and the way the state charges for filings.

When the state does not charge fees on a per company basis, the fee can only be allocated to one company. By default, the system will allocate the payment as follows:

- If the filling contains the company that has been designated as Primary EFT in the Admin setup, the fee will be allocated entirely to the company designated as Primary EFT.
- If the filing does not contain the company designated as Primary EFT, the system will allocate the payment entirely to the first company in the filing with a valid payer UNID, but you can override the default allocation for a particular payment if you want.

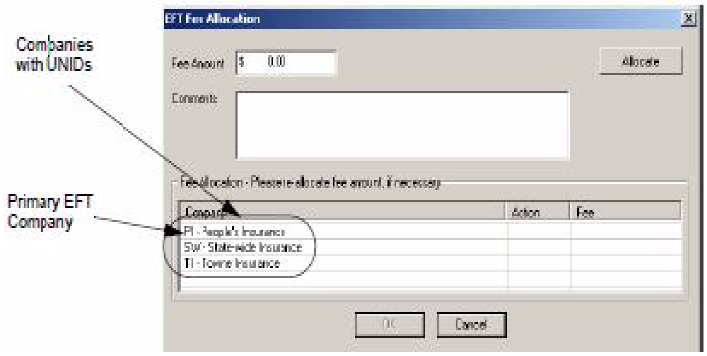
**Note:** For a Company Group filing, in order for EFT to be an option, the Advisory/Rating Organization check box on the General tab of the Company Information dialog would have to be selected for all of the companies in the Company Group. If the Advisory/Rating Organization check box is not selected for any of the companies in the Company Group, then Check is the only option available for filing fees – EFT will not be an option.

**Method: Allocate an EFT fee #1**

In this example, (a) the state does not charge a fee per company, and (b) one company in the group is designated as Primary EFT.

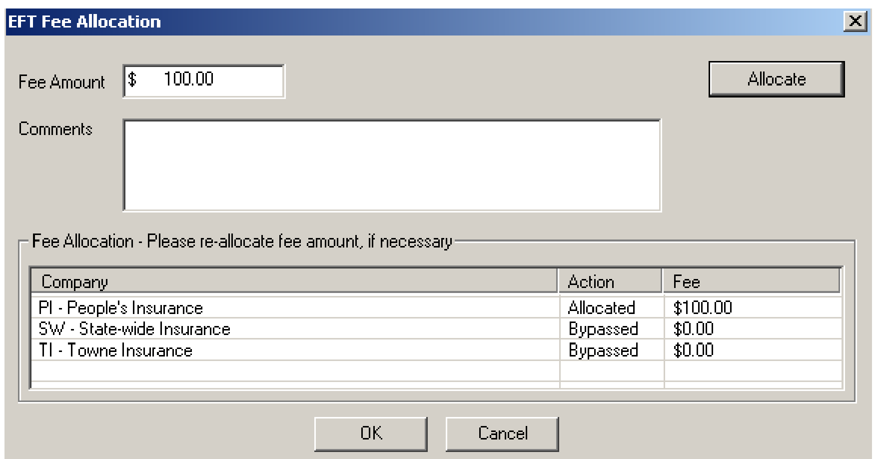
1. Open the filing and display the **Filing Fee** tab.
2. In the **Payment Method** area, select **EFT**.
3. Click **Add Payment**.

   The **EFT Fee Allocation** dialog box opens. The Fee Allocation table shows all companies with payer UNIDs.



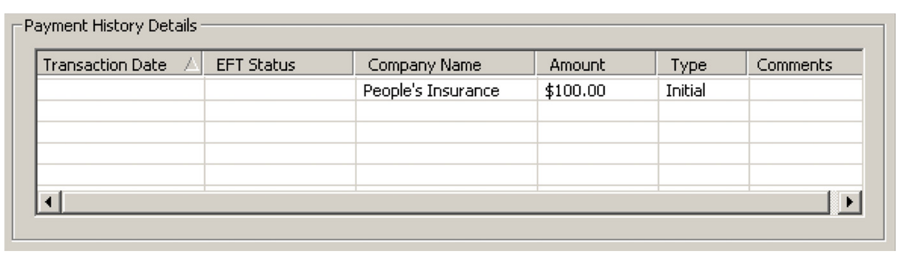

4. Enter the **Fee Amount**.
5. Click **Allocate**.

   For the Primary EFT company, the **Action** is set to **Allocated**, and the **Fee** is set to the total **Fee Amount**. For the other companies, the **Action** is set to **Bypassed**, and the Fee is set to **$0.00**.




6. Click **OK**.

   The payment is listed in the **Payment History Details** window.



## Method: Allocate an EFT fee #2

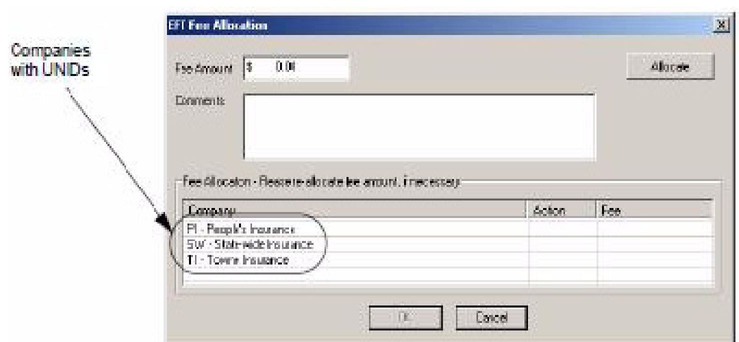
In this example, (a) the state does not charge a fee per company, and (b) one or more companies in the group have a payor UNID but none is designated as Primary EFT

**1.** Open the filing and display the **Filing Fee** tab.

**2.** In the **Payment Method** area, select **EFT**.

**3.** Click **Add Payment**.

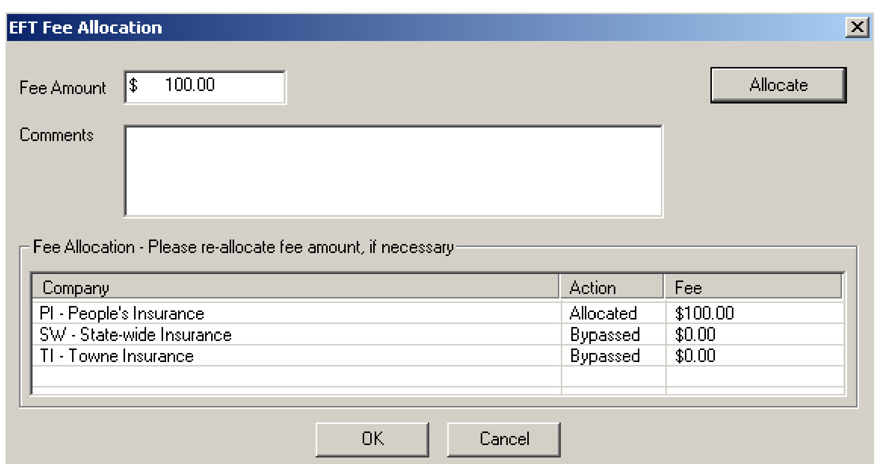
The **EFT Fee Allocation** dialog box opens. The Fee Allocation table shows all companies in the filing with a payor UNID.




**4.** Enter the **Fee Amount**.

**5.** Click **Allocate**.

The first company will have **Action** set to **Allocated**, and the **Fee** set to the total **Fee Amount**. The other companies will have **Action** set to **Bypassed**, and the **Fee** set to **$0.00**.




**6.** If you want to override the default allocation, follow these steps:

a. On the **EFT Fee Allocation** dialog box, click **Allocated** in the **Action** column and select **Bypassed** from the drop-down list.

b. The fee amount will be changed to **$0.00**.

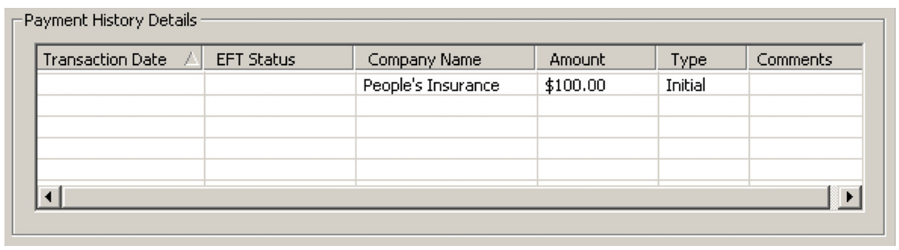
c. Click in the **Action** column beside the company you wish to affiliate the payment to and select **Allocated** from the drop-down list.

d. Enter the amount of the payment and press Enter.

**Note:** Company to which the fee was originally allocated, the following error message is displayed: “Fee can only be allocated to one company. In order to change the default allocation, you must set the Action to bypass on the original allocation.”.

7. Click **OK**.

The **Payment History Details** window is updated. (The default allocation is shown below.)




### Method: Allocate an EFT fee #3

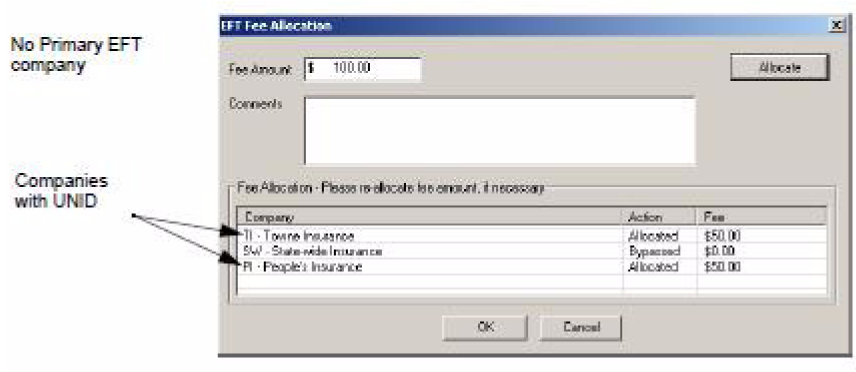
This is an example of how to allocate an EFT Fee when the state charges a fee per company.

1. Display the **Filing Fee** tab.
2. In the **Payment Method** area, select **EFT**.
3. Click **Add Payment**.

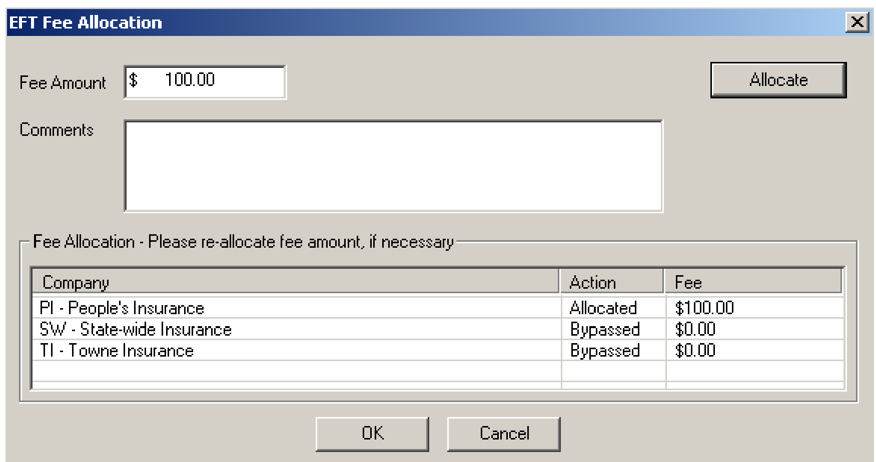
   The **EFT Fee Allocation** dialog box opens. The Fee Allocation table displays all the companies in the filing.
4. Enter the **Fee Amount**.
5. Click **Allocate**.

   The fee is allocated in one of the following ways:

- If there is no company in the filing designated as Primary EFT, the fee will be allocated evenly across all companies in the filing with a payor UNID.

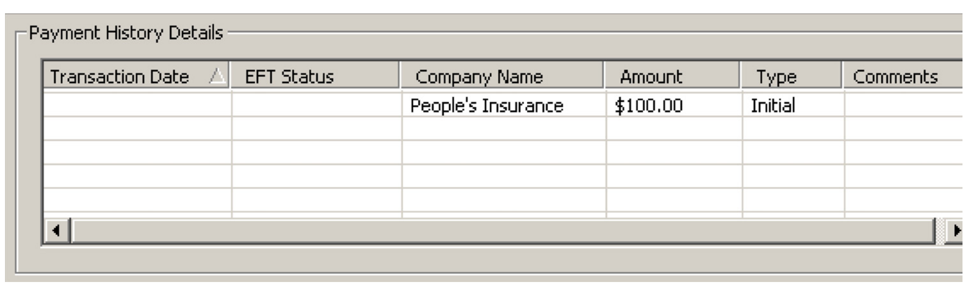



- If one of the companies in the filing is designated as Primary EFT, the full fee amount is allocated to that company.




**6.** Click **OK**.

The **Payment History Details** window is updated.




### Method: Make the EFT payment

Perform the **SERFF: Generate SERFF Filing** activity and click the **Move to Filing Package and Submit to SERFF** option.

The EFT information you entered in the **EFT Fee Allocation** dialog will automatically be transmitted with the filing to SERFF.

## Adjusting EFT Filing Fee Details Before Submitting

If, at any point before submitting a filing to SERFF, you need to adjust the EFT filing fee details, you can edit them.

**Note:** All fields in the EFT Fee Allocation dialog box can be edited before submitting the filing. Once submitted, only the Comments field and Fee Explanation field can be edited.

**Method: Edit EFT filing fee payments**

1. In the **Filing Fee** tab of a filing, double-click any of the payments listed in the **Payment History Details** table.
2. Make your required changes.
3. When you are done, click **OK**.

The dialog box closes, and the payment details will be updated.

### EFT Transaction Status

When you have made your EFT selections, the EFT information (including the EFT status) will appear in the **Payment History Details** table on the **Filing Fee** tab. After the filing has been sent to SERFF, the EFT statuses will be as follows:

- **Pending** – The EFT status will be remain as **Pending** if the filing fails to go to SERFF. In this case, you will receive a log entry indicating that the filing failed, which also means the EFT submission failed. In this case, you will need to make the necessary corrections to the filing and submit it to SERFF again. You do not need to reenter the EFT information. Your original selections will be retained and sent to SERFF when you perform the activity to submit to SERFF.
- **Failed** – If the filing itself is successfully sent to SERFF, but there is a problem with the EFT information, you will receive a log entry stating that the EFT transaction failed, and the EFT status will appear as **Failed**. In this situation, you will need to make the necessary corrections to the EFT information and then perform the activity of **SERFF: Submit Additional Fee**.
- **Successful** – The EFT status will appear as **Successful** when the EFT transaction is successfully transmitted to the DOI.

# Reviewing SERFF Filings

Before submitting filings to SERFF, you should review the details of the filing. This involves:


- *Viewing and Editing SERFF Filing Details* on page 274
- *Viewing Form Schedules* on page 278
- *Viewing Rate/Rule Schedules* on page 279
- *Generating a Draft SERFF Filing* on page 280

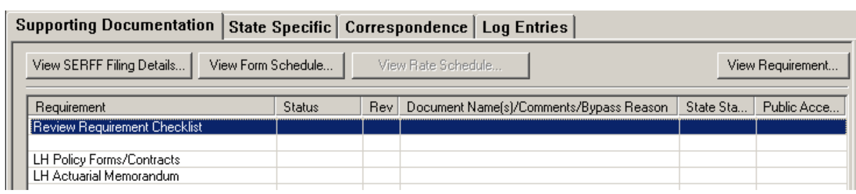

## Viewing and Editing SERFF Filing Details

Once you have satisfied or successfully bypassed each filing requirement, you are ready to review and verify the SERFF filing details. Some of this data is entered automatically by Tracker, and all you need to do is verify that it is correct. Some of this data is configurable in the Tracker system defaults. (See *System Defaults* on page 31 for more information.)Some final settings are required at this point as well.

### Method: View and adjust SERFF filing details

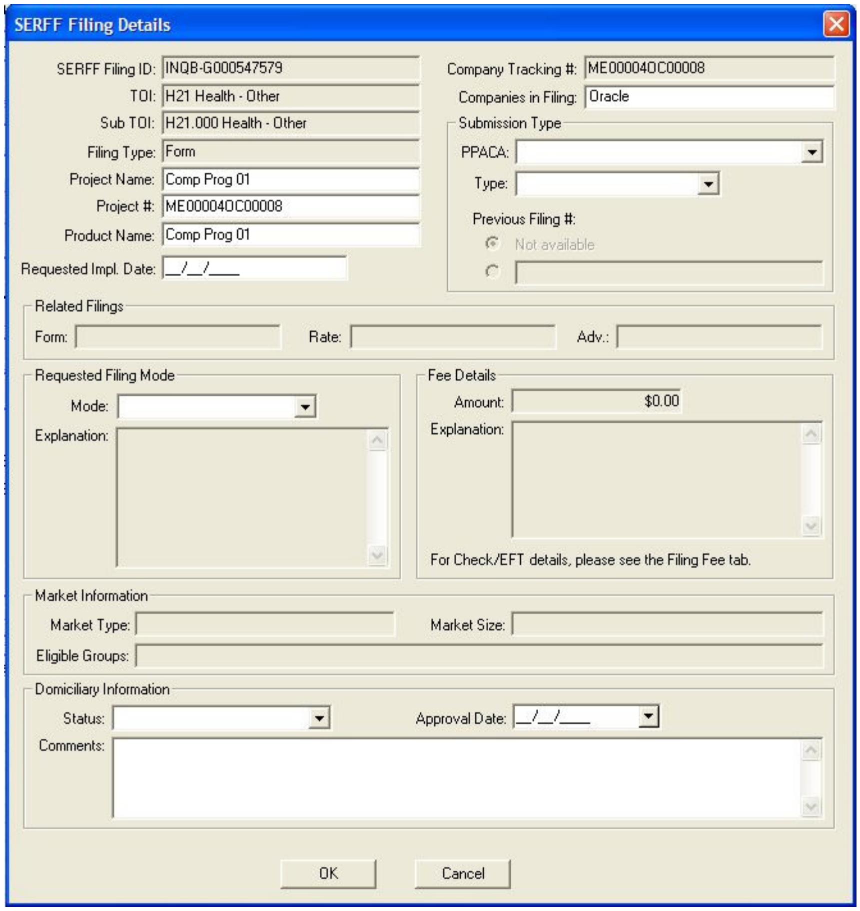
**1.** Navigate to the filing where you want to view SERFF filing details.

**2.** Click the **SERFF** tab.




**3.** Click **View SERFF Filing Details**.

The **SERFF Filing Details** dialog displays.




4. On this dialog, review the default values, or, for the fields that are editable, you can enter different values. The fields are described in the next section: *SERFF Filing Details Fields* on page 275.

5. When you are done, click **OK** to save your changes, or click **Cancel** to exit without making changes.

## SERFF Filing Details Fields

The following table describes the section and fields of the **SERFF Filing Details** screen and contains three columns:

- The **Field or Section Name** column lists the name of the fields and sections.
- The **Description** column describes each the fields.
- The **Data Source / Data Entry Instructions** column describes where the defaults values are obtained from and how to select or enter values for fields that are editable. Note that you edit only certain fields, while others are read-only and cannot be edited.

| Field or Section Name | Description | Data Source / Data Entry Instructions |
|---|---|---|
| **SERFF Filing ID** | The tracking ID for this filing (from SERFF). | Populated by the system after the SERFF: Get Filing Requirements activity is performed. |
| **TOI** | The TOI for this filing. | The TOI as entered in Tracker. |
| **Sub TOI** | The sub TOI for this filing. | The sub TOI as entered in Tracker. |
| **Filing Type** | The filing type. | The Filing Type as entered in Tracker. |
| **Project Name** | The name of the project containing this filing. | This field obtains data automatically from one of the following fields, based on what has been entered in **SERFF System Defaults**:<br>• Program Name<br>• Filing Group Name<br>• Filing Group Description<br>• Filing Description<br>• Custom Field, Filing Group Level<br>• Custom Field, Filing Level<br>• Company Reference Number |
| **Project #** | The project number containing this filing. | This field obtains data automatically from one of the following fields, based on what has been entered in SERFF System Defaults:<br>• Tracker Filing ID<br>• Filing Group Name<br>• Filing Group Description<br>• Filing Description<br>• Custom Field, Filing Group Level<br>• Custom Field, Filing Level<br>• Company Reference Number |

| Field or Section Name | Description | Data Source / Data Entry Instructions |
|---|---|---|
| **Product Name** | The name of the product associated with this filing. | This field obtains data automatically from one of the following fields, based on what has been entered in SERFF System Defaults:<br>• Program Description<br>• Filing Group Name<br>• Filing Group Description<br>• Filing Description<br>• Custom Field, Filing Group Level<br>• Custom Field, Filing Level |
| **Company Tracking #** | The Tracker filing identification number. | • **Company Reference #** field (if a value for **Company Reference #** is present at the point the filing is sent to SERFF)<br>• **Tracker Filing ID** (if a value for **Company Reference #** is not present at the point the filing is sent to SERFF) |
| **Companies in Filing** | The company associated with this filing. | System generated |
| **Effective Dates (Section)** | | |
| **Requested** | The requested new business effective date for this filing. | Populated by a Tracker activity: see *Working with Activities* on page 211. |
| **Requested Renewal** | The requested renewal date for this filing. | Populated by a Tracker activity: see *Working with Activities* on page 211. |
| **Fee Details (Section)** | | |
| **Amount** | The amount of the fee being sent with the filing. | Obtained automatically from the filing fee information entered. |
| **Explanation** | A description or additional information about the filing fee | Obtained automatically from the filing fee information entered. |
| **Reference Filing (Section)** | | |

| Field or Section Name | Description | Data Source / Data Entry Instructions |
|---|---|---|
| **Reference Organization** | **The name of the reference organization for this filing.** | Automatically populated with the **Advisory Org** name if a publication is referenced to the filing. |
| **Reference #** | The advisory organization filing ID or reference number. (Maximum length: 1,000 characters). | If filing is referenced in a publication, this field is automatically populated with the publication's first Reference ID number. If not referenced in a publication, this field is blank. The field contents can be manually edited by clicking the field text box and typing desired values. |
| **Domiciliary Information (Section)** | | |
| **Status** | The status of the filing in the domiciliary state | Select a value from the drop-down list. |
| **Comments** | Information about the status of the filing in the domiciliary state. | Enter any details that you want the state to know about the filing in your domiciliary state. |

**Note:** Tracker supports **Product Names** up to 254 characters in length.

## Viewing Form Schedules

Each enabled form in Tracker is, by default, a form schedule item for a SERFF filing. Tracker will pass information from the following fields to SERFF for each enabled form in Tracker:

- Form Name
- Form Number
- Form Type: see *Form Types* on page 76
- Flesch Score
- Form Action
- Replaced Form # (if applicable)

- Previous State Filing # (if applicable.

If an attachment is added in Tracker, it will also be passed to SERFF.

**Method: View a form schedule**

1. Navigate to the filing where you want to view a form schedule.
2. Click the **SERFF** tab. Click the **Supporting Documentation** subtab
3. Within the **Supporting Documentation** subtab, click **View Form Schedule**.

   The Form Schedule is generated and displayed in Microsoft Word.See *Form Types* on page 76 for information about how to map the Form Type **Description** to SERFF.

## Viewing Rate/Rule Schedules

Each enabled rate and rule in Tracker is, by default, a rate/rule schedule item for a SERFF filing. Tracker will pass information from the following fields to SERFF for each enabled rate in Tracker:

- Document Name
- Previous State Filing Number
- Rate Change Type
- Related Form Filing Number
- Rate Increase / Decrease / Neutral
- Filing Method
- Rate Change Type
- Rate Change Details
  - Company name
  - % Indicated change
  - Written premium change for this program
  - # of policyholders affected for this program
  - Written premium for this program
  - Maximum % Change (proposed)
  - Maximum % Change (approved)
  - Minimum % Change (proposed)
  - Minimum % Change (approved)
- Overall Rate Information (for Company Group filings):
  - New / Replacement / Withdrawn

    - Effect of Rate Filing - Written Premium Change for this Program
    - Effect of Rate Filing - Number of Policyholders Affected
- Last Rate Revision
    - Overall Percentage of Last Rate Revision
    - Effective Date of Last Rate Revision
    - Filing Method of Last Filing

### Method: View a rate/rule schedule

1. In the filing, click the **SERFF** tab.
2. Within the **Supporting Documentation** tab, click the **View Rate/Rule Schedule** button.

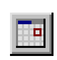
   The rate/rule schedule is generated and displayed in Microsoft Word.

## Generating a Draft SERFF Filing

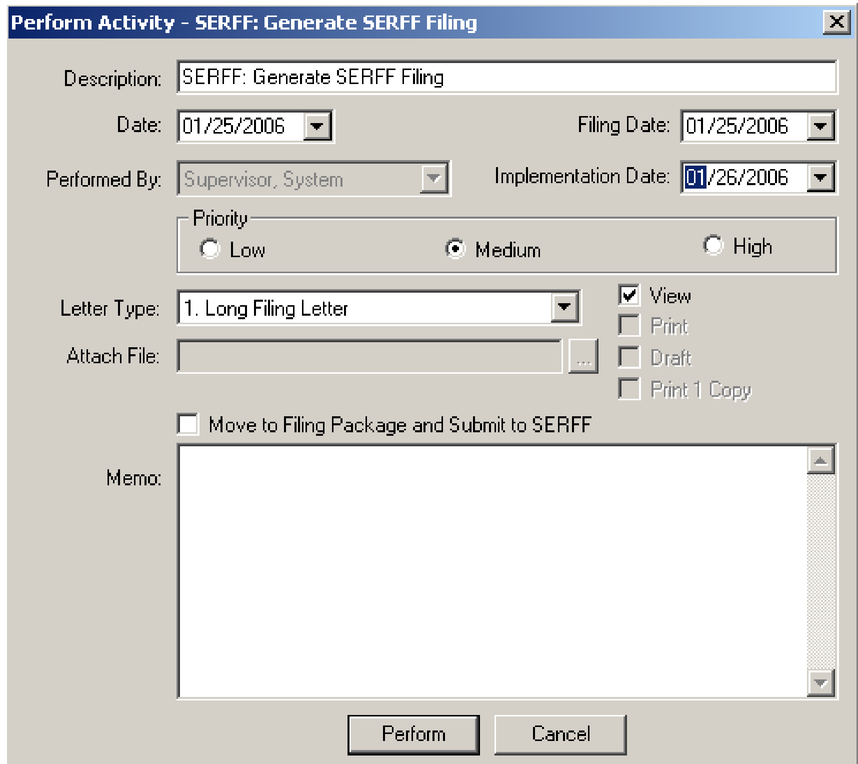
Before submitting the filing to SERFF, you need to generate a draft of the filing and review the generated filing.

### Method: Generate a draft SERFF filing

After building the SERFF filing with Tracker, you will perform an Tracker activity to verify whether the requirements you initially downloaded from SERFF are still current and complete.

1. Click the **Perform Activity** button. 

   The **Perform Activity** screen opens.
2. Select **SERFF: Generate SERFF Filing**, and click **Perform**.
3. The **Perform Activity - SERFF: Generate SERFF Filing** dialog displays.




**4.** Enter any relevant information into the **Memo** area.

**5.** Because this only a draft copy, *do not* select the **Move to Filing Package and Submit to SERFF** check box. Leave it cleared in order to generate the filing without sending it to SERFF.

**6.** Click **Perform**.

The Activity is processed, and if successfully completed, will be visible from the **Activities** tab.

# Submitting Filings to SERFF

After you have generated a draft of the SERFF filing and are satisfied with it, you can submit it to SERFF.

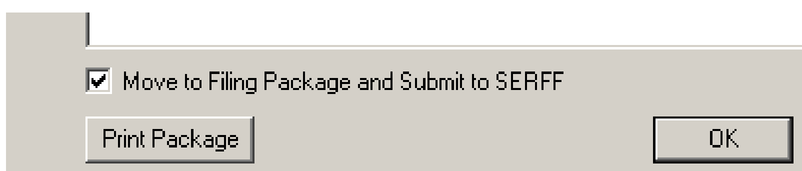
**Note:** You can only submit individual filings to SERFF; you cannot submit filings en masse.

Prior to submitting the filing to SERFF, Tracker completes PDF conversion for each attachment and checks the size of each. If one of the PDF attachments is larger than 3MB in size, Tracker displays a warning message that the filings that contain oversized attachments will not be submitted. If the message appears after attempting to submit multiple filings, it should be noted that filings where the PDF attachments did not exceed the 3MB limit *will* be submitted.

### Method: Submit your filing to SERFF

1. Navigate to the filing you want to submit to SERFF, or navigate to the filing group and select multiple filings on the Filings or My Filings tab.
2. Click the **Activities** tab.
3. Double click the **SERFF: Generate SERFF Filing** activity you have just performed.

   The **Edit Activity-SERFF: Generate SERFF Filing** dialog displays.
4. At the bottom of the dialog, select **Move to Filing Package and Submit to SERFF.**




5. Click **OK**.

   The filing is submitted to SERFF. The **Filing Status** is now **Pending**.

   When the initial filing submission is performed, Tracker also checks to see if the state allows Post Submission Updates (PSUs). If PSUs are allowed, all fields that can be updated using a PSU are also locked and can only be changed by using a PSU. See *Working with Post Submission Updates* on page 319.

# Monitoring SERFF Filings and Working with Messages

As you work with SERFF filings and submit them to SERFF, Tracker creates and receives messages from the states about these filings. These messages are available in:

- the Top Level of Tracker
- the **Log Entries** subtab within a filing's **SERFF** tab

## Message Types and Content

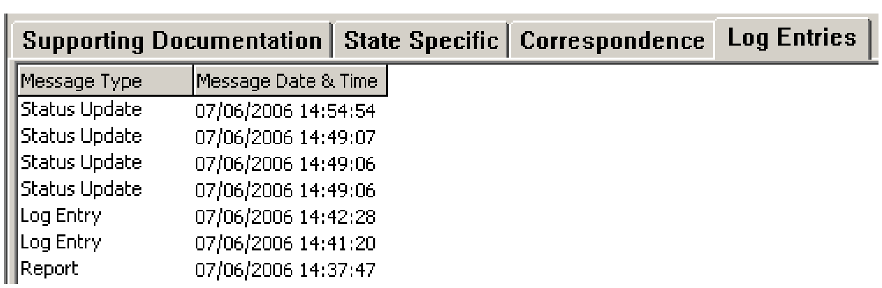
The messages that are displayed within the messages tabs at the **Top Level** and within the **Log Entries** tab within the **SERFF** tab of a filing are categorized by type within Tracker for easy identification. The message types are:

- *Log Entries* on page 283
- *SERFF Status Filing Updates* on page 285
- *Schedule Item State Status Updates* on page 286
- *Note to Filer* on page 287
- *Objection Letters* on page 287
- *Reports* on page 287

### Log Entries

For each interaction between Tracker and SERFF, including the status updates and reports, a log entry is created. Log entries are maintained for each filing on the **Log Entries** tab within the **SERFF** tab. They represent the history of this SERFF filing, starting with the initial submission of the filing to SERFF. No events are recorded on this tab while you are working with the filing before submitting it to SERFF.

Log entries for all filings are available at the **Top Level** of Tracker, but entries on this tab may be removed from view.




The log entries indicate if:

- the initial filing and any subsequent correspondence was successfully submitted

*OR*

- the initial filing and any subsequent correspondence was not successfully submitted, and must be resubmitted

**Note:** If you fail to receive a log entry when you have sent the filing or filing amendment or objection response, your filing may be in limbo. See *SERFF — Filing in Limbo* on page 423.

Log entries will be automatically generated when any of the following activities are performed:

- Submit Filing to SERFF
- Submit Note to Reviewer
- Submit Additional Fee (EFT)
- Submit Filing Amendment
- Submit Objection Response Letter
- Submit Confidentiality Request
- Submit Post Submission Update

## SERFF Status Filing Updates

A SERFF status update occurs either automatically (system-generated) or from some action taken by the state.

**Note:** SERFF status updates apply to the entire filing and not at the schedule item level.

The following table describes the types of SERFF status updates and how they are triggered.

| SERFF Status | Triggered By | Description |
|---|---|---|
| Submitted | System-generated | When you perform the activity which submits the filing to SERFF, you will receive a status update message of *Submitted* when the filing is received by the state. |
| Assigned | A reviewer being assigned by the state to work with this filing | When the state assigns a reviewer to review the filing, the SERFF status update of *Assigned* is triggered and sent to Tracker. |
| Pending Industry Response | The state sending an Objection Letter. | When the state sends an Objection Letter because of a problem they have found in your filing, a SERFF status update will be triggered and sent to Tracker, changing the SERFF status of the filing to *Pending Industry Response.* |
| Pending State Review | A user sending an Objection Response. | When a user sends an Objection Response in response to an Objection Letter, a SERFF status update will be triggered and sent to Tracker, changing the SERFF status of the filing to *Pending State Review*. |

| SERFF Status | Triggered By | Description |
|---|---|---|
| Closed-State Specific Action | The state taking final action on the filing: approval, disapproval, filed, acknowledged, and so on. | When the state takes final action on a filing, they will create a Disposition Report which gives the action they have taken on the filing. The final dispositions include approval, disapproval, acknowledgment the filing as filed, and so on. The terminology can vary significantly from state to state.<br>When the state sends the disposition report, this automatically triggers a corresponding SERFF status update to be sent to Tracker. The SERFF status update message that is sent to Tracker in this instance will be **Closed - State specific** status. |
| Re-opened | The state re-opening the filing | If the state re-opens a closed filing, you will receive a SERFF status update message for the filing. |
| Closed-Rejected | The state rejecting the filing. | If the state rejects the filing you will receive a SERFF status update of **Closed - Rejected**. |

**Note:** When Tracker receives a SERFF status update, it will compare the current SERFF status and the state status to determine if a status has changed as a result of the update. If there is a change, then Tracker will save the modified date for the change (separate date fields for SERFF status and state status since they may be updated independent of each other).

## Schedule Item State Status Updates

A state status update message in Tracker is triggered when the state updates the state status of the filing, or updates the state status of one or more schedule items.

Unlike SERFF status update messages, which are automatically generated, when a state performs specific functions or creates reports, a state status update message is only triggered when the state manually updates the state status in SERFF. State status update messages inform you about the progress of the filing and/or schedule items as the state conducts its review.

There are no standard state status update messages. Each state has its own set of these messages.

### Note to Filer

**Note to Filer** messages are created by the state and are used to communicate with you about some aspect of your SERFF filing. Essentially, they act as an email where the state can ask for:

- clarification on something in the filing
- additional information
- additional documents

### Objection Letters

If the state that you submitted your SERFF filing to finds a problem with your filing that requires further explanation or revisions, the state may send an Objection Letter (previously called a Problem Report) detailing the problems they have found. For more information, see *Viewing Objection Letters* on page 280.

### Reports

As of this release, there is only one type of SERFF report available: a disposition report. A disposition report advises the filer of the disposition of the filing, and is generated when the state closes a filing and changes the filing's status to **Closed** [–**State Specific**] (i.e. **Closed - Approved**).

If the state rejects your filing, you will no longer receive a rejection report. Instead, you will receive a disposition report with the disposition of **Closed-Rejected**.

For more information, see *Viewing Disposition Reports* on page 314.

## Managing Messages in the Message Center

There are various ways to control and manage the various messages coming in from SERFF on your filings. Most of these functions apply to the **My SERFF Messages** and **All SERFF Messages** tabs, collectively referred to as the *Message Center*. The functionality includes:

- Viewing messages and reports on the *My SERFF Messages and All SERFF Messages Tabs (Top Level)* on page 288
- *Identifying New Messages* on page 289
- *Viewing Messages* on page 289
- *Deleting Messages (from the Message Center)* on page 290

## My SERFF Messages and All SERFF Messages Tabs (Top Level)

As you work with SERFF filings and submit them to SERFF, Tracker both creates messages and receives messages from the states about these filings. These messages are available in:

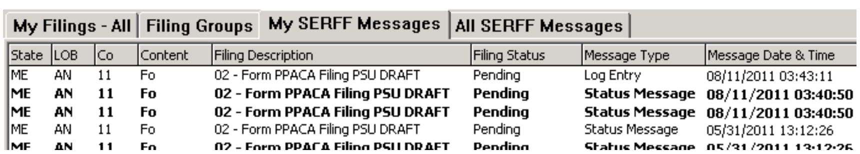
- the **Top Level** of Tracker
- the **Log Entries** tab within the **SERFF** tab of a filing

Messages at the **Top Level** of Tracker are in the **My SERFF Messages** and **All SERFF Messages** tabs.

These tabs also display generic messages from the states (messages not related to a specific filing). The Tracker Administrator configures for which states and business types (L&H, P&C, or both) you will receive state messages. (See *Configuring Display of State Messages* on page 76.)

### My SERFF Messages

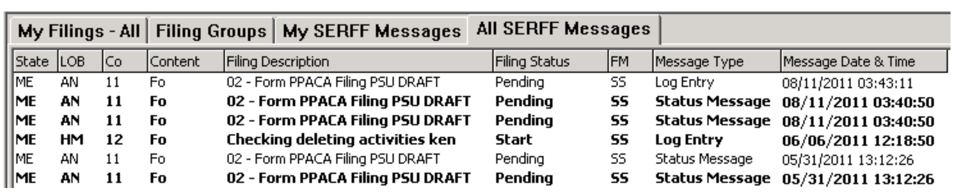
This tab contains all SERFF messages for the filings where you are the filing manager.


My Filings - All | Filing Groups | My SERFF Messages | All SERFF Messages

| State | LOB | Co | Content | Filing Description | Filing Status | Message Type | Message Date & Time |
|---|---|---|---|---|---|---|---|
| ME | AN | 11 | Fo | 02 - Form PPACA Filing PSU DRAFT | Pending | Log Entry | 08/11/2011 03:43:11 |
| **ME** | **AN** | **11** | **Fo** | **02 - Form PPACA Filing PSU DRAFT** | **Pending** | **Status Message** | **08/11/2011 03:40:50** |
| **ME** | **AN** | **11** | **Fo** | **02 - Form PPACA Filing PSU DRAFT** | **Pending** | **Status Message** | **08/11/2011 03:40:50** |
| ME | AN | 11 | Fo | 02 - Form PPACA Filing PSU DRAFT | Pending | Status Message | 05/31/2011 13:12:26 |
| **ME** | **AN** | **11** | **Fo** | **02 - Form PPACA Filing PSU DRAFT** | **Pending** | **Status Message** | **05/31/2011 13:12:26** |

### All SERFF Messages

This tab contains all SERFF messages for filings for all users.


My Filings - All | Filing Groups | My SERFF Messages | All SERFF Messages

| State | LOB | Co | Content | Filing Description | Filing Status | FM | Message Type | Message Date & Time |
|---|---|---|---|---|---|---|---|---|
| ME | AN | 11 | Fo | 02 - Form PPACA Filing PSU DRAFT | Pending | SS | Log Entry | 08/11/2011 03:43:11 |
| **ME** | **AN** | **11** | **Fo** | **02 - Form PPACA Filing PSU DRAFT** | **Pending** | **SS** | **Status Message** | **08/11/2011 03:40:50** |
| **ME** | **AN** | **11** | **Fo** | **02 - Form PPACA Filing PSU DRAFT** | **Pending** | **SS** | **Status Message** | **08/11/2011 03:40:50** |
| **ME** | **HM** | **12** | **Fo** | **Checking deleting activities ken** | **Start** | **SS** | **Log Entry** | **06/06/2011 12:18:50** |
| ME | AN | 11 | Fo | 02 - Form PPACA Filing PSU DRAFT | Pending | SS | Status Message | 05/31/2011 13:12:26 |
| **ME** | **AN** | **11** | **Fo** | **02 - Form PPACA Filing PSU DRAFT** | **Pending** | **SS** | **Status Message** | **05/31/2011 13:12:26** |

On the **My SERFF Messages** and the **All SERFF Messages** tabs—collectively called the *Message Center*—messages are displayed only for the number of days that have been configured in the **SERFF Defaults**. For more information, see *Understanding the SERFF System Defaults* on page 56 and *Hide All Messages After [ ] Days* on page 57.

You can also delete messages from these tabs without waiting for the specified display period to expire (with the appropriate permission) as described in *Deleting Messages (from the Message Center)* on page 290.

## Identifying New Messages

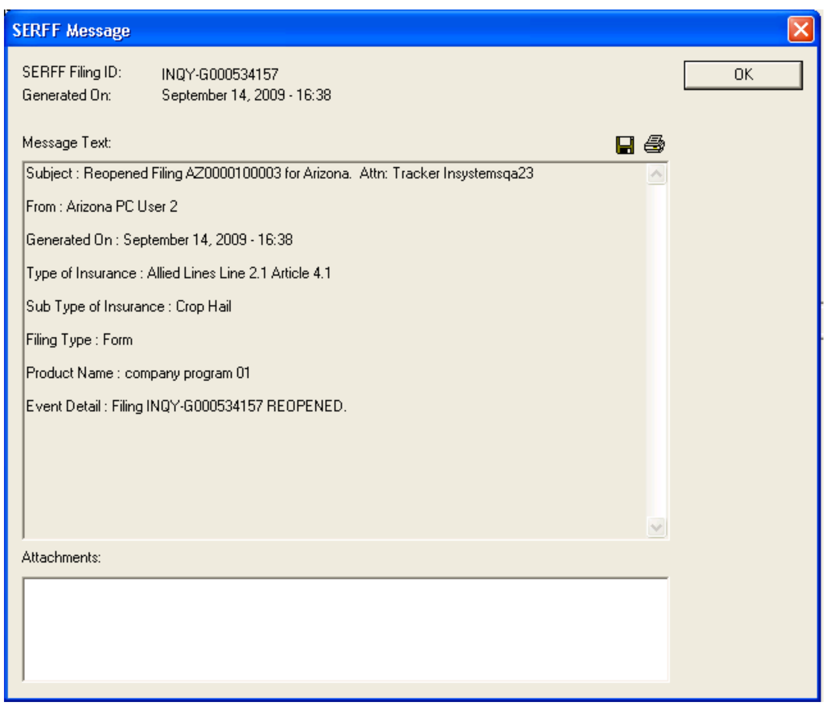
You can easily identify any new messages that have arrived from SERFF since the last time you were in the Message Center. All new messages appear in **bold**, and remain in bold until they are opened. Once you open a message, it changes to non-bold when you close the message or choose to go directly to the filing. **Bold**, therefore, indicates an unread message, while non-bold indicates a read message.

If a message is opened under the **ALL SERFF Messages** tab, it will also appear as unbold (read) under the **My SERFF Messages** tab. Similarly, if a message is opened under the **My SERFF Messages** tab, it will also appear as unbold under the **ALL SERFF Messages**. That is, the read or unread status of a message is not controlled on a per-user basis, but by whoever opens the message first.

**Important:** We strongly recommend that you only open messages that apply to *your* filings. If you mistakenly open a message for another user's filing, you should restore the message to its unread status by right-clicking the message and selecting the **Mark as Unread**.

## Viewing Messages

To view a message, simply double-click it. The message opens.




From this dialog, you can perform the following procedures:

- To save the text of the message to a file, click the Save icon. You are prompted to enter the path name of the file to save the text.
- To print the message, click the Print icon. The message prints.
- To view the filing associated with this message, click the **View Filing** button. The associated filing opens.

- To view any attachments associated with this message, double-click the file name in the Attachments section.

## Deleting Messages (from the Message Center)

You can delete messages from the Message Center. However, your ability to delete messages from the **My SERFF Messages** tab or the **ALL SERFF Messages** tab is controlled by the permission settings for the user security access level to which you belong.

There are two permissions: **Delete My SERFF Messages** and **Delete All SERFF Messages**:

- If the security access level you belong to has the permission to **Delete My SERFF Messages**, then you will be able to delete messages for filings where you are the filing manager.
- If the security access level to which you belong has the permission to **Delete ALL SERFF Messages**, then you will be able to delete messages for all filings, not just those where you are the filing manager.
- If the security access level to which you belong has neither permission, then you cannot delete messages for any filings.

**Important:** The ability to delete SERFF messages pertains solely to deletion within the Message Center. A message deleted from the Message Center will still appear within the **Log Entries** tab within the filing the message pertains to and under the **Correspondence** tab in the filing.

---

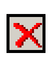
**Method: Delete a message from the Message Center**

---

1. In the **My SERFF Messages** tab or the **All SERFF Messages** tab, select the message(s) you want to delete.

   To select a continuous range of messages, press and hold the **Shift** key, click the first message and then click the last message in the range of messages that you want to delete.

   To select a non-continuous number of messages, press and hold the **Ctrl** key, then click each message which you want to delete.

2. Click the  in the toolbar.

   A message appears asking if you are sure you want to delete the highlighted message(s).

3. Click **OK** to delete the message(s) or click **Cancel** to cancel the deletion.

**Tip:** If you try to delete a message and the  in the toolbar is grayed out, then your security level does not have the permission setting to allow deletions. Contract your Tracker Administrator if you think you need the ability to delete messages.

# Working with Submitted Filings

After submitting a SERFF filing, you may need to make certain changes or corrections.

The procedures for working with submitted filings are as follows:



## Working with Notes to Reviewers

A Note to Reviewer includes additional information about a previously submitted filing.

This section includes the following topics:



### Creating Notes to Reviewers

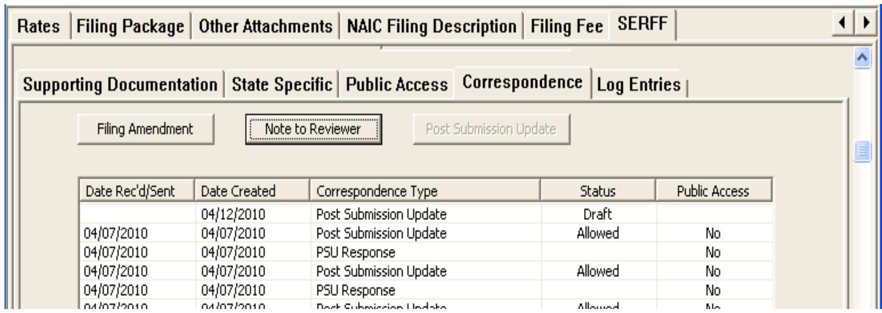
After you have submitted a filing to SERFF, you can send a Note to Reviewer which includes any additional comments or information about the filing.

---

**Method: Create a Note to Reviewer**

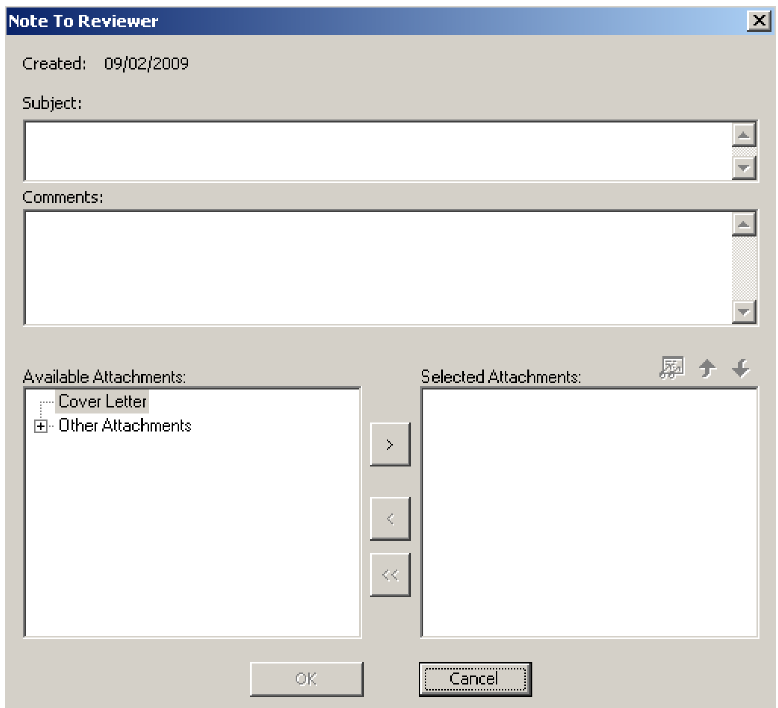
---

1. Navigate to the filing where you want to create a Note to Reviewer.
2. Click the **SERFF** tab.
3. Click the **Correspondence** subtab.




4. Click **Note to Reviewer**.

   The **Note to Reviewer** dialog displays.




The **Created On** field is automatically populated.

**Note:** The **Created On** date for migrated filings will be blank.

5. Complete the **Subject** field.
6. Complete the **Comments** field with the information that you want to send to the state.
7. Click **OK** to save your changes.

   The Note to Reviewer is added to the list of **Correspondence** with a **Status** of **Draft**. It is also listed on the Filing Package tab.

**Important:** While the system will allow attachments to be included on the NTR, you should not include any attachments on the NTR that belong on the schedules.

You can now submit the Note to Reviewer.

## Editing Notes to Reviewer

You can edit a Note to Reviewer that is in **Draft** status

---

**Method: Edit a Note to Reviewer**

---

1. Within the filing containing the Note to Reviewer you want to edit, either
   - click the **SERFF** tab and then the **Correspondence** subtab.

   *OR*
   - click the Filing Package tab.
2. Double-click the Note to Reviewer that you want to edit.
3. Make any necessary changes. (For field descriptions, see *Creating Notes to Reviewers* on page 291.)

## Deleting Notes to Reviewers

You can delete a Note to Reviewer that is in **Draft** status

---

**Method: Delete a Note to Reviewer**

---

1. Navigate to the filing containing the Note to Reviewer that you want to delete, click the **SERFF** tab.
2. Click the **Correspondence** subtab.
3. Select the Note to Reviewer that you want to delete.
4. Press the Delete key or click the delete button on the Tracker toolbar.

   You are asked to confirm the deletion.
5. Click **Yes** to delete the Note to Reviewer or click **No** to cancel.

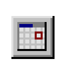
## Submitting Notes to Reviewers

After you have created a **Note to Reviewer**, you can submit it to the state.

---

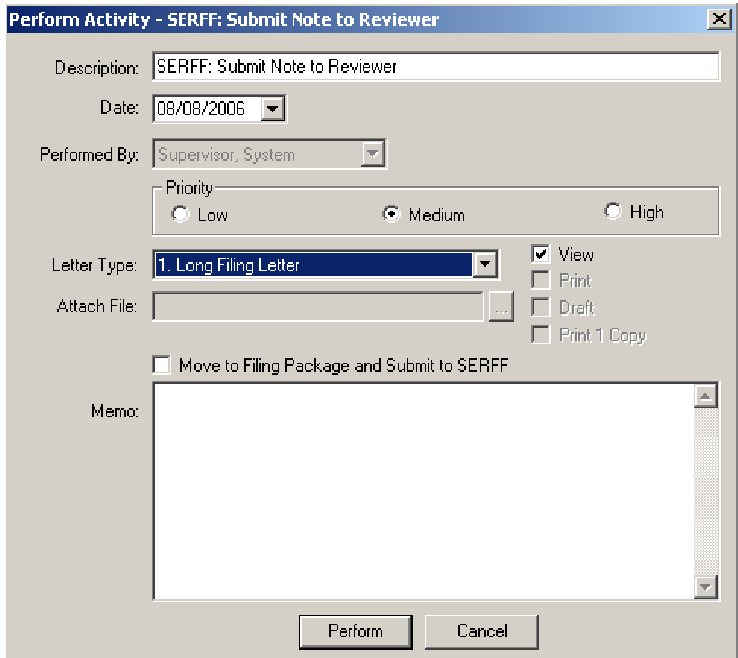
**Method: Submit a Note to Reviewer**

---

1. Click the **Perform Activity** button on the toolbar. 

   The **Perform Activity** dialog displays.
2. Select the **SERFF: Submit Note to Reviewer** activity.

   The **Perform Activity - SERFF: Submit Note to Reviewer** dialog displays.




3. If necessary, change the **Priority** for this activity.
4. Enter any relevant information in the **Memo** field. This is for internal use only.
5. Select the **Move to Filing Package and Submit to SERFF** check box, then click **Perform**.

If you perform the activity but do not select **Move to the Filing Package and Submit to SERFF**, the status on the **Correspondence** tab remains as Draft but the item is not editable. In order to enable editing, you will have to first delete the related activity, which unlocks the related item on the Correspondence tab, and then go in and make changes.

The Note to Reviewer is submitted. In the **Correspondence** tab:

- the **Status** of the Note to Reviewer changes to **Submitted**
- the date the Note to Reviewer was sent is displayed in **Date Rec'd/Sent** column

**Please note:**

- The SERFF status of the filing does not change after submitting a Note to Reviewer.
- If the Tracker Monitor is busy processing other activities, the status of the Note to Reviewer will remain **Queued** until the Note to Reviewer has been succesfully submitted.

# Creating Revised Form, Rate, and Advertisement Schedule Items

Schedule items include forms, rates, and advertisements. If after submitting a filing, you discover an error in a schedule item, or if this state objects to a particular schedule item, you need to create and submit a revised schedule item. (You cannot change the original schedule item.)

To create revised *Other Attachments* schedule items, see *Creating Revised Supporting Doc Schedule Items (Other Attachments)* on page 296.

### Method: Create a revised form, rate, and advertisement schedule item

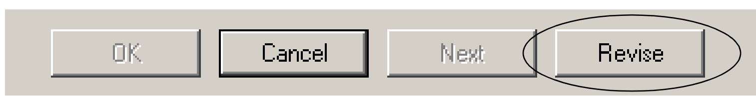
**1.** Navigate to the filing where you want to create the revised forms, rates, and advertisements.

**2.** Click the **Forms, Rates** or **Advertisements** tab.

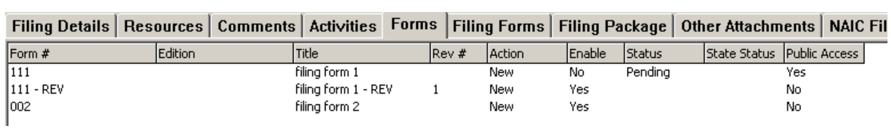
**3.** Double-click the form, rate, or advertisement that you need to revise.

The form, rate, or advertisement opens.

**4.** Click the **Revise** button.




A copy of the form, rate, or advertisement is added directly below the original in the list.

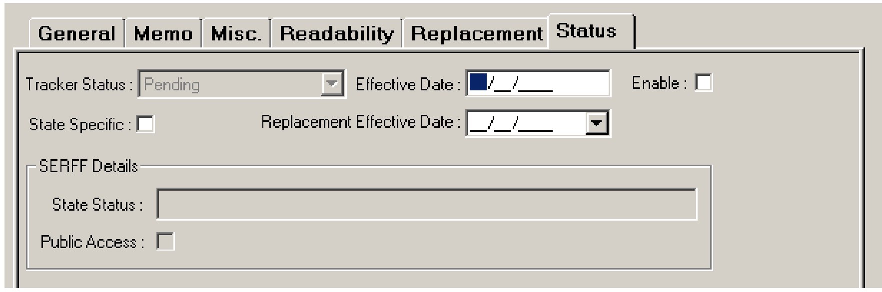



An incremented revision number is assigned to the new form, rate, or advertisement and appears in the **Rev #** column.

In the original form, rate, or advertisement, the **Enable** check box on the **Status** tab is cleared. The form, rate, or advertisement becomes independent of the Filing Group level attachment, if it was not already.

**5.** Make any necessary corrections to the copy of the form, rate, or advertisement attachment, including the **Attachment** path, then save it.

The **Status** tab of a revised form, rate, or advertisement attachment contains a **SERFF Details** section that indicates the **State Status** and **Public Access** of *that* form, rate or advertisement. These fields are populated by the state when the state takes action.




**6.** After you have created the revised schedule item, you need to submit it using an objection response or a filing amendment. See: *Working with Filing Amendments* on page 251 and *Working with Objection Responses* on page 308.

## Creating Revised Supporting Doc Schedule Items (Other Attachments)

A supporting documentation schedule item is a schedule item other than a form, rate, or advertisement schedule item. SERFF treats fillable filing forms as supporting documentation. Supporting documentation schedule items are maintained in a filing's **Other Attachments** tab. They are also listed in the **Supporting Documentation** subtab within the **SERFF** tab of a filing.

If after submitting a filing, you discover an error in a supporting documentation schedule item, or the state objects to a supporting documentation schedule item, you will need to revise a supporting documentation schedule item.

Related topics:

- *Satisfying Previously Bypassed Requirements* on page 298
- *Revising Bypass Reason for Bypassed Requirements* on page 397
- *Bypassing Satisfied Requirements* on page 376

---

### Method: Create a revised supporting documentation schedule item (Other Attachment)

---

**Part A: Revise the fillable filing form**

**1.** Navigate to the **Filing Package** tab of the filing where you want to create a revised supporting documentation schedule item (the fillable filing form).

**2.** Double-click the filing package (Filing Correspondence Description = SERFF: Generate SERFF Filing).

The **SERFF: Generate SERFF Filing** dialog displays.

**3.** In the **Documents** area, double-click the fillable filing form that you want to revise.

The fillable filing form opens in its native application.

**4.** Save a copy of the fillable filing form to your file system, or DMS.

**5.** Outside of Tracker, open the copy of the fillable filing form that you saved in the previous step, make all required changes, and save the document.

**Part B: Create an Other Attachment with the revised fillable filing form**

**6.** In Tracker, navigate to the filing where you want to create a revised supporting documentation schedule item (Other Attachment).

**7.** Create an Other Attachment using the revised fillable filing form from Part A. (See *Adding a New (or Editing an Existing) Filing Level Other Attachment* on page 190.)

**Part C: Create a revision with the revised fillable filing form attached**

**8.** Navigate to the same filing's SERFF tab, and on the **Supporting Documentation** sub-tab, double click the requirement containing the Other Attachment that you need to revise.

**9.** Click the **Revise** button.

The **Supporting Documentation Details** dialog displays.

**10.** Select **Satisfied** from the **Status** drop-down menu.

The dialog displays the **Available Attachments** area.

**11.** Expand the **Other Attachments** branch, and select the **Other Attachment** created in step 7, and click the right arrow to move the Other Attachment to the **Selected Attachments** area.

**12.** Click **OK**.

The **Supporting Documentation Details** dialog closes, and the SERFF tab, Supporting Documentation sub-tab displays.

The revised supporting documentation schedule item:

- is displayed immediately below the original entry,
- has a **Status** of **Satisfied,**
- has a value in the **Rev** column of **R**,
- displays the name in the **Document Name/Comments/ByPass Reason** column.

The Other Attachment, if it was not already, becomes independent of the Filing Group level attachment.

**13.** To add comments to the revised schedule item, double-click it to open it, then enter any comments in the **Comments** field, and click **OK**.

After you have created the revised supporting documentation schedule item, you need to submit it using an objection response or a filing amendment. See *Working with Filing Amendments* on page 274 and *Working with Objection Responses* on page 308.

### Related Topic

- *Creating Revised Form, Rate, and Advertisement Schedule Items* on page 295

## Satisfying Previously Bypassed Requirements

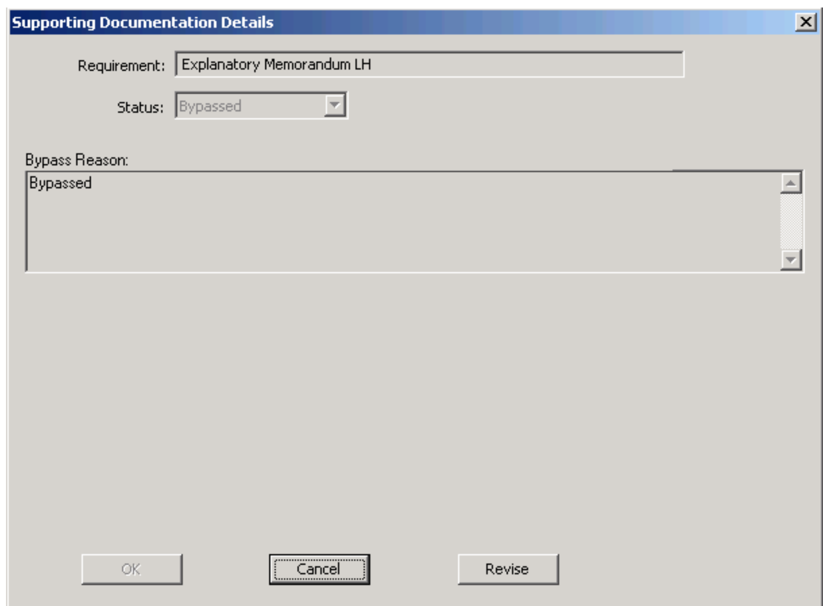
**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

If you had submitted a filing containing a requirement that was bypassed, you can revise the supporting doc item and satisfy the requirement.

### Method: Satisfy a previously bypassed requirement

1. Navigate to the filing where you want to satisfy a previously bypassed requirement, and click the **SERFF** tab.
2. In the **Supporting Documentation** subtab, double-click the **Requirement** you want to satisfy.

   The **Supporting Documentation Details** dialog displays.




3. Click the **Revise** button.
4. From the **Status** drop-down list, select **Satisfied**.
5. In the **Comments** box, enter any information about the requirement or the attachment.
6. Click the attachment type in **Available Attachments**. If necessary, expand the list of attachments by clicking on the + to the left of the source of attachments.
7. Click the attachment and click the right arrow > to move the attachment to the **Selected Attachments** list.
8. Click **OK** to save your changes.

The revised supporting doc item is added to the table, immediately below the original, identified by an **R**.

## Revising Bypass Reason for Bypassed Requirements

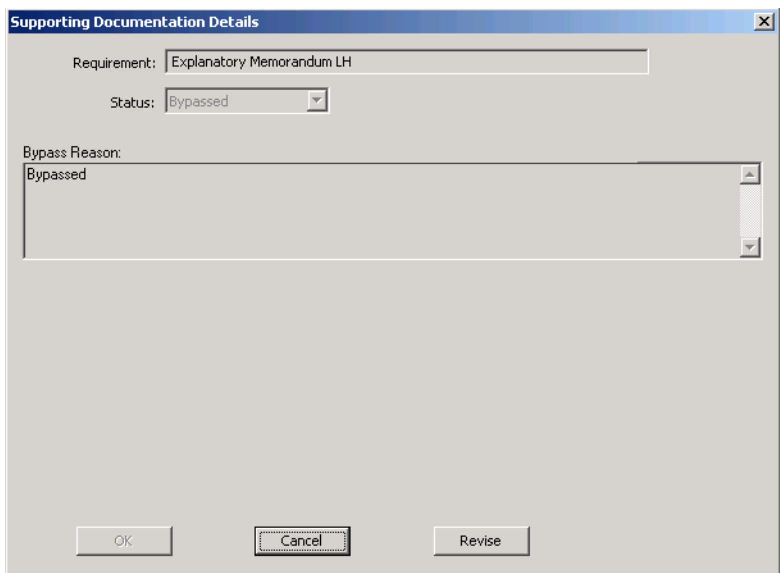
**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

If you had submitted a filing containing a requirement that was bypassed, you can change the Bypass Reason with a revision.

### Method: Revise the Bypass Reason for a bypassed requirement

1. Navigate to the filing where you want to create a revision with a new Bypass Reason, and click the **SERFF** tab.
2. In the **Supporting Documentation** subtab, double-click the bypassed requirement you want to revise.

   The **Supporting Documentation Details** dialog displays.




3. Click the **Revise** button.
4. From the **Status** drop-down list, select **Bypassed**.
5. In the **Bypass Reason** box, enter the new information about the bypassed requirement.
6. Click **OK** to save your changes.

   The revised supporting doc item is added to the table, immediately below the original, identified by an **R**.

## Bypassing Satisfied Requirements

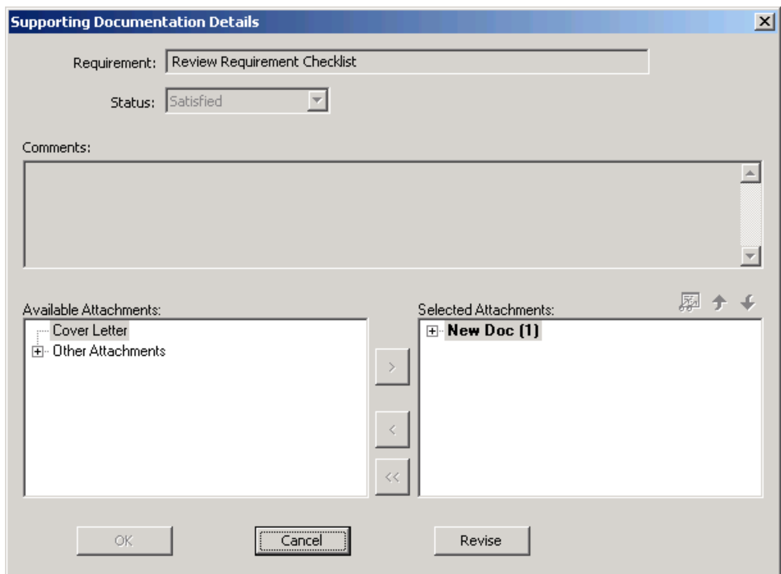
**Note:** Supporting documentation filing requirements are referred to as *requirements* in this documentation.

If you had submitted a filing containing a requirement that was satified, you can revise the supporting doc item and bypass the requirement.

### Method: Bypass a previously satisfied requirement

1. Navigate to the filing where you want to bypass a previously satisfied requirement, and click the **SERFF** tab.
2. In the **Supporting Documentation** subtab, double-click the satisfied requirement you want to bypass.

   The **Supporting Documentation Details** dialog displays.




3. Click the **Revise** button.
4. From the **Status** drop-down list, select **Bypassed**.
5. In the **Bypassed Reason** box, enter any information about the requirement.
6. Click **OK** to save your changes.

   The revised supporting doc item is added to the table, immediately below the original, identified by an **R**.

## Working with Filing Amendments

You can use a filing amendment to correct mistakes or omissions that you have discovered.

This section includes the following topics:

## Creating Filing Amendments

After a filing has been submitted to SERFF, you may discover that it contains errors or omissions, for example:

- the wrong attachment was included with a schedule item
- a schedule item was left out
- a key piece of data was missing from the filing

In these cases, you need to send the state a Filing Amendment with the revised or additional schedule items.

**Important:** Use a Filing Amendment only to correct mistakes or omissions that *you* have discovered. If the *state* discovers an error or omission and sends an Objection Letter, you need to send the revisions or additions using an Objection Response, *not* a Filing Amendment: see *Working with Objection Responses* on page 308.

**Note:** You must finish submitting one Filing Amendment before you can create another.

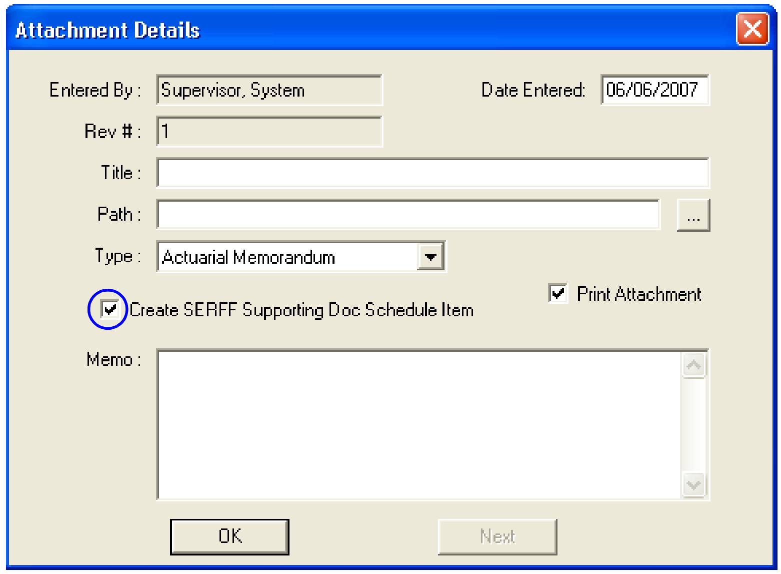
### Method: Create a Filing Amendment

Before you can create a Filing Amendment, you first need to create any missing schedule items, or modify any schedule items that had errors under the **Forms, Rates, Advertisements** or **Other Attachments** tabs of a filing.

As the following procedure indicates, you need to complete extra steps if you are adding a new or revised Other Attachment to a Filing Amendment.

**Complete the following steps to create or modify a schedule item:**

1. If you are adding a revised Other Attachment to a Filing Amendment, complete the following steps, otherwise skip to step 2.
    a. Navigate to the filing where you want to create a Filing Amendment with a revised Other Attachment, and click the **Other Attachments** tab.
    b. Double-click the Other Attachment you want to revise to open it.
    c. Click **Revise**.
    d. Add attachments if required.
    e. To automatically include this revision as a Supporting Doc, ensure the **Create SERFF Supporting Doc Schedule Item** check box is selected.



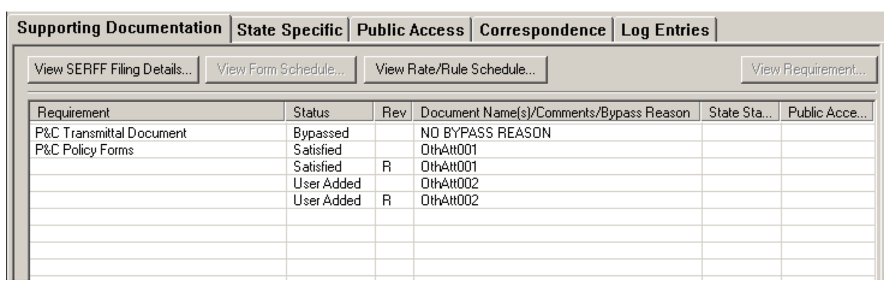

**Note:** If this check box is clear, the revision can be added as a Supporting Doc via the Supporting Documentation Details dialog (which is accessed by double-clicking the requirement on the Supporting Documentation subtab in the filing's SERFF tab). Multiple revisions as well as original versions can be added using this method.

**f.** Click **OK.**

**2.** Within the filing for which you want to create a Filing Amendment, click the **SERFF** tab.

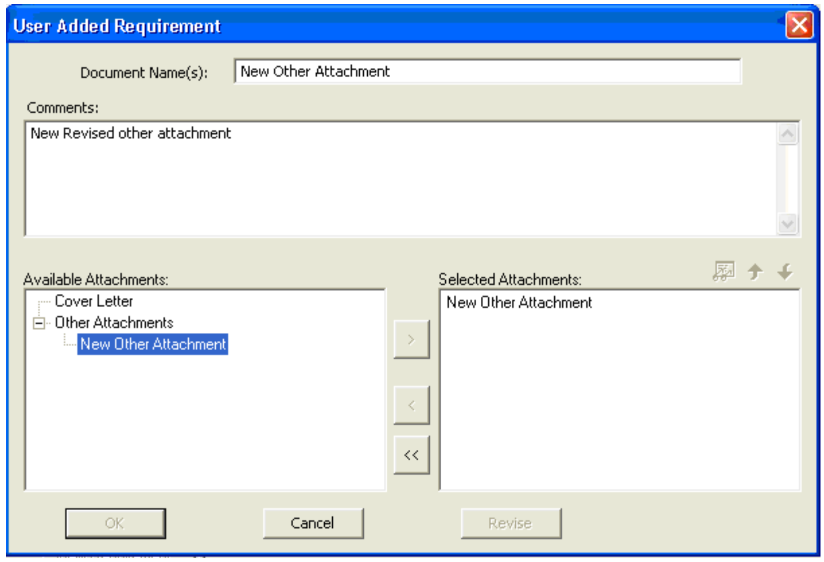
**3.** Click the **Supporting Documentation** tab.

The **Supporting Documentation** tab displays.




**4.** For new Other Attachments only, complete the following steps. For all other attachment types, skip to step 5.

**a.** Click the User Added Requirement button  on the SERFF toolbar.



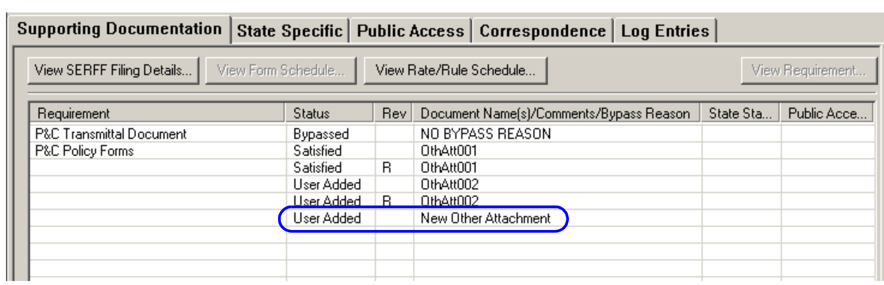

b. On the **User Added Requirement** dialog, enter text in the **Comments** field.

c. Click the Other Attachment in the **Available Attachments** list. If necessary, expand the list by clicking on the + to the left of the source of attachments.

d. Click the attachment, then click the right arrow > to move the attachment to the **Selected Attachment list**.

e. Click **OK**.

The requirement you selected is now listed in the **Supporting Documentation** table.

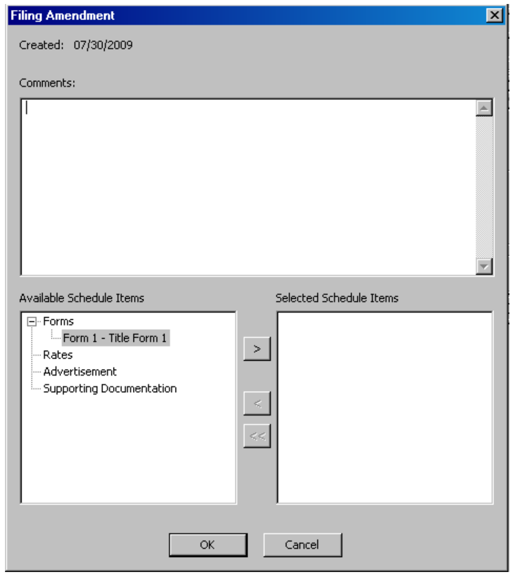



You can now create the filing amendment. Continue to the next step.

5. Click the **Correspondence** subtab.

6. Click the **Filing Amendment** button.

7. The **Filing Amendment** dialog displays, and the **Created** date is automatically populated.




**Note:** The **Created** date for migrated filings will be blank.

In the **Comments** field of the **Filing Amendment** dialog, enter any information you want to tell the state about the reason for the Filing Amendment and revised or additional schedule items.

8. Click the schedule item type in **Available Schedule Items** list. If necessary, expand the list by clicking on the ⊞ to the left of the source of attachments.

9. Click the schedule item, then click the right arrow > to move the schedule item to the **Selected Schedule Items** list.

10. Click **OK** to save the Filing Amendment.

    The filing amendment is added to the list of **Correspondence** with a **Status** of **Draft**.

You can now submit the Filing Amendment.

## Editing Filing Amendments

You can edit a Filing Amendment that is in **Draft** status.

### Method: Edit a Filing Amendment

1. Navigate to the filing containing the Filing Amendment you want to edit, and click the **SERFF** tab.
2. Click the **Correspondence** subtab.
3. Double-click the Filing Amendment that you want to edit.
4. Make any necessary changes. (For field descriptions, see *Creating Filing Amendments* on page 301.)

## Deleting Filing Amendments

You can delete a Filing Amendment that is in **Draft** status.

### Method: Delete a Filing Amendment

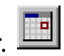
1. Navigate to the filing containing the Filing Amendment that you want to delete, click the **SERFF** tab.
2. Click the **Correspondence** subtab.
3. Select the Filing Amendment that you want to delete.
4. Press the **Delete** key or click the delete button on the Tracker toolbar.

   You are asked to confirm the deletion.
5. Click **Yes** to delete the Filing Amendment or click **No** to cancel.

## Submitting Filing Amendments

After you have completed a filing amendment, you can submit it to the state.

### Method: Submit a filing amendment

1. Click the **Perform Activity** button on the Tracker toolbar. 
2. From the list of available activities, double-click **SERFF: Submit Filing Amendment**.
3. If desired, clear the **Move to the Filing Package and Submit to SERFF** check box.

If you perform the activity but do not select **Move to the Filing Package and Submit to SERFF**, the status on the **Correspondence** tab remains as Draft but the item is not editable. In order to enable editing, you will have to first delete the related activity, which unlocks the related item on the Correspondence tab, and then go in and make changes.

4. Add an **Activity Memo** if required, and click **Perform**.
5. Read the confirmation message that displays, and click **Confirm**.

   The filing amendment is submitted.

   In the **Correspondence** tab:

   - the **Status** of the filing amendment changes to **Submitted**. (If the Tracker Monitor is busy processing other activities, the status of the filing amendment will remain **Queued** until the filing amendment has been succesfully submitted.)
   - the date the filing amendment was sent is displayed in **Date Rec'd/Sent** column.

**Note:** The SERFF status of the filing does not change after submitting a filing amendment.

## Viewing Objection Letters

If the state that you submitted your SERFF filing to finds a problem with your filing that requires further explanation or revisions, the state may send an Objection Letter (previously called a Problem Report) detailing the problems they have found.

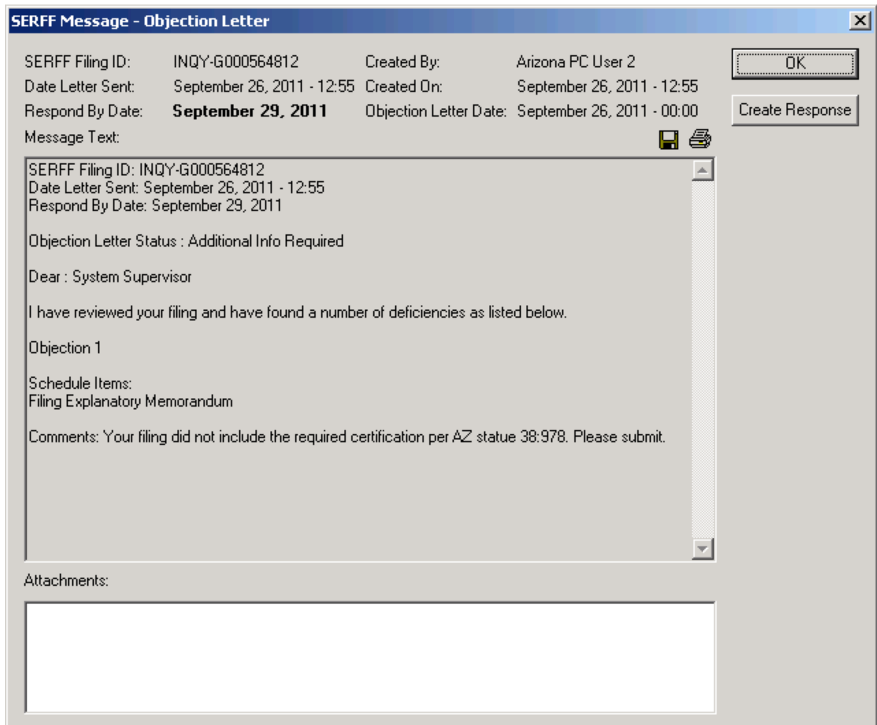
### Method: View an Objection Letter

1. To open the Objection Letter, perform *one* of the following:
   - At the Top level, click the **My SERFF Messages** tab.

- Navigate to the filing to which the Objection Letter applies, click the SERFF tab and then the Correspondence tab.
- Navigate to the filing to which the Objection Letter applies, and click the Filing Package tab.

**2.** Double-click the **Objection Letter**.

The **Objection Letter** screen opens.




The **Objection Letter** screen contains the following information:

- **SERFF Filing ID**
- **Created By**
- **Date Letter Sent**
- **Created On**
- **Respond By Date**
- **Objection Letter Date**
- **Message text** with the following information**:**
  - **Objection Letter Status**
  - Salutation line – populated by Tracker with the filing manager’s name
  - Introductory paragraph
  - Comments for objections – the actual objection comments and the schedule items to which the objection comments apply

  - Closing paragraph
  - **Reviewer Contact Info** – populated by Tracker with the names of the reviewers assigned to the filing; the **Primary Reviewer** is displayed first, followed by any other reviewers
- **Attachments**

3. When you are done reviewing the Objection Letter, click **OK** to close it.

You can respond to this objection letter by creating and submitting an *Objection Response*. See: *Working with Objection Responses* on page 308.

## Working with Objection Responses

You must use an *Objection Response to* respond to an Objection Letter.

The procedures for working with Objection Responses are:


- *Creating Objection Responses* on page 308
- *Editing Objection Responses* on page 312
- *Deleting Objection Responses* on page 312
- *Submitting Objection Responses* on page 313


### Creating Objection Responses

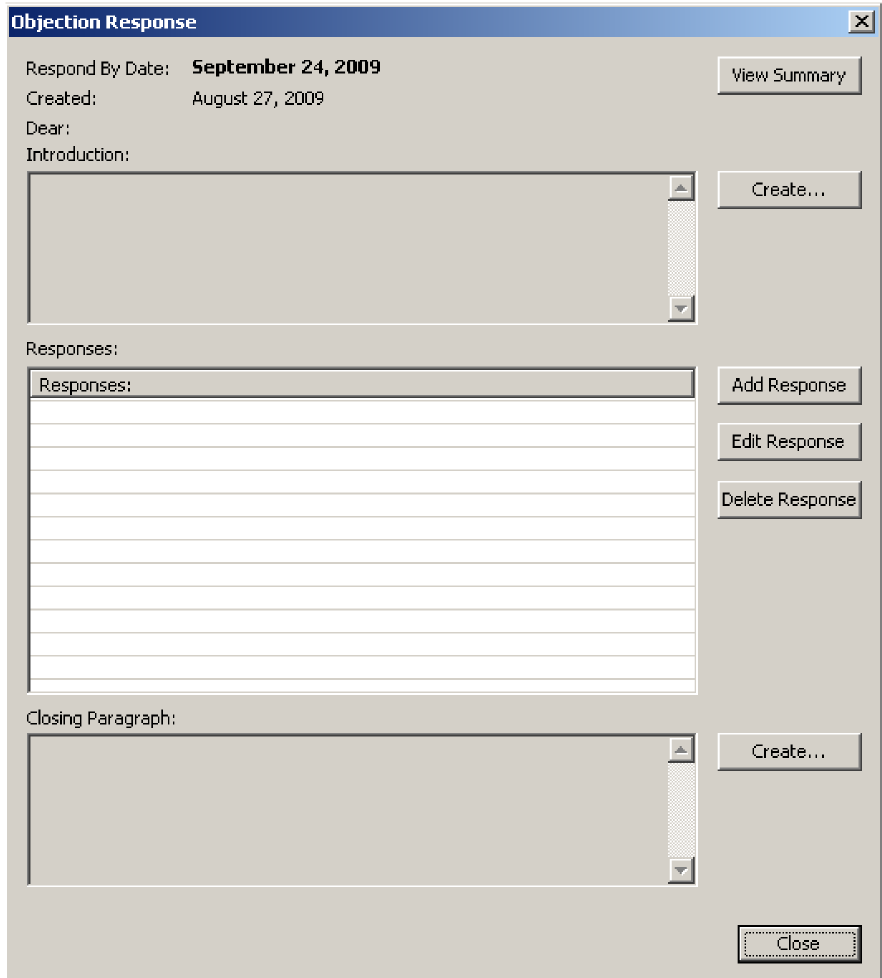
Complete the following procedure to create an Objection Response.

#### Method: Create an Objection Response

1. Navigate to the filing that contains the objection letter you want to respond to and click the **SERFF** tab.
2. Click the **Correspondence** subtab.
3. From the table, double-click the objection letter.

   The **Objection Letter** screen opens. (For more information about objection letters, see *Viewing Objection Letters* on page 323.)
4. Click **Create Response**.

   The **Objection Response** dialog displays.




The **Respond By Date** field, the **Created** field, and the name of the primary reviewer are automatically populated.

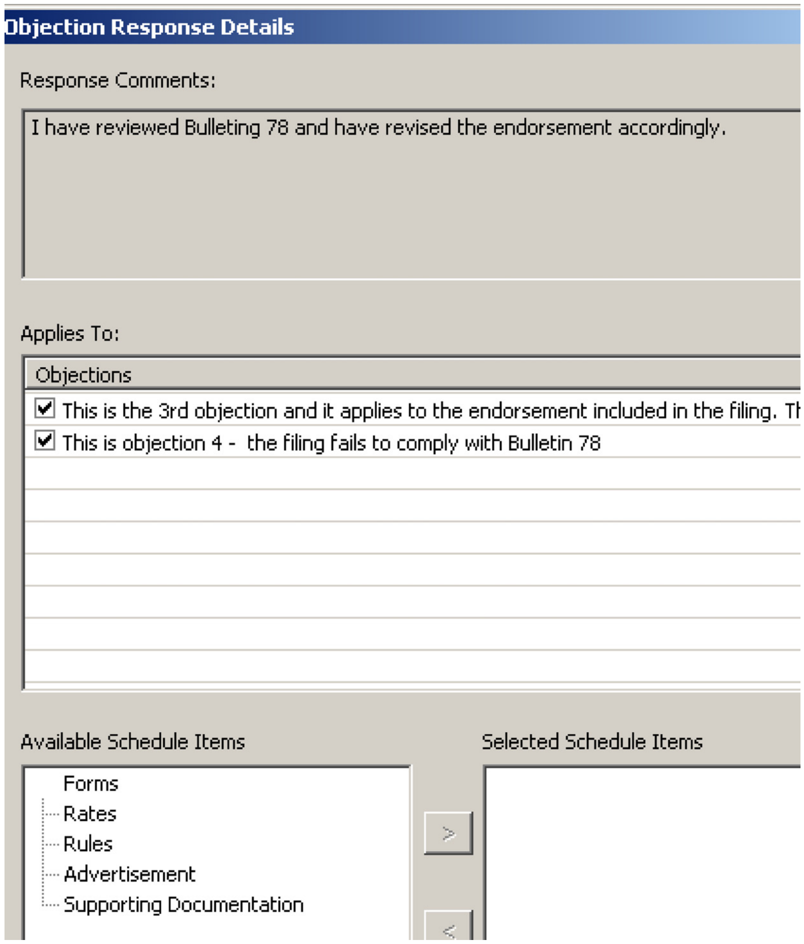
**Note:** The **Created** date for migrated filings will be blank.

5. Click **Create** (or **Edit** if you editing an existing introduction) next to the **Introductory Paragraph** box.
6. Enter an introduction for this response.
7. When you are done, click **OK**.

   The text in the **Introductory Paragraph** is saved.

   If this was a new introduction, the **Create** button changes to an **Edit** button.
8. Click **Add Response**.

   The **Objection Response Details** screen opens.




**9.** In the **Response Comments** text box, enter your response to one more objections.

**10.** The **Applies To:** section contains a grid listing each of the objections from the Objection Letter. The first three lines of the objection are displayed in the list. To see the entire objection, mouse over the objection; the full objection appears as a pop-up.

In the **Applies To:** list, select the check box for each objection to which your **Response Comments** apply.

**11.** To affiliate schedule items with this Objection Response:

**a.** In the **Available Schedule Items** list, expand an entry by clicking the plus sign (+) to the left of the name.

**b.** Double-click a specific schedule item to move it to the **Selected Scheduled Items** list. You can also use the > and < keys to move a selected schedule item from one list to the other.

**12.** When you are done, click **OK** to save your work or click **Cancel** to exit without saving.

You are returned to the **Objection Response** screen.

**13.** Repeat steps 8 to 12 to respond to the next objection.

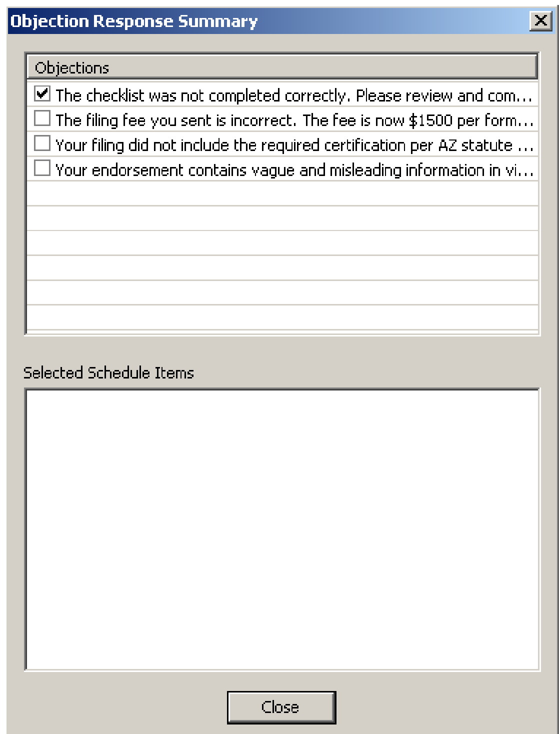
**14.** When you are done entering all your objection responses, click **OK**.

You are returned to the **Objection Response** screen.

If you want to delete an existing response, select the response, then click **Delete Response**.

**15.** You can now view a summary of your responses. On the **Objection Response** screen, click the **View Summary** button.

The **Objection Response Summary** screen opens. (The information in this screen is read-only.)




In the **Objections** section, all the objections from the state are listed. A selected check box next to an objection indicates if you created a response for that objection.

In the **Selected Schedule Items** section, a list of revised or additional schedule items associated with the objection responses also appears.

**16.** After you are done reviewing this screen, click **OK**.

You are returned to the **Objection Response** screen.

**17.** Click **Create** next to the **Closing Paragraph** box, or if this was a new closing paragraph, click **Edit**.

**18.** Enter your concluding remarks for this response.

**19.** When you are done, click **OK** to save your work.

**20.** Click **Close** to exit the **Objection Response** screen.

You are returned to the **Correspondence** tab. Your objection response is added to the table, directly below the corresponding objection letter, with a status of **Draft**.

You can now submit the Objection Response.

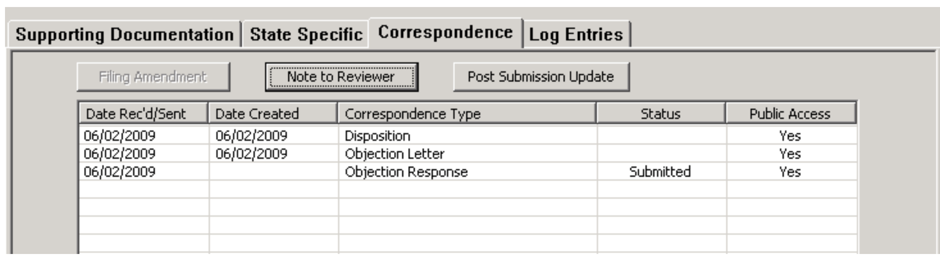
## Editing Objection Responses

You can edit an Objection Response that is in **Draft** status.

### Method: Edit an Objection Response

1. Within the filing containing the Objection Response that you want to edit, click the **SERFF** tab.
2. Click the **Correspondence** subtab.

   The **Correspondence** subtab displays.




3. Double-click the Objection Response that you want to edit.
4. Make any necessary changes. (For field descriptions, see *Creating Objection Responses* on page 308.)

## Deleting Objection Responses

You can delete an Objection Response that is in **Draft** status.

### Method: Delete an Objection Response

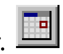
1. Within the filing containing the Objection Response that you want to delete, click the **SERFF** tab.
2. Click the **Correspondence** subtab.
3. Select the Objection Response that you want to delete.
4. Press the **Delete** key or click the delete button on the Tracker toolbar.

   You are asked to confirm the deletion.
5. Click **Yes** to delete the Objection Response or click **No** to cancel.

## Submitting Objection Responses

After creating an Objection Response and responding to *all* the objections in it, you can submit it to the state.

### Method: Submit an objection response

1. Click the **Perform Activity** button on the Tracker toolbar. 
2. From the list of available activities, double-click **SERFF: Submit Objection Response to SERFF**.

   The **SERFF: Submit Objection Response to SERFF** dialog displays.
3. Review the content of the activity. If required, enter comments in the **Memo** field.
4. Select the **Move to Filing package** check box.
5. Click **Perform** to submit the Objection Response.

   If there is more than one Objection Response in Draft status that is ready for submission, then Tracker sends them all, with the oldest Objection Response first.

   A status message for the activity is displayed.
6. Click **OK**.

The Objection Response is submitted. In the **Correspondence** tab:

- the **Status** of the Objection Response changes to **Submitted**
- the date the Objection Response was sent is displayed in **Date Rec'd/Sent** column

If you perform the activity but do not select **Move to the Filing Package and Submit to SERFF**, the status on the **Correspondence** tab remains as Draft but the item is not editable. In order to enable editing, you will have to first delete the related activity, which unlocks the related item on the Correspondence tab, and then go in and make changes.

**Notes:**

After submitting an Objection Response:

- the SERFF status of the filing changes to *Pending State Action*
- the Objection Response is added to the Filing Package tab
- the state revises the Respond By Date in SERFF and the system receives a SERFF message with the updated Respond By Date. (On the Correspondence subtab on the SERFF tab, the Respond By Date on the Objection Letter screen is also updated.)

- If the Tracker Monitor is busy processing other activities, the status of the Objection Response will remain **Queued** until the Objection Response has been succesfully submitted.

Viewing Disposition Reports

A disposition report is the only type of SERFF report available. It advises the filer of the disposition of the filing, and is generated when the state closes a filing and changes the filing's status to **Closed–**[**State Specific**].

**Method: View a disposition report**

1. Navigate to the filing with the Disposition Report and either
   - click the **SERFF** tab then the **Correspondence** subtab

   *OR*
   - click the Filing Package tab.
2. Double-click the entry with a **Correspondence Type** of **Disposition Report**.

   The report opens.
3. When you have finished reviewing the report, click **OK** to close it.

## Contents of Disposition Reports

Disposition reports may include the following information:

- **SERFF Filing ID**
- **Disposition Date**
- **Implementation Date**
- **Disposition** status – this status is unique to each state; possible values are Closed, Closed - Approved, Closed - Disapproved, Closed - Rejected, Closed - Acknowledged
- **Company Name**
- **% Indicated Change**
- **Overall Percentage Rate Impact**
- **Written Premium Change**
- **No. of Policyholders Affected**
- **Written Premium** amount
- **Comments**
- **Attachments**

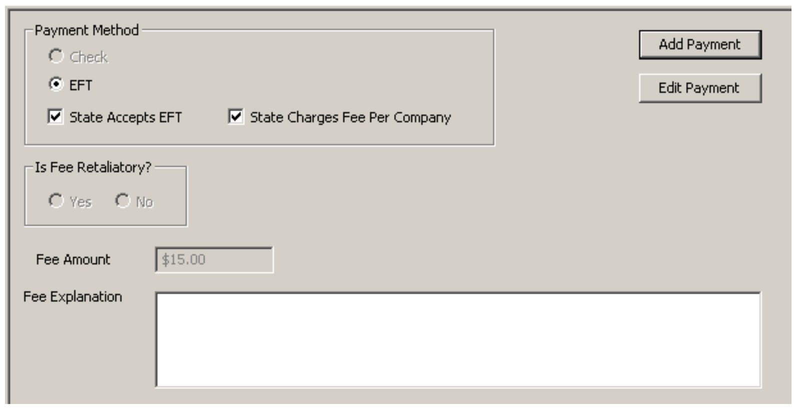
**Note:** Following a disposition report, the state may send status updates that change the the Implementation Date. You can access status updates via the Message Center."

## Submitting an Additional EFT Payment

If the state allows EFT payments and the company is set up for EFT, after a filing has been submitted with an initial check or EFT payment, the following method can be used to make additional EFT payments.

### Method: Submit an additional EFT payment

1. Navigate to the filing where you want to submit an additional EFT payment, and click the **Filing Fee** tab.

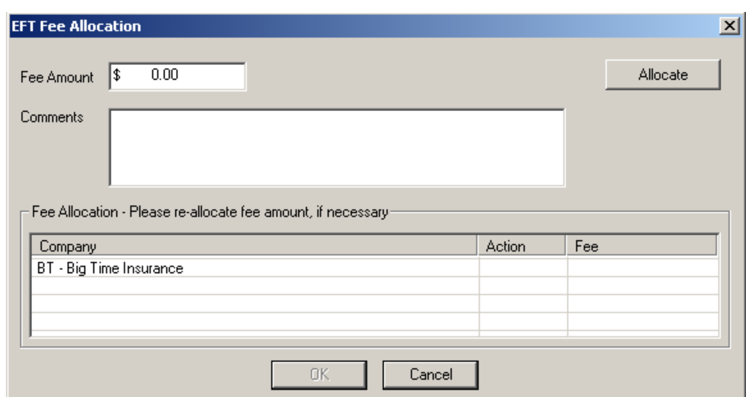



The initial payment is shown in the **Payment History Details** table.

**Note:** If the initial payment was by check, the **Check** option will also be selected. If the initial payment was by EFT, only the **EFT** option will be available.

2. Select **EFT** as the payment method, and click **Add Payment**.

   The **EFT Fee Allocation** dialog displays.




3. Enter the **Fee Amount**.
4. Enter any descriptive notes in the **Comments** field.
5. Click **Allocate**.

The fee is added to the **Fee Allocation** table at the bottom of the dialog.

**Note:** If the fee amount you enter exceeds the maximum allowed for your EFT authorization level, a message will be displayed. In this case, you will not be able to proceed with the EFT payment for this filing. You will need to contact your Tracker Administrator to continue, or you will need to have another user with the appropriate EFT authority level complete the EFT information.

6. Click **OK** to save your work.

   The filing fee you entered is displayed in the **Payment History Details** table at the bottom of the **Filing Fee** tab. (For more information about this table, see *Viewing EFT Transaction Information at the Filing Level* on page 267.)

7. Perform the activity **SERFF: Submit Additional Fee**.

   Tracker submits the additional EFT payment via SERFF

**Tip:** You can use this method if your initial payment was by check and you decide to switch to using EFT instead before you send the check. Since Tracker has no way of knowing that the initial check was not sent, you should delete the check payment manually.

# Working with Closed Filings

For a filing that has a SERFF status of Closed, you can send a Note to Reviewer, receive a Note to Filer, or in some cases, send a Post Submission Update.

- See *Working with Post Submission Updates* on page 319.

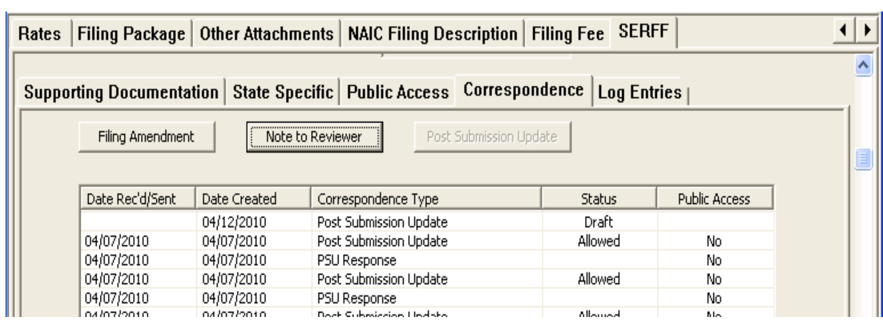
## Sending a Note to Reviewer

For a filing that has a SERFF status of Closed, you can still create and submit a Note to Reviewer, if the state allows you to. You may need to do this, for example, if:

- the state rejected the filing and you want to ask the state to reopen it
- the state closed the filing with a status of disapproved because you failed to respond to an objection letter or request within the require time frame, and you want to reopen the filing to respond
- you want to amend the implementation date

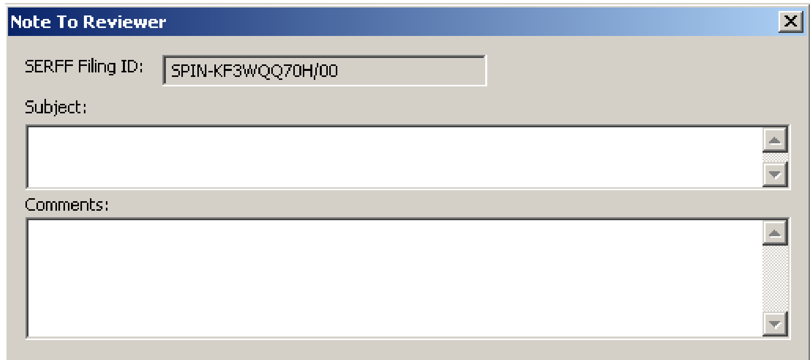
### Method: Create a Note to Reviewer on a closed filing

1. Navigate to the filing where you want to create a Note to Reviewer.
2. Click the **SERFF** tab.
3. Click the **Correspondence** subtab.




4. Click **Note to Reviewer**.

   The **Note to Reviewer** dialog displays.




**5.** Complete the **Subject** field.

**6.** Complete the **Comments** field with the information that you want to send to the state.

**7.** Click **OK** to save your changes.

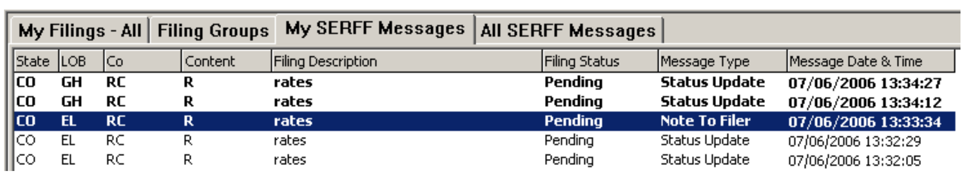
The Note to Reviewer is added to the list of **Correspondence** with a **Status** of **Draft**. It is also listed on the Filing Package tab.

To submit the Note to Reviewer, see *Submitting Notes to Reviewers* on page 293.

## Receiving a Note to Filer

For a filing that has a SERFF status of Closed or Pending, you can receive a Note to Filer from the state.

An unread Note to Filer will be displayed in bold in the **My SERFF Messages** tab, as highlighted below:




Related Topics


- *Note to Filer* on page 287
- *Managing Messages in the Message Center* on page 287

# Working with Post Submission Updates

After a filing has been submitted to SERFF, you may be able to update the submitted filing using a Post Submission Update. Each state determines if Post Submission Updates (PSUs) are allowed on open filings, on closed filings, or both.

**Related topics:**


- *Post Submission Update Button* on page 319
- *Post Submission Update Dialog* on page 319
- *Using a Post Submission Update to Add Rate Data to a Non-rate Filing* on page 326
- *SERFF: Submit Post Submission Update Activity* on page 327


## Post Submission Update Button

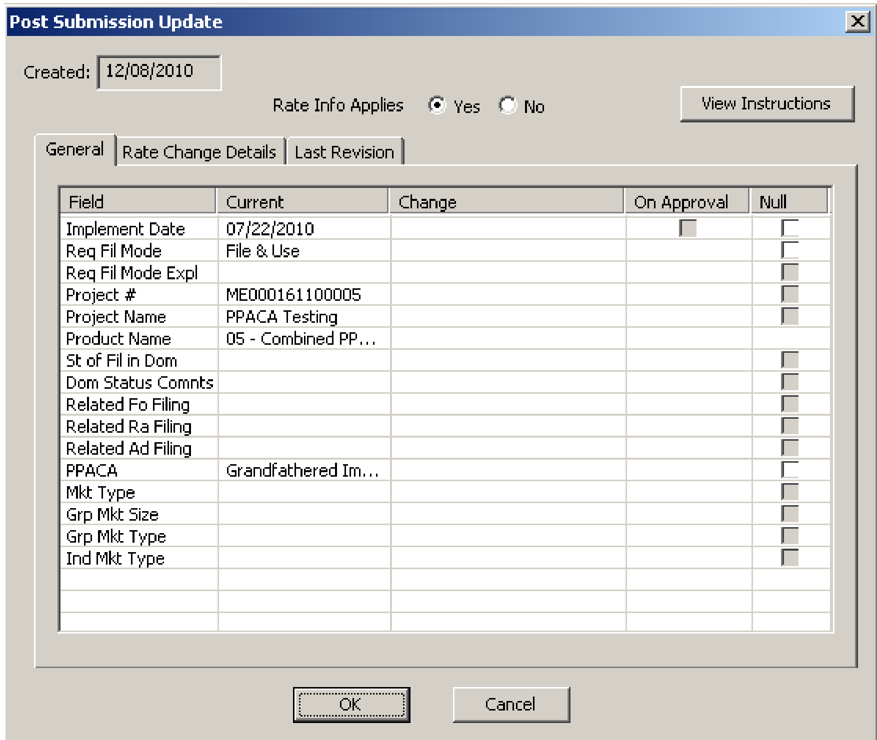
The Post Submission Update (PSU) button is displayed on the SERFF **Correspondence** subtab. This button becomes active after a successful initial filing submission. Depending on the state rules for PSUs and the status of the filing, clicking the PSU button will either open the PSU dialog or display an error message indicating that PSU are not available for this filing. The following table illustrates the effect of clicking the active Post Submission Update button:

| State support for PSUs | SERFF Filing status | Result of clicking PSU button |
|---|---|---|
| not allowed | open or closed | error message displays |
| open filings only | open | PSU dialog displays |
| open filings only | closed | error message displays |
| open and closed filings | open | PSU dialog displays |
| open and closed filings | closed | PSU dialog displays |

## Post Submission Update Dialog

The Post Submission Update dialog contains the following areas of information:

- *PSU Dialog: Header Fields*
- *PSU Dialog General Tab*
- *PSU Dialog Rate Change Details Tab*
- *PSU Dialog Last Revision Tab*




# PSU Dialog: Header Fields

### Created

The **Created** date field is auto-populated with the current date.

### Rate Info Applies

| Condition | Rate Info Applies Setting |
|---|---|
| Filing is a rate or rate combo filing | Yes (default) |
| Filing is not a rate filing and there is no rate data | No (default) |
| Filing is not a rate filing but there is rate data | Yes (default) |
| All active Null check boxes are selected for all fields on the Rate Change Details, and Last Revision tabs, and there are no values in the Change column for any of the fields | No (set by system) |

- If No is the default selection, then only the General tab is active on the Post Submission Update dialog.
- When Yes is selected or is the default selection, all tabs on the Post Submission Update dialog are active.

- When No is not the default but is selected. the following message appears:

  *This action will delete all information entered in the Rate, CG, and Last Revision tabs, are you sure you want to proceed?*

  A **Yes** button and a **No** button are displayed.

  If No is selected, the message is closed and the Rate Info Applies indicator is returned to Yes.

  If Yes is selected,

  - Any values input or selected under the Change, On Approval, or Null columns on the Rate Change Details, and Last Revision tabs are deleted as if they were never input or selected and instead, “Removed” appears for each field under the Change column.
  - All fields on the Rate Change Details, and Last Revision tabs become inactive (locked).
  - The SERFF: Submit Post Submission Update activity will display the following sentence: “Rate Information does not apply or has been removed” and will not display the Rate Change Details and Last Revision tables.
  - If the state allows this Post Submission Update, then all Rate Data fields on the filing’s Rate tabs are cleared; the Max% change (approved) and Min% change (approved) fields are emptied.

### View Instructions

When View Instructions is clicked, Tracker displays optional comments and instructions for Post Submission Updates. This is the same information that is displayed on the SERFF tab in Regulatory Specialist.

## PSU Dialog General Tab

### Field Column

Displays the name of the field for this row of the table.

### Current Column

Displays the current value for a field if one is in the database.

### Change Column

Provides a place to enter a new value for the field. Note the following:

- Requested Filing Mode Explanation cannot be changed unless “Other” or “Combination” is displayed for Requested Filing Mode in the Current column or selected as an option under the Change column.
- When a field cannot be changed, no input field will display in the Change column.

- For the PPACA field, an arrow button is displayed in the Change column. When clicked, a list of PPACA options will display. The content of this list is updated each time the button is clicked. If the selected sub-TOI is flagged by SERFF as not PPACA, no menu will display.
- When updating the Grp Mkt Type (Group Market Type) field, ensure you select all the options required, not just the additional options. When the PSU is submitted, the selections in the Change column will replace the previous value(s), not add to them.

Data can be entered in the Change column for the Related Fo(rm), Related Ra(te), and Related Ad(vertisement) fields by manually entering a related filing number or by clicking the Search button that displays when you click the cell.


The Search dialog functions identically to the Search dialog on the Related Filings section of the Filing banner. (See *Linking Related Filings* on page 185.)

Once a value is selected or input in the Change column for the Related Fo(rm), Related Ra(te), and Related Ad(vertisement) fields, this value is not locked; it can be edited.

**Tip:** When a drop-down menu is available to select a value in the Change column, you can delete an entry by selecting an empty row from the drop-down menu.

### On Approval Column

For Implementation Date, the On Approval check box is active only if “On Approval” is selected for this date on any Activity.

When selected, if there is a Date in the date input field, the Date is deleted and the date input field is disabled.

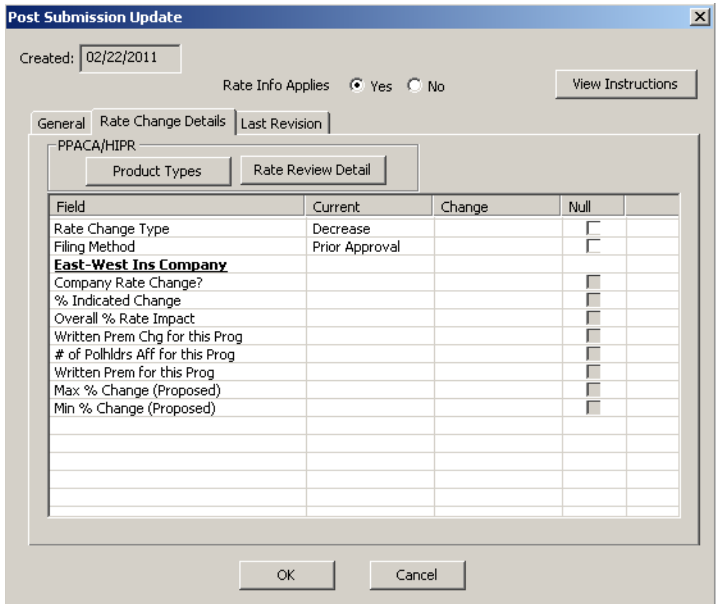
If the Post Submission Update is Allowed by the State, then “On Approval” will appear in the appropriate Tracker fields instead of a new date.

### Null Column

Unless the field is required (that is, the field cannot be empty in the database, like the Product Name), a check box will display in the Null column. To have the PSU remove the value from the field (as opposed to changing the value or leaving it as it is), select the check box.

## PSU Dialog Rate Change Details Tab

This tab appears on the Post Submission Update dialog at all times even if the filing is not a rate filing.




### Field

Displays the name of the field for this row of the table.

### Current

Displays the current value for a field if one is in the database.

### Change

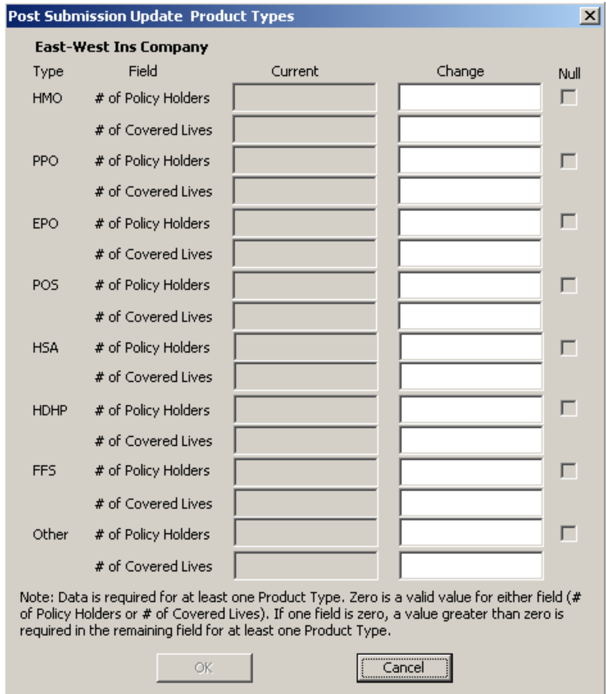
Provides a place to enter a new value for the field.

### Null Column

To have the PSU remove the value from the field (as opposed to changing the value or leaving it as it is), select the corresponding check box in this column.

### Product Types

When this button is clicked, the **Post Submission Update Product Types** dialog displays.




**Note:** Data entered on this dialog is only applicable to PPACA filings. If values entered do not conform with current NAIC regulations, a detailed message will be displayed when you attempt to submit the PSU to SERFF.

### Type

Displays the name of the product type for these two rows of the table.

### Field

For each product type there is a row for **# of Policy Holders** and a row for **# of Covered Lives**.

### Current

Displays the current value for a field if one is in the database.

### Change

Provides a place to enter a new value for the field.

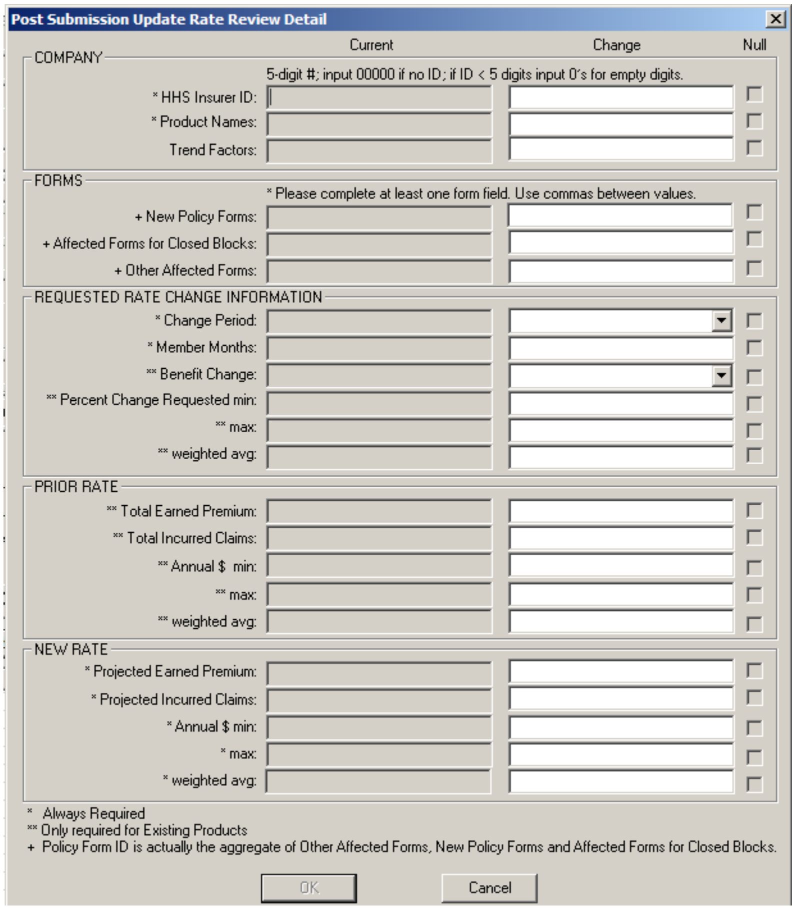
**Note:** Both values for a Product Type must be entered even if your PSU is only changing one.

### Null Column

- Unless the field cannot be changed, a check box will display in the Null column. To have the PSU remove the value from the field (as opposed to changing the value or leaving it as it is), select the check box. The **Null** check box applies to both **# of Policy Holders** and **# of Covered Lives** for that Product Type.

### Rate Review Detail

When this button is clicked, the **Post Submission Update Rate Review Detail** dialog displays.




**Note:** Data entered on this dialog is only applicable to PPACA filings. If values entered do not conform with current NAIC regulations, a detailed message will be displayed when you attempt to submit the PSU to SERFF.

### Current

Displays the current value for a field if one is in the database.

### Change

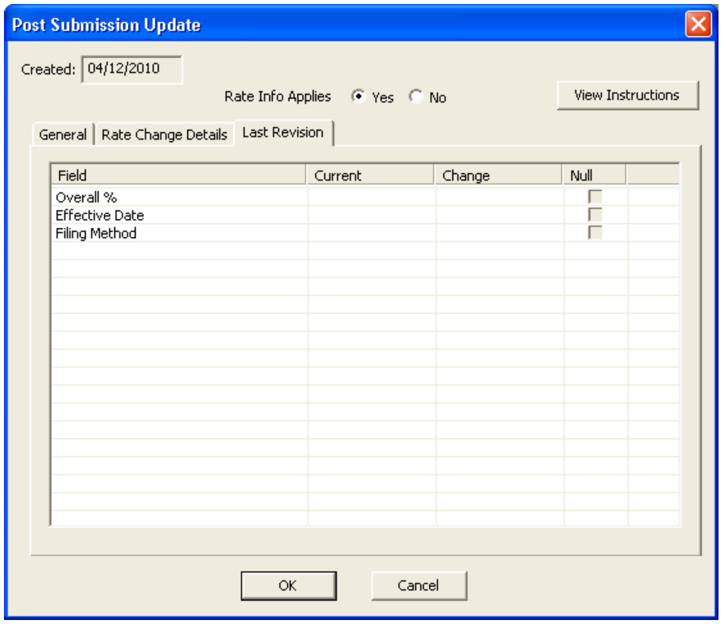
Provides a place to enter a new value for the field.

### Null Column

Unless the field cannot be changed, a check box will display in the Null column. To have the PSU remove the value from the field (as opposed to changing the value or leaving it as it is), select the check box.

## PSU Dialog Last Revision Tab

This tab appears on the Post Submission Update dialog at all times even if the filing is not a rate filing.




### Field

Displays the name of the field for this row of the table.

### Current

Displays the current value for a field if one is in the database.

### Change

Provides a place to enter a new value for the field.

### Null Column

Unless the field cannot be changed, a check box will display in the Null column. To have the PSU remove the value from the field (as opposed to changing the value or leaving it as it is), select the check box.

## Using a Post Submission Update to Add Rate Data to a Non-rate Filing

When a rate is added to a non-rate filing (for example, a form filing or a advertisement filing) *before* the initial filing submission, a Rate tab is added to the filing with all the appropriate subtabs unlocked and the rate and rate data will be part of the initial filing submission.

When a rate is added to a non-rate filing *after* initial filing submission and there has not been an Allowed PSU adding rate data to the filing, a Rate tab is added to the filing with only the Rate List subtab active. The Rate Change Details and Last Revision subtabs will be locked. The only way rate data can be added for this newly added rate is via a Post Submission Update.

If rate data is added to a non-rate filing via a Post Submission Update (before a rate was added to the filing) and the PSU is allowed by the state, the rate data will only be viewable on the PSU itself, the activity, and in Filing Summary but it will not be displayed on a Rate tab since this is not a rate filing and there is no Rate tab.

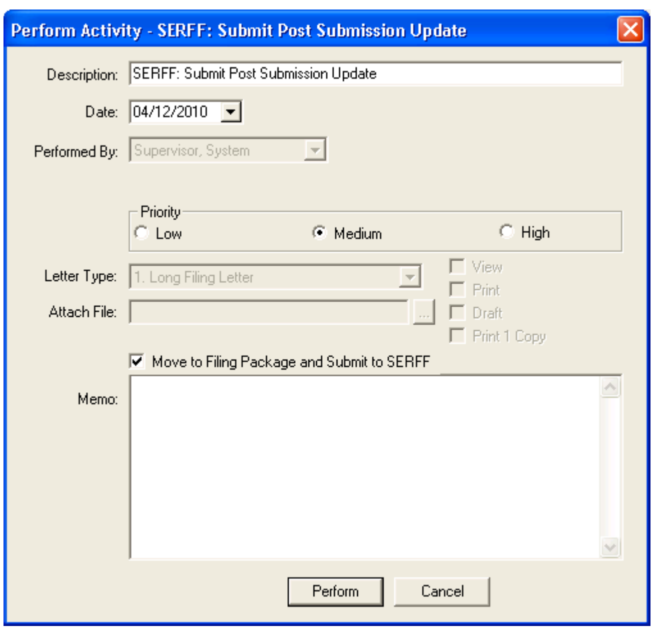
However, if a rate is then added to the filing, a Rate tab will now appear with Rate List, Rate Change Details and Last Revisions subtabs (since there is already rate data for this filing via an Allowed PSU) and the rate data from the Allowed PSU will appear on the Rate tab/subtabs. If there is more than one Allowed PSU with rate data, the rate data from the most recently Allowed PSU will be displayed.

**Note:** When the added rate is submitted via a Filing Amendment or Objection Response, only the rate schedule information is sent and not the rate data.

If rate data is added to a filing that was a non-rate filing at initial submission but a rate has since been added to the filing and the rate data is now being added via a Post Submission Update, when the PSU is allowed by the state, the rate data that was added as part of the PSU is now displayed on the Rate Change Details and Last Revision subtabs.

## SERFF: Submit Post Submission Update Activity

The SERFF: Post Submission Update activity must be performed in order to submit the PSU to SERFF. This activity can only be performed if a draft PSU has been created for the filing.



## Creating a Post Submission Update

To update a previously submitted filing, follow the steps in this method.

### Method: Create a Post Submission Update

1. Navigate to the SERFF Correspondence subtab and click **Post Submission Update**.

   The Post Submission Update (PSU) dialog displays. The Date field is autopopulated with the current date.

2. Complete the required fields in the PSU dialog and click **OK**, or click **Cancel** to end creating the PSU without saving changes.

   When OK is clicked, an entry with a status of Draft is added to the table on the SERFF Correspondence subtab.

**Note:** After creating a draft PSU, the PSU will display on the SERFF Public Access subtab. Selecting **Request Conf** for the PSU does not request confidentiality for the data attached to the PSU; the public access/confidentiality setting for the data attached to the PSU is based on what the settings currently are for the filing or the Rate fields.

3. Perform a **SERFF: Submit Post Submission Update** activity.

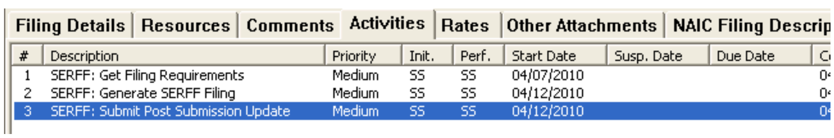
The following table describes the different statuses for a PSU:

| Status | Effect |
|---|---|
| Draft | • values have been entered in the PSU dialog and saved<br>• all fields in draft PSUs (except the Date field) can be modified by clicking the PSU button<br>• draft PSUs can be deleted by selecting the PSU in the table and clicking the Delete button on the toolbar |
| Queued | • a draft PSU has been created for the filing and the **SERFF: Submit Post Submission Update** activity has been performed, but Tracker has not completed the transfer to SERFF<br>• the PSU button is inactive |
| Submitted | • a draft PSU has been created for the filing and the **SERFF: Submit Post Submission Update** activity has been performed but no response from SERFF has been received<br>• the PSU button is inactive |

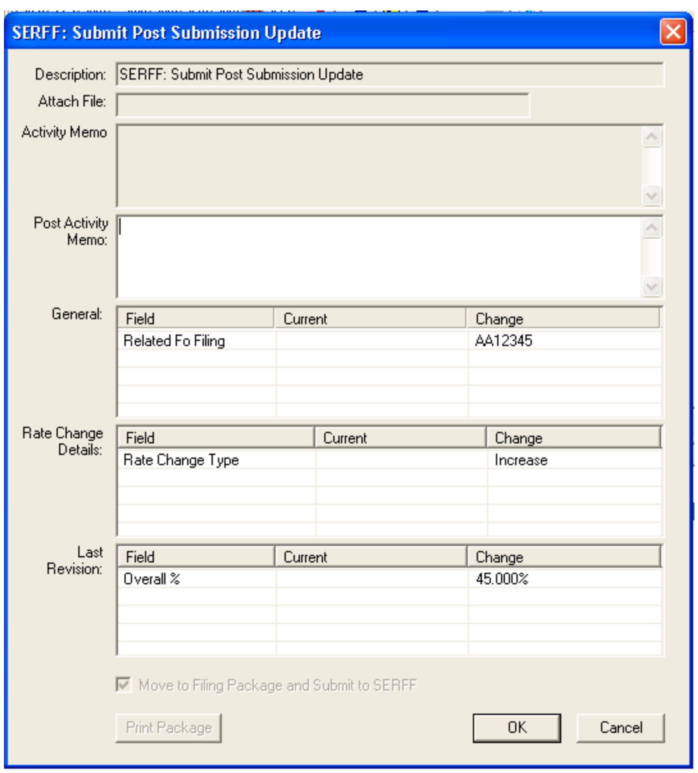
| Status | Effect |
|---|---|
| Allowed | • an Allowed response to the submitted PSU has been received from SERFF for this filing<br>• the filing has been updated with the entries from the PSU<br>• the PSU button is active |
| Disallowed | • a Disallowed response to the PSU has been received from SERFF for this filing<br>• the filing has NOT been updated with the entries from the PSU<br>• the PSU button is active |

## PSU Activity on Activities Tab

After performing the SERFF: Submit Post Submission Update Activity, an activity is added to the table of activities on the Activities tab.



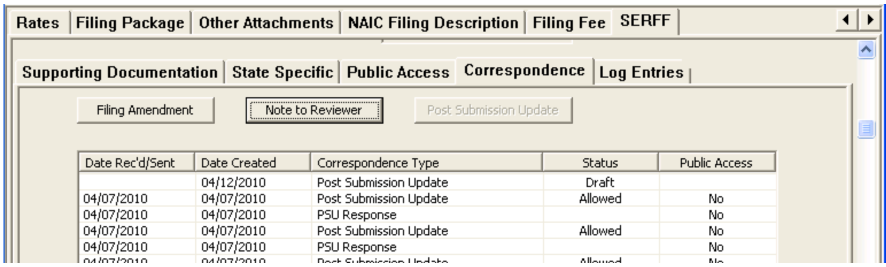

To open the activity, double-click it.



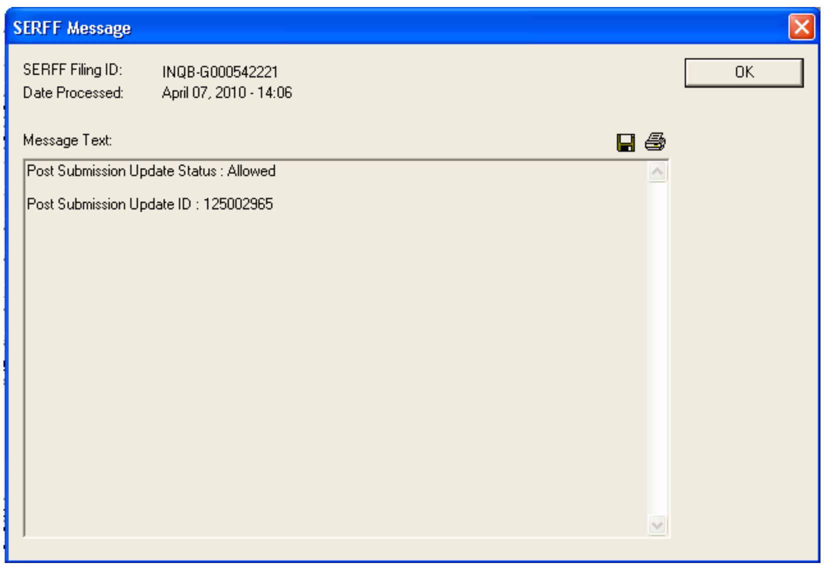

Only fields where values were changed will be displayed in the tables on the activity. If there were no values changed on a particular tab/table, the table will not appear on the activity.

## SERFF Responses to PSU

Responses to the SERFF: Submit Post Submission Update are displayed on the SERFF Correspondence subtab.

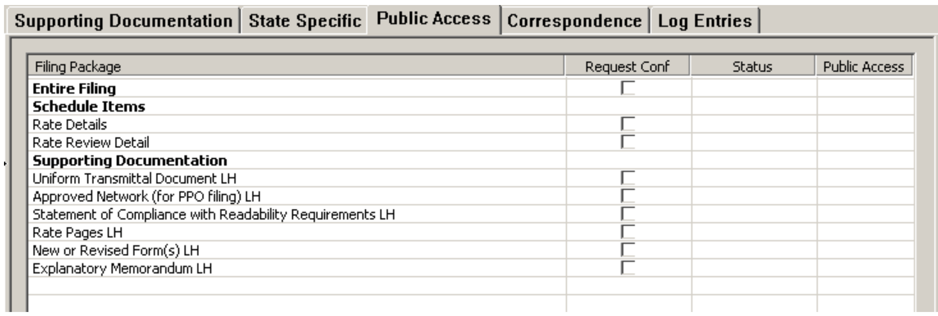



Double-click the response on the SERFF Correspondence subtab to display the details.



# Working with Public Access/Confidentiality Requests

The Public Access subtab enables you to request via SERFF that certain parts of a filing or the filing itself be kept confidential and not made available via Public Access.




**Note:** If the state does not allow confidentiality requests, this subtab will not appear.

The Public Access subtab displays the contents of a filing being submitted via SERFF in a list. The list is automatically updated if any items are removed or added to a filing. The items in the list (when present in the filing) are displayed in this order, from top to bottom:

- at the top of the list:
  - an entry called **Entire Filing**
- under the heading **Schedule Items**:
  - all forms
  - all rates, followed by Rate Details and Rate Review Detail (for HIPR-enabled states)
  - all advertisements
- under the heading **Supporting Documentation**:
  - all SERFF filing requirements (including User Added attachments) that have been satisfied or bypassed, the comments, the bypass reasons, and the attachments
- under the heading **Correspondence**:
  - all SERFF correspondence (in chronological order, with the oldest on top)

For each item in the list, there is a corresponding **Request Conf** check box, a **Status** value, and a **Public Access** value.

### Request Conf

Select the check box in the **Request Conf** column to request this item be treated as confidential by the state.

### Status

The value displayed in this column (**Accepted** or **Rejected**) indicates the result of requesting confidentiality for this item. If the state accepts the request for an item's confidentiality, the item's Status will remain at **Accepted**. If the state rejects the request for an item's confidentiality, the item's Status will be set to **Rejected**.

**Note:** Prior to submitting the filing via SERFF, when you select an item's **Request Conf** check box, the Status for the item will display Accepted. Clearing the **Request Conf** check box will clear the Status for that item.

### Public Access

The value displayed in this column will reflect the item's current public access setting from the state.

If the Status of an item is Accepted, then the item will have a value for Public Access of **N** (meaning "no Public Access," or "this item is confidential"). Likewise, an item with a status of Rejected will have a Public Access value of **Y** (meaning "this item is not confidential").

The Public Access value displayed for an item on the Public Access subtab matches the Public Access value for the item in other dialogs in Tracker.

**Note:** If Public Access for an item is changed to a **Y** for an item on the SERFF Public Access subtab, and that item is selected for confidentiality (Request Conf check box is selected) but the request for confidentiality has not yet been submitted, then the Request Conf check box is automatically deselected and a confidentiality request will not be submitted for this item.

### Entire Filing Selection

Prior to initial submission, if the Request Conf check box for Entire Filing is selected, all the items in the list become selected and their statuses becomes Accepted. (Clearing the Request Conf check box for Entire Filing clears all the check boxes and status values.)

Selecting the Entire Filing option as part of the initial filing submission and as part of a subsequent submission results in all existing items, new or revised items, and SERFF correspondence from Tracker to the state, being automatically selected for a confidentiality request, and these files cannot be deselected. SERFF correspondence from the State to Tracker—such as Note to Filer, Objection Letter, etc.—are not automatically selected for a confidentiality request. These correspondence items can be manually selected if you choose.

**Note:** The Entire Filing option is only available if the state has not set any part of the filing as public (that is, the Public Access indicator for all items is either blank or N).

When the Request Conf check box for Entire Filing is selected and submitted to SERFF, the state considers the Entire Filing item separate from the items. This means that there are several possible outcomes:

| Request Conf Submitted | Status | Public Access |
|---|---|---|
| Entire Filing | Entire Filing Item: Accepted<br>All Other Items: Accepted | Entire Filing: N<br>All Other Items: N |
| Entire Filing | Entire Filing Item: Rejected<br>All Other Items: Accepted | Entire Filing: Y<br>All Other Items: N |
| Entire Filing | Entire Filing Item: Rejected<br>Some Items: Rejected<br>Some Items: Accepted | Entire Filing: Y<br>Rejected Items: Y<br>Accepted Items: N |

**Tip:** When the state sets Public Access on the Entire Filing item, it is only referring to general filing information not covered by the various other items (that is, filing fees, product info, etc.).

## Public Access/Confidentiality Requests After Filing Submission

After the initial filing submission, you can request confidentiality for any items not previously selected and submitted, or any items where Public Access is blank or **N**, by selecting Request Conf for the item(s) and performing a SERFF: Submit Confidentiality Request activity.

When the SERFF: Submit Confidentiality Request activity is run, confidentiality is requested for items that are newly selected for Confidentiality on the SERFF Public Access subtab. However, any items in draft status (that is, Objection Response, PSU, etc.) and any schedule item added or revised but not yet submitted (for example, a revised Form) where confidentiality has been selected, will not be submitted as part of this Confidentiality Request.

For example, an NTR is submitted but confidentiality is not requested on the NTR when submitted. A PSU is then created and is in Draft status. On the SERFF Public Access subtab, the NTR and the PSU in Draft status are both selected for confidentiality. Then the SERFF: Submit Confidentiality Request activity is run. Confidentiality will only be requested for the NTR and not the PSU in Draft status. Confidentiality for the PSU in Draft status will be requested when the SERFF: Submit Post Submission Update activity is run.

After filing submission, SERFF Correspondence items will be displayed at the bottom of the list on the Public Access tab.

When submitting a Post Submission Update, the Public Access status of the PSU itself is displayed; the Public Access status of the data attached to the PSU is based on what the settings currently are for the filing or rate fields.

The attachments for Objection Responses and Filing Amendments appear separately in the list and have their own Confidentiality Request settings and indicators.

### Public Access Settings

Public Access settings are locked and cannot be changed on items where confidentiality was requested and submitted, or where Public Access has been set to Y by the state.

Public Access settings are also locked for the entire filing or any of its parts once the filing has a SERFF status of Closed. However, if the filing is re-opened by the state, the SERFF status is no longer Closed, so any items locked as a result of the filing being Closed are now unlocked and confidentiality can be requested for these items. This includes the Disposition that originally closed the filing and any Notes to Reviewer sent while the filing was closed.

### Revisions and Correspondence Items

If the Entire Filing option was selected before any submission, as part of the initial filing submission, or as part of a subsequent submission, all items on the SERFF Public Access subtab, including existing items as well as new or revised items, will automatically be selected for a confidentiality request, and cannot be deselected. Correspondence from the state is the only exception to this rule. A Note to Filer, Objection Letter, and Disposition are not automatically selected for a confidentiality request. These items can either be manually selected or not selected at all. The Objection Response, however, will be automatically selected for a confidentiality request, and cannot be deselected.

If the Entire Filing option *was not* selected, if any of the items listed on the Public Access subtab are revised, the revised items will appear directly beneath the “parent” item. Revised items inherit the confidentiality settings of their “parents,” but these values are unlocked and can be changed if desired. Thus, even if an item has Public Access set to **Y**, a Confidentiality request can be submitted for revision to that item.

After a revised item is submitted via SERFF, the public access indicators all throughout Tracker (including the Public Access tab) for this revised item are no longer tied to the parent item, and its public access status is completely separate from its parent’s.

# Filing Summary for SERFF Filings

The Filing Summary is an excellent way to generate a comprehensive snapshot for SERFF filings. (For information on Filing Summary for paper filings, see *Filing Summary for Paper Filings* on page 406.)

There are two parts of the Filing Summary that can be optionally displayed and printed: Filing Details, and Filing Correspondence.

This section contains:



## Filing Detail (SERFF Filings)

The Filing Detail part of the Filing Summary displays detailed information about the selected filing. The SERFF Filing Details tab displays most of this information.

In the header:

- SERFF Tracking Number
- State
- Filing Company
- State Tracking Number
- Tracker Filing ID or Company Reference #
- TOI
- Sub-TOI
- Product Name (based on what was sent to SERFF or is in the Product Name field at the time the Filing Summary is generated)
- Project Name/Number (based on what was sent to SERFF or is in the Project Name/Number field at the time the Filing Summary is generated)

In the Filing Overview section:

- Company Name and Company Code
- Product Name (based on what was sent to SERFF or is in the Product Name field at the time the Filing Summary is generated)
- SERFF Tracking ID
- State
- TOI - include numbering & TOI name
- SERFF Status
- State Tracking Number

- Sub-TOI
- Tracker Filing ID or Company Reference #
- State Status
- Filing Type (based on what is selected when TOI/SubTOI selection made)
- Tracker Status
- Reviewer(s)
- Author (based on the Filing Manager)
- Disposition Date
- Date Submitted (date successfully submitted filing via SERFF)
- Disposition Status
- Approved Effective Date (based on the Implementation Date that comes from SERFF)
- Implementation Date (based on the Implementation Date on the Filing Details tab)
- PPACA

In the General Information section:

- Project Name (based on what was sent to SERFF or is in the Project Name field at the time the Filing Summary is generated)
- Status of Filing in Domicile
- Project Number (base on what was sent to SERFF or is in the Project Number field at the time the Filing Summary is generated)
- Date Approved in Domicile
- Requested Filing Mode (based on what was sent to SERFF or what was in the Requested Filing Mode field at the time the Filing Summary is generated)
- Domicile Status Comments
- Explanation for Combination/Other (based on what was sent to SERFF or what was in the Explanation for Combination/Other field at the time the Filing Summary is generated)
- Market Type (based on what was sent to SERFF or what was in the Market Type field at the time the Filing Summary is generated)
- Submission Type (based on what was sent to SERFF or what was in the Submission Type field at the time the Filing Summary is generated)
- Group Market Size (based on what was sent to SERFF or what was in the Group Market Size field at the time the Filing Summary is generated)
- Overall Rate Impact
- Group Market Type
- SERFF Status Changed (date)

- State Status Changed (date)
- Deemer Date
- Tracker Status Changed (date)
- Related Filing ID (number and type)
- NAIC Filing Description

In the Company and Contact section:

- Filing Contact Information:
  - Filing Manager Name
  - Filing Manager Title
  - Filing Manager Email Address
  - Filing Manager Address
  - Filing Manger Phone Number
  - Filing Manager Fax Number
- Filing Company Information:
  - Company Name
  - NAIC Company Code
  - State of Domicile
  - Company Address
  - NAIC Group Code
  - Company Type
  - Group Name
  - State ID Number
  - Company Phone Number
  - FEIN Number

In the Filing Fees section, these fields display if required:

- Fee Required
- Fee Amount
- Retaliatory
- Fee Explanation
- Per Company
- Check Number
- Check Amount
- Check Date
- Company

- Amount
- Date Processed
- Transaction #

In the State Specific section:

- State Specific information

## Filing Correspondence

The Filing Correspondence section of a Filing Summary contains two parts: the **Summary** part, and the **Filing Correspondence Details** part.

The **Summary** part contains five sections:

1. Filing Correspondence
   - Filing Correspondence Description
   - SERFF Filing ID
   - Date
2. Supporting Documentation
   - Requirement
   - Status
   - Rev
   - Document Name(s)/Comments/Bypass Reason
   - State Status
3. Public Access
   - Public Access
   - Filing Package
   - Request Conf
   - Status
4. SERFF Form Schedule
5. SERFF Rate/Rule Schedule

The SERFF Rate/Rule Schedule includes the PPACA Product Types table, and the the values for the HIPR fields from the Rate Review Detail table.

The **Filing Correspondence Details** part contains the detail for each activity listed in the above Summary. Each activity's detail is followed by the attachment from the activity's Attach File field (if present), then the rest of the activity's attachments (documents).

## Generating a Filing Summary

Any user can generate a Filing Summary by following these steps.

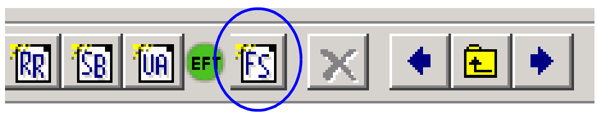
### Method: Generate a Filing Summary

1. To generate a Filing Summary for one filing, navigate to the Filing level for the desired filing.

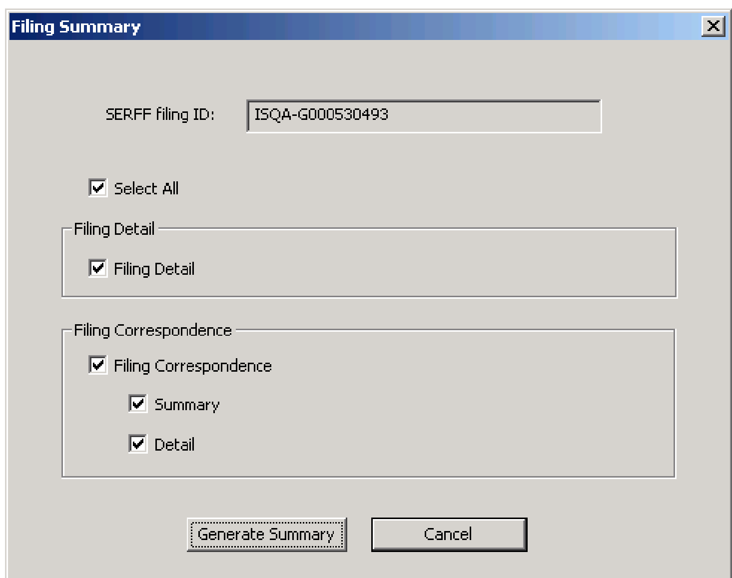
   *OR*

   To generate a Filing Summary for multiple filings in a filing group, navigate to the Filing Group level for the desired filing group and multi-select the desired filings.

2. Click the Filing Summary button on the tool bar.




   The **Filing Summary** dialog displays.




3. Select the desired options for the Filing Summary. At least one option must be selected.

4. Click **Generate Summary**.

**Note:** If this is the first time you are generating a Filing Summary, Adobe Reader may display a warning message. Select the appropriate action and click **OK**.

The system generates and opens the PDF documents (one for each filing selected).

# Chapter 9

# Understanding Filing Letters

This chapter deals with letters in Tracker and how to work with them.

A filing letter is composed of a number of elements. Most of them are generated automatically by the Tracker system. You must enter additional information during the filing preparation process.

Before creating a filing letter, you should have finished entering all the rate, advertisement, and form information for the filing, and all filing comments (see *The Comments Tab* on page 205 for details). If, after creating and previewing the letter, you become aware of missing elements or discrepancies, you can go back to the filing, make any necessary changes or additions, and generate the letter again.

This chapter describes:

# Available Letter Types

The following types of filing letter are described:


- *Long Filing Letter* on page 342
- *Alternate Long Filing Letter* on page 342
- *Short Filing Letter* on page 342
- *Follow-Up Filing Letter* on page 342
- *Correspondence Letter* on page 342
- *Withdrawal Letter* on page 342
- *Objection Letter* on page 343


## Long Filing Letter

The long filing letter is lengthy and comprehensive. It is used for the initial filings.

## Alternate Long Filing Letter

The alternate long filing letter is a slightly different version of the long version described above.

**Note:** When you begin using Tracker, experiment with the letter generation function and generate samples of each so that you become familiar with each of the various letter formats, and can use the letter that suits your needs best for each filing situation.

## Short Filing Letter

The short filing letter is short and to the point. It is used for simpler filings, such as informational filings.

## Follow-Up Filing Letter

The follow-up letter is a form letter used to follow-up on outstanding filings.

## Correspondence Letter

The correspondence letter is used for communicating with State Departments of Insurance regarding filings that have already been submitted and are pending approval.

## Withdrawal Letter

The withdrawal letter is used for indicating to a State Department of Insurance regarding that you want to withdraw a previously submitted filing.

## Objection Letter

The objection letter is used to reply to a State Department of Insurance following the receipt of an objection about a submitted filing.

# Filing Letter Comments

Depending on what has been specified in your filing, you may need to enter some of the following comment information as part of the filing letter creation process.

- **General Forms Comment**

  Use this comment to make a statement about the forms and endorsements included in the filing.

- **Rule Comments**

  Use this comment to make a statement about the rules included in the filing.

- **Rate Comments**

  Use this comment to make a statement about the rates included in the filing.

- **General Closing**

  You can include a general closing statement in your filing letter to summarize comments made in the body of the letter or to add information such as an appeal for fast approval. This statement precedes the final statement in the letter. The final statement, which includes your phone number, is generated automatically.

- **Certification of Compliance**

  Use this comment section to enter a Certification of Compliance statement if required. Certification statements are state-specific. Your submission may or may not require that one be included in a filing letter. Even if one is not required, you may decide to include a certification statement as an assertion that the letter is in compliance with state regulations and laws.

- **Attachment**

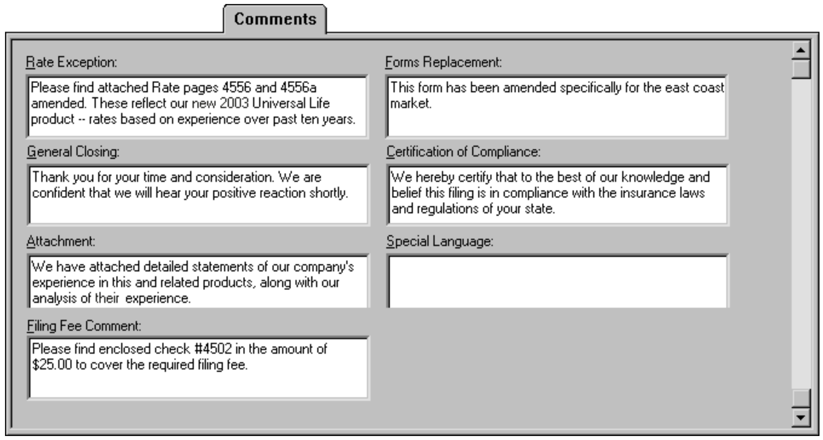
  Use this comment section to list any attachments that are being included with this filing, such as special exhibits, actuarial displays, filing memorandums, and so on

- **Filing Fee Comment**

  Use this comment section to note whether a filing fee accompanies the filing, and if so, in what form and amount. Many states require that a fee accompany each filing submission; this information can be found in the SERFF General Instructions in the Regulatory Specialist section of your Tracker system.

- **Special Language**

  Use this comment section to enter any state-specific or state-required language. Examples are specific legal text, or text that needs to be translated into a language other than English to meet state filing requirements.



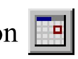

**Note:** See *The Comments Tab* on page 205 for more information.

## Creating Letters

You should ensure that all rate, advertisement, and form information and all filing letter comments (see *The Comments Tab* on page 205 for details) have been completed in the filing record before generating the filing letter.

**Note:** Filing letters will usually be generated as part of the Generate Complete Filing activity, so it is not required that the Generate Letter activity be performed before the Generate Complete Filing activity.

### Method: Create a letter

1. Navigate to the filing where you want to create a letter.
2. Click the **Perform Activity** toolbar button  to open the **Activity List** box.
3. Select the **Generate Letter** activity (or another of the letter-generating activities; see *Standard Tracker Activities* on page 212 for details).
4. Click **Perform** to open the related new Perform Activity dialog box.
5. Enter information in the applicable fields:
   - Use the **Description** field to enter a brief description of the activity (such as “draft long filing letter”).
   - The **Date** field will automatically be filled in with today’s date.
   - The **Performed By** field will automatically be filled in with your name.
   - Indicate the **Priority** of the activity by clicking in one of the **Low**, **Medium**, or **High** selection buttons (the default priority is **Medium**).
   - Select the required **Letter Type** from the drop-down list to the right of the field.
   - Click or un-click the **View**, **Print**, **Draft**, and **Print One Copy** checkboxes as required.

     If you check the **View** checkbox, the generated letter will be presented in a native application (such as Microsoft Word) window for viewing (you may then use Word’s print command to print the letter, if desired).

     If the **Print** checkbox is checked, the letter will automatically be printed following generation.

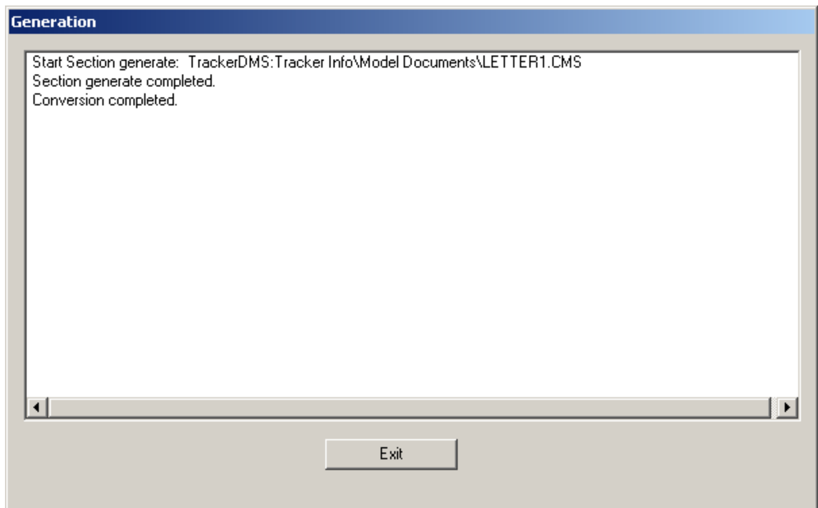
     If you check the **Draft** checkbox, the letter will be generated, but will not be saved for future viewing in the activity record.

     If you check the **Print One Copy** box, only one copy of each document in the letter will be printed.

Use the **View/Draft** check combination to generate and preview draft filing letters. If you want to generate and save a letter, and have it generate and print as part of the final Complete Filing generation, make sure that you un-check the **Draft** option.

Generated (non-draft) letters will be saved, and will be accessible later from the activity detail record.

**6.** Click **Perform**. The filing letter is generated. During the generation process, a Document Generation window appears, tracking the generation in progress.




**7.** The document will then open in Microsoft Word (if specified). Here you can view and print the filing letter, as required.

**Warning:** **Editing a Filing Letter:** Changes made to a generated letter in Microsoft Word will not be saved, and will not appear in any final generation of the complete filing.

If you want to make changes to a generated letter, do so while the word processor window is open and then select Save As from the File menu to save the changed letter document file to a location on your hard drive or system.You can then replace the letter in the Edit Activity window. Click **Replace** and choose the file.

**8.** If it is open, close the Microsoft Word document window.

**9.** Click **OK** to finish.

The activity will be saved and listed on the filing's **Activity** tab. The letter will remain available via the corresponding activity detail record.

# Chapter 10

# Working with publication

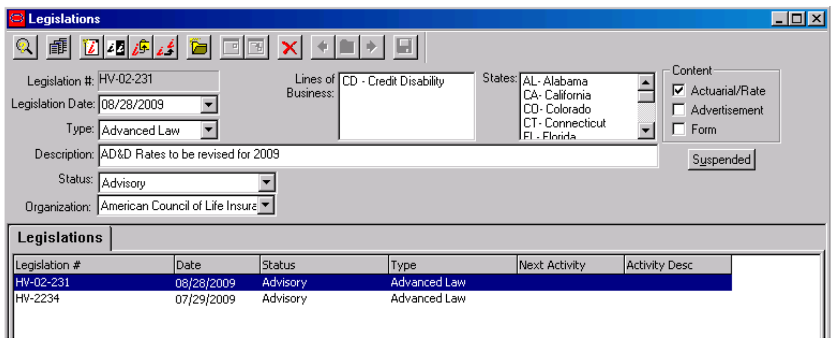
In Tracker, the term *publication* refers to all bulletins, circulars and legislative documents issued by state insurance departments, whether provided directly from the state or through trade organizations such as the HIAA (Health Insurance Association of America) or the ACLI (American Council on Life Insurance).

This chapter introduces you to the Tracker publication tracking function, and describes how to enter new publication into the system, and how to work with them to create filings and monitor your filing processes.

This chapter describes:

# The Main publication List Window

The **Main publication** list window is your access point to all the publication currently in your Tracker system. This screen is composed of two main elements: a publication tab listing all the publication in the system, and a publication header.




**Note:** To access the **publication** list window, on the menu bar, select **View > publication**.

When a publication record listed on the **publication** tab is selected or highlighted, basic information relevant to that publication appears in the upper field header. This provides you with a quick method of browsing through and viewing information pertaining to the publication in your system.

You can browse through the other **publication** details records in the system by going to any one record and going back and forward through the records using the **Back** and **Forward** buttons.

From the main **publication** list window, you can access detailed information about any single publication record in the system by double-clicking on that publication on the **publication** tab.

**Note:** See also *The publication Details Tab* on page 354.

This chapter also describes:

- *Adding New publication Records* on page 352

### The Suspended Button

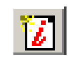
At the Filing Group level and on the publication list window, a **Suspended** button appears on the right-hand side of the screen above the tabs. It is used to show only those records having a future dated (or **Suspended**) activity associated with them. This helpful feature allows you to view only those records which require your immediate attention, rather than having to sift through hundreds or thousands of records to find the ones you want.

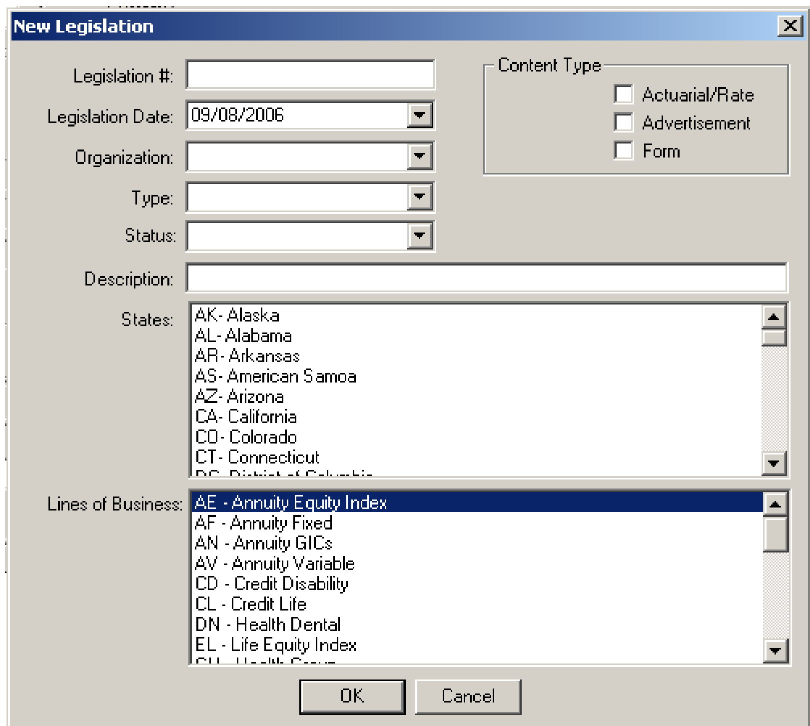
The **Suspended** button is activated if it is depressed (so that it appear to be pushed in). It can be activated or inactivated by clicking on it with your mouse (one click, another click off). When you log in to Tracker, or access the filing group or publication sections of the system, the **Suspended** button is always activated by default. You will need to remember to check it, and unclick it (deactivate it) when you are at these levels if you want to see any newly added or non-suspended records in the system.

# Adding New publication Records

The following method describes how to add new publication records

### Method: Add a new publication record

1. At the Top, Filing Group, or Filing level, select **Insert > publication** from the menu bar, or click the publication button on the Tracker toolbar.  The **New publication** dialog displays.




2. On the **New publication** dialog, enter the following information:
   - The **publication Number**
   - The **publication Date** (the date on which the publication was issued)
   - The **Organization** that issued the publication
   - The filing **Content Type** to which the publication applies (Actuarial/ Rate, Advertisement, or Form)
   - The **Type** of publication (Advanced Law, Premium Comparison, Statistical Plan)
   - The **Status** of the publication (Administrative, Advisory, Approved, Filed, To Be Effective)
   - The **Line of Business** to which the publication applies

- A brief **Description** of the publication
- The **State(s)** for which the publication applies. Note that the **States** field allows the selection of multiple states.

3. When finished, click **OK**.

   The new publication will be added to your **publication** list window, and a related **publication** Details record will now be available.

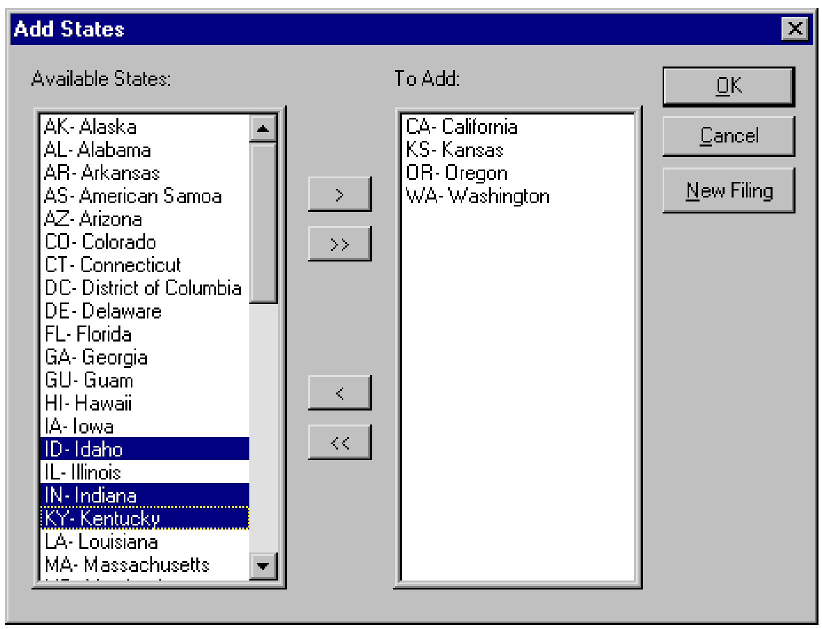
## Adding (Removing) States for an Existing publication

The following method describes how to add or remove states for an existing publication.

### Method: Add or remove states for an existing publication

1. On the **publication Details** main screen, select **Insert > Edit States**.

   The **Add States** dialog displays.




2. From the **Available States** list field, select the states which you want to add to this publication, using the left and right **Move/Move All** buttons.

   *OR*

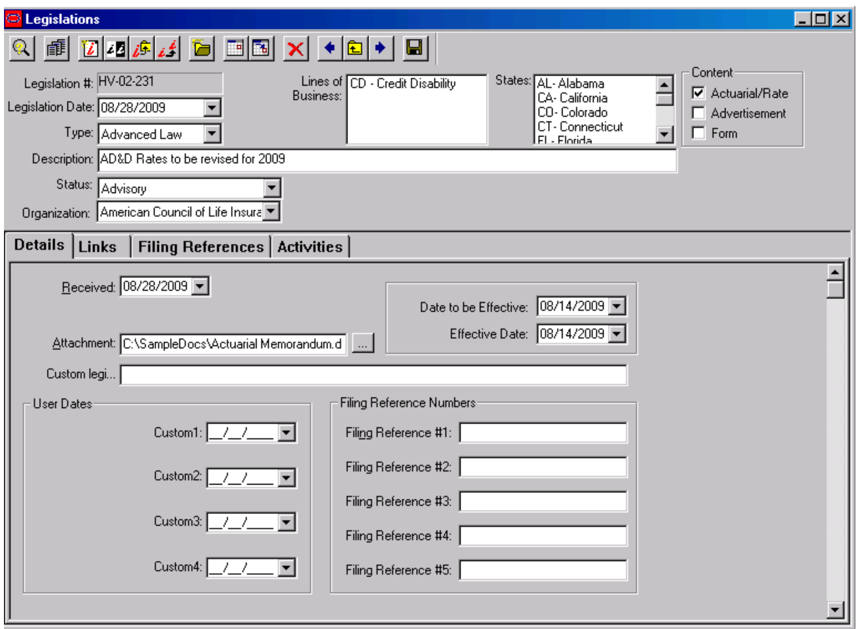
   From the **To Add** list field, select the states which you want to remove from this publication, using the directional move buttons.

3. Click **OK** to close the dialog box and save your changes.

# The publication Record

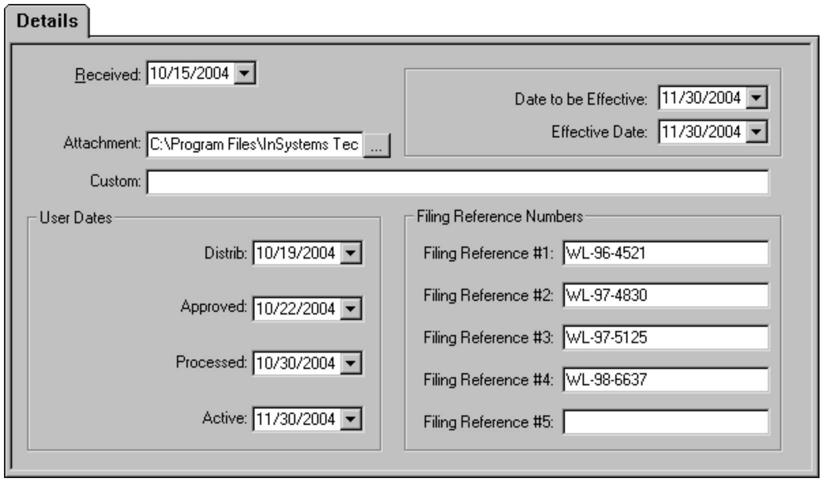
There is a detailed **publication** dialog for every publication record in your Tracker system. Each of these dialogs have four tabs:

- **Details**, with a set of detailed information about the publication record. See *The publication Details Tab* on page 354.
- **Links**, with a list of other/previous publication in Tracker linked to this publication. See *The publication Links Tab* on page 355.
- **Filing References**, with a list of **Filing References** (linking this publication to its resultant filings.) See *The publication Filing References Tab* on page 356.
- **Activities**, with a list of activities performed in relation to this particular publication record. See *The publication Activities Tab* on page 357.




## The publication Details Tab

The **publication Details** tab contains fields where detailed information regarding the publication can be stored.




## Entering and Editing publication Detail Information

The following information can be added or changed at any time following the creation of the publication record:

- The **Received Date** indicating the date on which your company received the publication.
- The **Rate Effective Percent** as prescribed by the publication.
- An **Attachment** pertinent to the publication (such as an electronic version of the actual publication). You can type in the desired path (to a maximum of 255 characters), or browse (using the ... button) to select the path of the attachment. After specifying a path you can later double-click in the attachment field to open the attached document.
- The **Advisory Organization's Proposed Effective Date** for the contents of the publication.
- The **Advisory Organization's Approved Effective Date** for the contents of the publication.
- Four custom **User Date** fields, which can be customized to suit the needs of your company. See *Performing Custom Table Tasks* on page 78 for details.
- Five **Advisory Organization Numbers**.

**Note:** Click the **Save** button when you have finished adding or editing the publication detail information to ensure that your information is saved.

## The publication Links Tab

The Links tab lists publication records which have been linked to the current publication. publication records are generally linked if they are strongly related, have a bearing on one another, or are parts of a series of publication records (a new publication which replaces an old one would be linked to its predecessor).

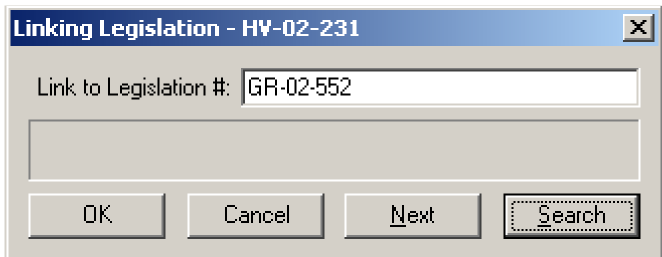
## Adding a publication Link

To create a link between one publication record and another publication record in the system, use the following method.

### Method: Add a publication link

1. Open the detailed dialog for the **publication** where you want to create a link and click **Insert > Add New Link**.

   The Linking **publication** dialog displays.




2. In the **Link to publication #** field, enter the publication number of the publication to which you want to link, or click **Search** to search for the desired publication number in the system.
3. Click **Next** to open a new **Link publication** dialog box if you want to link another publication to the current one,

   *OR*

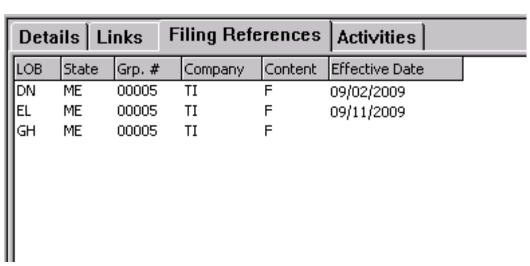
   Click **OK** to finish.

   All specified links will be created and the dialog closes.

## The publication Filing References Tab

The Filing References tab lists all of the filings which have been created from, or in reference to, this publication. From here, you can access the filing details for each filing listed.

**Note:** Any filings that are linked to a publication will automatically be listed on the **Filing References** tab.




A filing referenced by a publication can be displayed by locating the filing on the **Filing References** tab, and double-clicking it. The filing's dialog displays.

## The publication Activities Tab

In the Tracker system, an activity is any action related to or performed upon a filing group, filing, or publication record. This can be anything: from the creation of a memo or a note to yourself; the recording of a phone call to or from a state insurance department; or the generation of a filing. All can be recorded and kept as a history within the activity function. The publication level activity functions are composed primarily of passive, information tracking and communication activities.

For complete instructions about performing, posting, and working with the Tracker Activity function, please see *Working with Activities* on page 209.

The publication level **Activities** tab lists all activities that have been performed upon (or are pending performance upon) this publication record. From this tab you can access the activity details for any of the activities listed.

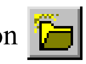
Activities

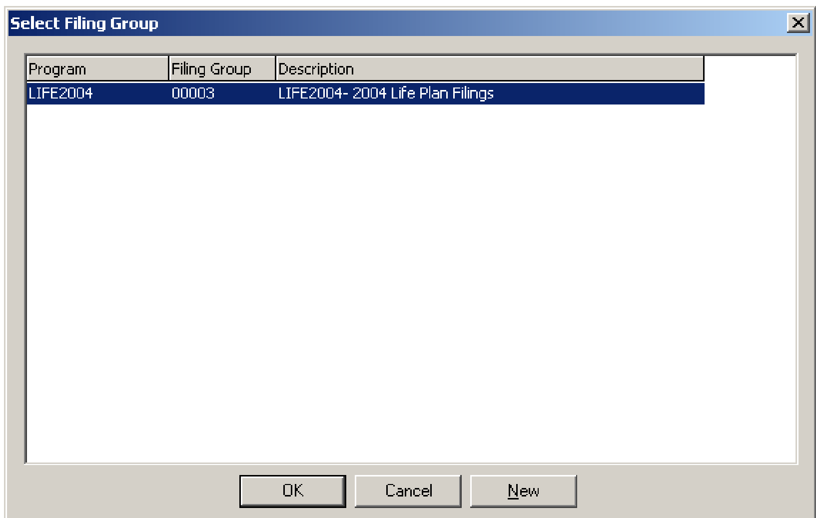
| # | Description | Priority | Init. | Perf. | Start Date | Susp. Date | Due Date | Compl. Date | Status | # of Docs |
|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Instructions for Publication | Medium | KR | KR | 11/14/2002 | | | 11/14/2002 | Completed | 1 |
| 2 | Inter-Department Request | Medium | KR | KR | 11/14/2002 | | 11/21/2002 | | Pending | 0 |

# Creating a New Filing from a publication Record

You can create a new filing or filings directly from within a **publication** dialog. When a filing is created this way, Tracker automatically adds that filing to the publication's Filing References tab, and adds the publication record to the new filing's **publication** tab.

## Method: Create a new filing from a publication

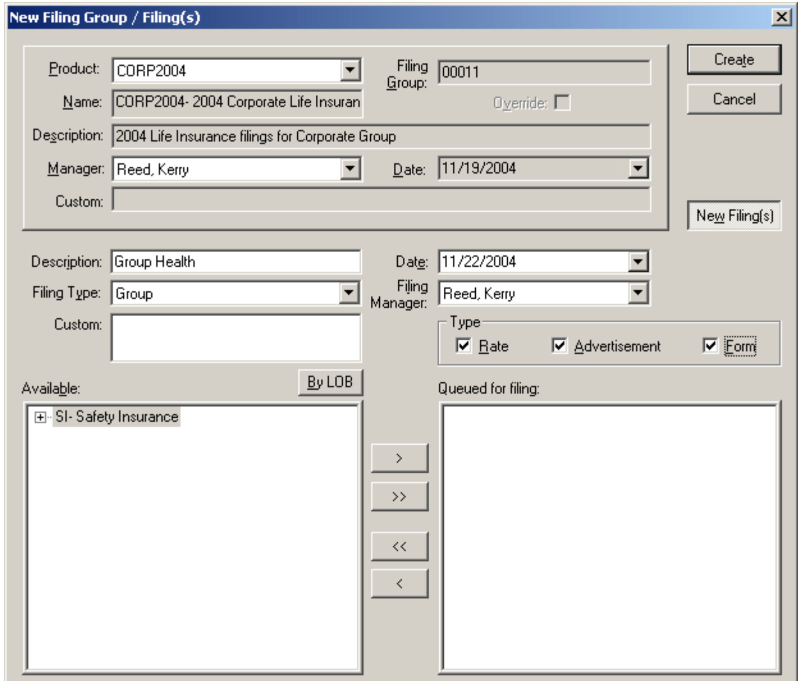
1. From a **publication** dialog, click the **New Filing(s)** button  to open the **Select Filing Group** dialog box.




2. Select an existing filing group from the list, and click **OK** to open the New Filing(s) dialog. Go to step 7.

   *OR*

   To create a new filing group, click **New** to open the New Filing Group dialog.
3. Select a **Product Name** from the drop down list.
4. Check the **Filing Group Code** to see that it is what you want. If it is not, click in the **Override** check box and enter the filing group code you want.
5. Check that the filing group **Name** is what you want; change it if necessary.
6. Enter a filing group **Description**, **Manager**, and **Date**.
7. Click the **New Filing(s)** button to open the **New Filing(s)** dialog.




8. Enter the required information for the filing: **Description, Date, Filing Type, Filing Manager**, and **Content Type** (check **Rate, Advertisement, Form**, or a combination).

**Note:** The **Content Type, Line of Business**, and **State(s)** information will be pre-selected according to the information in the originating publication record; you may alter this if necessary.

9. From the **Available** list field on the left, choose the desired company/state/line of business combination(s) for this filing using the left and right movement buttons.

   The selected combination(s) appears in the **Queued for Filing** field.

10. When you are satisfied with all the information displayed, click **Create**.

    A status box will open to display the filing creation process as it progresses; when the status box indicates that the process is done, click **Close**. The newly created filing(s) appear in the **Filing Reference** tab of the publication from which they were created, and the information for the publication appears in the related filing(s)' **publication** tab.

# Linking publications to Filings

The following method provides the instructions for linking a publication to an existing or new filing.

### Method: Link a publication to an existing or new filing

1. Navigate to the filing you want to link to a publication.
2. Click **View > View publication**.
3. If you do not see any publications listed on the **publication** tab, click **Suspended**.
4. Double click on the applicable publication.
5. To add a filing reference to an existing filing:

   a. Click **Insert > New Filing Reference**.

      The **New Filing Reference** dialog displays.

   b. In the **Filing Number** text box, type in your complete filing number. If you do not know the filing number, click **Search** and search for your filing. When you double-click a filing in the Search Results, the Search window closes and the filing number automatically populates the **Filing Number** text box.

   *OR*

   To add a filing reference and create a new filing:

   a. Click **Insert > New Filing Reference**.

      The **Select Filing Group** dialog displays.

   b. To use an existing filing group, select filing group from the list, click **OK**, and follow the steps in *Adding New Filings* on page 116, beginning at step 2.

      *OR*

      To create a new filing group, click **New** and follow the steps in *Adding a New Filing Group* on page 110, beginning at step 2.

6. Click **Next** to add additional filing references to this publication, or **OK** to exit.

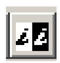
   The publication's Filing References are shown on the Filing References tab of the publication's window.

   A filing with publications will have a publication tab where the publications are listed.

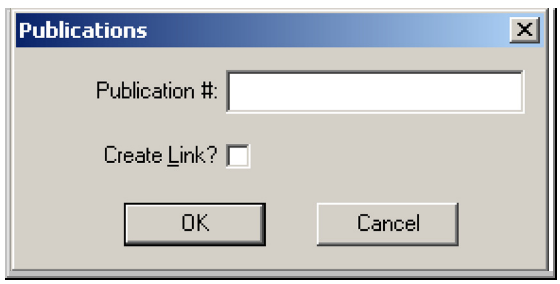
# Adding a Copy of a publication

Often a piece of publication will be sent that simply updates or revises existing publication. Tracker allows you to update and link series of publication records quickly and easily using the Copy **publication** function. The information from the old publication record is copied to a new publication record under the new publication number, and the records are linked for easy tracking and referral. Any necessary changes can then be made to the new record and then saved in the system.

### Method: Add a new version (copy) of an old publication

1. On the **publication** list window, select the publication you want to copy and click **Insert > Copy publication**, or click the **Copy publication** button on the toolbar. 

   The **publication** dialog displays.

2. Enter the **publication Number** of the new publication.
3. Check the **Create Link?** check box to create a link between the old publication and the new one. The new publication will be linked to the old one and will also carry any additional links or filing references that the old publication did.
4. Click **OK**.

   The new **publication Details** screen opens.

5. Make any changes to the information on the new **publication** Details record, as required, and click **Save** to save the new record.

# publication Reports

There are two standard reports in Tracker which you can use to better keep track of the publication in your system: the **publication Details Report** under the **Status** tab, and the **publication Summary Repor**t under the **Historical** tab. For more information on using the Tracker reports functions, please see *Searching, Reporting, and Filing Summary* on page 375.

# Chapter 11

# Working with the Regulatory Specialist

This chapter introduces and explains the Regulatory Specialist component of Tracker.

This chapter describes:

# The Regulatory Specialist

The Regulatory Specialist provides access to SERFF information and General Instructions. It also provides a database that you can populate with DOI addresses, contact information, and custom information.

The Regulatory Specialist window contains the following tabs:


- *SERFF* on page 366
- *RS Custom Fields* on page 368
- *Dept. Addresses* on page 369
- *Contacts* on page 371


### Related topics:


- *Using the Regulatory Specialist* on page 364

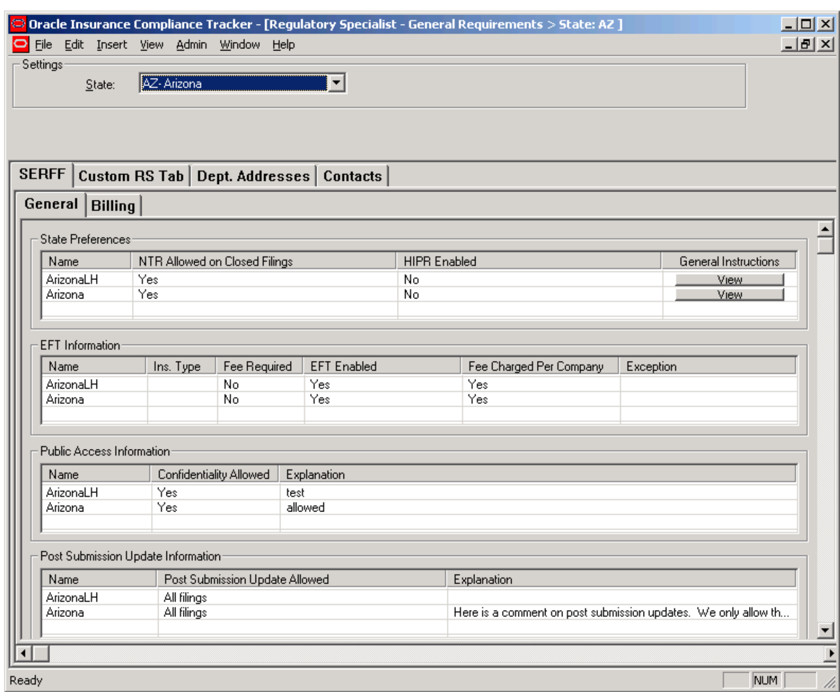

## Using the Regulatory Specialist

The Regulatory Specialist can be accessed from any point in the system at any time.

### Method: Use the Regulatory Specialist

1. Select **View** > **Regulatory Specialist.**

   The **Regulatory Specialist** dialog displays.



If you access the Regulatory Specialist while working within a filing, the tabs will automatically be populated with information pertaining to the filing you are working in. If you were not working within a filing, or you want to view other information, adjust the values in the Settings section for **Line of Business**, **Type of Filing**, and **Filing Content** as applicable:

- State – the State to which this information applies. There is one record for each of the 50 states, as well as Maryland WCC, Puerto Rico, the US Virgin Islands, Guam, American Samoa, and the District of Columbia.
- LOB – The Line of Business to which this information applies.
- Filing Content – the content of the filing, such as Rate or Form, or any combination of these.

**2.** Wait for a few seconds while Tracker locates and displays the information.

**3.** View the required information. If you double click on some fields, a dialog box containing more information on that field will display.

**4.** When finished, close the **Regulatory Specialist** Window.

# Regulatory Specialist Tabs

Information in Regulatory Specialist is organized into seven tabs:


- *SERFF* on page 366
- *RS Custom Fields* on page 368
- *Dept. Addresses* on page 369
- *Contacts* on page 371


## SERFF

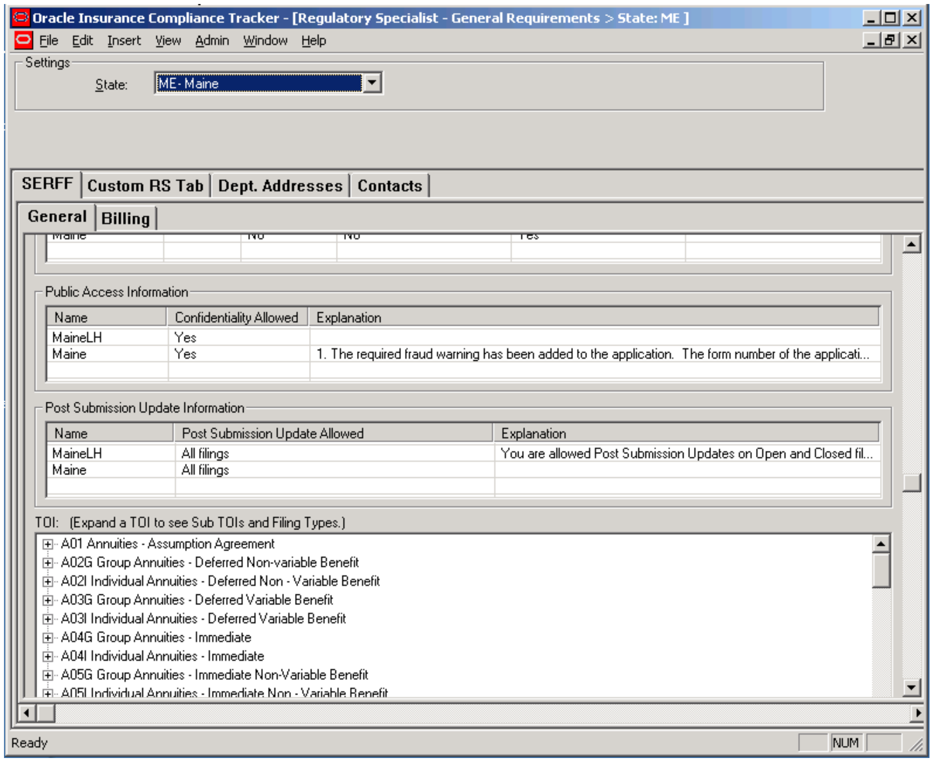
The **SERFF** tab displays two subtabs: General and Billing

### General

The General subtab provides access to a wide range of filing information. The information displayed on this tab is organized into the following areas:

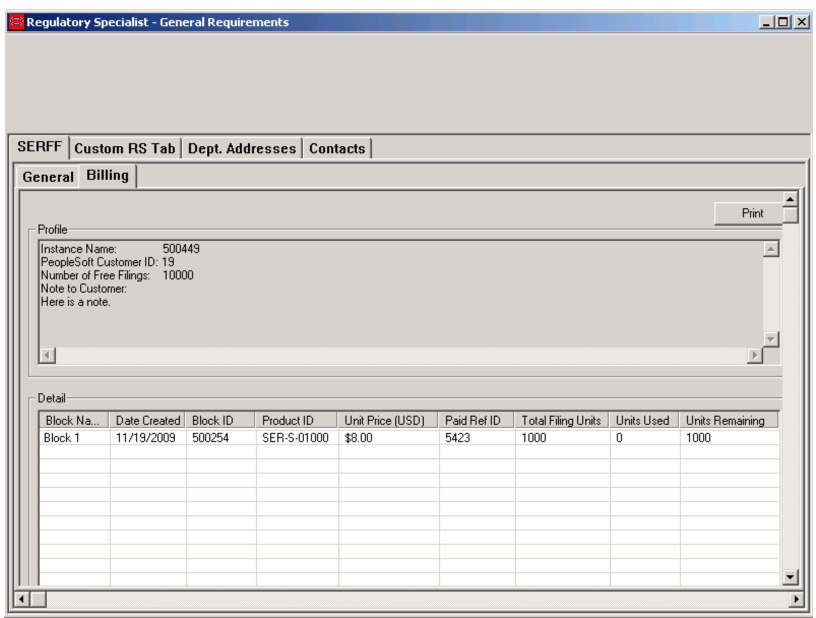
- **State Preferences**: whether the state allows NTRs on closed filings; SERFF General Instructions (displayed by clicking the corresponding View button)
- **EFT Information**: the filing fee information for that state (including whether the state is currently accepting EFT and if they only accept EFT for advisory/rating organizations)
- **Public Access Information**: whether the state allows confidentiality requests
- **Post Submission Update Information**: whether the state allows Post Submission Updates
- **TOI**: which TOIs, sub TOIs and filing types a state is accepting for SERFF filings.

  **Note:** This information is provided in real time. When you click the **SERFF** tab, display the **General** subtab, and select the state, Tracker connects with the Filing Rules server at the NAIC and returns the TOI, sub-TOI and types applicable to that state. To see what kinds of SERFF filings are supported for that TOI and sub-TOI, click **+** beside a TOI to expand it.




## Billing

The Billing subtab enables you to view and print SERFF Transaction Block information.




The following read-only information is displayed:

**Profile Section**

- Instance Name

- PeopleSoft Customer ID
- Number of Free Filings
- Note to Customer

**Detail Section**

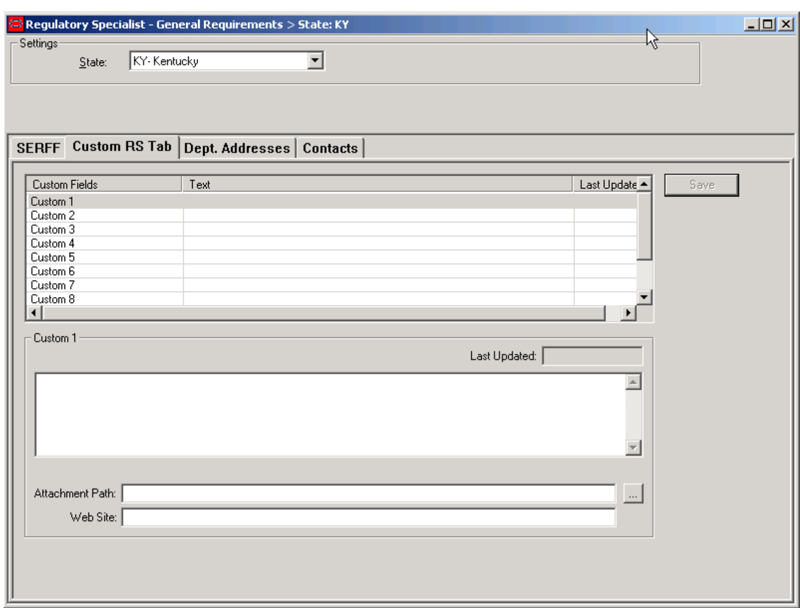
- Block Name
- Date Created (MM/DD/YYYY format)
- Block ID
- Product ID
- Unit Price (USD)
- Paid Ref ID
- Total Filing Units
- Units Used
- Units Remaining

## RS Custom Fields

This tab contains ten custom free-format fields which you can use to capture filing information unique to your organization.

For each state, ten custom fields are provided, but there are no LOB-specific custom fields. Therefore, if you need to record information for specific LOBs, you should enter it in the custom field.

In addition to the ten custom fields, you can also include an attachment path and website address with links to a document and website related to the information in the corresponding custom field. Clicking on these paths or URLs will open the document or website.



### Entering or Editing Custom Field Data

Your ability to enter data in the new fields is controlled by a permission option within the **Security Access** menu in **System Defaults**. This permission must be enabled for your security access level in order for you to be able to enter or edit data in the custom fields. If the permission is not enabled, you will only be able to view the data in the fields. Consult your Tracker Administrator regarding the applicable permission setting for your security access level.

### Tab Name and Field Names

You can give the new **RS Custom Fields** tab its own name, and also assign names to each of the ten custom fields: see *RS Custom Field Labels* on page 37.

## Dept. Addresses

This tab of Regulatory Specialist is provided for you to keep your own record of information about state Departments of Insurance, including names, addresses, phone numbers, and e-mail and Web site addresses, as well as the titles of insurance commissioners, reviewers, and so on.

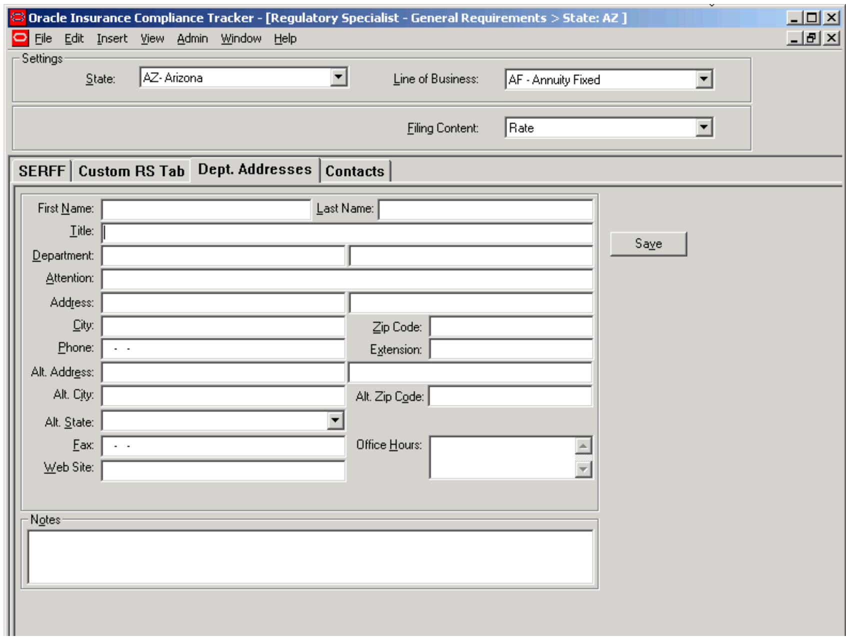
The addresses you send your filings to may depend on the type of filing being submitted. Multiple Department of Insurance addresses are supported in the database; the **Settings** selected will determine which contact record is displayed. Cover letters that are generated during the Generate Complete Filing activity will have the correct address automatically included.

### Method: Entering/Changing Dept. Addresses Information

To enter or change data in the fields on the **Dept. Addresses** tab, follow this method.

1. On the Dept. Addresses tab of the Regulatory Specialist view, select values for all three **Settings** fields.
2. Enter or change values in the fields.
3. Click **Save**.

   The new values are saved in the database.




**Tip:** If you are looking up the address for the department handling Workers' Compensation filings, make sure that you select Workers' Compensation as theLine of Business.

### Settings

The settings selected in this section determine which contact information Tracker displays on the tab.

### State

This field identifies the State this information applies to. There is one record for each of the 50 states, as well as Maryland WCC, Puerto Rico, the US Virgin Islands, Guam, American Samoa, and the District of Columbia.

### LOB

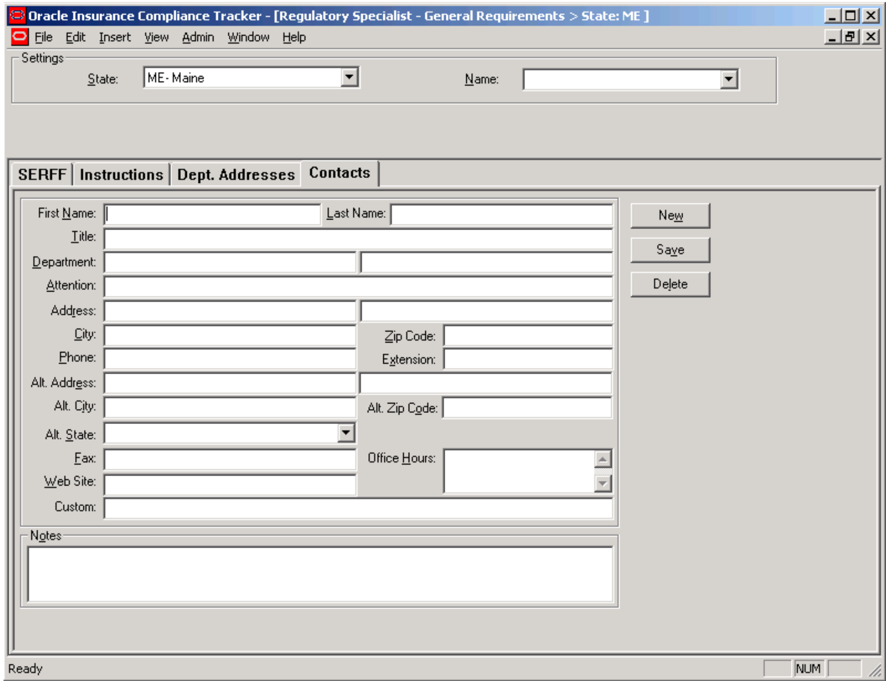
This field identifies the Line of Business this information applies to.

### Filing Content

This field identifies the content of the filing, such as Rate or Form, or any combination of these.

For information on the fields on the Dept.Address tab, see *Address/Contact Information* on page 371.

# Contacts




On the Contacts tab of Regulatory Specialist, you are able to enter and save additional contact information.

**Note:** Information on the **Contacts** tab is for your use only. Tracker will never use this information when creating a filing or a filing package.

## Settings

The settings selected in this section determine which contact information Tracker displays on the tab.

### State

This field identifies the State this information applies to. There is one record for each of the 50 states, as well as Maryland WCC, Puerto Rico, the US Virgin Islands, Guam, American Samoa, and the District of Columbia.

### NAME

This field identifies the Name of the person to whom this information applies.

# Address/Contact Information

The following describes the fields on the **Dept. Addresses** and **Contacts** tabs. Both tabs contain almost exactly the same fields. The differences between the two tabs are noted in the field headings below.

### First Name/Last Name

This field identifies the full name of the commissioner, director, chief, supervisor, or contact.

### Title

This field identifies the formal title of the person shown in the previous fields.

### Department

This field identifies the full name of the Insurance Department.

### Attention

This field identifies the name of the individual or department within the state DOI to whose attention the filing should be directed.

### Address

This field identifies the street address of the Insurance Department.

### City

This field identifies the name of the city that the filing should be sent to.

### Zip Code

This field identifies the zip code the filing should be sent to.

### Phone and Extension

These two fields identify the main phone number and relevant extension of the Insurance Department or contact.

### Alt. Address, Alt. City, Alt. Zip Code, Alt. State

These fields list an alternate street, city, and zip code address for this department or contact (such as a mailing address or post office box).

### Fax

This field identifies the facsimile number if the Insurance Department has a published fax machine number.

### Office Hours

This field identifies the hours that the Insurance Department office is open.

### Web Site

This field identifies the URL for the Web site of the Insurance Department.

### E-mail

The e-mail address is shown if the Department of Insurance has an e-mail address.

### Notes

Any additional notes users want to add regarding the insurance department or this contact in particular are entered here.

**Tip:** Clicking the URLs in the Web Site or Notes fields will open that page in your default browser.

# Chapter 12

# Searching, Reporting, and Filing Summary

This chapter describes how to perform searches in Tracker, use the Tracker Reports function—including each of the standard reports that come with the system and instructions on how to produce a variety of reports—and display a Filing Summary.

This chapter describes:

# Performing Tracker Searches

You can search Tracker to locate a specific filing, activity or other item.

The following procedure describes the general steps required to perform a Tracker search.

### Method: Perform a Tracker search

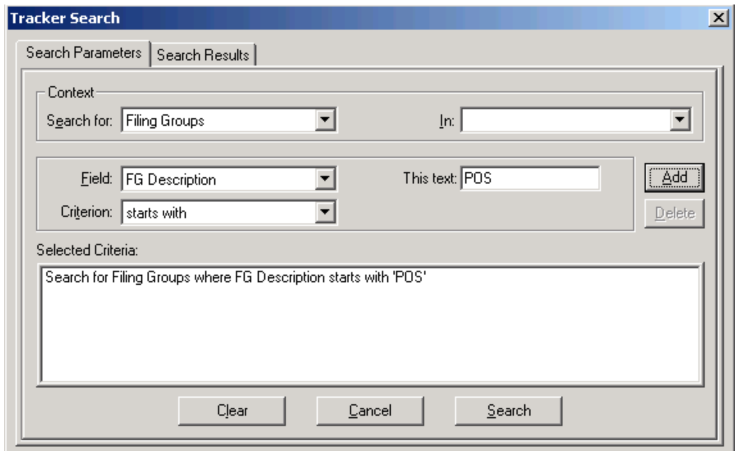
1. Click the **Search** button to open the **Search** dialog.
2. Enter the following information into the **Context** section fields (select from the drop-down list where available):
   - In the **Search for** field, enter the type of information you want to find.
   - In the **In** field, enter the range limit in which you want to search for those records.
3. Enter the following information into the criteria fields (select from the drop-down list where available):
   - In the **Field** field, enter the name or type of field you want to search for or search by.
   - In the **Criterion** field, enter the desired relationship between the Field chosen above and its specific content, chosen next (for example, if you want to search for certain text in a field, your criterion choice would be **contains**).
   - In the remaining criteria fields (which will vary depending upon the criteria specified above), enter the appropriate specific information. For example, if your criterion field is **contains**, here you would specify the **text** you want the field to contain. For example, if you are searching in the **Notice of Domiciliary State Approval** fields for entries **containing** the words **not required**, you would enter ‘Not Required’ into the **This text** field.

### Notes:

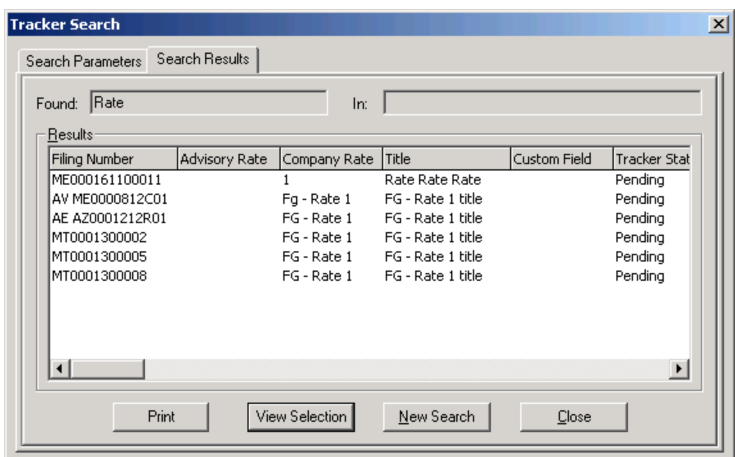
- In numeric fields, if you select “is equals to” for the **Criterion**, the search results will contain records with exact matches only, but it will ignore trailing zeros. (For example, a field with a value of 31.0 will match if you use “31” as the **Criterion**.)
- If you are searching for records by a field that may contain multiple values, and you want the search results to show records that contain a specific set of values for that field, a best practice is to use one value per search criterion, and have multiple search criterion. The search results will display only records that contain all the specified values. The order of the search criteria doesn’t matter.

4. Click **Add** to add the criterion you have just specified to the **Criteria Selected** list field.

   Repeat steps 2 to 4 to add up to five criteria statements to the **Selected Criteria** list. When the search is performed, records that match *all* the criteria will be displayed.




5. When you are satisfied with the search criteria you have specified, click **Search**. The results of your search appear in **Search Results**.




**Note:** If no records are found matching your search parameters, a message appears stating: *No entries were found using the selected criteria.*

6. In **Search Results**, you can double-click an item from the list to view it, or select the item and click **View Selection**.

   *OR*

   Click **Print** to open a page of the search results in your browser.

**Tip:** Some Search Results will print better if you select "Landscape" as your Orientation setting in your browser's Page Setup dialog.

   *OR*

Click **New Search** to return to the **Search Parameters** tab of **Tracker Search** to define a new search.

*OR*

Click **Close** to exit **Tracker Search**.

### Related Topic

- *Performing Activity Searches* on page 237

# Tracker Reports

Tracker is equipped with a flexible report generation feature which allows you to produce a variety of standard reports based on date, sort, and criteria specifications you set yourself.

There are different types of Tracker reports. Each type serves a particular function in helping you to track your overall compliance filing process. For complete descriptions and details of all the available Tracker reports, see *Report Descriptions and Types* on page 389.

For details on the steps required to define and generate reports, see *Working with Reports* on page 380.

# Working with Reports

In this section, the steps used to define and generate reports are described. Although there are many types of reports, the procedures used to work with them are similar.

### Related topics


- *Accessing the Reports Function* on page 380
- *Producing a Report* on page 381
- *Customizing the Report Name* on page 383
- *Defining the Date Range of a Report* on page 383
- *Defining the Selection Criteria of a Report* on page 383
- *Selecting Multiple Items in Report Parameters* on page 384
- *Defining the Sort Order of a Report* on page 386
- *Viewing a Generated Report* on page 386
- *Scrolling Through the Pages of the Report* on page 387
- *Viewing a Report at Different Sizes* on page 387
- *Printing a Report* on page 387
- *Saving Report Settings* on page 387
- *Exporting Reports* on page 388

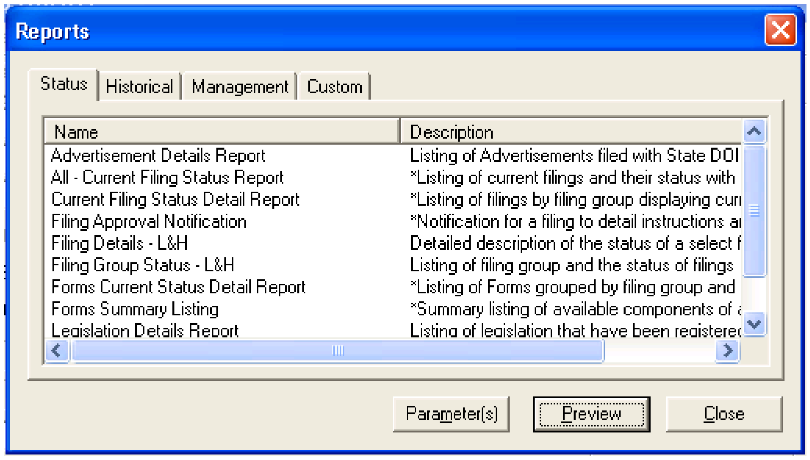

## Accessing the Reports Function

The reports function can be accessed at any time via the **View** menu.

### Method: Access the Reports function

1. On the menu bar, select **View > Reports**.

   The **Reports** dialog displays.




## Producing a Report

This section outlines all of the steps involved in producing and printing a report in Tracker. Further explanation and instructions for individual steps within this process follow.

**Important:** If you want to abort the generation of report after it begins, click the Stop Loading button.  Clicking the close window button instead will result in error messages the next time the report is generated.

---

### Method: Produce a report

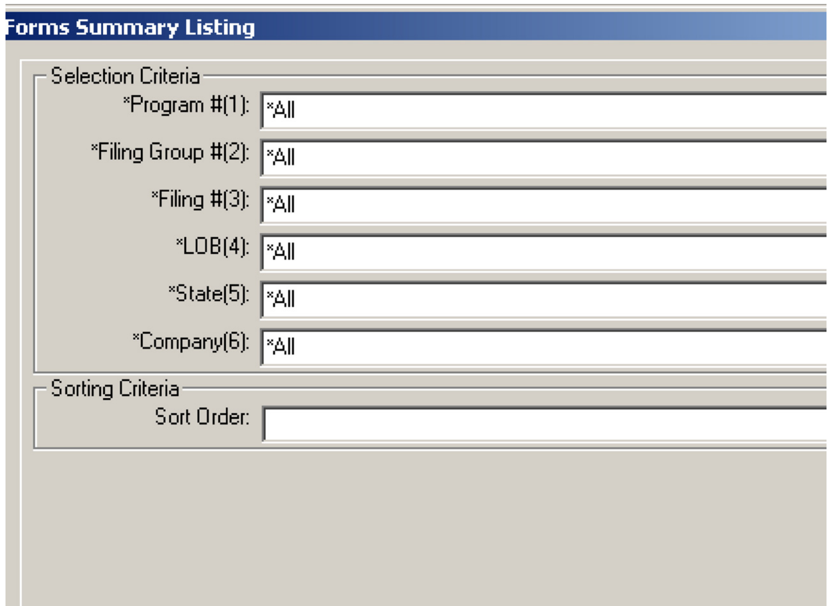
---

1. Access the **Reports** dialog.
2. On the **Reports** dialog, click the tab that represents the type of report you would like to produce.
3. Select the report you want to produce from the list of available reports.

**Note:** If you double-click the report or select a report and click **Preview**, Tracker will produce a report using default values. (If you have used that report before, your most recently used values will be used.)

4. To adjust the report values, click the **Parameters** button to open the selected report's parameters dialog. The default parameter values are displayed. If you have used that report before, your most recently used values will be displayed.

**Note:** The example below is for the **Form Summary Listing**; the parameters dialog for each report will be slightly different.




5. If the report uses date ranges, you can optionally enter **From** and **To** values for the **Start Date** and the **File Date**. Only records that fall within this date range will be shown on the report.

**Note:** Date fields will not appear when the report does not require a date range.

6. Define the **Selection Criteria** for the report. The fields displayed are appropriate to the selected report. For each field, either specify a value or select ***All**. (When a field's value is set to *All, the field will not be used as a criteria for selecting records to include in the report.)

7. Define the **Sort Order** of the report. Beside each of the selection criteria fields is a number. In the **Sort Order** field, enter the number corresponding to the field by which you want the report to be sorted.

8. If displayed, customize the report's **Report Settings**. Examples of **Report Settings** parameters used in some standard reports include the following:

   - **Suppress** parts of the report
   - control **Page Breaks**
   - control use of an **Additional Summary**

   Custom reports may include additional **Report Settings** parameters.

9. To generate the report with the chosen values, click **OK**.

   Tracker generates the report you have specified using your dates, criteria, and sort order, and a preview of the generated report appears in a Crystal Reports viewer window. (Note: Move your cursor off the screen to suppress the tooltip that displays.)

**Note:** Alternatively, to close the report parameters dialog (and save your selected criteria values), click **Close**. The report parameters dialog closes. Tracker returns to the Reports dialog.

**10.** Examine the generated report carefully. If you need to make changes, close the report window and redefine the report criteria.

If you do not need to make changes, proceed to the next step.

**11.** Click  **Print Report**.

The report is printed to your default printer.

**Note:** If your report does not print as expected, check your **Printer Settings** for correct formatting. **Tip:** Most reports are best printed and viewed in **Portrait Orientation,** printed on one side of the page only.

## Customizing the Report Name

On some reports, you can adjust the report name. The parameter selection screen will retain one custom name per individual user, in addition to the default name for future reports. However, if you select the default name after creating a custom name and run the report under the default name, the custom name is deleted. Also, if you already have one custom name and create a second one, the second custom name replaces the first one.

## Defining the Date Range of a Report

When you define the date range of a report, you are simply specifying the time period that will be covered in the report. For example, if you were generating a Filings Report and you wanted it to list all filings in the system that were created between January 2001 and December 2003, you would input a **From** date of “01/01/2001” and a **To** date of “12/31/2003”. The generated report would include only filings created within that time frame.

If you do not choose to enter a date range, Tracker will generate the report using a **From** date of 01/01/1990 and a **To** date of 01/01/2100.

### Please note:

- Some reports do not require the specification of a date range. No date range entry fields will appear when they are not required.
- You can input the **From** and **To** dates using the drop-down calendars provided via buttons to the right of these date fields, or you may type in the date, remembering to use the format specified by your company.

## Defining the Selection Criteria of a Report

The Selection Criteria report function allows you to filter (or choose) which records will appear in your report. The list of available selection criteria is specific to each standard report. A choice of ***All** usually available as the default.

## Selecting Multiple Items in Report Parameters

Some of the reports in Tracker allow you to select multiple items for a given report parameter. This functionality allows you to, for example, select multiple states, lines of business, or filing managers as parameters to create a single report.

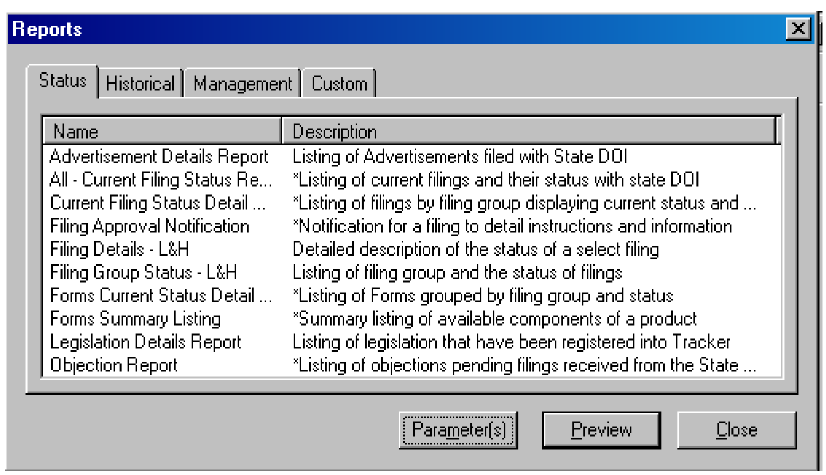
The following reports support this functionality:

- Current Filing Status Detail Report
- Forms Current Status Detail Report
- Aging Detail Report for Outstanding Filings
- Activities Detail Report
- Current Production Status Detail Report
- Production Activity Detail Report
- Average Filing Approval Time Summary Report
- Filing Fees Detail Report
- Regional Filing Status Report
- SERFF Transaction Fee Report
- Publication Details Report

### Method: Select multiple items in report parameters

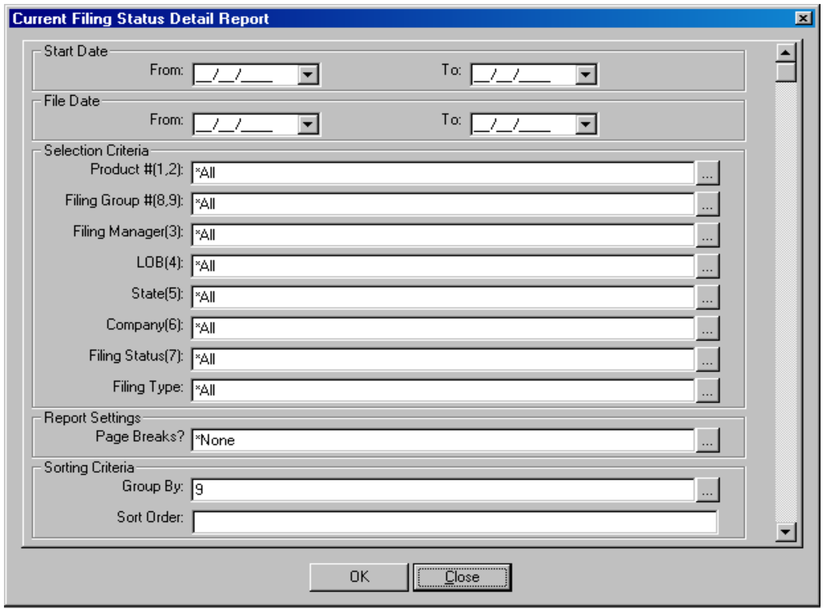
1. On the menu bar, select **View** > **Reports**.

   The Reports dialog displays.



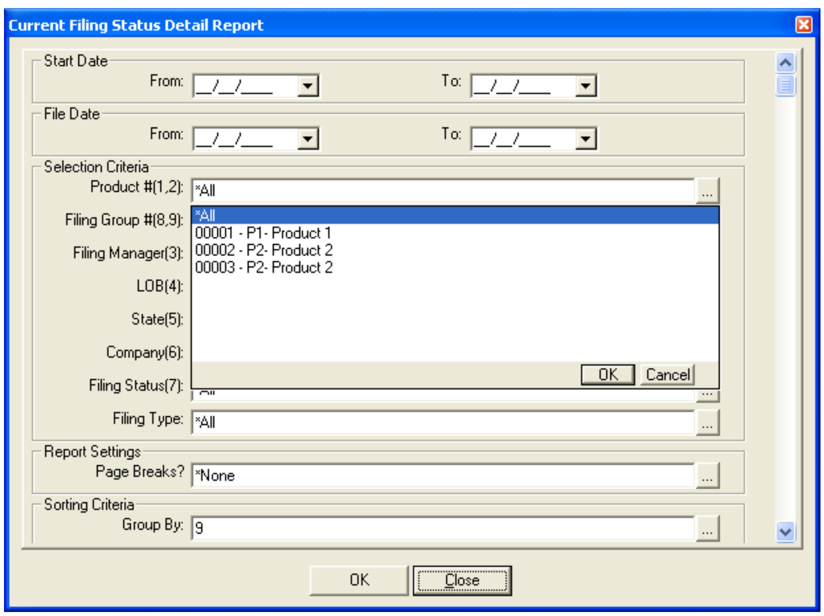

2. Click the **Status** tab.
3. Select the report you want to work with and click **Parameters**. (The Current Filing Status Detail Report is used for this method.)

   The report parameters dialog displays.



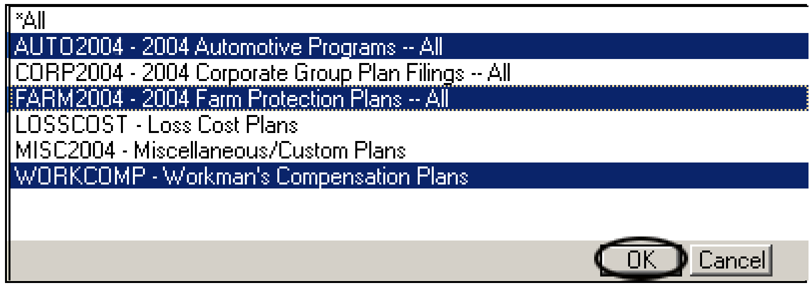

4. Click the button  at the right side of the parameter.

   The items dialog displays.




5. Select multiple items within a parameter by pressing and holding the **Ctrl** key while clicking on each item you want to use with that parameter.

6. When you have finished selecting items, click **OK** in the items list.




7. Repeat steps 4 to 6 until you have finished setting parameters, then click **OK** in the main parameters dialog.

   The report is generated based on the parameters you have selected.

**Note:** There is a limit of 20 individual selections per parameter. For example, you can only select 20 states for a given report.

## Defining the Sort Order of a Report

Defining the Sort Order for a report allows you to choose the order in which records will be presented on the final, generated report. There are two steps involved in choosing your sort order.

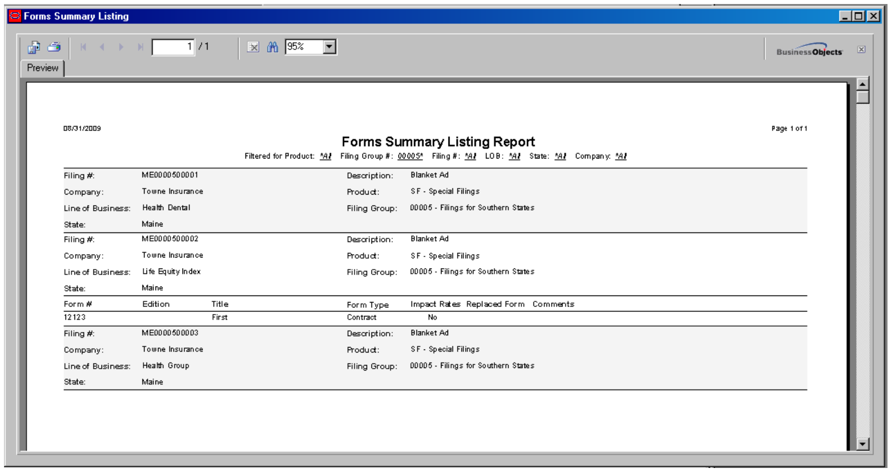
First, you need to decide which of the **Selection Criteria** you want to use to sort your report: in a Filings Report, for example, you may want to organize your report by Filing Number, by Date Created, by State, or by LOB, depending upon the purpose of your report. Note the number located beside the selection criterion you have chosen.

Second, you need to enter that number into the **Sort Order** field. Text and numeric sorts will present records in ascending order (such as by state or by the manager's name starting at **A** and working to **Z**, or by filing number starting at the lowest number and working to the highest).

## Viewing a Generated Report

After you have created and generated a report, the report appears in a preview window for you to view the results.

This is a typical standard report (the **Forms Listing Report**):




## Scrolling Through the Pages of the Report

While viewing the preview of the generated report, you can scroll through the pages of the report using the **Back**, **Back to First**, **Forward**, and **Forward to Last** buttons found at the top of the preview window.

## Viewing a Report at Different Sizes

Use the **Sizing** field 100% located at the top of the preview window to change the magnification view of the report. Use the drop down list to select a magnification, or enter a percentage manually.

## Printing a Report

You can print a report right after you have previewed it to see that it meets your needs. This can be done from the preview window.

### Method: Print a report

1. In the report Preview window, view the previewed report. Check to see that it includes all the information you intended.

2. Click the **Print Report** button.

   The report prints on your default printer.

## Saving Report Settings

Whenever you change report settings or criteria, your changes will be saved by the system. The next time you access that particular report dialog, the settings will be as you last left them.

## Exporting Reports

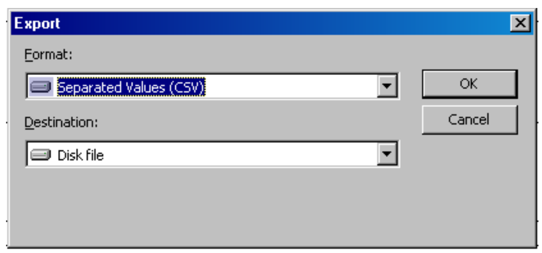
You can export reports in any of several formats, to any of several destinations.

**Note:** If you have a MAPI-compliant program like Outlook or Outlook Express already installed, you can export to email. Select PDF as the Format and MAPI as the destination. Citrix users will require Outlook or Outlook Express installed on the Citrix Server before they can use this feature.

### Method: Export a report

1. In the report Preview window, click the Export Report button. 

   The **Export** dialog displays.




2. Choose the export **Format** you want.
3. Choose the **Destination** for the exported data.
4. Click **OK**.

   The data is exported in your chosen format to the destination.

# Report Descriptions and Types

The reports available in Tracker are:


- *Status Reports* on page 389
- *Historical Reports* on page 399
- *Management Reports* on page 400
- *Custom Reports* on page 403
- *Other Reports* on page 406

See also *Tracker Reports* on page 379.


## Status Reports

Status Reports provide current information about the status of the filings in your system. For example, you can produce a report that lists current information about every filing associated with a particular filing manager.

---

**Method: Access a status report**

---

On the menu bar, select **View** > **Reports.**

On the **Status** tab, the following status reports are available in Tracker:


- *All - Current Filing Status Detail Report* on page 389
- *All - Current Filing Status Detail Report* on page 389
- *Current Filing Status Detail Report* on page 390
- *Filing Approval Notification Report* on page 391
- *Filing Details Report* on page 392
- *Filing Group Status* on page 393
- *Forms Current Status Detail Report* on page 394
- *Forms Summary Listing* on page 395
- *Publication Details Report* on page 396
- *Objection Report* on page 397


### All - Current Filing Status Detail Report

The All - Current Filing Status Detail Report displays a listing of current filings and their status with state DOI.

This report displays the following information:

- Filing Group Number
- State

- LOB
- Company
- Filing Content
- Filing Manager
- Status
- File Date
- Approval Date
- Description

## Current Filing Status Detail Report

The **Current Filing Status Detail Report** displays filings by filing group, and shows the status of each filing within a filing group, the total number of filings for each status within a filing group, as well as the total number of filings in each status for the complete report.

This report displays the following information:

For each filing group:

- Product Code and Description
- Filing Group Number and Description

For each filing:

- State
- Line of Business
- Company
- Filing Content (Rate/Advertisement/Form)
- Filing Manager
- Filing Status
- Start Date
- File Date
- Objection Date
- Resubmission Date
- Approval Date
- Disapproval Date
- Withdrawal Date
- Summary of Filings within a Filing Group, subtotalled by status

## Filing Approval Notification Report

The **Filing Approval Notification Report** provides detailed instructions and information for the filing(s) specified. Use it to track and communicate information about approved filings.

This report displays the following fields:

- Product Code and Description
- Filing Group Number and Description
- Filing Description
- Line of Business
- Filing Type
- Content
- State
- Filing Manager
- Company
- Approval Date
- Special Instructions (if any)
- Forms (if any) with the following information for each form:
    - Title
    - Form #
    - Edition
    - Replaced Form #
    - State Variation
    - Impacts Rates
    - Requirement
- Rates (if any) with the following information for each rate:
    - Title
    - Rate #
    - Edition
    - Page #
    - Replaced Page #
- Rules (if any) with the following information for each rule:
    - Title
    - Rule #
    - Edition

- Page #
- Replaced Page #

## Filing Details Report

The **Filing Details Report** provides a detailed description of the status of a selected filing.

This report includes the following fields:

**Filing**

- Program
- Name
- Filing Group
- Group Description
- Filing Description
- Company Code and Description
- State
- Seq #
- Filing Type
- C. O. Reference Number
- Line of Business
- Content
- Manager
- Status
- DOI#

**Status Dates**

- Start
- Approved Effective
- Disapproved
- Objection
- Respond By
- Filed
- Approval Received
- Resubmitted
- Request Effective Date
- Approved
- Withdrawn

- Deemer
- Days

**Print/Mail/Automation Status Dates**

- Schedule Mail
- Actual Mail
- Print Status
- Rate Built
- EDP
- Rate Effective

**Miscellaneous**

- Filing Fee
- Check#
- Check Date
- Tracker Reference Number
- Custom

**Activities**

- Date
- Description
- Suspense
- Completed
- Performed By
- Memo

**Publications**

- publication Number#
- Adv. Org.
- Effective Date
- Type
- Description
- Filing Reference Numbers 1-5

## Filing Group Status

The Filing Group Status report displays a listing of filing groups and the status of filings.

The report displays the following information

- Program Code and Description

- Filing Group Name and Description
- Special Instructions

For each filing:

- Company
- LOB
- State
- Content
- Seq#
- Lead Form
- Manager
- Status
- Filed Date
- Effective Date
- Special Instructions

The Summary Status of filings includes this information:

- Number of Start
- Number of Pending
- Number of Approved
- Number of Disapproved
- Number of Closed
- Number of ReOpened
- Number of Withdrawn
- Number of Archived
- Number of Objection
- Number of Exempt

## Forms Current Status Detail Report

The **Forms Current Status Detail Report** shows the status of all the forms that have been filed. You can either display all forms, or forms with selected statuses only.

The report is grouped at two levels: the first level is by form number, and the second level is by form (not filing) status. Within each form number group is an entry for each instance of that form in the system, and details (including the filing status) of each filing with that form number.

**Note:** Usually the form and filing status will be the same, but not always. For example, there may be a situation where the form has been approved but the filing has not.

Each grouping by form number displays the following information:

- Form Number
- Filing Group Number and Description
- Edition Date
- Form Type

Each instance of the form number displays the following information:

- State
- Line of Business
- Company
- Filing Status
- Filing Manager Initials
- Start Date
- File Date
- Objection Date
- Resubmit Date
- Approval Date
- Disapproval Date
- Withdrawal Date

## Forms Summary Listing

The **Forms Summary Listing** displays a list of filings and the forms they contain.

The report displays the following information for each filing:

- Tracker Filing Number
- Filing Description
- Company
- Product Code
- Product Name
- Filing Group Number
- Filing Group Description
- State
- Line of Business

Each form contained within the filing is then displayed with the following information:

- Form Number
- Edition

- Title
- Form Type
- Requirement
- Impact Rates – indicates whether this form will impact rates
- Replaced Form
- Comments

## Publication Details Report

The Publication Details Report provides a comprehensive listing of all publications within a selected date range that match a selection criteria.
Any of the following dates can be used for the date range:

- Publication Effective Date
- Publication Received Date
- Publication Date
- Custom Date 1, 2, 3, or 4

The selection criteria can be any combination of the following parameters:

- pub#
- LOB
- State
- Content
- Type
- Status
- Adv Org
- Filling Ref#
- Activity
- Activity Status

The report parameters include a value for Title. The default value of Title is Publication Details Report. Each user can create a custom title for this report by typing directly in the Title text box. The drop-down menu for Title displays the default value and the user's most recent custom value. The selected Title displays at the top of each page of the report.

The report displays the following information for each publication in the report:

- Publication #
- Description
- LOB's
- States

- Content
  - Type
  - Status
  - Adv Org
  - Pub Date
  - Rec'd Date
  - Adv Org Prop Eff Date
  - Adv Org App Eff Date
  - Rate Eff %
  - Attachment
  - Filing Reference # 1, 2, 3, 4, and 5
  - Custom Date 1, 2, 3, and 4
  - Custom Field
- Links (a list of Publication #s)
- Filing References:
  - Filing ID (either the Company Reference # or the Tracker Filing ID)
  - Company
  - LOB
  - State
  - Content
- Activities:
  - Date
  - Description
  - Suspense
  - Due
  - Completed
  - Performed By
  - Status
  - Memo

## Objection Report

The **Objection Report** provides a list of all filings in Objection and Resubmit status recorded in the system for the date range specified.

This report displays the following fields:

- Filing Group Number and Description

- State
- Line of Business
- Company
- Filing Content
- Status
- Filing Manager
- Objection/Disapproval Date
- Respond By Date
- Resubmit Date
- Objection/Response (obtained from the Activities and Memo fields)

### Rate/Rule Details Report

The **Rate/Rule Details Repor**t shows a summary of all rate/rules in Tracker. This report displays the following fields:

- Rate/Rule Number
- Advisory Organization
- Type
- Rate/Rule Title
- Exception Page Number
- Edition
- Attachment
- Replaced
- Page Number
- Edition
- Memo

**Applicability**

- Company Code
- LOB
- State
- Filing Group Number
- Name
- Status
- Effective Date

## Historical Reports

Historical reports provide information about approved and implemented products and filings. For example, you can produce a report that lists every approved filing for a particular line of business.

**Method: Access a historical report**

On the menu bar, select **View** > **Reports**, then click the **Historical** tab.

The following Historical reports are available in Tracker:

- *Activities Detail Report* on page 399
- *Publication Summary Report* on page 400

### Activities Detail Report

The **Activities Detail Report** displays existing activities in Tracker at a detailed level. Activities are grouped by filing group and by filing.

This report displays the following information:

- Product Code and Description
- Filing Group Number and Description
- Filing:
  - State
  - Line of Business
  - Filing Content (Rate/Rule/Form)
  - Company Code and Description
  - Filing Manager
  - Filing Status
- Activities:
  - Activity Description and Level (FG indicates Filing Group level activity, FL indicates Filing level activity)
  - Activity Memo
  - Activity Status
  - Suspense Date
  - Completion Date
  - Due Date
  - Performed By

## Publication Summary Report

The **publication Summary Report** displays a list of publication records, as specified, together with their internal detailed company adoption information. Use this report to monitor publication in your system as they are adopted.

This report displays the following fields:

- Publication Number
- Publication Date
- Description
- Type
- LOB
- Content
- Status
- Proposed Date
- Approved Date
- States

# Management Reports

Management Reports provide information that managers will find useful, such as statistical totals and averages for the number of filings, approval percentages, the number of days expended, and so on.

### Method: Access a management report

On the **File** menu, select **View** > **Reports**, then click the **Management** tab.

The following management reports are available in Tracker:

- *Aging Detail Report For Outstanding Filings* on page 400
- *Current Production Status Detail Report* on page 401
- *Filing Evaluation Report* on page 402
- *Manager Production Report* on page 403
- *Production Activity Detail Report* on page 403

## Aging Detail Report For Outstanding Filings

The **Aging Detail Report For Outstanding Filings** shows information on filings that are still outstanding. By default, filings are grouped first by period, then by Product, then by Filing Group. You can set the report to display outstanding filings from a date of your choice by typing it in the field, or by selecting one of the following:

- Start Date

- Filing Date
- Most Recent Date of Start Filing, Objection, or Resubmit Date

Each Filing Group displays this information:

- Program Code and Description
- Filing Group Number and Description

Each filing displays this information:

- State
- Line of Business
- Company
- O/S Days
- Filing Content (Rate/Rule/Form)
- Filing Manager
- Filing Status
- Start Date
- File Date
- Objection Date
- Resubmit Date

## Current Production Status Detail Report

The **Current Production Status Detail Report** shows the production activity at up to two levels of grouping and sorted up to two ways.

Grouping can be done by company and filing manager, with summaries if you want. Within a grouping, you can sort by status and Filing Group. The summaries show the number of filings with the states of Start, Pending, Objection, Approved, Disapproved, Withdrawn, or Closed.

This report displays the following information:

- Filing Group Number and Description
- Filing Manager
- State
- Line of Business
- Company Code(s)
- Filing Status
- Filing Content
- Start Date
- File Date
- Objection Date

- Resubmit Date
- Approval Date
- Disapproval Date
- Withdrawal Date

## Filing Evaluation Report

The **Filing Evaluation Report** provides management information about filings under development. It lists information about filings, grouped by filing group.

This report displays the following information:

- Product Name
- Filing Group Name, Description, Number, and Manager

Each filing listed includes the following information:

- Company
- Line of Business
- State
- Content
- Sequence Number
- Type
- Manager
- Status
- Start Date
- Filed Date
- Approval Date
- Closed

Under the heading of **Days To**:

- Filed (number of days between Start Date and Filed Date)
- Approved (number of days between Start Date and Approved Date / number of days between Filed Date and Approved Date)
- Effective (number of days between Start Date and Effective Date / number of days between Filed Date and Effective Date)
- Disapproved (number of days between Start Date and Disapproved Date / number of days between Filed Date and Disapproved Date)
- Withdrawn (number of days between Start Date and Withdrawn Date / number of days between Filed Date and Withdrawn Date)

## Manager Production Report

The Manager Production report lists the monthly production for each selected Filing Group Manager.

For each month with activity, the report lists the following:

- # Started and %
- # Pending and %
- # Exempt and %
- # Objection and %
- # Disapproved and %
- # Withdrawn and %
- # Approved and %
- # Closed and %
- # Other and %
- # Total and %

## Production Activity Detail Report

The Production Activity Detail Report lists the activities performed within a range of Suspense Dates and Completion Dates. The activities listed can be grouped by the different type of activities and by the Filing Manager.

For each grouping, the report lists the following:

- State
- LOB
- Company Code(s)
- Filing Content (Rate/Rule/Form)
- Filing Status
- Activity Memo
- Activity Status
- Suspense Date
- Due Date
- Completion Date
- Performed By

# Custom Reports

The Custom Reports tab contains a selection of specialized reports. This tab also contains reports that have been created specifically for your company.

**Method: Access a custom report**

On the menu bar, select **View** > **Reports.**

On the **Custom** tab, the following reports are available in Tracker:

- *Average Filing Approval Time Summary Report* on page 404
- *Filing Fees Detail Report* on page 404
- *SERFF Transaction Fee Report* on page 405

## Average Filing Approval Time Summary Report

The **Average Filing Approval Time Summary Report** lists the average number of days taken by the state DOI to approve SERFF, paper filings, and filings of either type. The report displays the average for all filings for each state. By adjusting the Group By parameters, the report can display the results for each filing group within each state as well.

## Filing Fees Detail Report

The **Filing Fees Detail Report** report lists detailed filing fee information with summaries within a specified date range: Transaction Date/Check Date or Filed Date. The listing can be grouped by up to two of the following: Company, Filing Group, LOB, Program. Totals can be displayed as well.

This report displays the following information:

- Transaction Date
- State
- Filed Date
- Line of Business
- SERFF Tracking ID
- Tracker Filing ID
- TOI
- Sub TOI
- Type (Initial or Additional)
- Amount
- EFT Transaction ID
- Authorized By
- Total Number of Transactions
- Total Amount

## Regional Filing Status Report

This report provides the filing status for all filings by state or region. You can group the results by Company, LOB, or state, and totals will be displayed for each group.This report includes the following information:

- State
- Company
- LOB
- Company Ref #
- Filing Description
- Status
- Filed Date
- Effective Date
- Last Activity Description
- Last Activity Date

## SERFF Transaction Fee Report

The **SERFF Transaction Fee Report** list all filings that have been submitted to SERFF, allowing you to track and reconcile the transaction fees charged by the NAIC.

This report does not distinguish between single company filings and CG filings. Any company involved in any filing during the reporting period is included on the report and listed in the **Company** column.

**Note:** If two filing managers have exactly the same initials, when you select either using the report parameters, both filing managers will appear on the report. To prevent this, in the user profile of one of the filing managers, change the initials so the two are not exactly the same.

This report displays the following fields:

- Company/NAIC Code
- Filed Date
- Filing Manager
- State
- LOB
- Filing Content
- SERFF Tracking ID
- Tracker Filing ID
- TOI

## Other Reports

The following reports are not part of the general reports and are available only to certain users:

- *Administrative Reports* on page 406
- *Filing Summary for Paper Filings* on page 407

### Administrative Reports

Administrative Reports provide administrative level information about the companies, users, and products in your system. For example, you can produce a report that lists authority information for every company in your system.

**Note:** These reports are available only through the **Administration** menu and not through the general reports function, and are accessible only to users having the requisite security clearance (usually Administrator level or higher).

For more detailed information on Administrative Reports, please see *Administrative Reports* on page 97.

# Filing Summary for Paper Filings

The Filing Summary is an excellent way to generate a comprehensive snapshot of paper filings. (For information on Filing Summary for SERFF filings, see *Filing Summary for SERFF Filings* on page 336.)

There are two parts of the Filing Summary that can be optionally displayed and printed: Filing Details, and Filing Correspondence.

This section contains:



**Related topic:**

*Generating a Filing Summary* on page 339

## Filing Detail (Paper Filings)

The Filing Detail part of the Filing Summary displays detailed information about the selected filing.

In the header:

- Tracker Filing ID / Company Reference #
- State
- Filing Company
- State Tracking Number
- LOB
- Filing Type
- Filing Explanation (based on Filing Description field)
- Program Name (based on what is in the Program Name field at the time the Filing Summary is generated)
- Project Name/Number (based on what was in the Product Name/Number field at the time the Filing Summary is generated)
- Filing Group Name

In the Filing Overview section:

- Company Name and Company Code
- Program Name (based on what is in the Program Name field at the time the Filing Summary is generated)
- Tracker Filing ID / Company Reference #
- State
- LOB
- Filing Status

- State Tracking #
- Filing Statute
- Filing Type
- Filed Date
- Filing Explanation (based on Filing Description field)
- Filing Manager
- Requested Effective Date
- Approved Effective Date
- Requested Renewal Effective Date
- Approved Renewal Effective Date

In the General Information section:

- Program Name (based on what was in the Program Name field at the time the Filing Summary is generated)
- Domicile Status Comments
- Project Number (base on what was sent to SERFF or is in the Project Number field at the time the Filing Summary is generated)
- Date Approved in Domicile
- Reference Organization (based on what was sent to SERFF or is in the Reference Organization field at the time the Filing Summary is generated)
- Reference Number (based on what was sent to SERFF or is in the Referenc Number field at the time the Filing Summary is generated)
- Reference Title – Publication
- Advisory Org. Circular – Publication
- SERFF Status Changed (date)
- State Status Changed (date)
- Deemer Date
- Tracker Status Changed (date)
- Related Filing ID (number and type)
- NAIC Filing Description

In the Company and Contact section:

- Filing Contact Information:
    - Filing Manager Name
    - Filing Manager Title
    - Filing Manager Email Address
    - Filing Manager Address

    - Filing Manger Phone Number
    - Filing Manager Fax Number
- Filing Company Information:
    - Company Name
    - NAIC Company Code
    - State of Domicile
    - Company Address
    - NAIC Group Code
    - Company Type
    - Group Name
    - State ID Number
    - Company Phone Number
    - FEIN Number

In the Filing Fees section, these fields display if required:

- Fee Required
- Fee Amount
- Retaliatory
- Fee Explanation
- Per Company
- Check Number
- Check Amount
- Check Date
- Company
- Amount
- Date Processed
- Transaction #

**Note:** If the fees are spread across multiple companies in a CG filing, the check or EFT information is listed for each company underneath each other in a table format.

In the State Specific section:

- State Specific information

## Filing Correspondence

The Filing Correspondence section of a Filing Summary for paper filings contains a **Summary** part, and a **Filing Correspondence Details** part.

The **Summary** part displays these items for each correspondence activity:

- Filing Correspondence Description
- Tracker Filing ID/Company Ref #
- Date

The **Filing Correspondence Details** part contains the detail for each activity listed in the above Summary. Each activity's detail is followed by the attachment from the activity's Attach File field (if present), then the rest of the activity's attachments (documents).

# Chapter 13

# Viewing Filings and Attachments for Schedule Items in the DMS

If you have a document management system (DMS), you can view the following within the DMS:

- a listing of filings showing each filing's status
- a listing of schedule items associated with a filing
- the status of each attachment

**Note:** The only attachments that are shown in the DMS are attachments that are stored in the DMS. Attachments that are stored in a file systems will not display.

The types of schedule items that can be displayed in the DMS are as follows:

- rates
- advertisements
- forms

Using the search capabilities of the DMS, you can search for filings or rates, advertisements, and forms that match your search criteria.

This chapter describes:



**Note:** The screens on your system may differ from those shown in this guide.

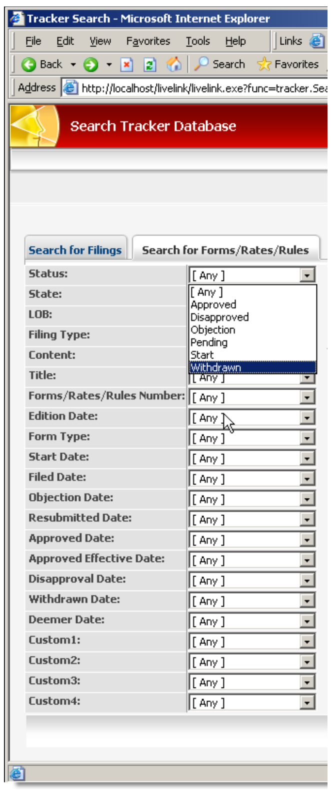
# The Search Interface

The following kinds of search mechanisms exist in the search interface for filings and schedule items:

- *Drop-Down Menus* on page 412
- *Drop-Down Menus with Manual Text Entry* on page 412
- *Date Search Menus* on page 413

## Drop-Down Menus

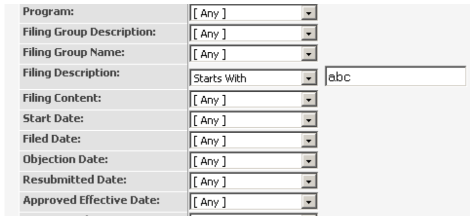
Drop-down menus contain a list of all available entries from the existing data for the given search parameter.




In the above example, all available filing statuses are entered automatically in the drop-down menu and can be used as the choice for that search parameter.

## Drop-Down Menus with Manual Text Entry

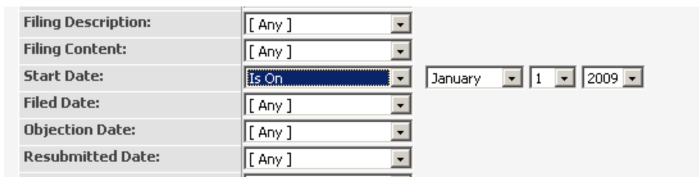
Some drop-down menus allow you to enter a search string as part of the search parameter.




In the above example, you can search for the **Filing Description** by entering text found at the beginning of the description.

## Date Search Menus

Some search parameters involve the dates of statuses associated with filings or attachments.




In the above example, you can search for filings with a **Start Date** of January 1, 2009.

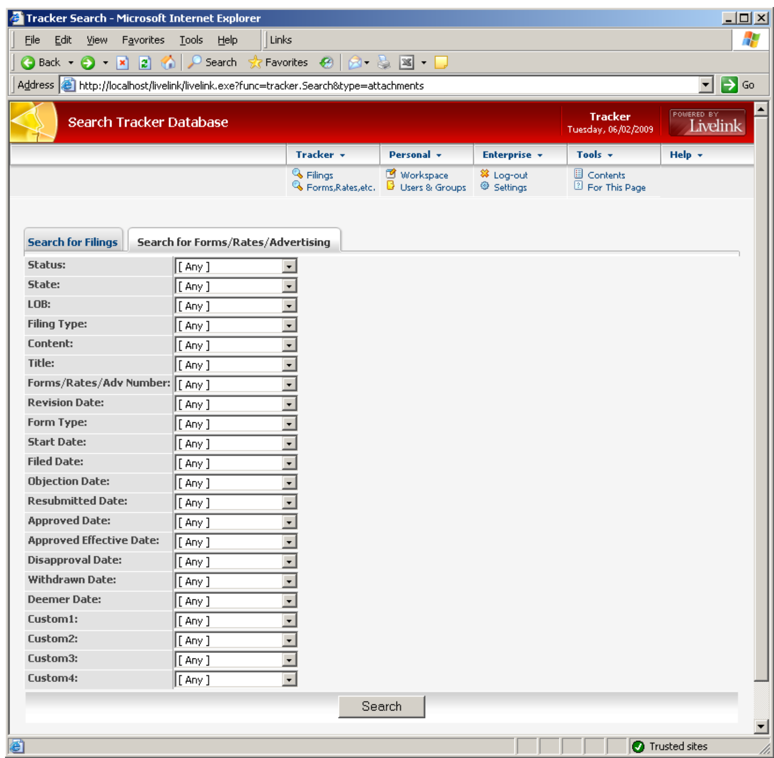
# Searching for Filings

You can search for filings using a variety of criteria. This method is a convenient way to see the status of a filing or filings.

### Method: Search for a filing

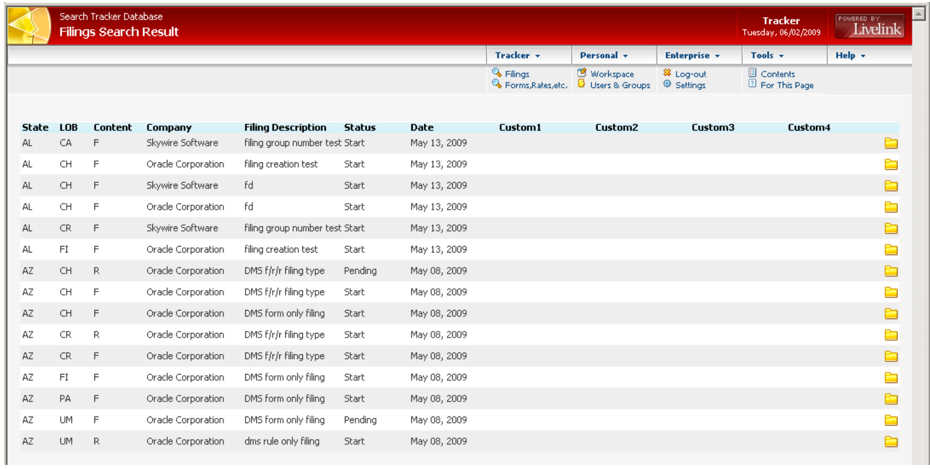
1. Log in to the DMS.
2. Under the heading **Tracker**, click **Filings**.

   The **Search Tracker Database** screen displays with the **Search for Filings** tab selected.




3. Enter any combination of criteria you want to use to narrow your search and click **Search**.

   The **Filings Search Result** page displays.




The status of each filing displayed is shown in the Status column.

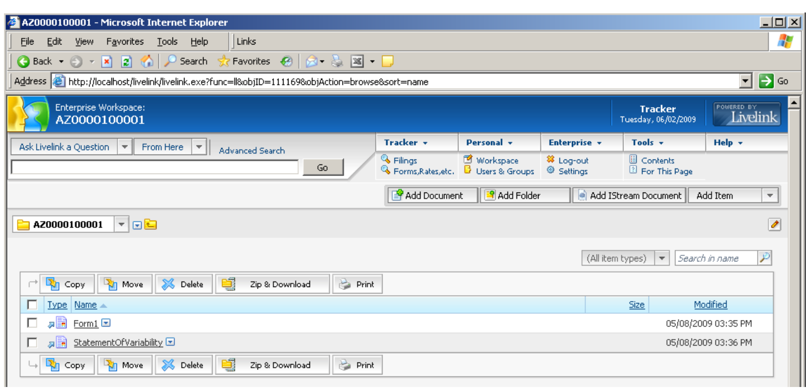
## Viewing Rates, Rules, and Forms

On the search results screen, you can view rates, rules, and forms associated with a filing by clicking on the folder icon at the far right. You can also view the states and LOB for any rate, rule, and form.

### Method: View rates, advertisements, and forms

1. On the **Filings Search Results** screen, click the folder icon at the far right of the filing.


The contents of a folder containing all the attachments for that filing displays.



2. To view the status of that attachment's schedule item, click the arrow and select **Tracker Status**.


A list of the states and LOBs associated with this attachment's rate, advertisement, or form appears.

3. Click the **Details** link to view the list of dates applicable to this rate, advertisement, or form.

# Searching for Rates, Rules, and Forms

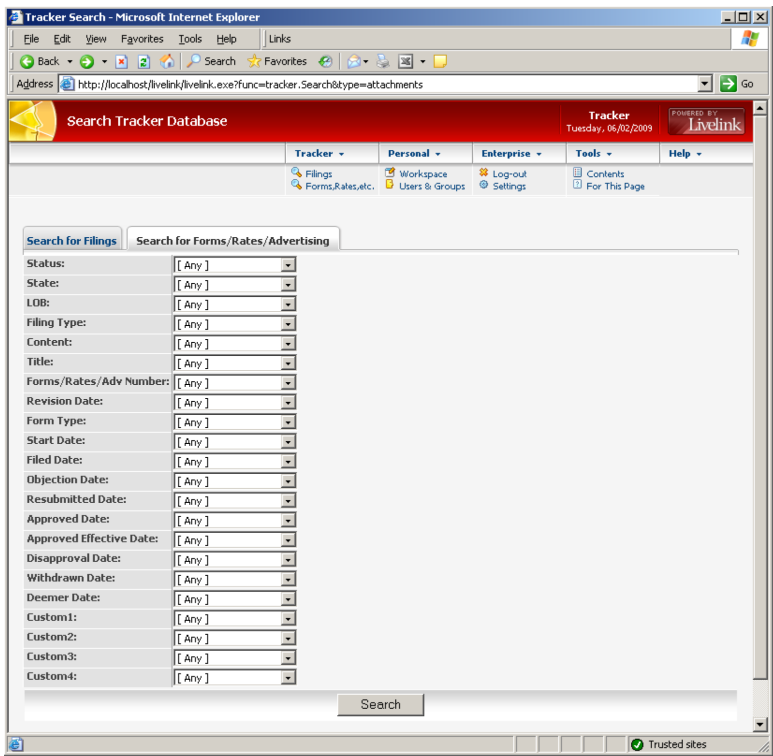
Using the DMS, you can search for and view a filing's rates, rules, and forms, view their attachments, and check their status.

## Method: Search for rates, rules, and forms

**1.** Log in to the DMS.

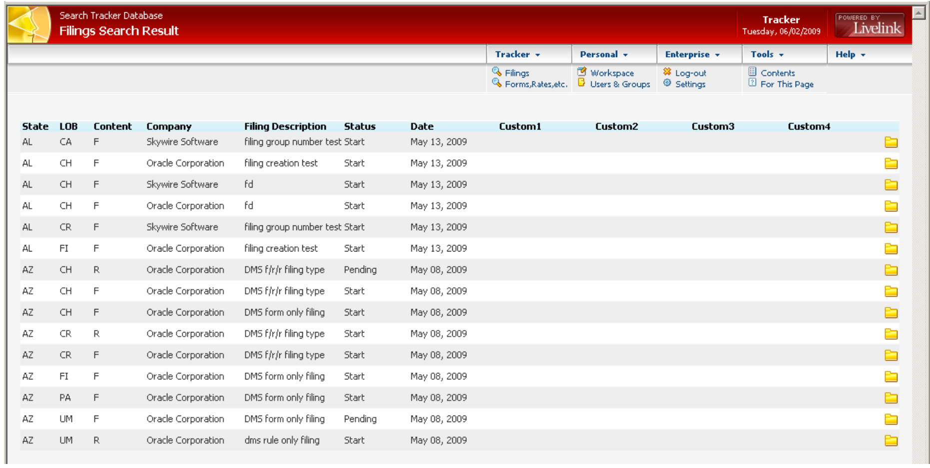
**2.** Under the heading **Tracker**, click **Forms, Rates, etc.**

The **Search Tracker Database** screen displays with the **Search for Rates/ Rules/Forms** tab selected.




**3.** Enter any combination of criteria you want to use to narrow your search and click **Search**.

The **Filings Search Result** page displays.




| State | LOB | Content | Company | Filing Description | Status | Date | Custom1 | Custom2 | Custom3 | Custom4 |
|---|---|---|---|---|---|---|---|---|---|---|
| AL | CA | F | Skywire Software | filing group number test | Start | May 13, 2009 | | | | |
| AL | CH | F | Oracle Corporation | filing creation test | Start | May 13, 2009 | | | | |
| AL | CH | F | Skywire Software | fd | Start | May 13, 2009 | | | | |
| AL | CH | F | Oracle Corporation | fd | Start | May 13, 2009 | | | | |
| AL | CR | F | Skywire Software | filing group number test | Start | May 13, 2009 | | | | |
| AL | FI | F | Oracle Corporation | filing creation test | Start | May 13, 2009 | | | | |
| AZ | CH | R | Oracle Corporation | DMS f/r/r filing type | Pending | May 08, 2009 | | | | |
| AZ | CH | F | Oracle Corporation | DMS f/r/r filing type | Start | May 08, 2009 | | | | |
| AZ | CH | F | Oracle Corporation | DMS form only filing | Start | May 08, 2009 | | | | |
| AZ | CR | R | Oracle Corporation | DMS f/r/r filing type | Start | May 08, 2009 | | | | |
| AZ | CR | F | Oracle Corporation | DMS f/r/r filing type | Start | May 08, 2009 | | | | |
| AZ | FI | F | Oracle Corporation | DMS form only filing | Start | May 08, 2009 | | | | |
| AZ | PA | F | Oracle Corporation | DMS form only filing | Start | May 08, 2009 | | | | |
| AZ | UM | F | Oracle Corporation | DMS form only filing | Pending | May 08, 2009 | | | | |
| AZ | UM | R | Oracle Corporation | dms rule only filing | Start | May 08, 2009 | | | | |

# Viewing Rate, Rule, and Form Statuses

The status of some rates, advertisements, and forms can correspond to multiple dates. The following table summarizes the relationship between statuses and dates:

| Status | Corresponding Date | Conditions/Rules for Determining Date |
|---|---|---|
| Disapproved | Disapproved Date | Same as **Corresponding Date** |
| Objection | Objection Date | Same as **Corresponding Date** |
| Start | Start Date | Same as **Corresponding Date** |
| Withdrawn | Withdrawn Date | Same as **Corresponding Date** |
| Approved | Approval Date | Approval Date has been entered, Deemer Date has not |
| Approved | Approved Effective Date | Approval Date and Approved Effective Date have both been entered |
| Approved | Deemer Date | Approval Date and Deemer Date have both been entered |
| Pending | Filed Date | The Filed Date will be displayed when there is a Start Date but no Objection Date or Resubmitted Date |
| Pending | Resubmitted Date | The Resubmitted Date will be displayed when there is a Filed Date and an Objection Date |

When you view the status of a rate, advertisement, or form, in all cases the **Corresponding Date** from the above table will be displayed in the DMS.

You can view rate, advertisement, and form statuses by searching for rate, rule, and form. The status is displayed in the **Status** column.

# Clearing Search Parameters

After entering multiple search parameters, you might want to clear all parameters to enter new ones.

### Method: Clear search parameters

On the search screen, click the **Refresh** button in your Web browser, or press **F5**. The current set of search parameters is cleared.

# Appendix A

# Troubleshooting

This appendix reviews potential problems you might have with Tracker, and some possible solutions. If the methods described in this chapter do not resolve your problem, please contact Customer Support.

This chapter describes:

# Troubleshooting Tracker

This section describes troubleshooting the following areas:

- *Viewing Activities in the Filing Package* on page 422
- *Deleting Activities in the Filing Package Tab* on page 422
- *Updating Subscriptions or Services Causes Error Message* on page 422

See also: *SERFF — Filing in Limbo* on page 423.

## Viewing Activities in the Filing Package

### Problem

Trying to view a document within an activity in the Filing Package tab displays the following error message:

> *This file does not have a program associated with it for performing this action. Create an association in My Computer by clicking View and then clicking Options.*

### Solution

You need to install Adobe Acrobat Reader 5 or higher to be able to view the document. Adobe Acrobat Reader is available at http://www.adobe.com.

## Deleting Activities in the Filing Package Tab

### Problem

Trying to delete an activity under the Activity Tab that has been moved to the Filing Package tab displays the following error message:

> *This activity has been moved to the filing package and cannot be deleted.*

### Solution

You do not have a user access level that allows you to delete activities from the Filing Package tab.

## Updating Subscriptions or Services Causes Error Message

### Problem

You receive the following error message when trying to load a monthly update:

> *Wrong 'Tracker Load' file or the update period in the 'Tracker Load file is different.*
>
> *Unable to continue. Options or dates mismatch.*

### Solution

Check to make sure you are loading the correct monthly update. If not, you will receive the error message above.

## SERFF — Filing in Limbo

### Problem

A "filing in limbo" is a filing where the SERFF activity was successfully completed and moved to the Filing Package, but no log entry was received, nor has the SERFF status of the filing advanced. Here are two examples:

- **SERFF: Generate/Submit to SERFF:** After performing this activity, if Tracker receives a status update for this filing, the **Move to Filing Package** check box will remain locked. If no status message for the filing is received after four hours, the check box will unlock.
- **SERFF: Submit Filing Amendment, SERFF: Submit Objection Response,** and/or **SERFF: Submit Note to Reviewer:** After performing one of these activities, if the item is successfully submitted, the **Move to Filing Package** checkbox will remain locked. If the item is not successfully submitted, the checkbox will unlock after four hours.

### Solution

After Tracker unlocks the **Move to Filing Package** check box, you can move the activity out of the filing package by clearing the check box and closing the activity. This results in one of two possible outcomes:

- If the filing is no longer in the queue, Tracker will change the status of the activity to FAILED. For Filing Amendments, NTRs and Objection Responses, Tracker will also change the status of these items under the **Correspondence** tab to DRAFT. If you need to edit, change, or delete any data or attachments, you must delete the activity with which they are affiliated.
- If the filing is still in the queue, this error message will appear: "*The activity could not be moved out of the filing package as it's still in the queue to go to SERFF. Please check with your system administrator to ensure that the Tracker monitor is functioning properly.*"

**Note:** You must not go back into a FAILED activity; you must perform the activity again.

# INDEX

## T