Oracle® Insurance Compliance Forms Tracker

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INSURANCE

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Chapter 1

Overview

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

This chapter describes:

- *Document Conventions* on page 18
- *Tracker* on page 19
- *The Tracker Modules* on page 20
- *SERFF Integration* on page 24
- *Using the Calligo DMS with Tracker* on page 25
- *Tracker Training* on page 26
- *Tracker Documentation* on page 27
- *Using the Online Help* on page 28
- *Contacting Skywire Software for Help* on page 31

Document Conventions

Tips, Notes, Important Notes and Warnings

Tip: A **Tip** provides a better way to use the software.

Note: A **Note** contains special information and reminders.

Important: An **Important** note contains significant information about the use and understanding of the software.

Warning: A **Warning** contains critical information that if ignored, may cause errors or result in the loss of information.

Other Document Conventions

- Window names, buttons, tabs and other screen entities are in bold, for example: Click **Next**.
- Paths, URLs and code samples use the Courier font, for example: `C:\Windows`
- Some sections contain links to other **Related Topics**.

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.
- Access to a full comprehensive regulatory filing knowledge base covering 55 states and jurisdictions. The knowledge base provides all filing forms and filing regulations and is maintained and updated by Skywire Software's insurance compliance professionals.
- 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.

Optional Tracker functionality that may be purchased includes:

- A web-based document management system for storage of filings and forms providing full access to others outside of the filing department.
- Ability to integrate with Launcher, a separate application that is used to develop filing profiles and submit them to Tracker, simplifying the process of creating filings.
- Ability for self-service visibility with up-to date status searching for all impacted users from product conception through approval.
- Ability to actively manage and improve processes with insight gained through web-based reporting and analytics.

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 20
- *Legislation* on page 22
- *Reports* on page 22
- *Regulatory Specialist* on page 22
- *Administration* on page 23

Filing Module

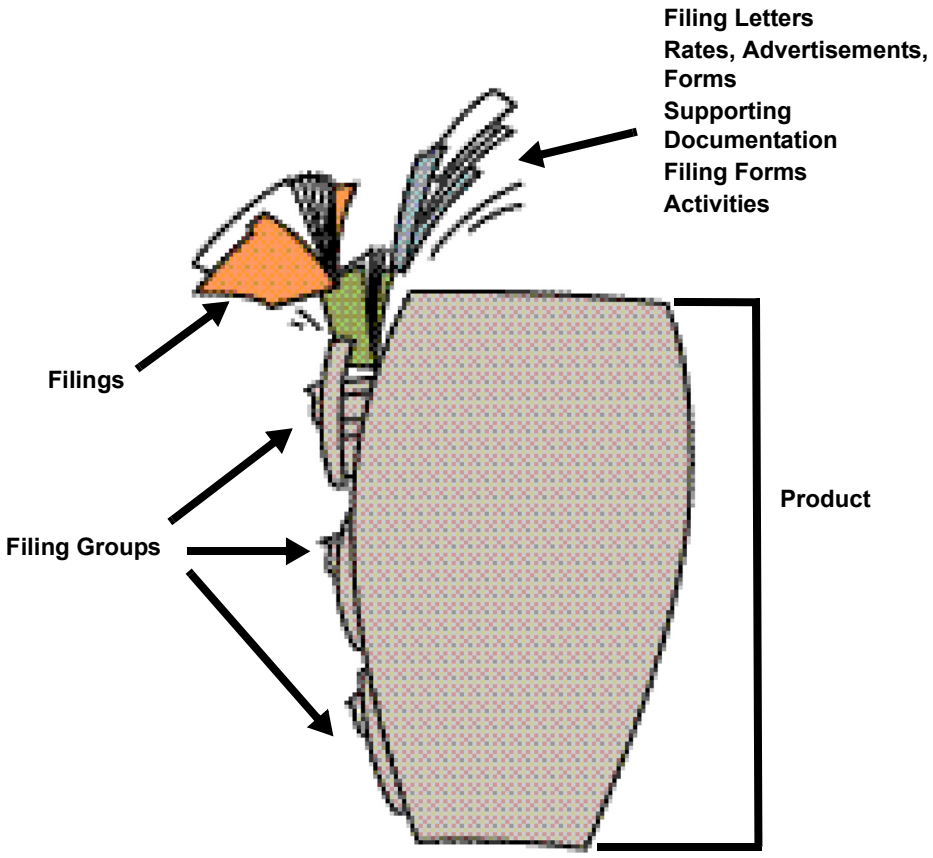
The Filing Module is comprised of three levels in which you can create, store and track filing submissions to the Departments of Insurance. These levels are:

- 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:

- *Working with Products and Filing Groups* on page 123
- *Working With Filings* on page 131
- *Working With Common Filing Tasks* on page 177
- *Working With Activities* on page 193
- *Understanding Filing Letters* on page 297
- *Working With Filing Profiles* on page 319

Legislation

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

Legislation 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 legislation can be linked to each other and they can also be linked to related filings which might be necessary to comply with the legislation.

See *Working with Legislation* on page 305 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) and in the Regulatory Specialist.

For more information, see:

- *Administrative Reports* on page 102
- *Searching and Reporting* on page 363
- *Working with the Regulatory Specialist* on page 345

Regulatory Specialist

The Regulatory Specialist module is used to keep all the state regulatory information you require for filings at hand in an easy to read tab format. The Regulatory Specialist is a knowledge based database which contains comprehensive state by state, line of business-specific regulatory information crucial to the filing process.

This database:

- provides background logic information that is used in creating filings
- is searchable, to provide additional information to you whenever you need it during your day to day filing processes.

Regulatory Specialist updates are provided in real time as frequently as each day if necessary. You access the updates from a secure server. You can schedule the days and times for downloading the updates, or you can access the updates whenever you choose.

See *Working with the Regulatory Specialist* on page 345 for more information.

Administration

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

- *System Defaults* on page 35
- *System Security* on page 40, including user security
- *Company Information* on page 44
- *Working with User Profiles* on page 72
- *Working with Custom Tables* on page 78

See *Working with the Administration Module* on page 33 for more information.

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: see *Contacting Skywire Software for Help* on page 31. 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 the Calligo DMS with Tracker

Your system administrator may have configured Tracker to allow you to store filing attachments (forms, rates, and advertisements) in the *Calligo DMS*. The Calligo DMS is a Document Management System where you and other Tracker users can open and save certain files.

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

Tracker Training

Tracker training courses are regularly offered by Skywire Software at our Markham, Ontario offices. Alternatively, if you prefer, our training staff can come to your offices and present the training course there. Each training course is aimed specifically at your segment of the insurance industry, and is designed to take new and experienced Filing Analysts through every step of a filing and every facet of Tracker. For more information regarding Tracker training, please contact Customer Support.

Tracker Documentation

Tracker includes the following documents and online help files. If you need a copy of any of these documents, please contact your system or product administrator.

- 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's 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, supported platforms and third-party software, assorted considerations, and known issues and limitations.
- 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, technical information about the Regulatory Specialist files and validation process, and troubleshooting information.

Using the Online Help

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

- *The Contents of the Online Help* on page 28
- *Searching the Help* on page 28
- *Using the Help Index* on page 29
- *Using the Help Table of Contents* on page 29
- *Navigating the Help* on page 29
- *Printing a Help Topic* on page 30

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 28
- *Using the Help Index* on page 29
- *Using the Help Table of Contents* on page 29
- *Navigating the Help* on page 29

Searching the Help

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

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.

Contacting Skywire Software for Help

Customer Support hours are 8:00 A.M. to 8:00 P.M. (Eastern Time), Monday through Friday. Outside of these hours, send us a detailed e-mail message and you will be contacted during regular business hours. Please provide detailed information, as described in the *Support Checklist*.

Contact Information

Mail: Customer Support
Skywire Software
19 Allstate Parkway, Suite 400
Markham, Ontario, L3R 5A4

Phone: 1-905-513-7466

Fax: 1-905-513-1684

Email: directsupport@skywiresoftware.com

Web: www.skywiresoftware.com

Support Checklist

When contacting Skywire Software Customer Support, please provide the following information:

- Your name, company name, e-mail address, and phone number
- Version numbers of all your Skywire Software products
- Name and version of the network software
- Windows version, including any installed Service Packs
- Microsoft .NET Framework version
- DMS version, including any installed Service Packs (if applicable)
- Microsoft Word version (if applicable)
- Database vendor and version (if applicable)
- Error messages and the circumstances of their occurrence
- A full description of the problem:
    - What happened? What were the sequence of events that preceded the problem?
    - In which screen or window did the problem occur?
    - Was the problem the result of pressing a key?
    - Did the screen freeze? What functions of the software are affected?
    - How many people are affected?

Chapter 2

Working with 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 all of the Tracker maintenance functions, tables, and databases. This is where the information specific to your company is entered and maintained in the Tracker system. This chapter is recommended for anyone involved in setting up or maintaining an Tracker system.

Note: The **Admin** menu is available only to users having a specific security access level. 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 widespread impact throughout your Tracker system.

This chapter describes:

- *Setting Up Tracker the First Time* on page 34
- *System Defaults* on page 35
- *System Security* on page 40
- *Company Information* on page 44
- *Configuring Tracker for Use with SERFF* on page 56
- *Accessing Regulatory Specialist Updates* on page 62
- *Working with User Profiles* on page 72
- *Working with Custom Tables* on page 78
- *Administrative Reports* on page 102

Setting Up Tracker the First Time

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

1. **System Defaults**: see *System Defaults* on page 35
2. **Security Access Levels**: see *System Security* on page 40
3. **Company Information**: see *Company Information* on page 44
4. **SERFF System Defaults**: see *Configuring Tracker for Use with SERFF* on page 56
5. **RS Update Settings**: see *Accessing Regulatory Specialist Updates* on page 62
6. **User Profiles**: see *Working with User Profiles* on page 72
7. **Custom Tables**: see *Working with Custom Tables* on page 78

You only need to configure these areas once in full and then regularly maintain them afterwards. Note that you may need to contact your IT department for some of the required information.

Note: Customer Support can help you with the system setup process: see *Contacting Skywire Software for Help* on page 31.

System Defaults

This section describes how to define certain system default settings that will apply to every Tracker user:

- *Defining a Group Name* on page 35
- *Configuring the Display of Filings with Suspense Activities* on page 35
- *Configuring Profile Affiliation Criteria* on page 36
- *Displaying or Hiding Canadian Provinces* on page 37
- *User ID and Password Authentication* on page 38

Defining a Group Name

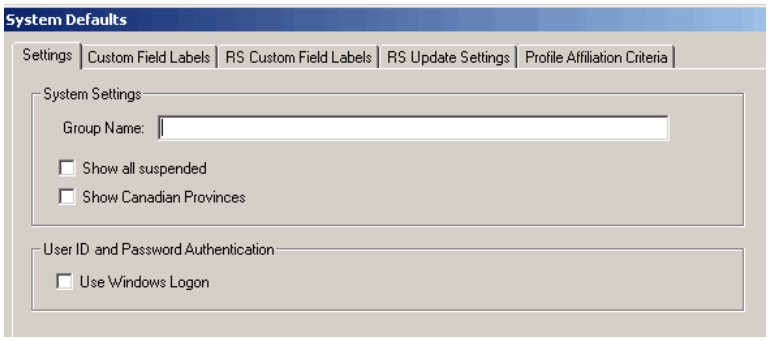
The field, **Group Name**, is included within the **System Defaults** tab. If this field is populated, Tracker will pass the value in this field to SERFF.

Method: Define a group name

---

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

   System Defaults opens with the **Settings** tab displayed.



2. Enter the **Group Name**.
3. Click **OK**.

Configuring the Display of Filings with Suspense Activities

You can set up Tracker to always display one of the following sets of filings with suspense activities:

- All filings with suspense activities that require action in the **My Filings** tab and **Filings** tab.
- Only those filings with suspense activities up to the current date that require action in the **My Filings** tab and **Filings** tab.

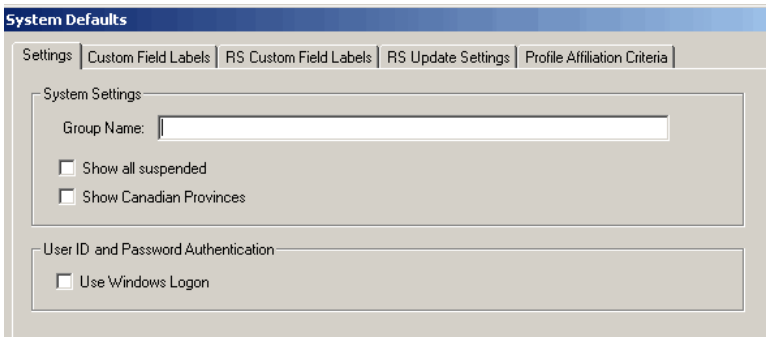
The second option is the default setting when Tracker is first installed.

You configure which filings with suspense activities will be displayed by using the **Show all suspended** checkbox.

Method: Configure the display of filings with suspense activities

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

   System Defaults opens.



2. To show filings with suspense activities regardless of date that require action in the **My Filings** tab and **Filings** tab, select the **Show all suspended** check box.
3. To show only those filings with suspense activities up to the current date that require action in the **My Filings** tab and **Filings** tab, deselect the **Show all suspended** checkbox.

   Click **OK** to save the settings.

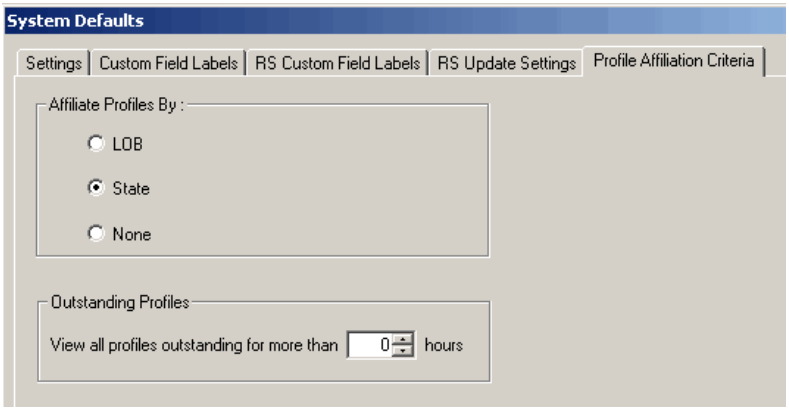
Configuring Profile Affiliation Criteria

You can set up Tracker so that users will only see the filing profiles for the LOBs or states that are assigned to them. To assign specific LOBs or states, see *Configure profile affiliation for a user* on page 75.

You can also set the maximum number of hours a filing profile can be outstanding before it is automatically displayed when the user logs on.

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

   The **System Defaults** dialog box opens.
2. Click the **Profile Affiliation Criteria** tab.



3. To select which profiles that all users will see, select one of the following items in the **Affiliate Profiles By** section:

   - if you want all users to see the filing profiles that only contain the LOBs assigned to them, select **LOB**
   - if you want all users to see the filing profiles that only contain the states assigned to them, select **By State**
   - if you want all users to see all the filing profiles, select **None**

4. To specify the maximum number of hours a filing profile can be outstanding before it is categorized as outstanding, enter a value in the **View all profiles outstanding for more than _hours** field.

   This value applies only to user levels that have been configured to view unassigned and outstanding filing profiles in **Admin > System Information > System Security**. For more information, see *System Security* on page 40.

Displaying or Hiding Canadian Provinces

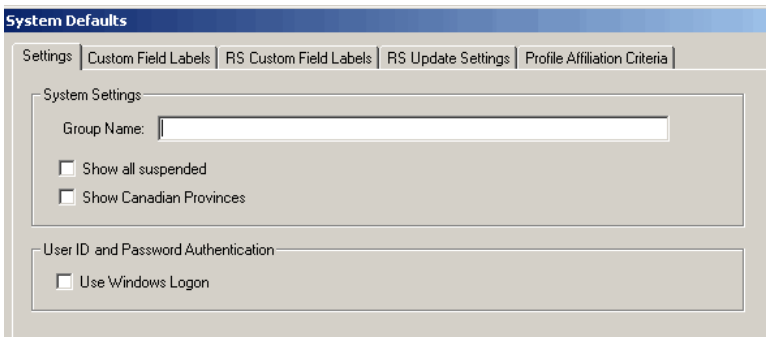
Tracker allows you to create, submit, and track filings for Canadian provinces. There is a check box in **System Defaults** which allows you to specify whether Canadian provinces appear in Tracker. By default, this check box is not checked. If you need to create filings for Canadian provinces, you will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

   System Defaults opens.



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**.

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.

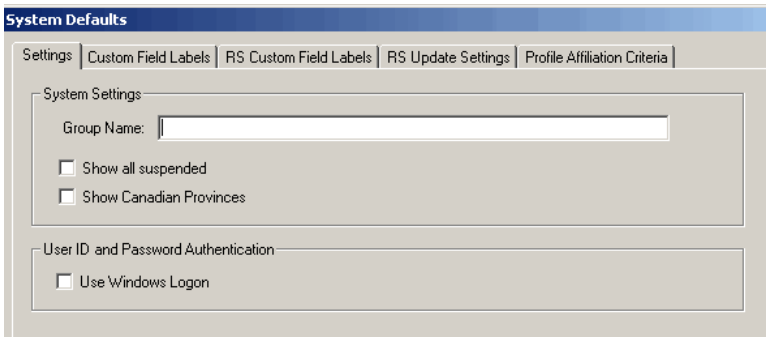
In addition to ease of use for users, the main benefit of this option is that your company can systematically enforce your password update policy, without any additional set up or configuration in Tracker.

By default, the Windows Authentication option is not enabled.

Method: Enable Windows Authentication

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

   System Defaults opens.



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

Note: If you do not choose the **Use Windows option**, no password change will automatically occur or be enforced in Tracker. When a user changes their Windows password, it will not be passed into Tracker. The user would still need to manually change their password in Tracker.

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.

System Security

Initially, you determine what functional user levels are required at your business location, and then assign various security settings for these user levels.The generic security settings you can establish for users are:

- Ability to view, create, update, and delete filing data
- Ability to view administrative functions
- Ability to perform administrative functions
- Ability to load subscription information
- Ability to remove activities from the Filing Package tab
- Ability to Add/Edit content in Regulatory Specialist custom fields

SERFF-Specific Security Settings

- Ability to delete SERFF messages from the SERFF messages tabs
- Ability to set maximum authorization levels for EFT transactions

Ability to accept, reject or suspend a filing profile

This security setting allows a user to

- view all filing profiles (one at a time) affiliated with the states or LOBs assigned to them ***and***
- accept, reject or suspend the filing profile

Users can view Filing profiles based on the states or LOBs affiliated with a user: see *Configuring Profile Affiliation Criteria* on page 36.

If a user **accepts** the filing profile, Tracker creates the appropriate filings automatically, including the filing documents attached to the filing profile and any required state filing forms.

If a user **rejects** the filing profile, a reason for the rejection is required and the filing profile is returned to Launcher for revision and resubmission to Tracker.

If a user **suspends** the filing profile, they can defer reviewing the filing profile.

Ability to view unassigned profiles and profiles outstanding more than a specified number of hours

This security setting allows a user to view all filing profiles (one at a time) that are:

- affiliated with states or LOBs not yet assigned to any Tracker user, ***or***
- affiliated with states or LOBs assigned to a Tracker user but not yet acted upon for a specified number of days

This setting also allows the user to suspend the filing profile.

This security setting differs from the security setting to accept, reject or suspend filing profiles in that it only allows a user to suspend the filing profile so that they

can investigate the appropriate corrective action required to correct the **Unassigned/Outstanding** status.

Configuring Security Access Levels

Tracker employs a flexible security system which allows your company to customize each of ten 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 41
- *Defining Security Access Levels* on page 42
- *Assigning User Access Levels* on page 43

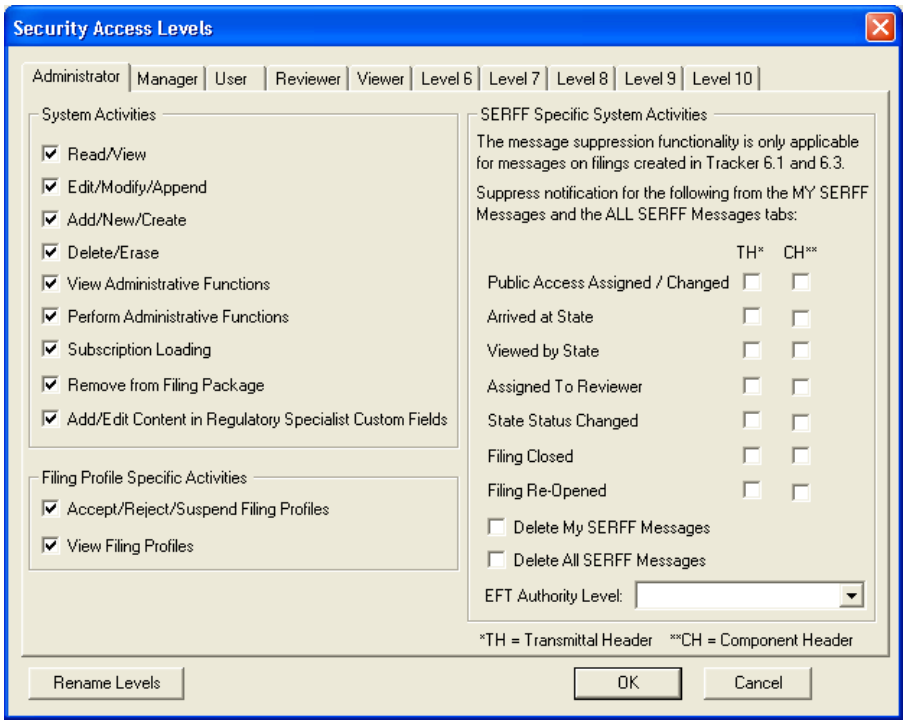
Defining Security Access Level Titles

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

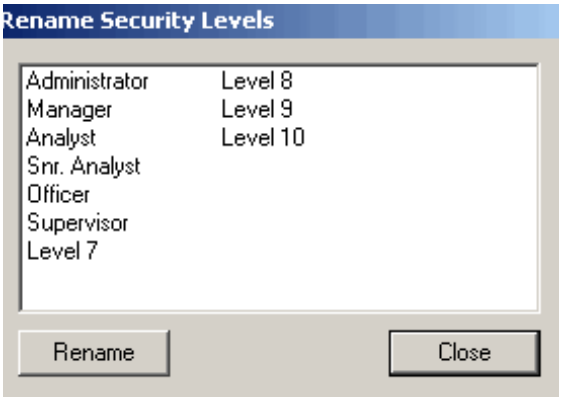
Method: Define access level titles

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

   The **Security Access Levels** screen opens.



2. Click **Rename Levels** to open **Rename Security Levels**.



3. Click the title you want to rename and click **Rename**.
4. Type in the desired new level title.
5. Repeat steps 3 and 4 as necessary for each of the remaining level titles.
6. Click **Close** to save your changes and return to the **Security Access Levels** dialog box.
7. Click **OK** to exit the dialog box.

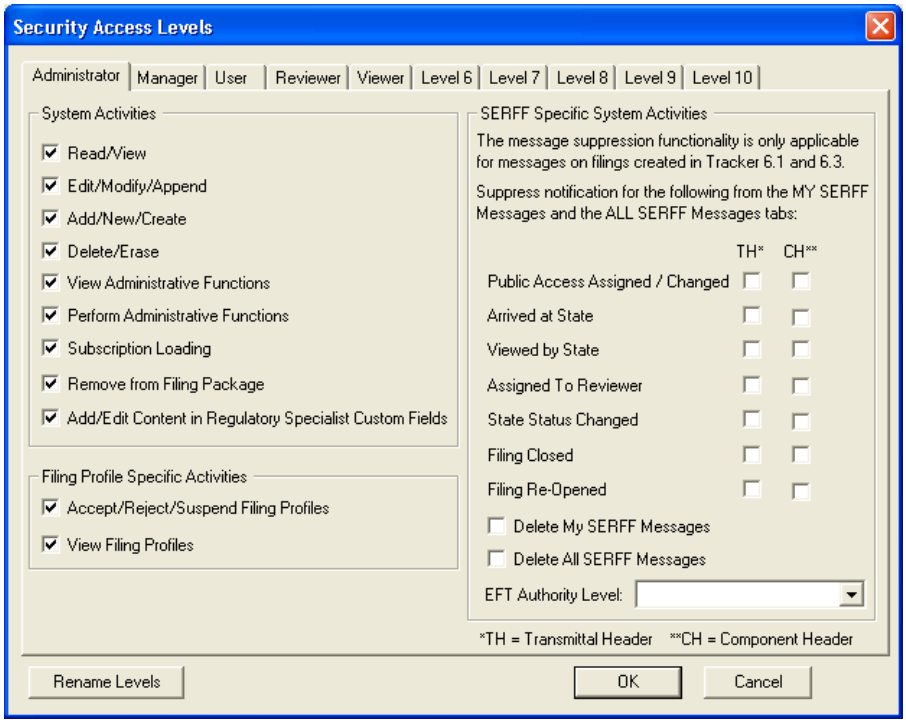
Defining Security Access Levels

For each access level, you can define which activities they can perform within Tracker.

Method: Define security access levels

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

   The **Security Access Levels** screen opens.



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 box, 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 a New User Profile* on page 72 for details.

Company Information

This section describes:

- *Understanding Company Information* on page 44
- *Adding a New Company* on page 45
- *Understanding Company Codes* on page 46
- *Entering General Information for a New Company* on page 47
- *Entering Authority Information for a New Company* on page 48
- *Changing General Information for an Existing Company* on page 50
- *Changing Authority Information for an Existing Company* on page 51
- *Entering Resource Information for a New Company* on page 51
- *Changing Resource Information* on page 53
- *Deleting a Company* on page 53
- *Accessing Existing Company Information Records* on page 54

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.

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.

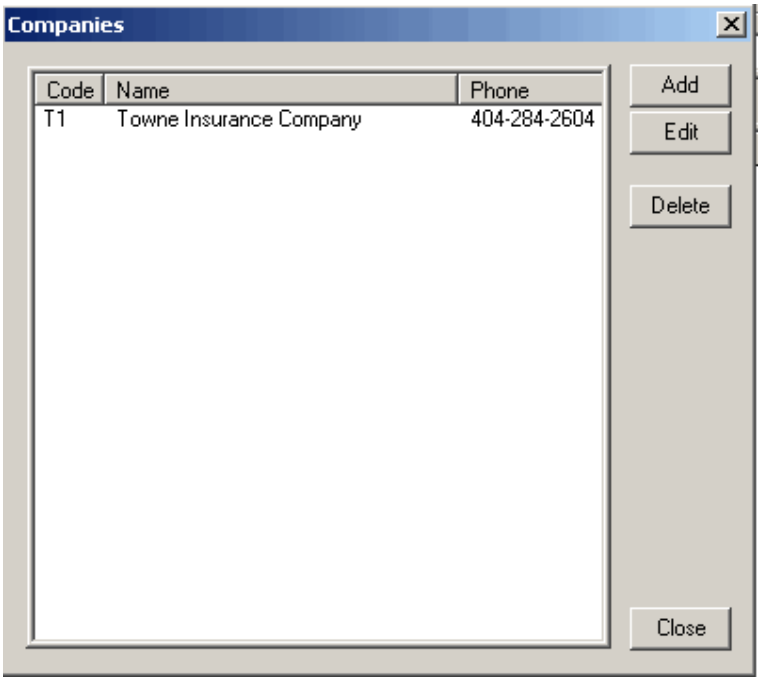
Adding a New Company

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

Method: Add a new company

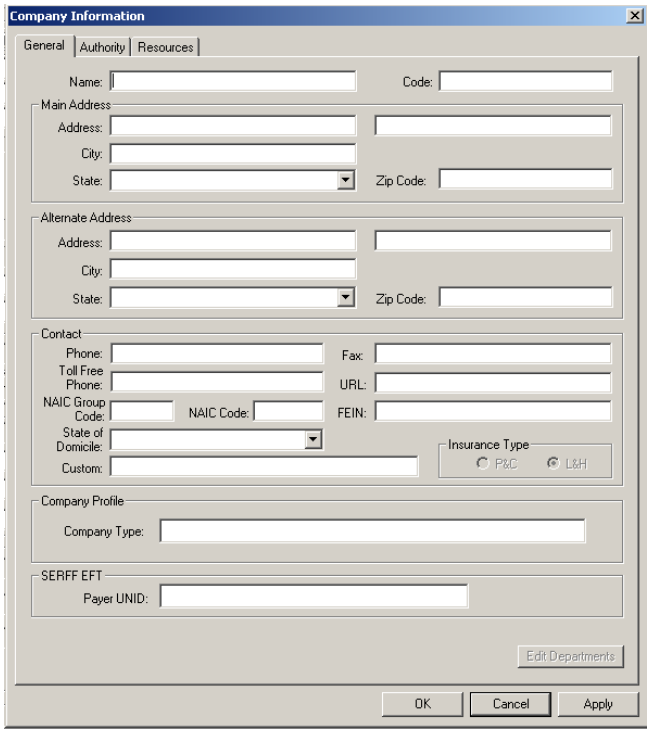
1. Select **Admin** > **Company Information**.

   The **Companies** dialog opens.



2. Click **Add**.

   Company Information opens.



3. Enter **General Information** and **Authority Information**. (See detailed directions in *Entering General Information for a New Company* on page 47 and *Entering Authority Information for a New Company* on page 48).

4. Assign **Resources.** (See detailed instructions in *Enter resource information for a new company* on page 51).

5. Click **OK** to save your data and return to **Companies**.

6. Click **Close** to exit **Companies**.

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**).

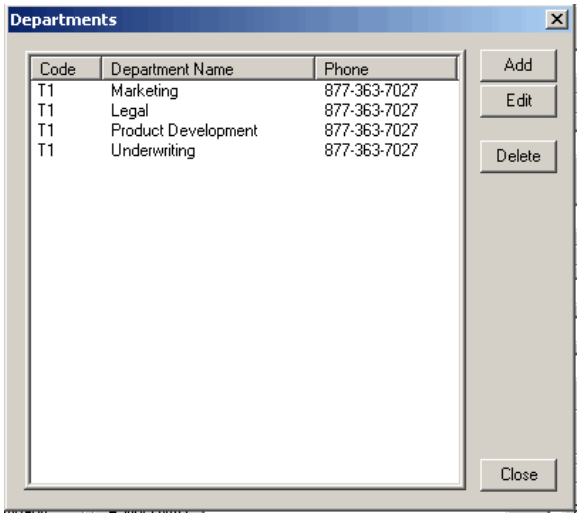
Entering General Information for a New Company

This section provides detailed directions for entering general information on a new company.

Method: Enter general information for a new company

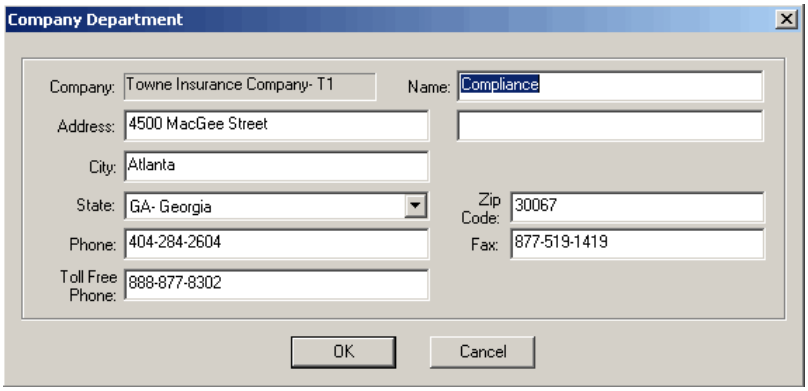
1. Enter the **Name** of the company and a unique, two-digit **Company Code**.
2. Enter the company's **Main Address**, and then the company's secondary or **Alternate Address** if applicable.
3. Enter **Contact** information for the company:
   - Enter any or all of the company's main **Phone Number**, **Toll-Free Phone Number**, **Fax Number**, and **URL**.
   - Enter the company's **NAIC Group Code** and the **NAIC Code** (the NAIC company code), if applicable.
   - Enter the company's Federal Employer Identification Number (**FEIN**).
   - Enter the company's **State of Domicile**.
4. 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.
5. 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**.
6. Click **Edit Departments**.

   Departments opens.



7. Click **Add**.

   Company Department opens.



8. Enter the **Name** of this department. Modify any other information as required.
9. Click **OK** to save the department information.
10. Repeat steps 7 to 9 until you have added all the necessary departments. Click **Close** to exit the Departments List Box.
11. Click **Apply** to save the information you have just entered.
12. Select the Authority tab, and proceed to enter authority information (see *Entering Authority Information for a New Company* on page 48).

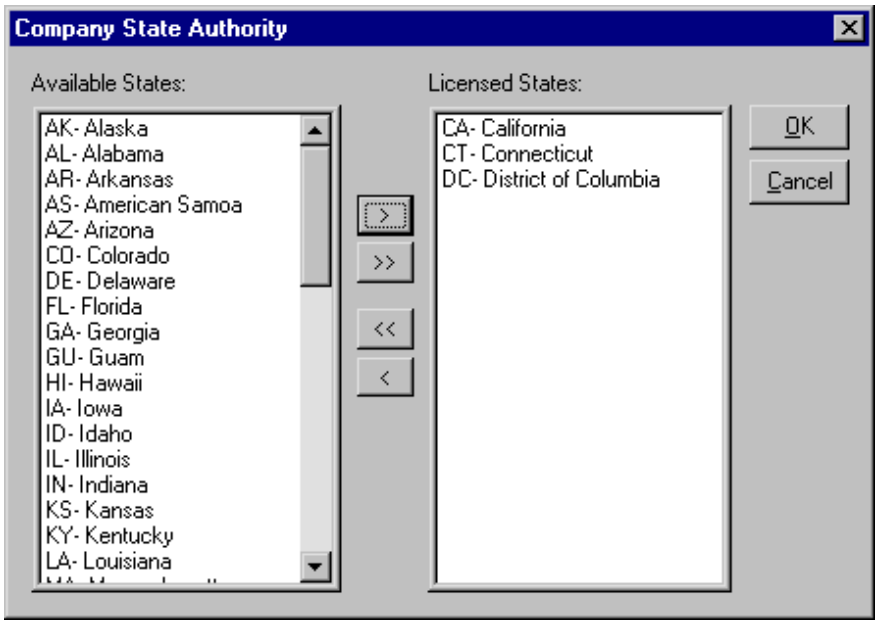
Entering Authority Information for a New Company

This section provides detailed instructions for entering authority information when adding a new company.

Method: Enter authority information for a new company

1. Click the **Authority** tab.
2. Click **Add** (located below **State ID**).

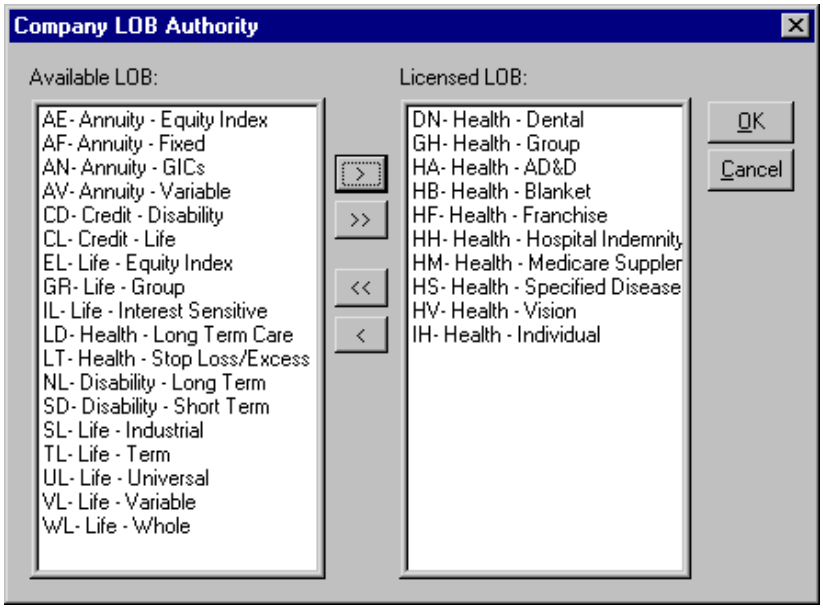
Company State Authority opens.



3. From the list of **Available States**, select the states in which this company is licensed to sell insurance using the left and right movement buttons.

Clicking on the double arrows will move all entries.

4. 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 large list field at the left of the tab.
5. Click the first state in the list.
6. In the **State ID** field, enter the state identification code for this company, if applicable.
7. To open **Company LOB Authority**, click the **Add** button located near the bottom of the tab.



8. From the list of **Available LOBs**, select the lines of business for which this company is licensed to sell insurance in this state using the left and right movement buttons . Clicking on the double arrows will move all entries.
9. 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 large list field at the left of the tab.
10. Repeat steps 5 through 9 for each state listed.
11. Click **OK** to save your information and return to the **Companies** dialog box.
12. Click **Close**.

Changing General Information for an Existing Company

You can change general information for an existing company.

Method: Change general information for an existing company

1. Select **Admin** > **Company Information**. **Companies** opens.
2. Select the company whose information you want to change.
3. Click **Edit** to open the related **Company Information** dialog box.
4. Select the **General** tab if necessary.

5. Make any necessary changes to the information displayed on the **General** tab.
6. Click **OK** to save your changes and return to **Companies**.
7. Click **Close** to exit the list box.

Changing Authority Information for an Existing Company

You can change general information for an existing company.

Method: Change authority information for an existing company

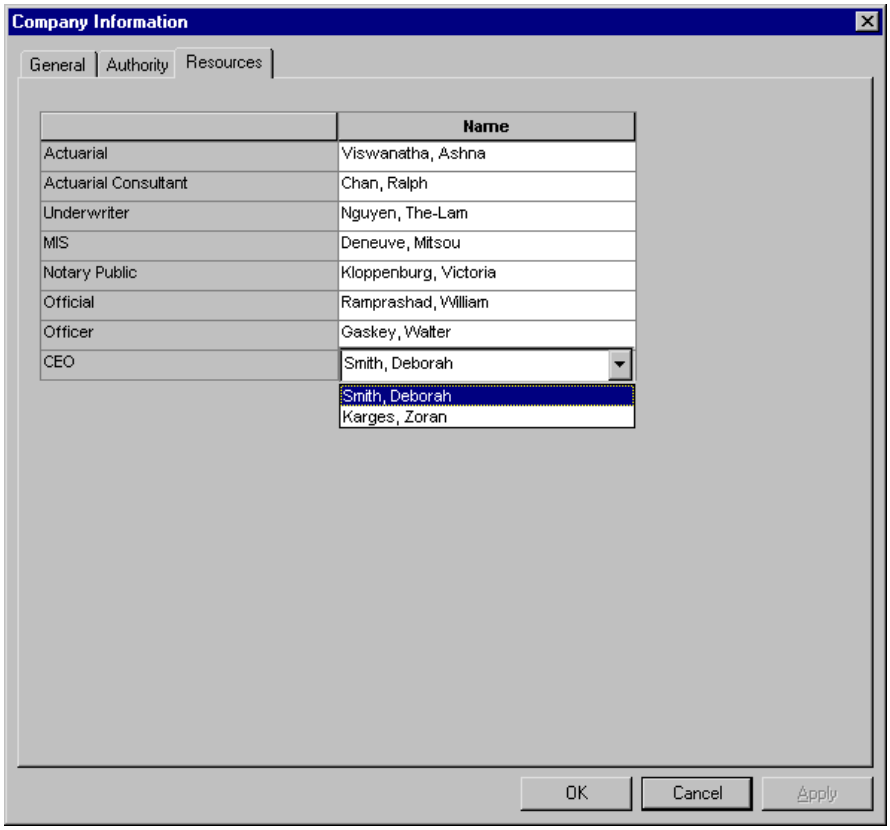
1. Select **Admin** > **Company Information**. **Companies** opens.
2. Click the **Company** whose information you want to change.
3. Click **Edit** to open the related **Company Information** dialog box.
4. Click the **Authority** tab if necessary.
5. Make any necessary changes to the information displayed on the **Authority** tab. If changing **State ID** or **Line of Business** information, click the appropriate **Update** button after making your changes.
6. Click **OK** to save your changes and return to the **Companies** dialog box.
7. Click **Close**.

Entering Resource Information for a New Company

Note: Resource information can be added to a company record only after user profiles have been entered into the system. See *Working with User Profiles* on page 72.

Method: Enter resource information for a new company

1. On the **Company Information** dialog box, click the **Resources** tab.



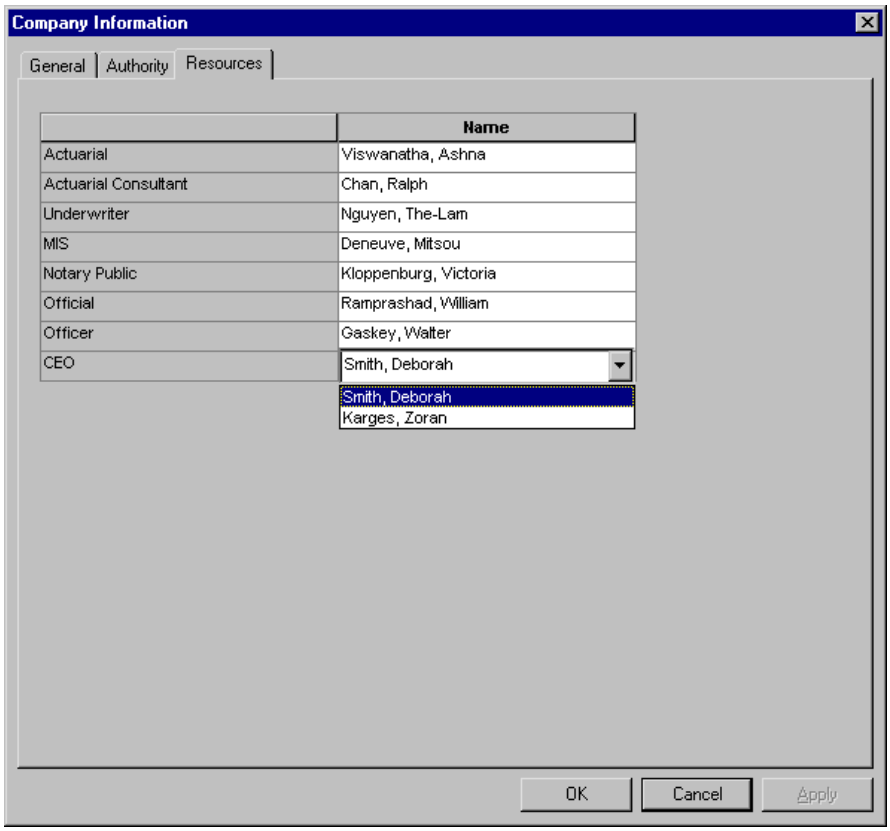
2. For each resource type applicable to this company, select a name from the related drop-down list.
3. Click **OK** to save your resource information and exit **Company Information**.
4. Click **OK** to save your data and exit **Company Information**.

Changing Resource Information

Resources can be changed at any time.

Method: Change resource information

1. On the **Company Information** dialog box, click the **Resources** tab.



2. For each resource type you want to change information for, select a new name from the related drop-down list.
3. Click **OK** to save your resources information and exit **Company Information**.

Deleting a Company

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. Consult your Tracker Customer Support contact if you have any questions.

Method: Delete a company

1. Select **Admin** > **Company Information**. **Companies** opens.
2. Click the company you want to delete.
3. Click **Delete**.

   If this company does not have any filings associated with it, you will see the following message:

   Towne Insurance

   Delete this company and all its dependencies?
4. Click **Yes** to confirm the deletion (or **No** to cancel the deletion) and return to the Companies list box. The deleted company will no longer appear on the list.
5. Click **Close** to save the deletion and exit the list box.

Note: If this company is in use (that is, it already has filings attached to it), you will see the following message:

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

You cannot delete any company to which filings are attached. Click **OK** to close this message.

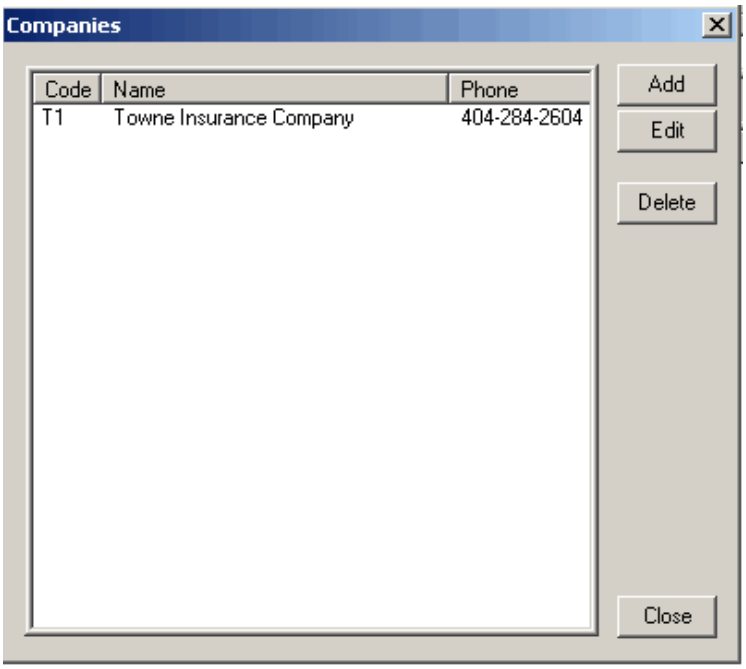
Accessing Existing Company Information Records

You can access existing company information records to review them.

Method: Access existing company information records

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

   The **Companies** dialog box opens.



2. To open the **Company Information** dialog box, double-click the company you want to access.
3. The **Company Information** dialog box opens.

Configuring Tracker for Use with SERFF

To be able to submit filings using SERFF, you must configure Tracker at the administration level to allow for full communication between the two applications. Certain information is mandatory for use with SERFF. When you first start Tracker, these SERFF **System Defaults** fields will be blank.

The **SERFF System Defaults** dialog box includes three tabs: **System**, **Preferences** and **Attachment Format**. The following sections describe how to configure the information within these tabs:

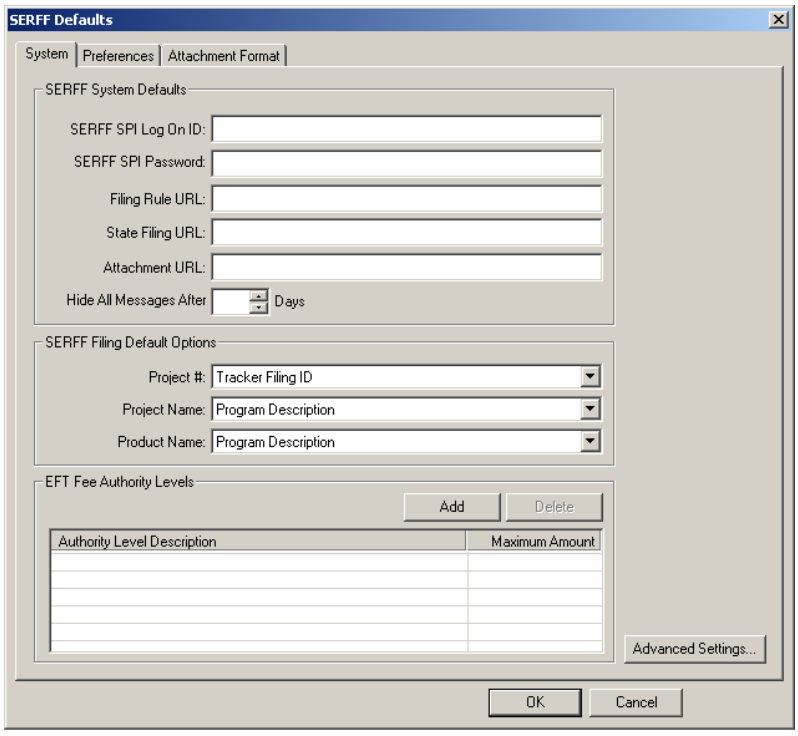
- *Configuring the SERFF Default System Settings* on page 56
- *Proxy Server Settings (Advanced Settings)* on page 59
- *Configuring SERFF Preferences* on page 59
- *Configuring SERFF Schedule Item Attachment Formats* on page 60

Configuring the SERFF Default System Settings

Method: Configure the SERFF default system settings

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

   The **SERFF Defaults** dialog box opens.



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**
- **Hide All Messages After # Days**

SERFF Filing Default Options:

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

3. Configure the **EFT Authority Levels**.
4. Click **OK**.

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

Note: The following section describes these settings in detail.

Understanding the SERFF Default System Settings

The following section describes each of the fields on the **SERFF System Defaults** dialog box.

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 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

These URLs are for SERFF's production servers. The **Filing Rules URL** is the server where all SERFF filing requirements all stored. The states are responsible

for entering and updating the data on the Filing Rules server. The NAIC is responsible for the actual maintenance of this server.

The **State Filings URL** is 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 a new field required by the NAIC.

Values for these URLs are provided in documentation that accompanies your Tracker installation material. These values are used even if you are upgrading from a previous version of Tracker.

Note: The NAIC periodically performs maintenance on the SERFF servers. When this occurs, Skywire Software will email you in advance with the approximate times in which 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

The default **Project #, Project Name** and **Product Name** for SERFF filings.

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 General Information for a New Company* on page 47), 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 Authority level information you enter here controls the options which display in the **EFT 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 box opens.

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.

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.

1. On the **System** tab of **SERFF System Defaults**, click the **Advanced Settings** button.

   Proxy Settings opens.

2. Select the **Use Proxy Server** checkbox.

3. 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.

   Click **OK**.

Configuring SERFF Preferences

Use the **SERFF Defaults > Preferences** tab to select which SERFF message types will be automatically moved into the **Filing Package** tab upon receipt.

Note: Messages in the **SERFF > Correspondence** subtab will automatically be moved based on the selection you make in the **SERFF Defaults > Preferences** tab.

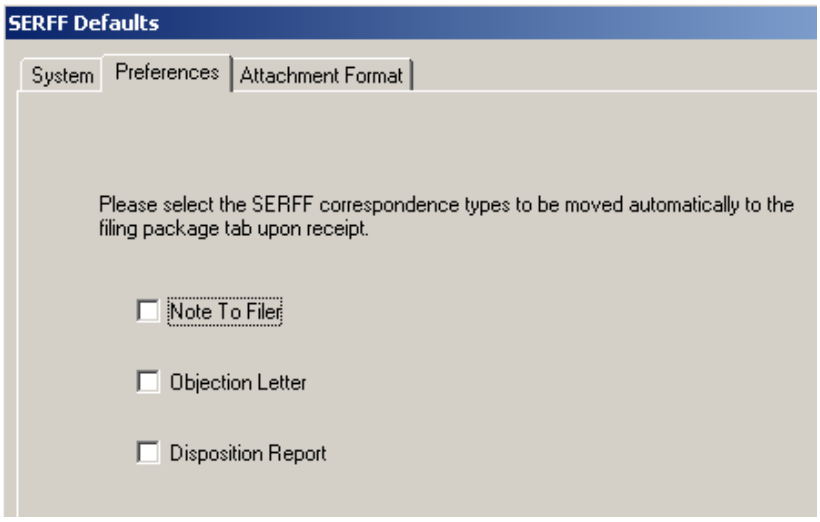
Method: Configure the SERFF default preferences

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

   SERFF System Defaults opens.

2. Click the **Preferences** tab.

   The **Preferences** tab opens.



3. Select the check box next to each SERFF correspondence type that you want to automatically be moved to the **Filing Package** tab upon receipt:
   - **Note to Filer**
   - **Objection Letter**
   - **Disposition Report**

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.

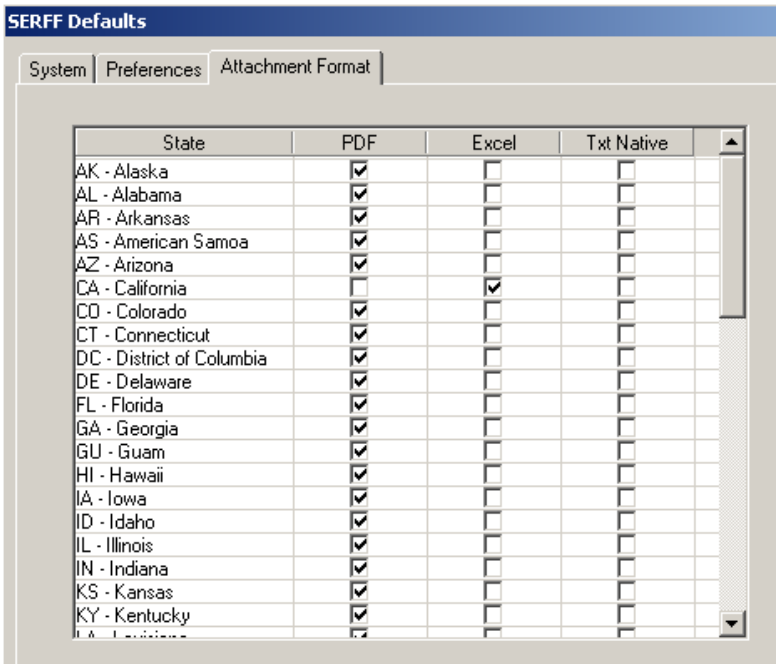
Method: Configure the SERFF default schedule item attachment formats

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

   The **SERFF System Defaults** dialog box opens.

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

   The **SERFF Attachment Formats** dialog box opens.



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** checkboxes for the required states. If required, clear the PDF checkbox after selecting other checkboxe(s).

   Based on your selections:

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

Note: You must select at least one checkbox per state.

Important: If the state requires that schedule item attachments with different file formats be sent as separate schedule items, you will need to manually create additional schedule items for each file format.

Accessing Regulatory Specialist Updates

Regulatory Specialist updates are provided in real time as frequently as each day if necessary. You access the updates from a secure server. You can schedule the days and times for downloading the updates, or you can access the updates whenever you choose.

The Regulatory Specialist update server will also be able to trigger emails (from your email server) to let your users know that an update has occurred. The email will include a Read Me file with information about the update.

The following sections describe how to configure Tracker to use this new functionality, which is referred to as *Ad Hoc Regulatory Specialist Updates*.

- *Configuring Ad Hoc Regulatory Specialist Updates* on page 62
- *Manually Accessing Regulatory Specialist Updates* on page 65
- *Configuring Tracker to Access the Regulatory Specialist Update Server* on page 66

If you are not using the Ad Hoc Regulatory Specialist Updates, you can download monthly updates: see *Loading Monthly Regulatory Specialist Subscriptions* on page 69.

Configuring Ad Hoc Regulatory Specialist Updates

Complete the following procedure to activate and configure Ad Hoc Regulatory Specialist updates.

Method: Configure Ad Hoc regulatory specialist updates

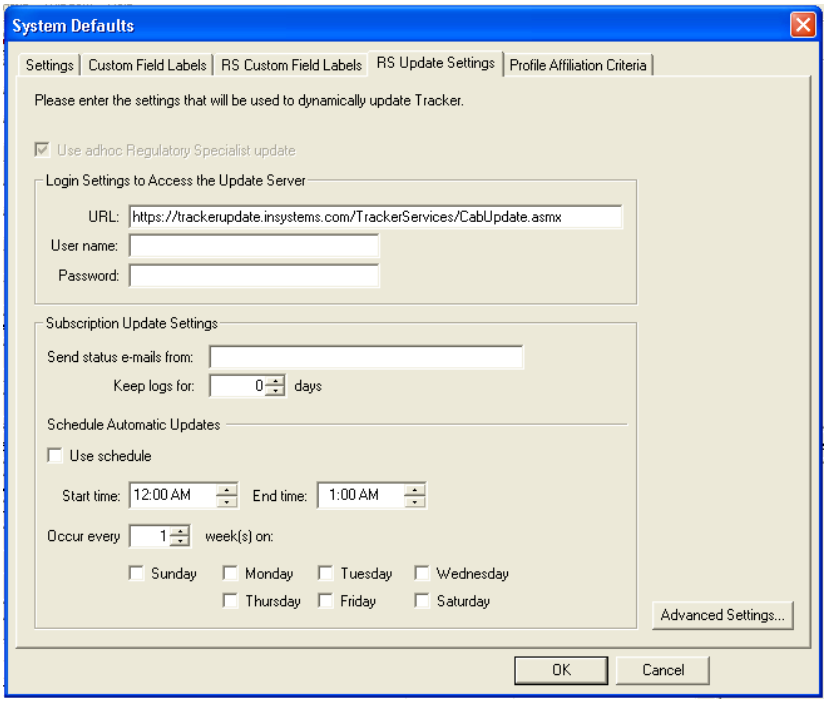
---

1. Select **Admin > System Information > System Default**s.

   System Defaults window opens.

2. Click the **RS Update Settings** tab.

   The **RS Update Settings** tab is displayed.



3. Check the **Use Ad Hoc Regulatory Specialist Update** check box to activate the Regulatory Specialist Update feature.

Important: When you check this check box, it disables the previous manual monthly download option. You cannot revert back to the monthly option once you have successfully performed an ad hoc download.

4. In the **Login Settings to Access the Update Server** section:

   - You can view the **URL** of the Regulatory Specialist update server where the updates are stored and accessed: the default path is:

     `https://trackerupdate.insystems.com/TrackerServices/CabUpdate.asmx`

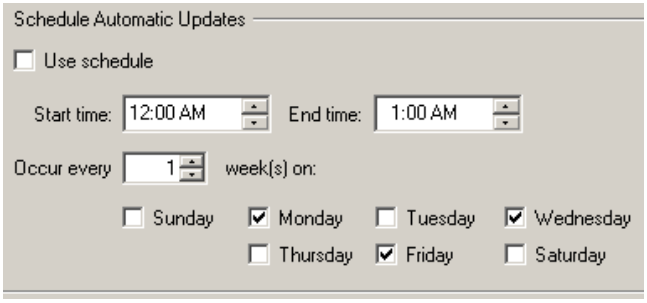
   - Enter the **User Name** and **Password** provided by Skywire Software that Tracker will use to access the Regulatory Specialist update server. The password is encrypted before being transmitted to ensure security.

5. Enter the **Subscription Update Settings**:

   - **Send status emails from** – The email address of the person within your organization from whom the emails regarding an update should be sent.

   - **Keep logs for __ days** – The number of days that the system should retain the logs which contain the download history for each update. We recommend that you enter a value of 30. The system will automatically delete the logs after the specified number of days.

6. Select your schedule preferences in the **Schedule Automatic Updates** section:



- **Use schedule** – Check the **Use schedule** option if you want the system to automatically retrieve the updates. If you do not check this option, you will still be able to access the Regulatory Specialist update server and apply the updates, but you will need to use the manual process: see *Manually Accessing Regulatory Specialist Updates* on page 65.
- **Start time** and **End time** – The time range and day(s) in which you want the system to download any available updates.

Note: We recommend that you allow for a period of at least two hours during which all users *must* be logged out of Tracker.

If a user is logged into Tracker when the download is scheduled to occur, the download process will fail but the system will periodically retry the download during this time range. If the user logs out before the download period ends, the system will process the available downloads.

If the user remains logged into Tracker during the entire time range, no downloads will be applied. An email will be sent to the users indicating that a download was attempted but failed. The user who was logged in will not be identified in the email. You can then decide if you want to attempt to manually obtain the downloads or simply wait until your next regularly scheduled interval.

- **Occur every _ weeks -** Enter the frequency with which you want your system to automatically query the Regulatory Specialist update server and download any available updates. You can select 1, 2, 3 or 4 weeks.

  You also need to specify the day(s) of the week on which you want this update process to occur. For example, you choose:

  Occurs every `1` **week(s) on Sunday, Tuesday and Thursday**

  In this case, your system will query the Regulatory Specialist Update Sever once a week, every Sunday, Tuesday and Thursday. If there any available updates during this time, the system will automatically update your system with the revised information. If there are no updates during this time, no downloads will occur.

Note: If you select to use the schedule, you must make a selection for both the number of weeks *and* the day(s). If you fail to make both these selections, the system will

prompt you with a warning and you will be unable to close the tab until you make a selection.

If there are downloads available which you try to access according to your schedule, the system will send you a download status email indicating the number of downloads that were attempted, and whether each attempt was successful. If there is more than one download attempted within a single scheduled period, only one email will be sent for that download session.

Manually Accessing Regulatory Specialist Updates

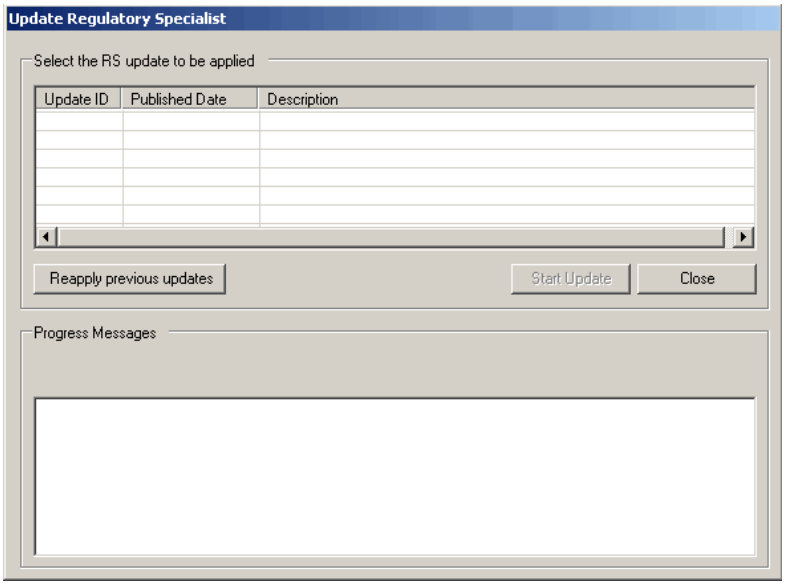
As noted in *Manually Accessing Regulatory Specialist Updates* on page 65, if you do not want to configure the system to automatically retrieve and apply the updates on a scheduled basis, you can still retrieve and apply the updates, but you will need to do this manually.

Note: In addition, if you need to retrieve and apply an update outside of the schedule you have set up, you need to complete the following procedure and select the available update(s). The list of updates that will be displayed will include all the updates published to the server since your last scheduled update.

Method: Manually access the Regulatory Specialist updates

1. Select **Admin > Load >Subscription**.

   The new **Update Regulatory Specialist** screen opens.



   The update files listed here are all the updates that Skywire Software has published to the Regulatory Specialist update server since your last download (manual or scheduled).

2. Select the update(s) that you want to download by highlighting them while holding the **Shift** key. Note that you cannot select updates out of order or skip any updates.

   The next time you access this screen, any updates that you did not previously select will appear, in addition to any new updates that have been published to the server.

3. If you click **Cancel** during the download, the update file currently being downloaded will still be processed. Any remaining updates will not be downloaded.

4. When the download is completed, a status email will be sent, indicating whether the download session was successful, and including a cumulative Read Me file.

Configuring Tracker to Access the Regulatory Specialist Update Server

This section describes the information that Tracker requires for the communication between your server and the Regulatory Specialist Update server. This is applicable for new customers only or for customers who are switching from monthly to ad hoc updates.

There are two areas within Tracker that you need to configure with the required information:

- *Tracker Monitor Settings* on page 66
- *Proxy Settings* on page 67

These settings correspond to the tabs on the **Server Settings** dialog box.

Tracker Monitor Settings

The Tracker Monitor is a Windows Service application which controls the communication between Tracker and the Regulatory Specialist Update Server. The Tracker Monitor queries the Regulatory Specialist Update Server for any available updates. If it finds an update, the Tracker Monitor retrieves it and applies it to your system.

The Tracker Monitor also connects with your mail server to send emails to your users about the number of downloads that were attempted and their success or failure.

Method: Configure the Regulatory Specialist Tracker Monitor settings

---

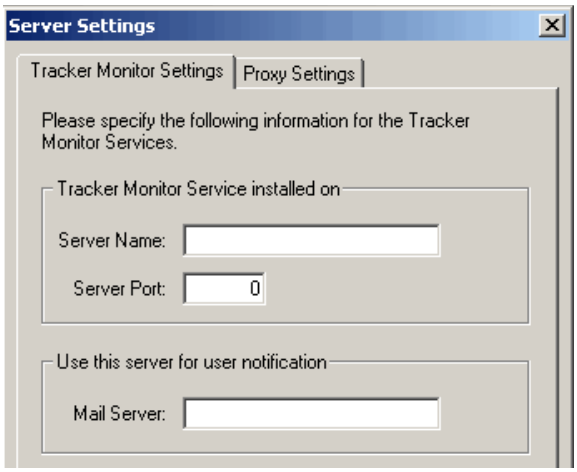
1. Select **Admin > System Information > System Default**s.

   System Defaults window opens.

2. Click the **RS Update Settings** tab.

3. Click **Advanced Settings**.

   Server Settings opens.



4. In the **Tracker Monitor Settings** tab, enter a unique **Server Name** and set **Server Port** to `8989` for the Tracker Monitor Service.
5. Enter the name of the **Mail Server** that will be used to notify users regarding the Regulatory Specialist updates.

Important: You must enter the **Server Name**, **Server Port** and **Mail Server** to be able to use the new method of accessing and applying updates.

Proxy Settings

If you use a proxy server to access the Internet, you will need to configure the proxy settings.

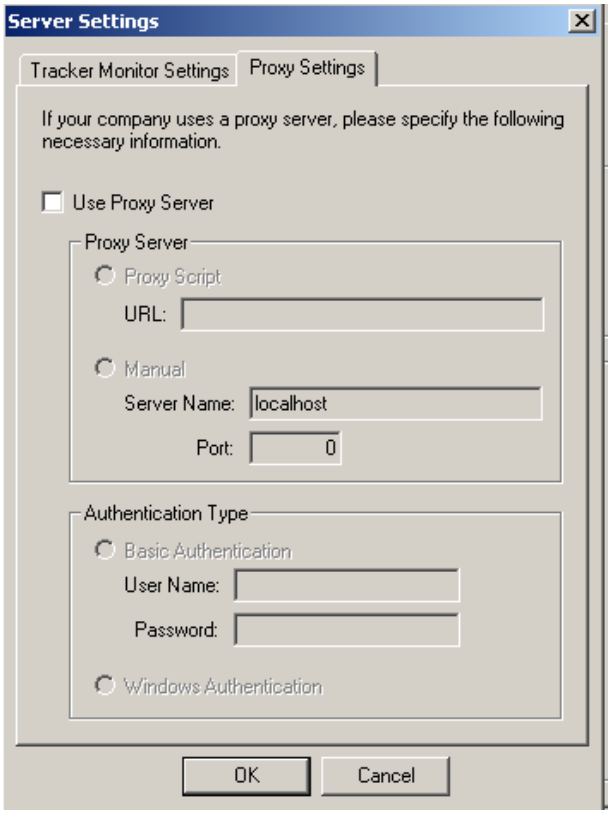
Method: Configure the proxy settings

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

   The **System Defaults** dialog box opens.
2. Click the **RS Update Settings** tab.

   RS Update Settings opens.
3. Click the **Advanced Settings** button.

   Server Settings opens.
4. Click the **Proxy Settings** tab.



5. Select the **Use Proxy Server** check box.
6. If you are using a proxy server script, select the **Proxy Script** check box, and enter the **URL** of the script, for example, *http://host_name/PAC/proxy.pac*.
7. If you are using manual proxy settings, select the **Manual** checkbox, and enter the proxy **Server Name** and **Port**.
8. 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.
9. Click **OK**.

   If you use a proxy server to access the Internet, the information entered here will be used to populate the **Proxy Settings** tab within the **SERRF System Defaults** tab.

Loading Monthly Regulatory Specialist Subscriptions

Important: These instructions are only used if you are using the default setting for obtaining updates. They do not apply if you are using Ad Hoc Updates to obtain RS updates.

When you are notified that a monthly subscription update is available on the Skywire Software website, you must load the update into Tracker to ensure you have the most current information for your filings.

The following two options are available for loading subscription updates:

- *Loading a Subscription* on page 69
- *Overwriting the Update Period* on page 70

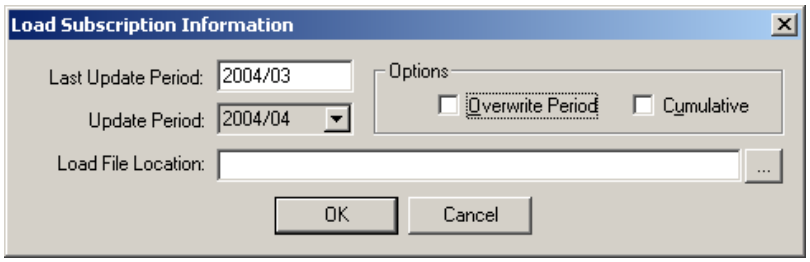
Note: *Accessing Regulatory Specialist Updates* on page 62 describes how Regulatory Specialist updates are handled.

Loading a Subscription

Updated subscriptions are provided by Skywire Software on a monthly basis and are accessed from our website. They are packaged as a compressed .zip file. You will need a utility which can extract the contents of a compressed .zip file to load new subscriptions.

Method: Load a subscription

1. Extract the contents of the compressed .zip file you downloaded from the Skywire Software website to a temporary directory (for example, `C:\Temp`).
2. Ensure all users have exited Tracker.
3. Select **Admin** > **Load** > **Subscription**.
4. **Load Subscription Information** opens.



5. The **Last Updated Period** is automatically updated by the system. It shows the date of the last subscription update that has been applied. The **Update Period** should reflect the month and year of the subscription update you are receiving. The **Update Period** shows the date for the next subscription update that must be loaded into Tracker.

If the date in **Update Period** shows any date that is greater than one month before the date of the subscription update you just extracted to the temporary folder, download and load all previous subscription updates first, in order.

Example: If you have downloaded the August subscription update:

- You must download the June and July subscriptions, *then,*
- *Before* loading the August subscription update, you must load the other two subscriptions in the order of June then July.
- After loading the June and July subscriptions, you can then load the August subscription.

(See also: *Overwriting the Update Period* on page 70.)

6. Enter the path for the .CAB file you extracted in step 1 in the **Update File Location** field or click the **Browse** button [...] to browse for, and select the file.
7. Click **OK**.
8. The monthly subscription update is loaded into Tracker.

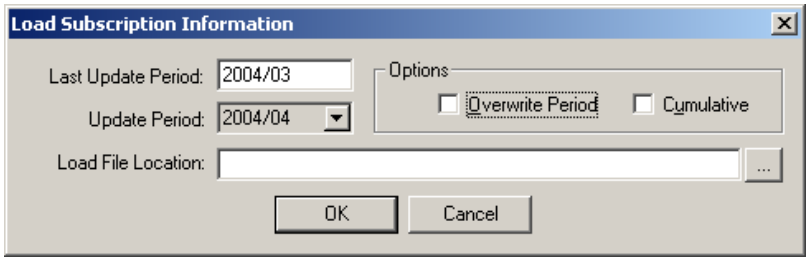
Overwriting the Update Period

If you need to reapply an update, you must overwrite the existing update period (for example, if your update period is September and you want to reapply the August update).

Important: Ensure all users have exited Tracker.

1. Select **Admin** > **Load** > **Subscription**.

   Load Subscription Information opens.



2. The **Last Updated Period** box is automatically updated by the system.
3. Click the **Overwrite Period** check box.
4. Select the date of the update period from the **Update Period** calendar popup.
5. Enter the path for the .CAB file in the **Update File Location** field or click the **Browse** button [...] to browse for, and select the file.
6. Click **OK** to load the new subscription update.

Note: You must continue to apply the updates until you reach the current update period. For example, if your current update period is September and you reapplied an update for July, you must update August before you can apply the September update.

Working with User Profiles

The User Profile section contains a listing of all the persons 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. This profile contains basic identification and contact information for that user alone.

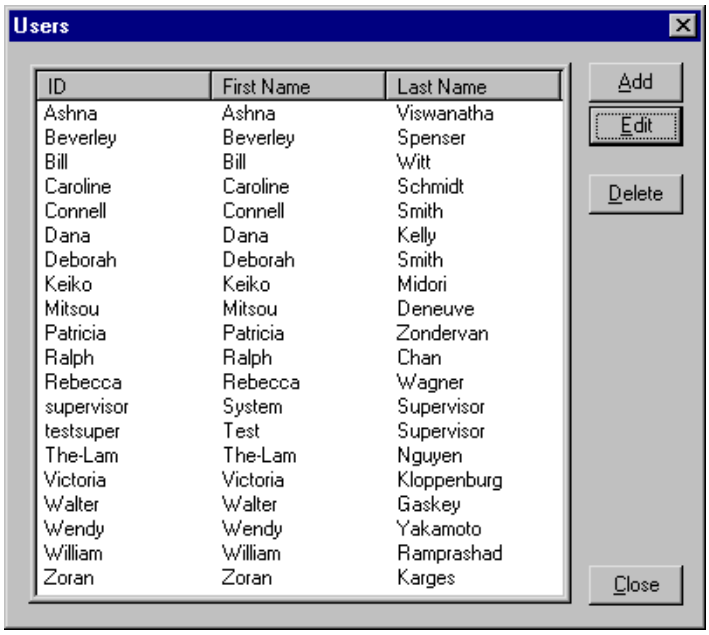
Adding a New User Profile

User profiles contain essential data about the user, including their security access level. The user level determines what they can do in Tracker. (See *System Security* on page 40.)

Method: Add a new user profile

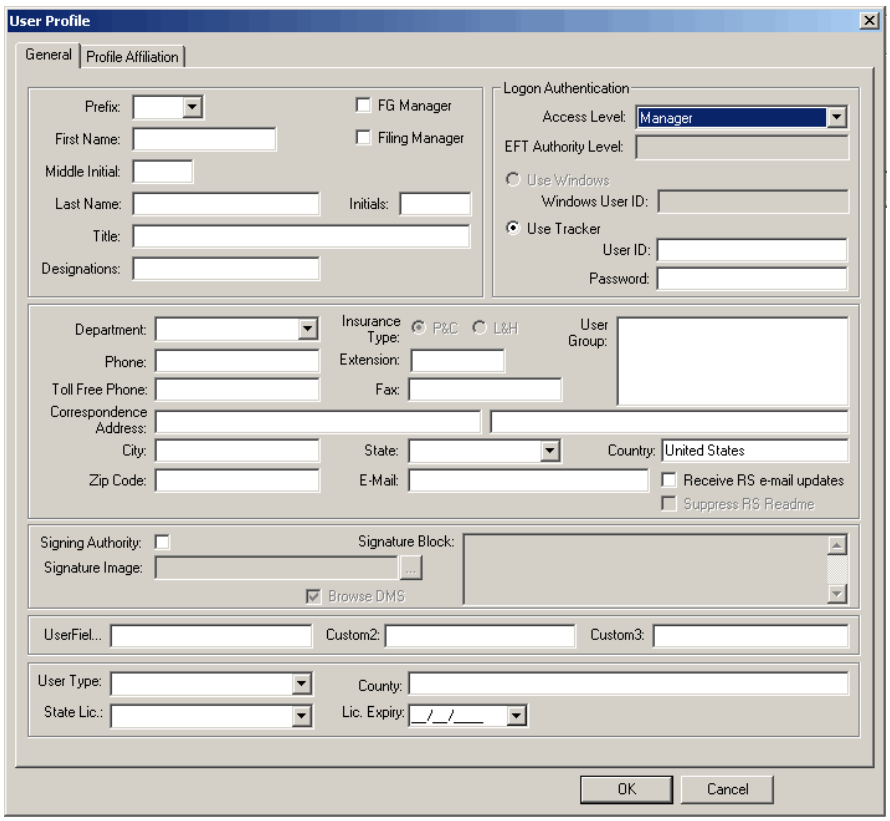
1. Select **Admin > Users**.

   The **Users** list box opens.



2. Click **Add**.

   A blank **User Profile** dialog box opens.



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 allow 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 allow 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 view the security **Access Level** for this person. For more information about access levels, see *System Security* on page 40.
   - You can view the **EFT Authority Level** for this person. For more information, see *EFT Fee Authority Levels* on page 58.

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: see *User ID and Password Authentication* on page 38 for more information about Windows authentication.

   - 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.

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.

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

10. If this person should receive Regulatory Specialist update notification emails, check **Receive RS e-mail updates**.

    If you check **Receive RS e-mail updates**, **Suppress RS ReadMe** is enabled. Check **Suppress RS ReadMe** if you do not want to include the Regulatory Specialist ReadMe file for this person when a Regulatory Specialist update is performed.

11. To enable an electronic signature for this user:

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

    b. Click the browse button to browse for the file where this user's electronic signature has been stored.

Note: The signature must be in BMP or JPG format. The size of the signature on Tracker filing forms will be adjusted to 1.5 inches wide by 0.5 inches high (a ratio of 2:1). Select **Browse DMS** if the file is located in a DMS. Electronic signature files with a different dimensional ratio will appear stretched or compressed.

12. Enter this user's **User Type** and **State License** information (if applicable). The **User Type** is used to assign Company Resource information (to be used on filing forms); see *Enter resource information for a new company* on page 51 for details.

13. Click **OK** to save this information and return to the User list box.

Method: Configure profile affiliation for a user

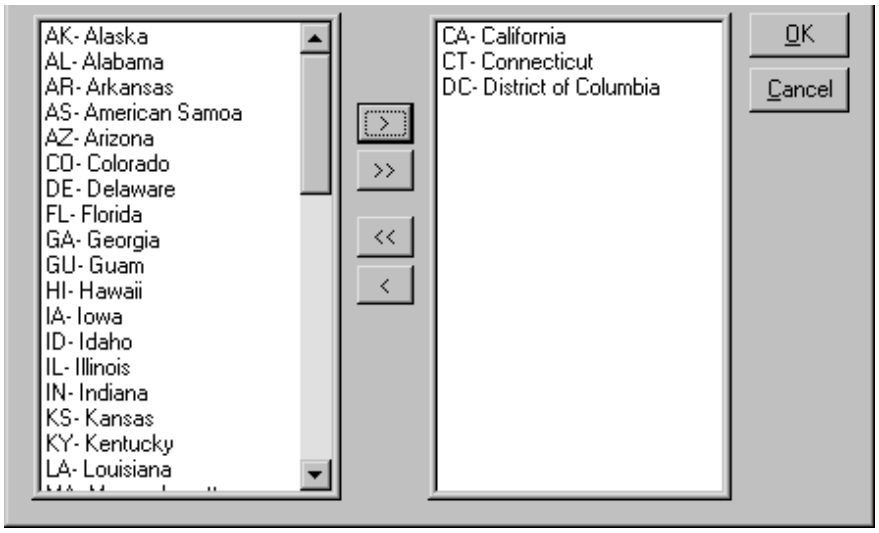
Configuring Profile Affiliation Criteria on page 36 describes how you can configure Tracker so that users will see only the filing profiles for the LOBs or states that are assigned to them. If you have configured Tracker for this, a **Profile Affiliation** tab will be displayed in the User Profile dialog box. You can use this tab to then assign specific states or LOBs to a user.

Note: You can configure Tracker so that users will see the filing profiles for either the LOBs or states assigned to them, but not both.

Configuring Profile Affiliation by State

1. On the **User** screen, highlight the user name for which you want affiliate states.
2. On the **User Profile** screen, click the **Profile Affiliation** tab.
3. Click **Add**.

   The list of **Available States** opens.



4. From the list of **Available States**, select the states to affiliate with this user using the left and right movement buttons:

   Clicking on the double arrows will move all entries.
5. When you have affiliated all of the applicable states for this user, click **OK** to return to the **User** screen.

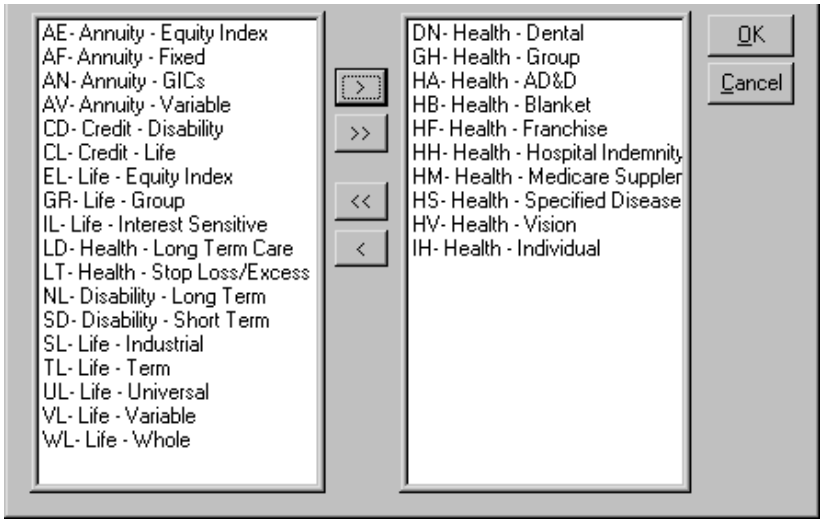
Configuring Profile Affiliation by LOB

1. On the **User** screen, highlight the user name for which you want affiliate LOBs.
2. On the **User Profile** screen, click the **Profile Affiliation** tab.

3. Click **Add**.

   The list of **Available LOBs** opens.

4. Click the **Add** button to open **User LOB Authority**.



5. From the list of **Available LOBs**, select the lines of business to affiliate with this user using the left and right movement buttons --

   . Clicking on the double arrows will move all entries.

6. When you have affiliated all of the lines of business for this user, click **OK** to return the **User** screen.

7. When you are finished making changes, click **OK**.

Changing User Profile Information

You can change user profile information.

Method: Change user profile information

1. Select the **Admin** menu.
2. Select the **Users** option to open the **Users** list box.
3. Click the User record whose information you want to change.
4. Click **Edit** to open the related User Profile dialog box.
5. Make any necessary changes.
6. Click **OK** to save your changes and return to the Users list box.
7. Click **Close** to exit the list box.

Deleting a User Profile

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

Method: Delete a user profile

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

   Users opens.

2. Click the user record which 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. Click **Close** to exit the list box.

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.

Working with 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 78 contains overview information on custom tables.
- *Custom Tables List* on page 78 contains a list of the custom tables in Tracker.
- *Performing Custom Table Tasks* on page 85 describes how to work with custom tables.
- *Working With Activity Codes* on page 88 describes how to work with activity codes.
- *Working with Recurring Filing Activities (Calendar Filings)* on page 95 describes how to create recurring filing activities.

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 85.

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

Custom Tables List

The tables which can be customized within Tracker are:

- *Activity Codes* on page 79
- *Advisory Organizations* on page 79
- *Attachment Types* on page 79
- *Eligible Groups* on page 79
- *Filing Types* on page 80
- *Form Types* on page 80
- *Legislation Status* on page 81
- *Legislation Type* on page 82
- *LOB Mapping* on page 82

- *Print Status* on page 82
- *Solicitation Methods* on page 82

Activity Codes

The Activity Codes 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 delete or obsolete activity codes if required.

Advisory Organizations

This table contains a listing of the default Advisory Organizations from which your company receives legislation, 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 169 for more details on working with other attachment types.)

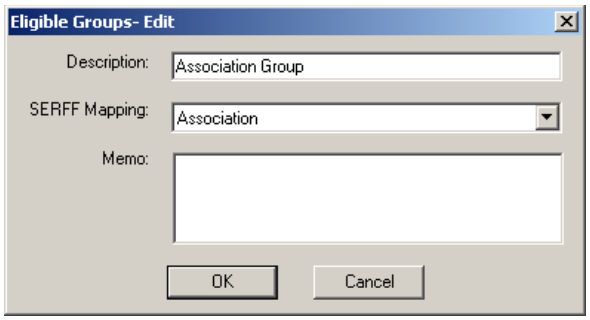
Eligible Groups

This table contains a listing of the default eligible groups available in your system. The standard types included with the system are:

- Association Group
- Blanket
- Credit Union
- Credit/Debtor Group
- Dependent Group
- Discretionary Group
- Employer/Employee

- Labor Union
- Trustee

The Eligible Group **Description** is the name you use to describe the Eligible Group 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. Note that if you map your choice to **Other** when the value of **Other** is passed to SERFF it will be appended with your custom description.



Filing Types

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

- Advertising
- Advisory
- Annual
- Blanket
- General Reference
- Group
- Individual
- Informational
- Other

Form Types

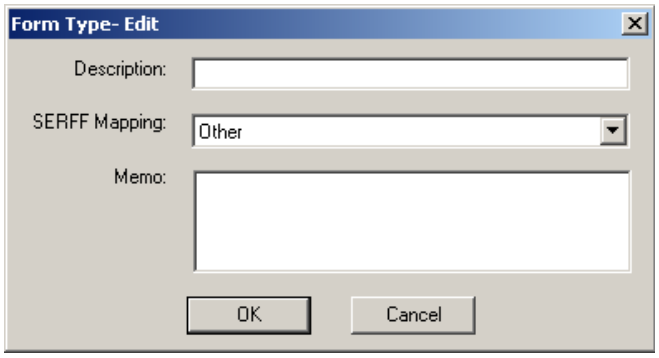
This table contains a listing of the default types of forms which may be required to be used in filings. The standard types included with the system are:

- Amendment
- Application
- Certificate
- Contract
- Covers/Jackets

- Endorsement
- Enrollment Form
- Notice
- Policy Form
- Rider
- Schedule
- Supplement

The Form Type **Description** is 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.

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.



Legislation Status

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

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

Legislation Type

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

- Advanced Law
- 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 **Group Health Conversion** line of business as **GC**, **GHC**, or **CV**.

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 96.

Print Status

The Print Status 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

Solicitation Methods

The Solicitation Methods Table contains a listing of default business solicitation methods that your company might use. The standard types included with the system are:

- Agent/Broker
- Financial Institutions
- Mass Market

Custom Fields

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

Defining and Editing Custom Field Labels

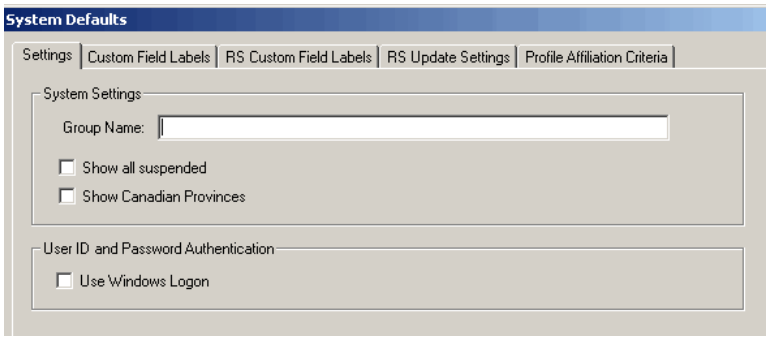
In the **System Defaults** screen, you are able to change the label name of the custom fields to reflect the value captured in those fields. The value you enter for the custom field label is the text that will appear beside the corresponding custom field in Tracker. The custom field labels are organized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

Method: Define or edit custom field labels

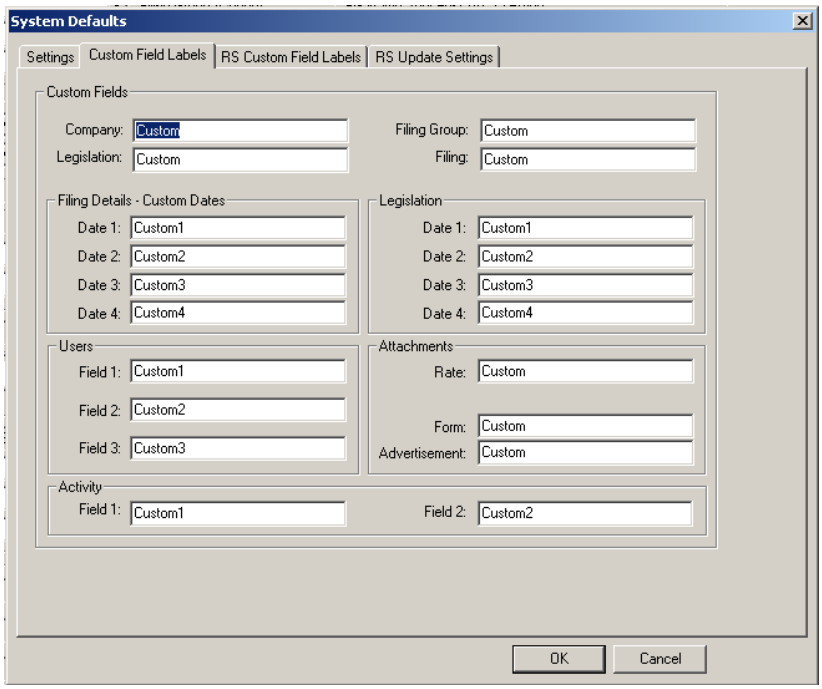
---

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

   System Defaults opens.

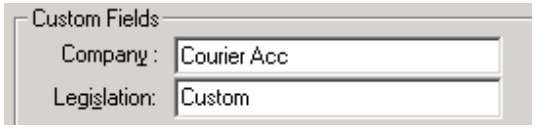


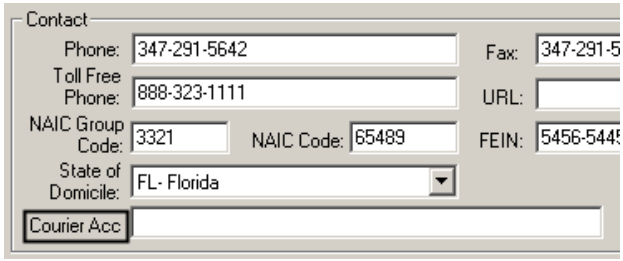
2. Click the **Custom Field Labels** tab.



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

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.

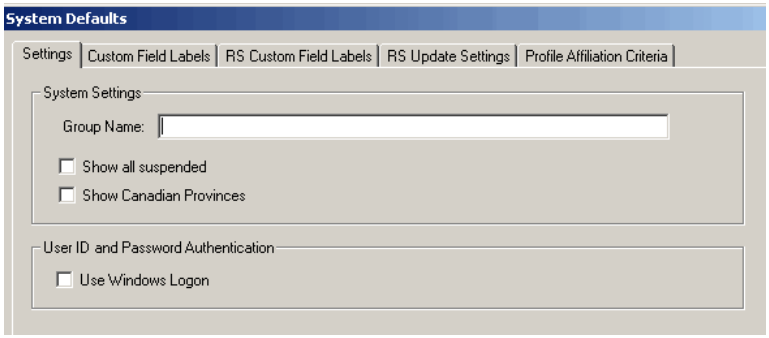
Changing Custom Field Labels

You can change the values of custom field labels at any time.

Method: Change custom field labels

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

   System Defaults opens.



2. Click the **Custom Field Labels** tab.
3. Make any necessary changes.
4. Click **OK** to save your changes and exit the dialog box.

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.

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:

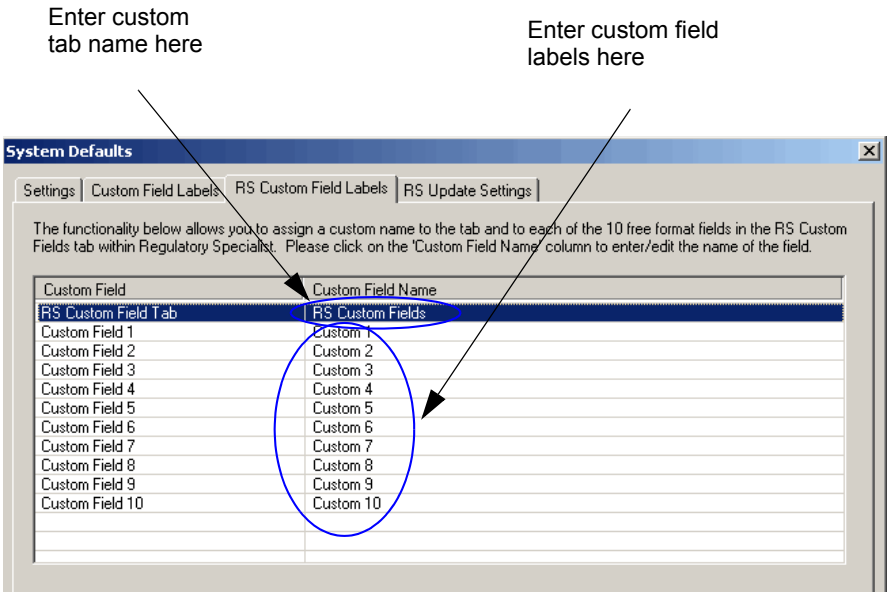
- *Viewing a Custom Table* on page 86
- *Entering Information into a Custom Table* on page 86
- *Changing Information in a Custom Table* on page 87

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



3. Make any necessary changes.
4. Click **OK** to save your changes and exit the dialog box.

For more information about these fields, see *RS Custom Fields* on page 355.

Viewing a Custom Table

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 menu list.

   The selected custom table is displayed.

Entering Information into a Custom Table

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 **New Table** window opens.

4. Enter the required table information.
5. Click **OK** to save information and return to **New Table**.
6. Click **Close.**

   The **New Table** window closes.
7. Repeat for each custom table.

Changing Information in a Custom Table

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 Customer 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 element is displayed.
5. Make any required changes.
6. Click **OK** to save your changes and return to the list box.
7. Click **Close** to exit the list box.

Deleting Custom Table Elements

Warning: While items can be deleted from custom tables by users that have the appropriate security access levels, deleting items from some custom tables is not recommended because of the potential effects on the Tracker system and your Tracker environment. Please contact Customer 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. Click **Close** to exit the list box.

Working With Activity Codes

Activity codes are accessed via **Admin > Custom Tables**. You can add, obsolete and, delete activity codes, and use activity codes to work with recurrent activities.

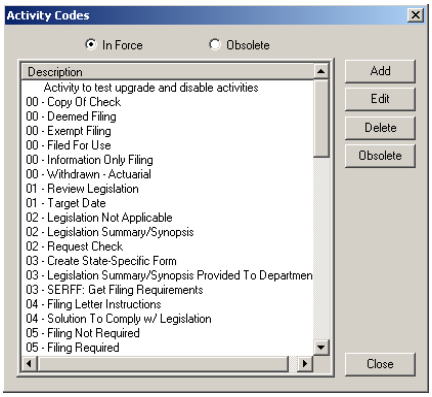
Adding Passive Activity Codes

Passive activities are activities which 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

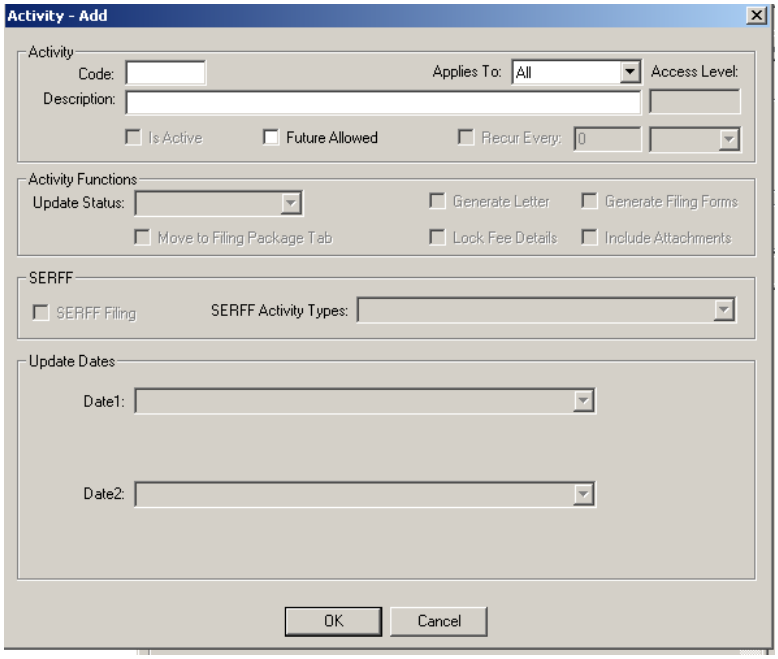
1. Select **Admin** > **Custom Tables** > **Activity Codes**.

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



2. Click **Add**.

   The **Activity - Add** dialog opens.



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. Click **Close** to exit **Activity Codes**.

Adding Active Activity Codes

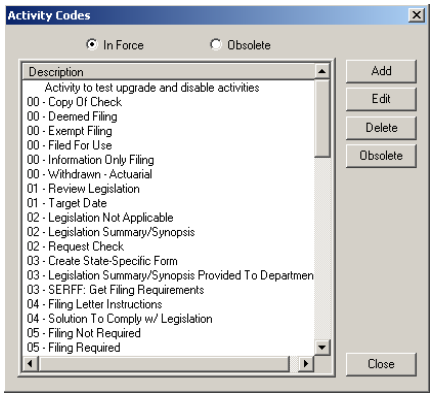
Active activities are activities which update or generate data inside your filings. Activity codes that are associated with active activities can only be applied to filings.

Method: Add an active activity code

---

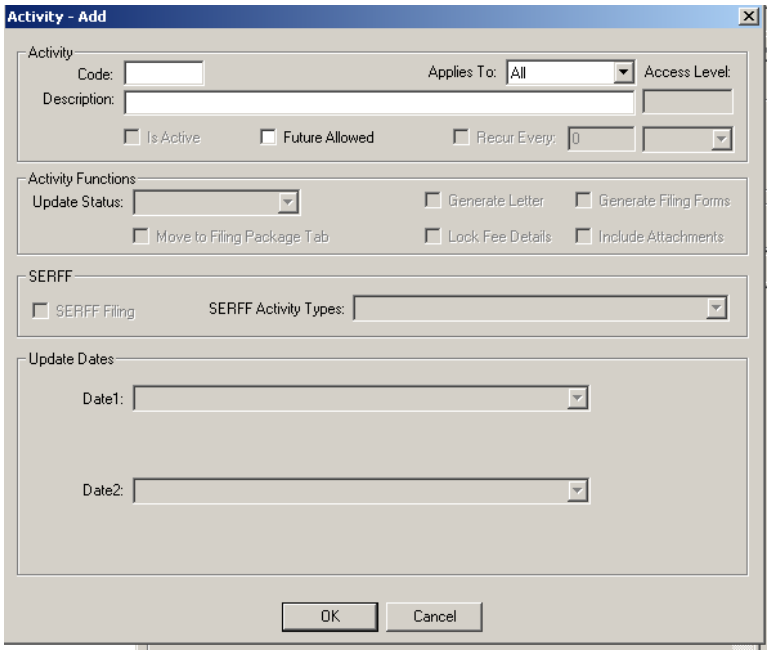
1. Select **Admin** > **Custom Tables** > **Activity Codes**.

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



2. Click **Add**.

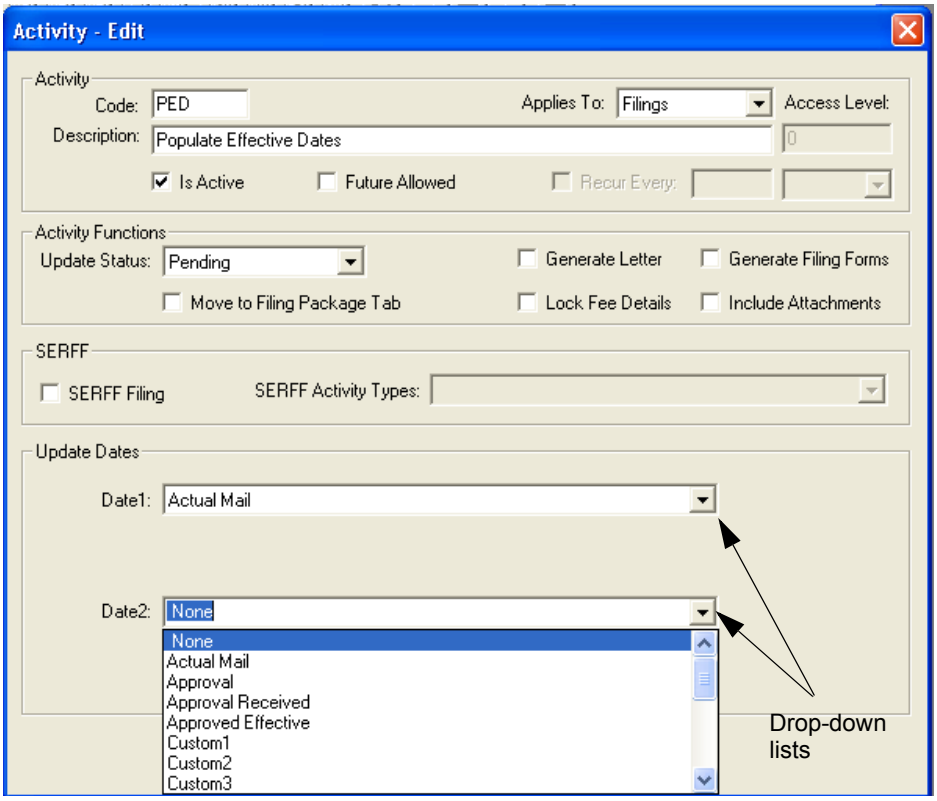
   The **Activity - Add** dialog opens.



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. Select **Is Active**.
6. Click the **Applies to** drop-down menu and select **Filing**.
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
- **Generate Filing Forms** – select this option if you want to generate, view, and print a filing form 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 Date** sections, to affiliate a date with an activity, make a selection from the drop-down list for **Date 1** and/or **Date 2**.



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

10. Click **Close** to exit **Activity Codes**.

Changing Activity Codes

You can change an activity code. This includes the name of the code, and the parameters and actions of the activity.

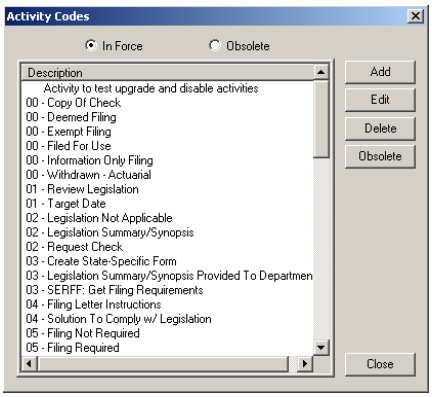
Beginning in this release, you can mark unused or no longer needed activity codes as *Obsolete*. Activity codes that are not obsolete are *Inforce*. You can only change activity codes that are *Inforce*.

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 Customer Support before changing default activity codes following initial system set-up.

Method: Change an activity code

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

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



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

   Activity – Edit opens.
4. Make any necessary changes.
5. Click **OK** to save your changes and return to **Activity Codes**.
6. Click **Close** to exit **Activity Codes**.

Obsoleting and Reactivating Activity Codes

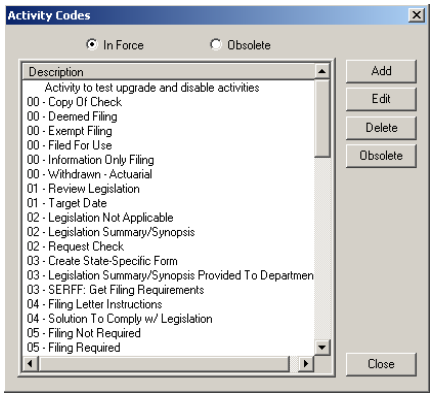
If you have an activity code that you are no longer using or do not need, you can mark it as *obsolete*. Obsoleting an activity code removes it from the list of currently available activities; it does not actually delete it from the Tracker database.

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

Method: Obsolete an activity code

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

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



2. Click the **Activity Code** you want to obsolete.
3. Click the **Obsolete** button.

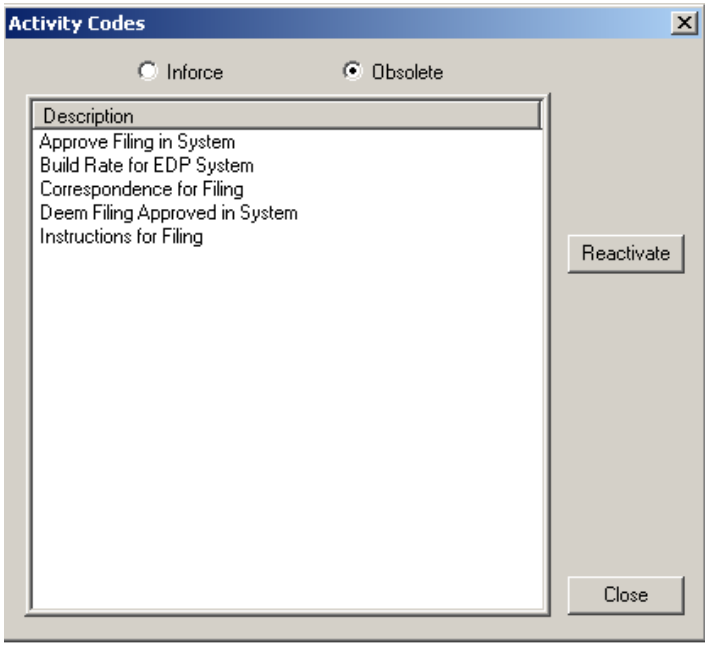
   The selected **Activity Code** is made obsolete. It is removed from the Inforce list. It can be found in the Obsolete list.

Method: Reactivating an obsolete activity code

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

   Activity Codes window opens with Inforce 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 Inforce list.

Deleting Activity Codes

You can delete activity codes that you don't need, but only if they haven't been used. To remove an activity code from the list that is no longer needed, but has been used, make the activity code Obsolete. See *Obsolete an activity code* on page 92.

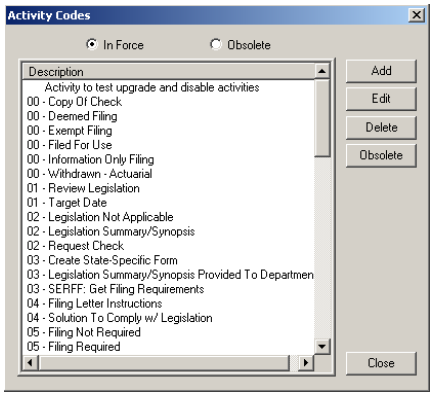
Important: You can only delete activity codes that are *Inforce*.

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 **Inforce** activity codes displayed.



2. Click the **Activity Code** you want to delete.
3. Click **Delete**.

   A message box appears asking you to confirm that you really want to delete this activity.
4. Click **Yes** to delete the activity (or **No** to not delete the activity) and return to **Activity Codes**. The deleted activity code will no longer appear in the list.
5. Click **Close** to exit **Activity Codes**.

Working with Recurring Filing Activities (Calendar Filings)

You can create a recurring activity using the activity code dialog box. For example, you can set up an activity to occur automatically every year on the same date, for annual filings or reports.

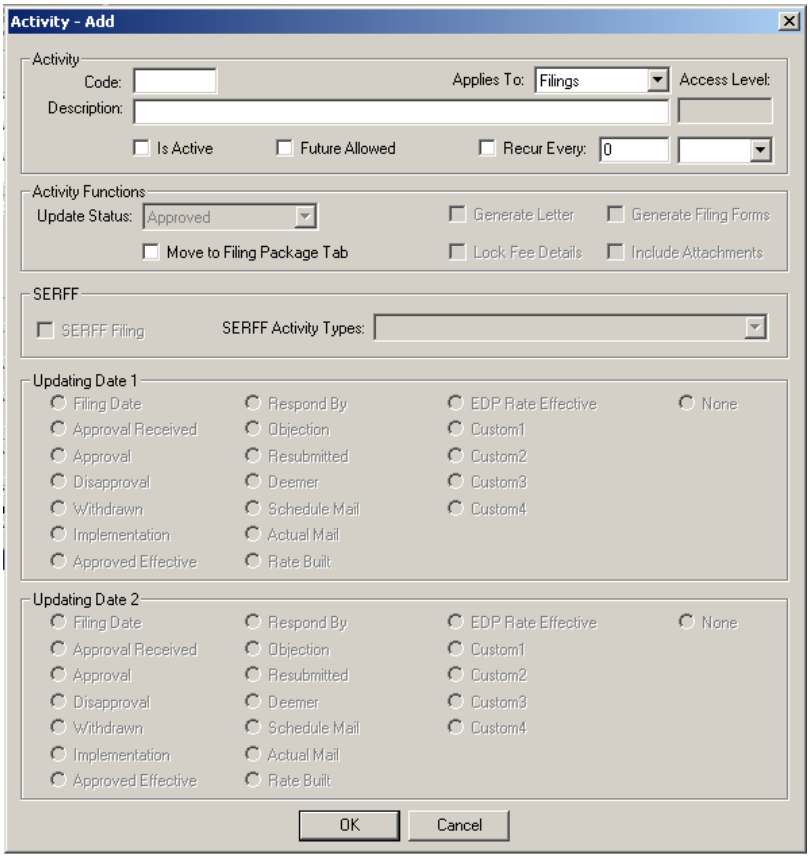
Creating a Recurring Filing Activity

You create a recurring activity at the filing level.

Method: Create a recurring filing activity

1. Select **Admin** > **Custom Tables** > **Activity Codes**. **Activity Codes** opens.
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 box beside **Recur Every**, enter the number of times you want the activity to occur within a particular timeframe.
7. Click the drop-down menu beside this entry box, and select the applicable timeframe from the list.
8. Click **OK** to save your changes and return to **Activity Codes**.
9. Click **Close** to exit **Activity Codes**.

Completing a Recurrent Activity

Once you complete a recurrent activity (see *Creating a Recurring Filing Activity* on page 95) you can optionally create a new filing.

Method: Complete a recurrent activity

1. At the Filing Level, open the activity, on the due date, that you want to complete.
2. Click **OK**.

   A dialog box opens asking you if you want to complete the activity.
3. Click **Yes**.

   A dialog box opens asking if you want to create a new filing.
4. Click **No** to complete the recurrent activity but not create a new filing.

   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 recurring activity is created for this filing. The suspense date and due date of the recurring filing are incremented by the period specified by the activity type.

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. You can also change mappings, and delete any custom LOB mappings you have created.

Also, you can map multiple standard Tracker lines of business to a single custom line 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.

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:

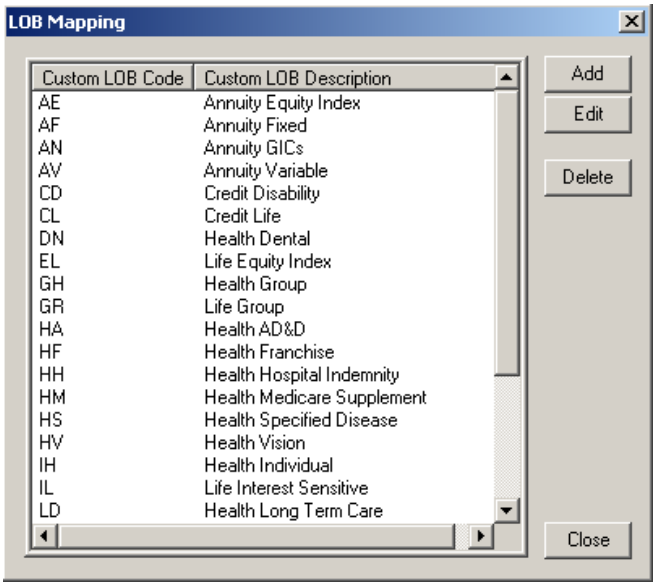
> *SERFF does not support creating the following file(s) for a Customized LOB that has been mapped to multiple standard LOBS.*
>
> *Do you still want to continue?*

You can still continue to create the multiple LOB mapping by clicking **Yes**. However, be aware that if you create this filing, it might not be accepted if you plan to submit it as a SERFF filing through SERFF.

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

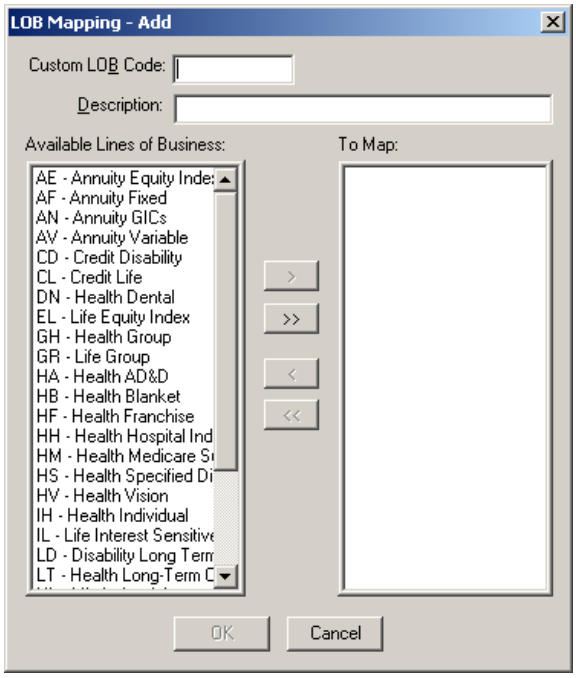
1. Select **Admin > Custom Tables > LOB Mappings**.

   LOB Mapping opens.



2. Click **Add**. **LOB Mapping.**

   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. Click **Close** to exit the list box.

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.
5. Click **OK** to save your changes and return to the LOB Mapping list box.
6. Click **Close** to exit the list box.

Method: Delete a code from the LOB mapping

1. Select **Admin > Custom Tables > LOB Mappings**. **LOB Mapping** opens.
2. Click the LOB record you want to delete.
3. Click the **Delete** button.

A message appears asking you to confirm whether you really want to **delete this mapping**.

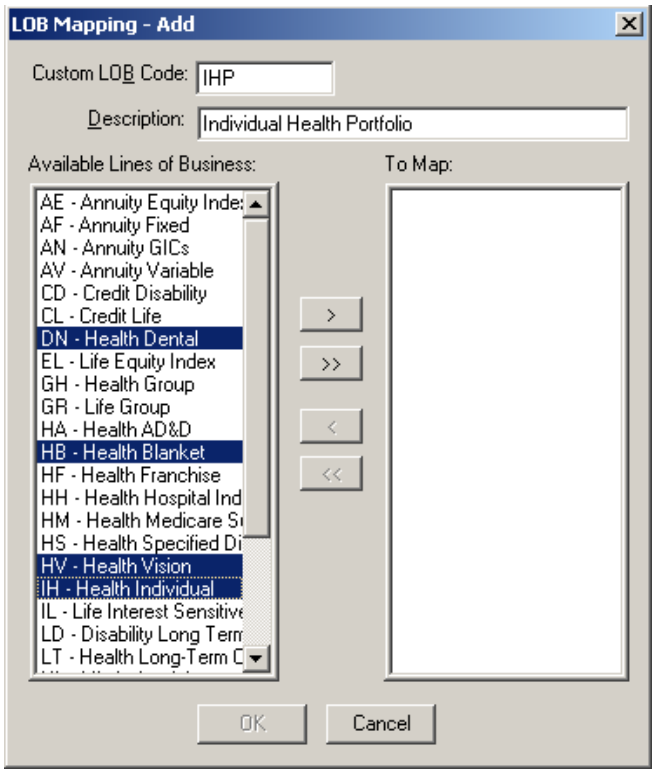
4. Click **Yes** to confirm the deletion (or **No** to cancel the deletion) and return to the LOB Mapping list box.
5. Click **Close** to exit the list box.

Method: Map 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. This allows a single filing to have access to the regulatory specialist information and filing forms for multiple LOBs.

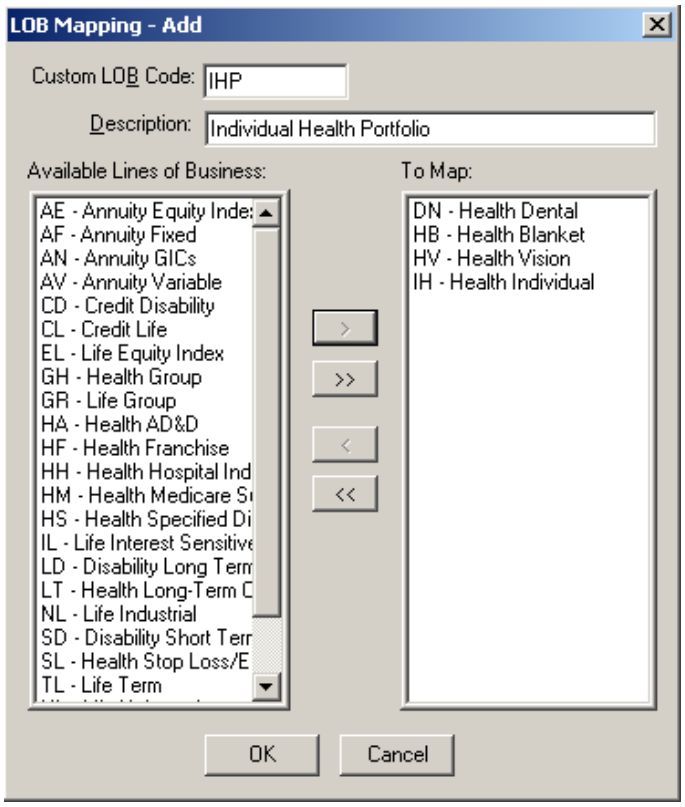
1. Select **Admin > Custom Tables > LOB Mappings**. **LOB Mapping** opens.
2. Click **Add**.

   LOB Mapping – Add opens.
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.

8. If you are working with Tracker integrated with SERFF, a warning message appears. (See *Multiple LOBs and SERFF Filings* on page 97 for an explanation).

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

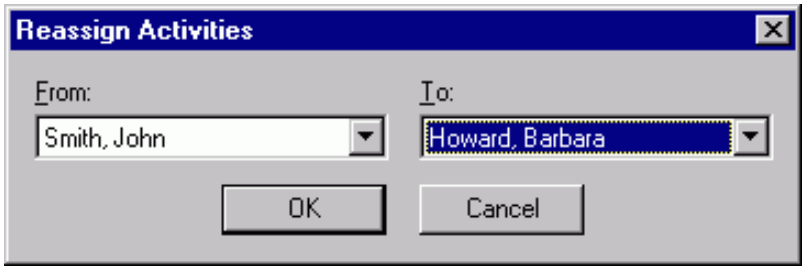
Reassigning Activities

This feature allows you to reassign pending or current activities to another user.

Method: Reassign activities

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.
5. Click **Cancel** if you want 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, users, 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 level security level. For more information about non-administrative Tracker reports, please see *Searching and Reporting* on page 363.

The following administrative reports are available in Tracker:

- *General Company Listing Report* on page 102
- *Companies with Authorities Listing Report* on page 103
- *User Listing Report* on page 103

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 an Administrative Report

Administrative Reports are produced in the same manner as all standard Tracker reports (see *Searching and Reporting* on page 363 for more information).

Method: Generate an administrative report

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

   Admin Reports opens.

2. Select and highlight the report you want to produce in the list at the bottom of the tab.

3. Click **Parameters**.

   Selection Criteria opens.

4. 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.

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

6. Click **Preview**.

   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.

7. Review the generated report.

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

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

   Your default printer prints your report.

Chapter 3

Using Tracker

This chapter describes:

- *Configuring Microsoft Word for Tracker* on page 108
- *Logging In to Tracker* on page 119
- *Using Text Boxes* on page 121

Configuring Microsoft Word for Tracker

Because Tracker uses Microsoft Word to view and edit filing forms and filing letters, it is important that all workstations running Tracker are configured so that no errors occur when these forms are opened and subsequently saved in Microsoft Word.

This chapter contains the following sections:

- *Configuring Word 2000* on page 108
- *Configuring Word XP or Word 2003* on page 113

Configuring Word 2000

This section describes:

- *Setting Save Options* on page 108
- *Setting View Options (Optional)* on page 109
- *Setting Print Options (Optional)* on page 110
- *Configuring "Autoformat As You Type"* on page 111
- *Configuring Autoformat* on page 112

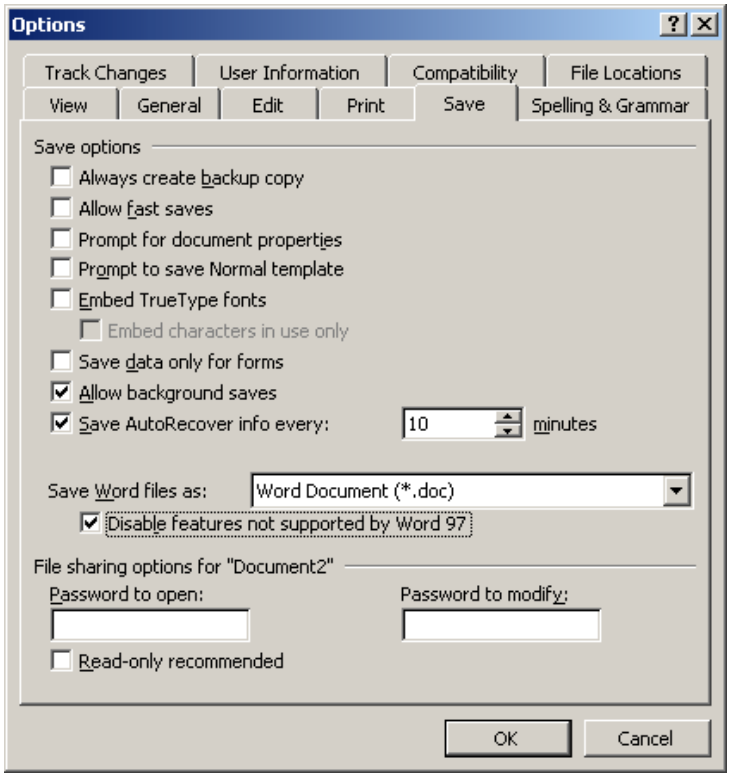
Setting Save Options

You need to configure certain save options in Word.

Method: Set save options

---

1. Select **Tools** > **Options**.
2. Select the **Save** tab.



3. Deselect **Fast Saves**.
4. Select **Disable features not supported by Word 97**.

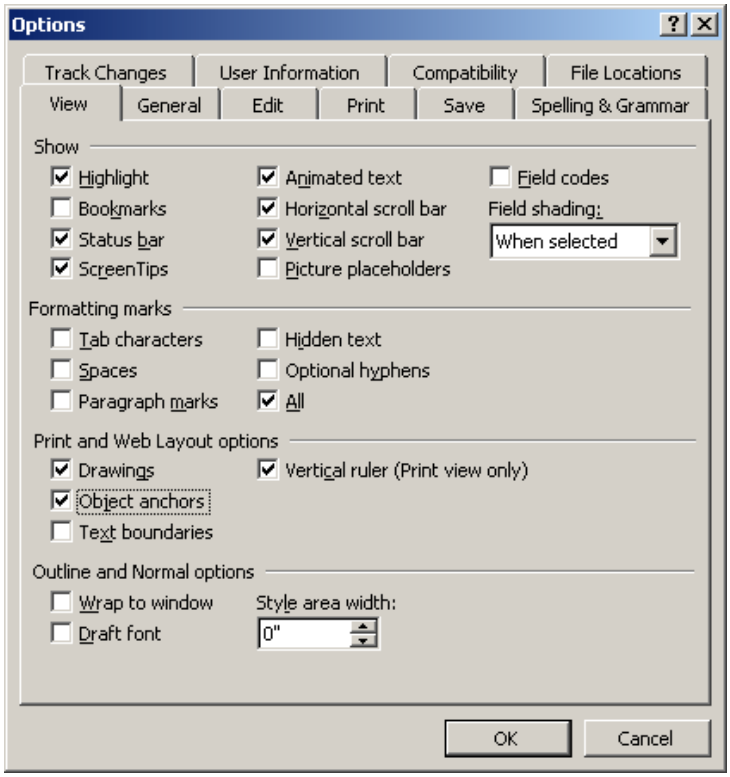
Setting View Options (Optional)

You can choose to view non-printing characters in your Word documents.

Method: Set view options

---

1. Select **Tools** > **Options**.
2. Select the **View** tab.



3. Select **All** in the **Formatting Marks** area.

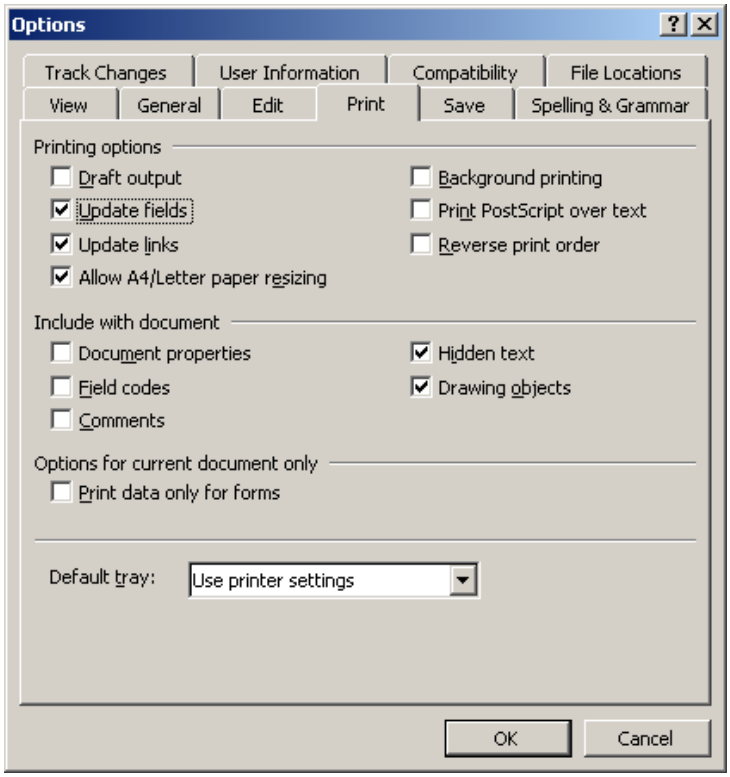
Note: This is optional, but allows you to see non-printing characters in Word, such as paragraph markers and tab characters.

Setting Print Options (Optional)

You can set your print options to include printing hidden text.

Method: Set print options

1. Select **Tools** > **Options**.
2. Select the **Print** tab.



3. Select **Hidden Text** in the **Include with document** area.

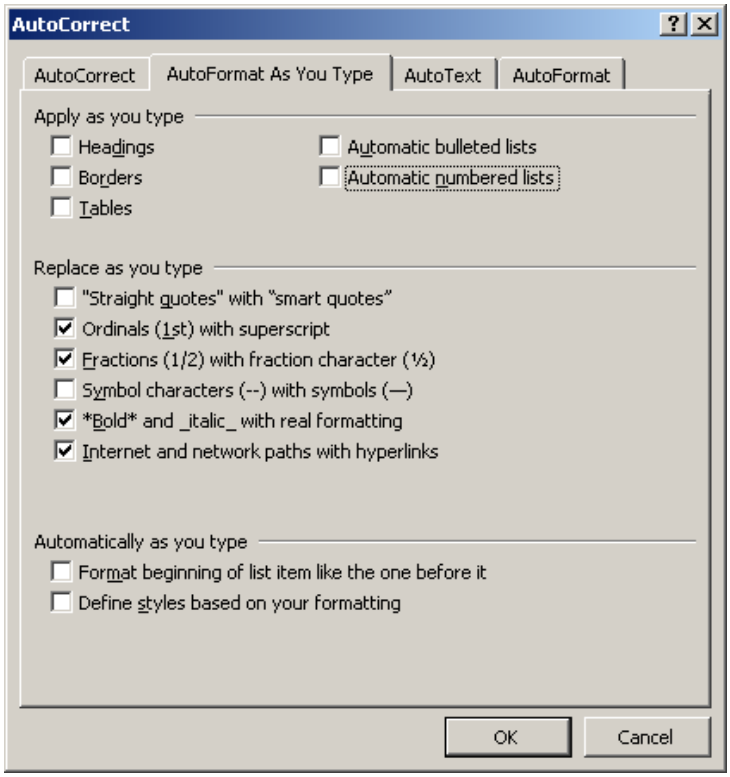
Note: This task is optional, but allows you to print text from Word, even if it has the **Hidden Text** property.

Configuring "Autoformat As You Type"

Configuring these settings will stop Word from adding smart quotes and performing automated word formatting options while you type.

Method: Configure "Autoformat As You Type"

1. Select **Tools** > **Autocorrect**.
2. Click the **Autoformat As You Type** tab.



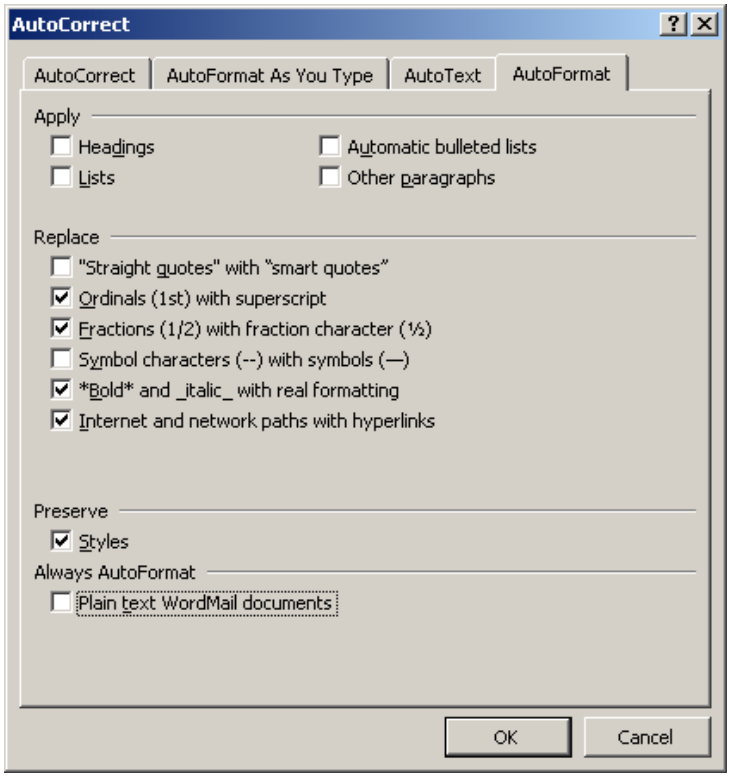
3. All check boxes should be unchecked.
   The following check boxes can optionally be checked:
   - **Ordinals (1st) with superscript**
   - **Fractions (1/2) with fraction character (1/2)**
   - ***Bold* and _italic_ with real formatting**
   - **Internet and network paths with hyperlinks**

Configuring Autoformat

Configuring these settings will stop Word from adding smart quotes and performing certain automated word formatting options when you use the **Format > AutoFormat** command in Word.

Method: Configure Autoformat

1. Select **Tools** > **Autocorrect**.
2. Click the **Autoformat** tab.



3. All check boxes should be unchecked.
The following check boxes can optionally be checked:

- **Ordinals (1st) with superscript**
- **Fractions (1/2) with fraction character (1/2)**
- ***Bold* and _italic_ with real formatting**
- **Internet and network paths with hyperlinks**
- **Styles**

Configuring Word XP or Word 2003

This section describes:

- *Setting Save Options* on page 114
- *Setting View Options (Optional)* on page 114
- *Setting Print Options (Optional)* on page 115
- *Configuring "Autoformat As You Type"* on page 116
- *Configuring Autoformat* on page 117

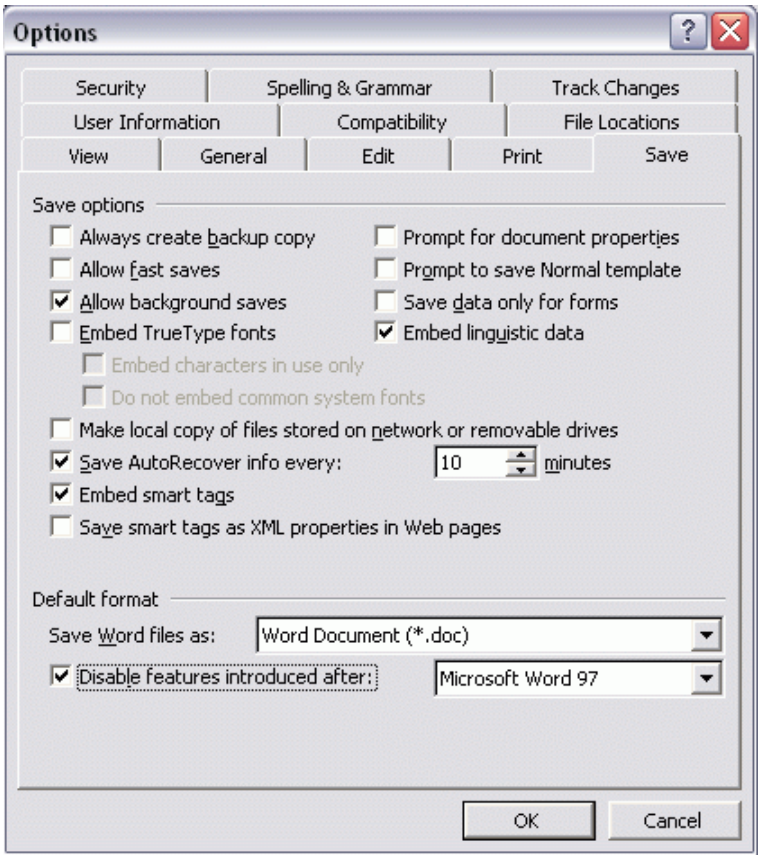
Note: Steps and/or screen images be slightly different on your system.

Setting Save Options

You need to configure certain save options in Word.

Method: Set save options

1. Select **Tools > Options**.



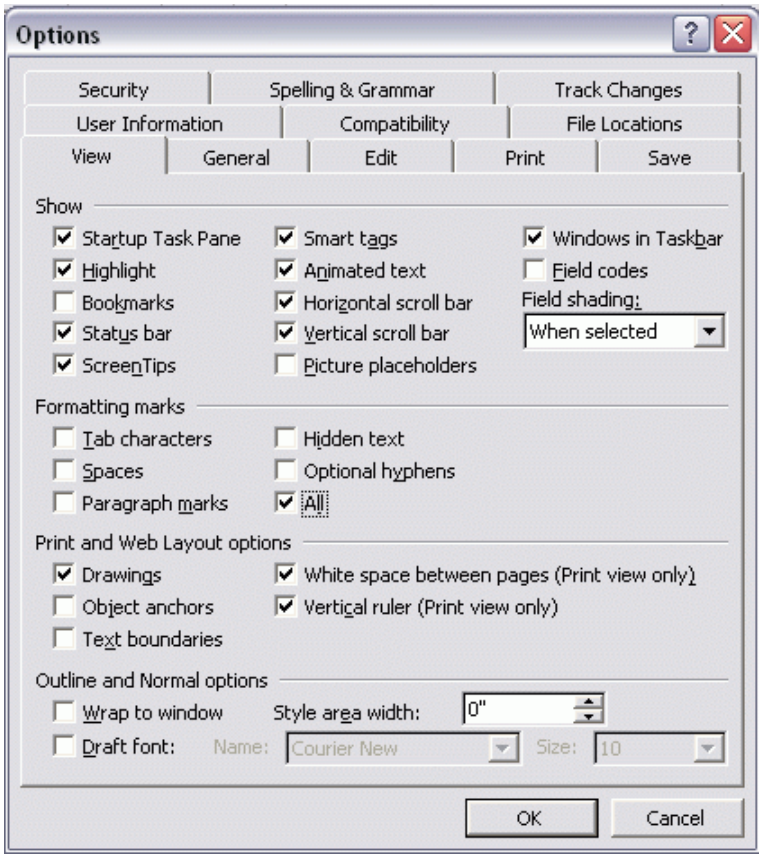
2. Select the **Save** tab.
3. Deselect **Fast Saves**.
4. Select **Disable features introduced after:**.
5. Select **Microsoft Word 97** from the drop-down list to the right of **Disable features introduced after:**.

Setting View Options (Optional)

You can choose to view non-printing characters in your Word documents.

Method: Set view options

1. Select **Tools > Options**.



2. Select the **View** tab.
3. Select **All** in the **Formatting Marks** area.

Note: This is optional, but allows you to see non-printing characters in Word, such as paragraph markers and tab characters.

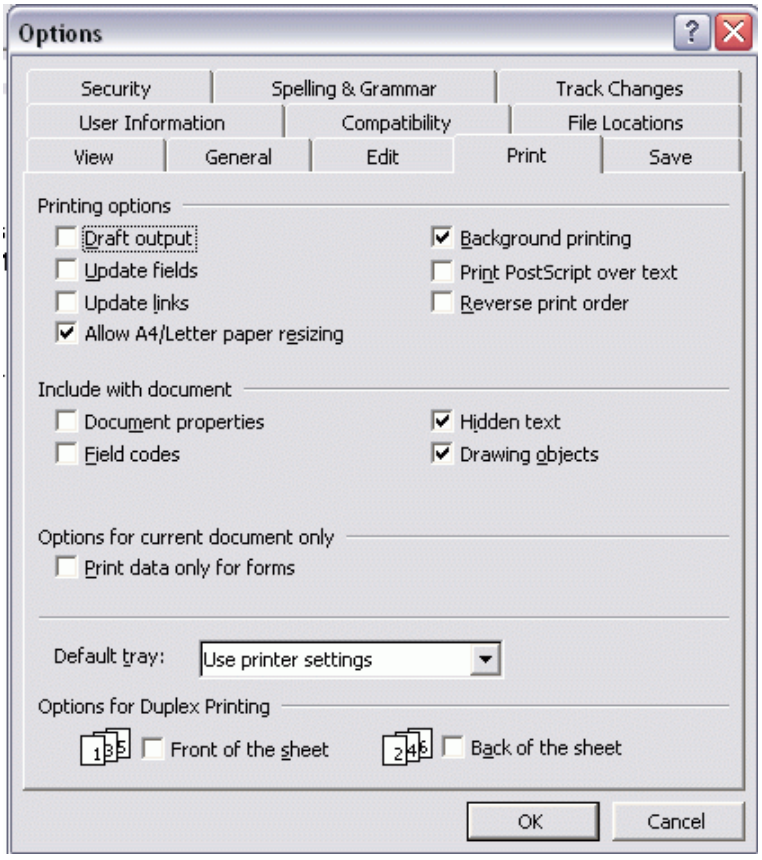
Setting Print Options (Optional)

You can set your print options to include printing hidden text.

Method: Set print options

---

1. Select **Tools > Options**.



2. Select the **Print** tab.
3. Select **Hidden Text** checkbox in the **Include with document** area.

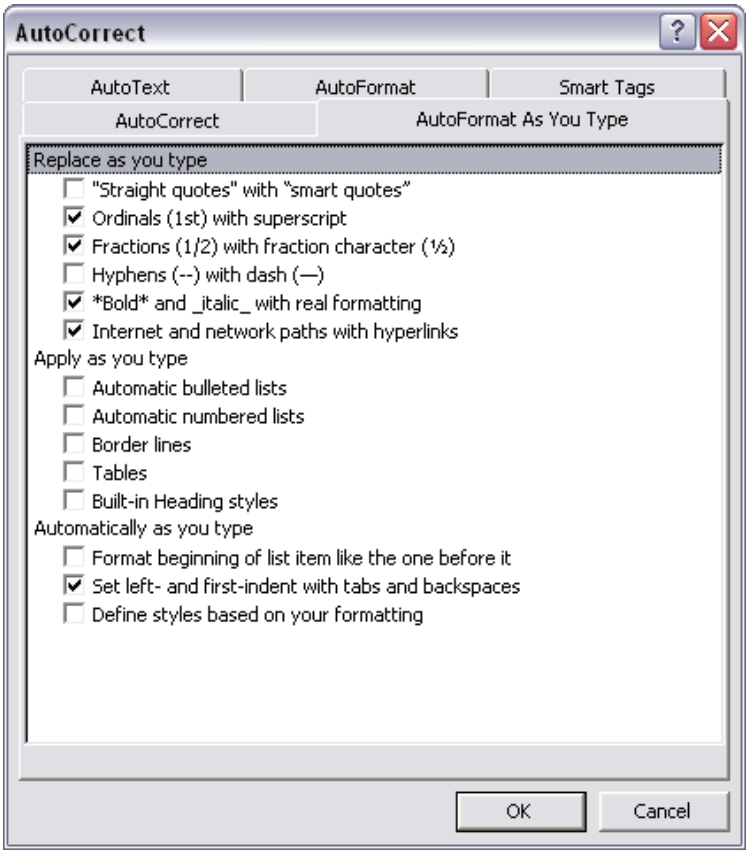
Note: This setting is optional also. It will allow printing of text marked with "Hidden" properties.

Configuring "Autoformat As You Type"

Configuring these settings will stop Word from adding smart quotes and performing automated word formatting options while you type.

Method: Configure "Autoformat As You Type"

1. Select **Tools** > **Autocorrect Options**.
2. Click the **Autoformat As You Type** tab.



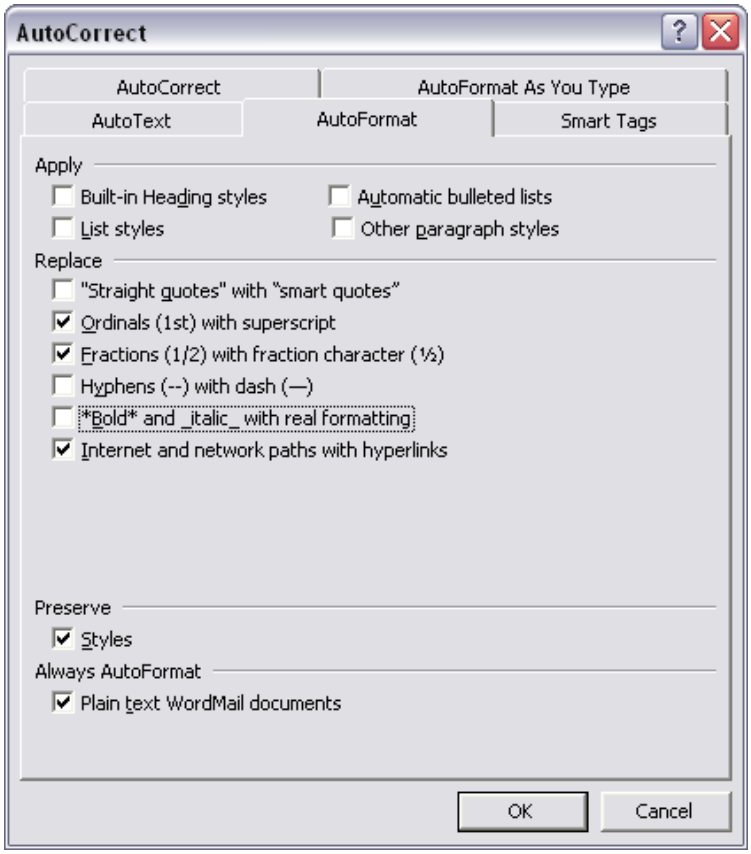
3. All check boxes should be unchecked.
   The following check boxes can optionally be checked:
   - **Ordinals (1st) with superscript**
   - **Fractions (1/2) with fraction character (1/2)**
   - ***Bold* and _italic_ with real formatting**
   - **Internet and network paths with hyperlinks**
   - **Set left- and first-indent with tabs and backspaces**

Configuring Autoformat

Configuring these settings will stop Word from adding smart quotes and performing certain automated word formatting options when you use the Format > AutoFormat command in Word.

Method: Configure Autoformat

1. Select **Tools** > **Autocorrect Options**.
2. Click the **Autoformat** tab.



3. All check boxes should be unchecked.
The following check boxes can optionally be checked:

- **Ordinals (1st) with superscript**
- ***Bold* and _italic_ with real formatting**
- **Fractions (1/2) with fraction character**
- **Internet and network paths with hyperlinks**
- **Styles**
- **Plain text WordMail documents**

Logging In to 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.

You can use the *Windows Authentication* login option to enable your Windows ID and password to be used 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.

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.
2. **If you are configured to use the Windows Authentication login:** you will be logged into Tracker automatically.
3. **If you are not configured for Windows Authentication login,** the **LogIn** box opens.
    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 the **View** menu.
2. Select the **Options** option.
3. Select the **Password** sub-option to open the **Change Password** dialog box.
4. Enter your **Old Password** (it will display as a series of asterisks).
5. Enter the **New Password** you have chosen (it will display as a series of asterisks).
6. Enter your **New Password** a second time, so that the system can verify it.
7. Click **OK**.

Using Text Boxes

Certain fields, called text boxes, allow you to enter text which will appear as a tooltip. You can enter a maximum of 1,000 characters in these text boxes.

Chapter 4

Working with Products and Filing Groups

Products 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 20 for more information.

This chapter describes:

- *Working with Company Products* on page 124
- *Working With Filing Groups* on page 126

Working with Company Products

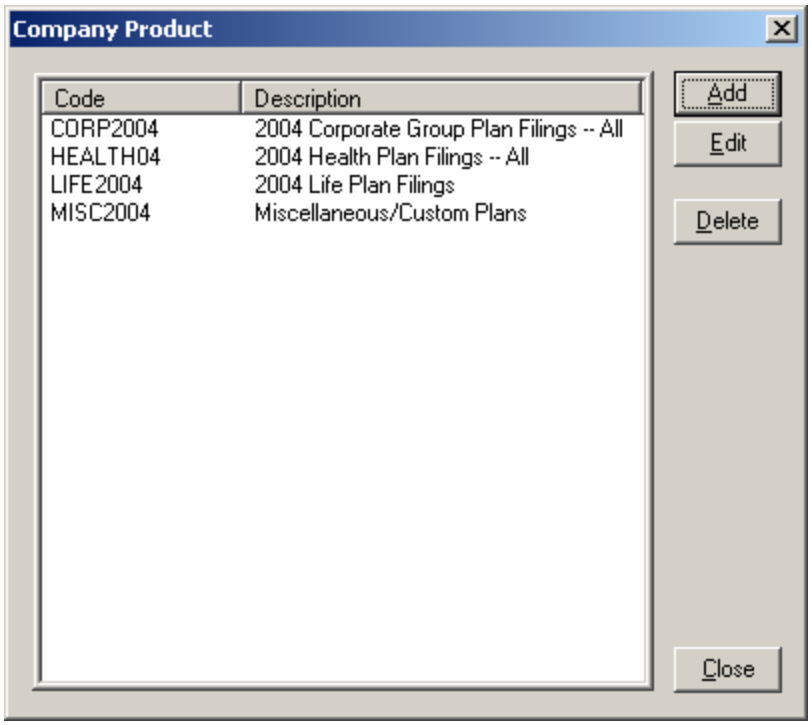
You must create a company product before you can create any filing groups or filings.

This section describes:

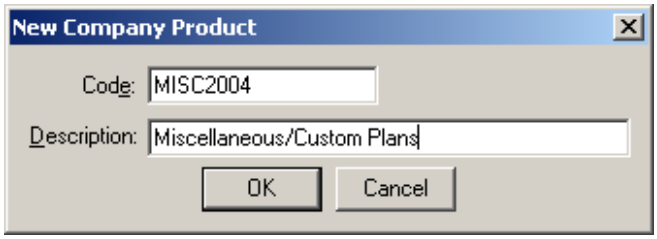
- *Creating a New Company Product* on page 124
- *Editing Company Products* on page 125
- *Deleting Company Products* on page 125

Creating a New Company Product

1. Select the **File** menu.
2. Select the **Company Product** option to open the Company Product list box.



3. Click **Add** to open the New Company Product dialog box.



4. Enter the 8-character Code (name) of the new product, and a short **Description**.

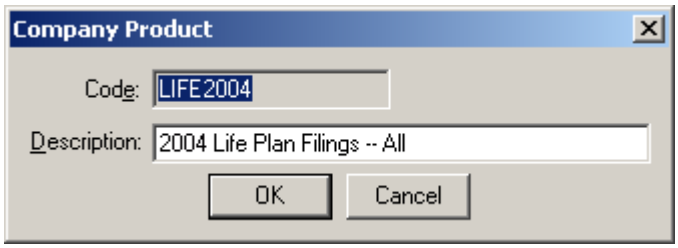
5. Click **OK** to return to the Company Product dialog box

   The product you just added will now appear in the list of products.

6. Click **Close** to exit the dialog box.

Editing Company Products

1. Select the **File** menu.
2. Select the **Company Product** option to open the Company Product list box.
3. Click the product you want to edit and click **Edit**.



4. On Company Product, edit the **Description** as required.

Note: You cannot edit the company product code.

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

Deleting Company Products

1. Select the **File** menu.
2. Select the **Company Product** option to open the Company Product list box.
3. Click the product you want to delete and click **Delete**.

   A confirmation dialog box appears.

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

Note: If the product has filing groups associated with it and you click **Yes**, you will see the following error message:

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

The product will not be deleted.

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 126
- *Viewing the Filing Groups for a Specific Product* on page 127
- *Accessing a Filing Group Record* on page 128
- *Viewing Filing Group Tabs* on page 128
- *Entering a Filing Group Code* on page 129
- *Overriding the Filing Group Code Number* on page 129
- *Creating a Filing Group Past 99999* on page 129
- *Creating Filing Groups in a Multi-User Environment* on page 129

Adding a New Filing Group

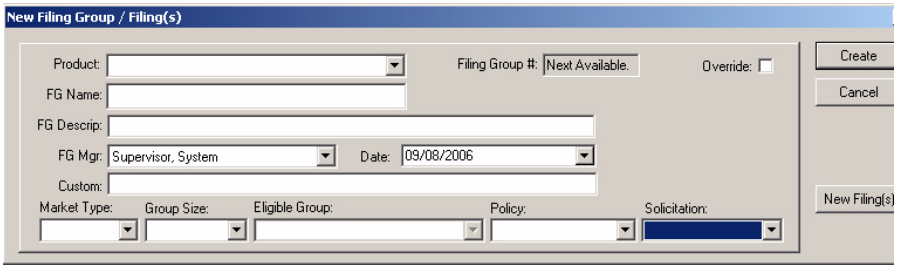
You can add a new filing group at any time using the File menu **New Filing Group** option.

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

Method: Add a new filing group

1. Select **File > New Filing Group.**

   The **New Filing Group** dialog box opens.



2. Enter a **Product** by selecting from the drop-down list.
3. In **Filing Group #**, you can:
   - let Tracker assign a system-generated filing group code
   - select the **Override** 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. If required, complete the following fields. The values you enter will be populated into this filing group's filings.
   - On the **Market Type** drop-down list, select **Franchise**, **Group**, or **Individual**. Making a selection of **Group** unlocks the drop-down buttons for **Group Size** and **Eligible Group**.
   - (If unlocked) On the **Group Size** drop-down list, select **Small**, **Large**, or **Small & Large**.
   - (If unlocked) On the **Eligible Group** drop-down list, select one or more check boxes. The default list includes **Association Group**, **Credit Union**, **Credit/Debtor Group**, **Dependent Group**, **Discretionary Group**, **Employer/Employee**, **Labor Union**, and **Trustee.** Click outside the list to close it. The first 45 characters of the list of selected Eligible Groups is displayed in the Eligible Group field.

Tip: If the list of Eligible Groups selected is longer than 45 characters, hold the mouse pointer over the field; a tooltip appears with the entire list of selected Eligible Groups displayed.

   - If required, on the **Policy** drop down list, select **Direct Issue**, **Trust**, or **Trust & Direct Issue**.
   - Select the type of **Solicitation** from the drop down list. The default list includes **Agent/Broker**, **Financial Institutions**, and **Mass Market**.

7. Click **Create** to create the filing group and exit the dialog box.

   The new filing group is added.

   – OR –

   Click **New Filing(s)** to proceed to create filings for this filing group immediately.

Note: For more information on how to work with filings after clicking **New Filing(s)**, see *Adding a New Filing* on page 132.

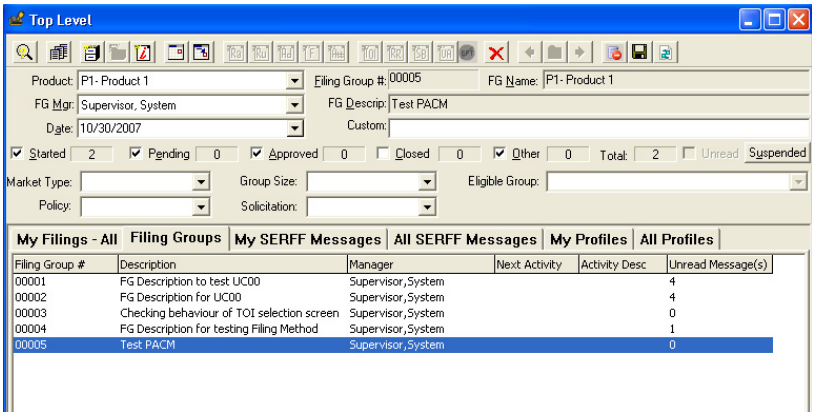
Viewing the Filing Groups for a Specific Product

At the Top Level:

1. On the Filing Group Header, locate the **Product** field.
2. 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.

3. 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* – 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. For details, see *Accessing Filing Records from the Filing Group Level* on page 135.
- *The Activities Tab – Filing Group Level* on page 195

- *The Rates Tab — Filing Group Level* on page 148
- *The Advertisements Tab — Filing Group Level* on page 160
- *The Forms Tab — Filing Group Level* on page 140
- *The Other Attachments Tab* – see *Other Attachments* on page 169
- *The NAIC Filing Description Tab* – see *Entering NAIC Filing Descriptions* on page 172

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 a New Filing* on page 132
- *The My Filings — All Tab* on page 134
- *Filing Header* on page 136
- *Filing Tabs* on page 137
- *The Filing Details Tab* on page 138
- *Forms* on page 140
- *Rates* on page 148
- *Advertisements* on page 160
- *Linking Related Filings* on page 167
- *Other Attachments* on page 169
- *Entering NAIC Filing Descriptions* on page 172
- *Entering Filing Fees* on page 174

Adding a New Filing

You can add a new filing or filings immediately after creating a new filing group, or from within an existing filing group (as described below). Tracker will automatically make the new filing a member of whatever filing group you are working in. A new filing 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.

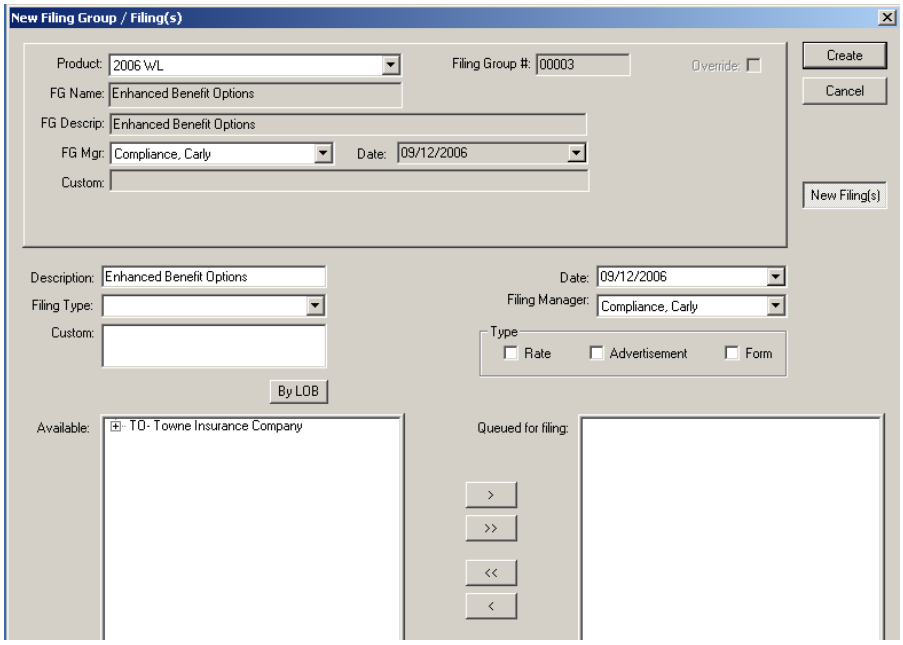
Method: Add a new filing in Tracker at the Filing Group level

1. At the **Top Level**, click the **Filing Groups** tab.
2. Select a Product from the drop-down list.

   The list of existing Filing Groups (if any) is displayed.
3. Click **Suspended**.
4. Double-click the Filing Group that will contain your new filing.

   The **Filing Group** window opens with the list of filings for that Filing Group (if any) displayed.
5. Click the **New Filing** button .

   The **New Filing Group/New Filing(s)** dialog box opens.



6. Enter the required information for the filing: **Description**, **Filing Type**, and **Content Type** (check **Rate**, **Advertisement**, **Form**, or a combination). The **Date will be set to today**, and the **Filing Manager** will be set to your User ID. (If the appropriate User ID is not set up as a Filing Manager, select one from the drop-down list.)

Note: The following fields do not appear in this dialog box: **Market Type, Group Size, Eligible Group**, **Policy**, and **Solicitation**. These values are obtained from the filing group: see *Adding a New Filing Group* on page 126.

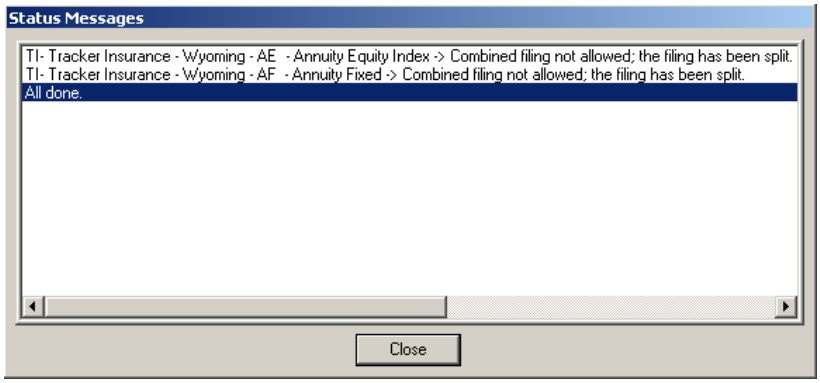
7. From the **Available** list field on the left, choose the desired company/state/line of business combination(s) for this filing using the left and right movement buttons --

.

   The selected combination(s) appear in the **Queued for Filing** field.

8. 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:



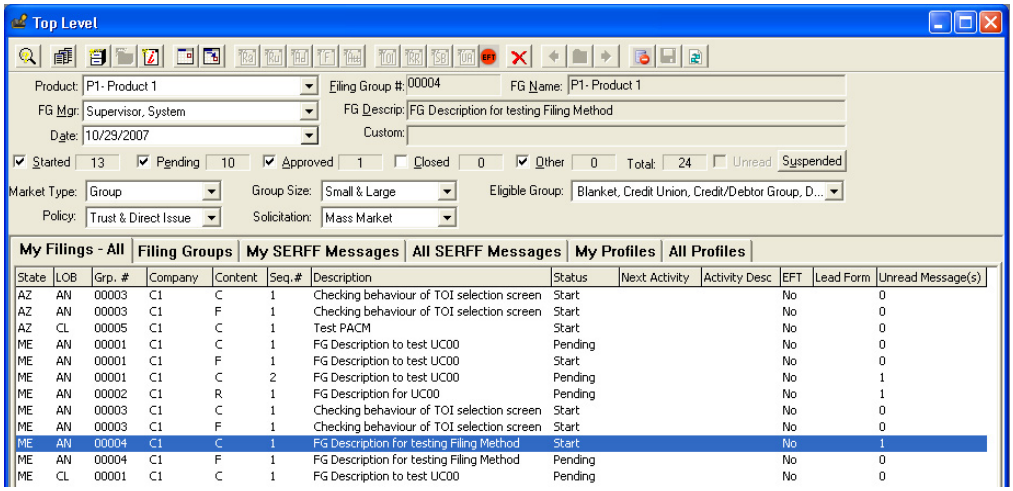
Note: This screen image shows what happens with states that do not allow combined filings. Tracker will split the filings into separate rates, advertisements, and forms where applicable.

9. 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, and the **Filings** tab in the appropriate Filing Group.

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.

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 checkbox 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 checkboxes. 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.

From a Filing Group Level:

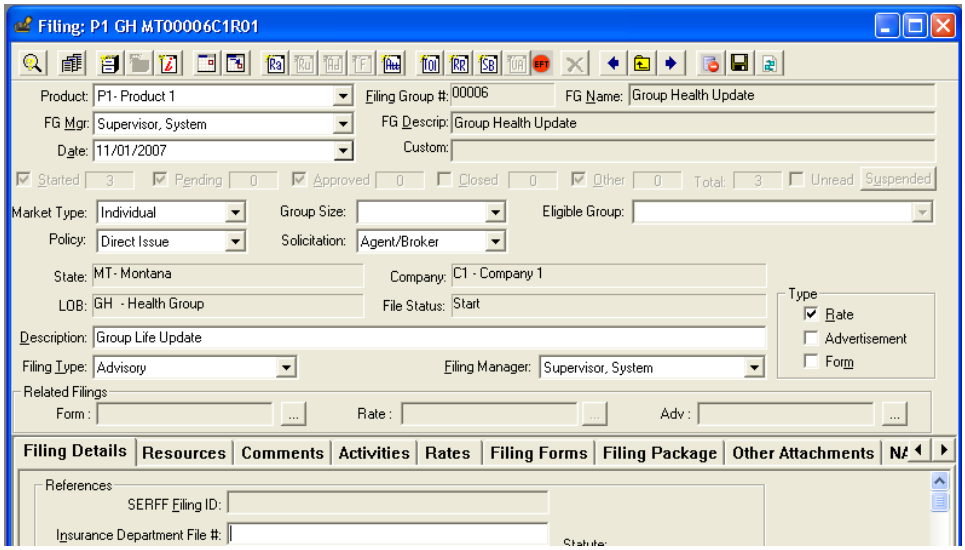
- On the **My Filings** tab or **Filings** list tab, select the filing you want to view and open it by double-clicking on it.

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.



Filing Tabs

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

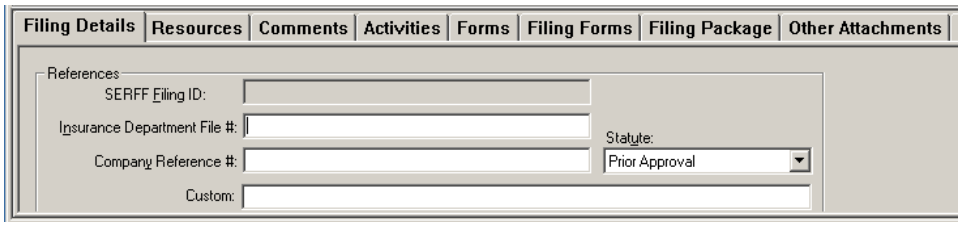
The filing tabs are described in the following sections:

- *The Filing Details Tab* on page 138
- *The Resources Tab* on page 178
- *The Comments Tab* on page 179
- *The Activities Tab – Filing Level* on page 180
- *The Forms Tab — Filing Group Level* on page 140
- *The Rates Tab – Filing Level* on page 153
- *The Advertisements Tab — Filing Group Level* on page 160
- *The Filing Forms Tab* on page 181
- *The Filing Package Tab* – see *Activities and the Filing Package Tab* on page 210
- *The Other Attachments Tab* – see *Other Attachments* on page 169
- *The NAIC Filing Description Tab* – see *Entering NAIC Filing Descriptions* on page 172
- *The Filing Fee Tab* – see *Entering Filing Fees* on page 174

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

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.
   - The **Filing Statute** will be automatically filled in by the system using information from the Regulatory Specialist.
   - 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.

- 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 *Defining and Editing Custom Field Labels* on page 83.

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:

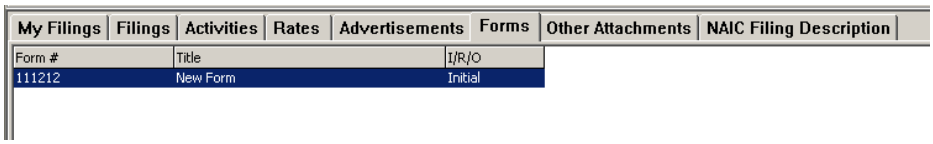
- The **Tracker Reference #** refers to the identification number for this filing if it was transferred from a version of Tracker before 4.0.

Forms

In Tracker, the term *Forms* refers to Insurance Policy and 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 form details for any of the forms listed.

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

Note: When you add a form reference at the *Filing Group* level, all filings in that filing group will automatically contain the form reference. You can see these *Filing Group* level form references at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level.

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

At the Filing Group level:

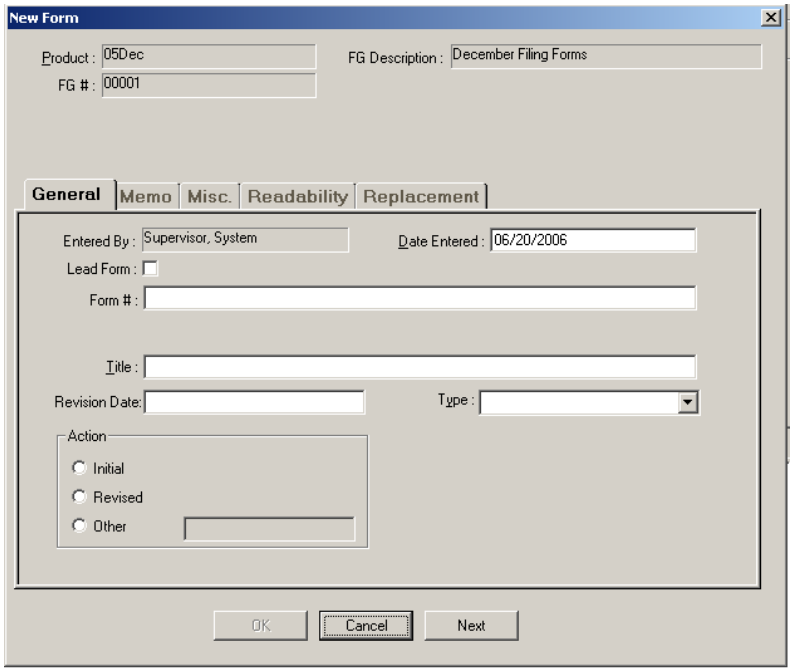
1. **To create a new form**, click the **New Form** toolbar button or select **Insert > New Form**.

   The **New Form** dialog box opens (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** dialog box).



2. The basic information fields at the top of the dialog box 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.

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 **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** checkbox.

Note: When a form is added at the FG level, the **Lead Form** checkbox 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.

4. 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 297.)

5. On the **Misc.** tab:

   - If this form is severable, select the **Severable** checkbox.

Note: Severable means that the form will still apply to the fullest extent that it could if laws change. For example, a state can change a requirement which makes the form in its entirety no longer correct. If it's a severable form, it means that until a revised form is received, the parts that are still applicable to state law apply.

   - If this form is non-standard, select the **Non Standard** checkbox.

Note: Non-standard means the terms of the form were developed entirely by the company – i.e. they didn't adopt someone else's wording or recommended wording from an organization such as ACLI, etc.

   - In the **Attachment** field, you can specify a path to the actual form document.

     Type in the path (to a maximum of 255 characters), or click the browse button to locate and specify the path for the document. If you have a DMS, select **Browse DMS** if the attachment is located in a Calligo 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.

   - In the **No. of Pages** field, enter the number of pages in the attached document.
   - In the **Custom** field, you can add more information about the form. Information in this field will not appear in the final filing package.

6. 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.

7. On the **Replacement** tab, click **Add.**

   The **Replacement Attachment Selection** dialog box appears. 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.

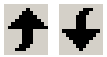
Enter the applicable replaced information as follows:

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

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.



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

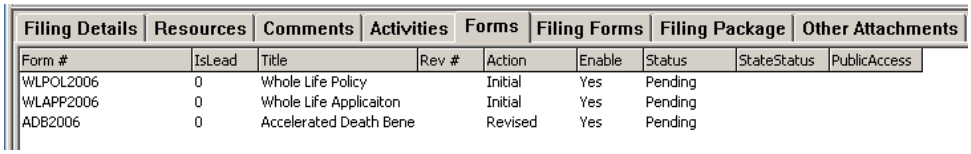
– OR –

To finish, click **OK**.

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



Form #	IsLead	Title	Rev #	Action	Enable	Status	StateStatus	PublicAccess
WLPOL2006	0	Whole Life Policy		Initial	Yes	Pending		
WLAPP2006	0	Whole Life Applicaiton		Initial	Yes	Pending		
ADB2006	0	Accelerated Death Bene		Revised	Yes	Pending		

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 box.

2. Click a tab title to view information on that tab screen.

Important: When you add a form reference at the *Filing Group* level, all filings in that filing group will automatically contain the form reference. You can see these *Filing Group* level form references at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level. However, if you change certain fields at the *Filing* level, marked in this guide with a broken link icon, , the form reference will become independent of changes at the *Filing Group* level, in effect becoming a *Filing* level form reference.

Adding a New (or Editing an Unsubmitted) Filing Level Form

Note: Forms attached at the Filing level only apply to that filing.

Method: Create a new form

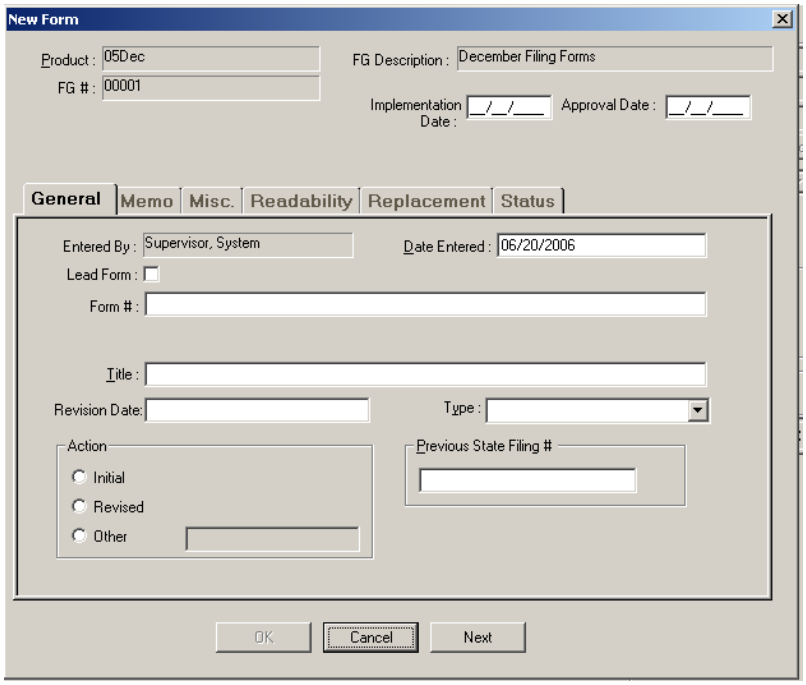
1. Click the **New Form** toolbar button or select **Insert > New Form**.

   The **New Form** dialog box opens (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**).



2. 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.

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 **Form #** field, enter the code/number assigned to this form by your company.

- If this is the Lead Form for this filing, select the **Lead Form** checkbox.

Notes:

- If you attempt to designate a second lead form in an unsubmitted filing, an error message will be displayed with the following text: *"A lead form has already been designated. Please review as only one lead form is permitted in a filing."* You will need to clear the Lead Form checkbox for the first lead form before selecting the Lead Form checkbox for the newly added form.
- When editing a form that was added at the FG level, the behavior of the **Lead Form** checkbox will depend on whether the filing has been submitted to SERFF or not:
  - If the filing *has* been submitted to SERFF, the **Lead Form** checkbox will be locked. Also, lead form information will not be passed to SERFF when the user sends a Filing Amendment, Objection Response, or a Note to Reviewer.
  - If the filing *has not* been submitted to SERFF, the **Lead Form** checkbox will be fully editable so the user can select it or clear it as desired. If it is checked and another form in the filing is already designated as lead form, a warning message with the following text is displayed when the user attempts to close the **New Form** dialog box: *"Two or more forms in the filing have been designated as lead forms. Please review the forms and ensure that you only have one lead form."*

- In the **Title** field, enter a brief title for this form.
- In the **Revision Date** field, enter the revision date of this form.
- In the **Type** field, select the form type from the drop down list.
- In the **Action** area, select whether this form attachment is **Initial**, **Revised** or **Other**. Note that this is a mandatory field for SERFF filings.

  If **Revised**, enter the **Previous State Filing #**. (This is the DOI file number assigned by the state to the previous filing.)

  If **Other**, enter an explanation.

4. 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 297.)
5. On the **Misc**. tab:
   - If this form is severable, select the **Severable** checkbox.

- If this form is non-standard, select the **Non Standard** checkbox.
- In the **Attachment** field, you can specify a path to the actual form document.

  Type in the path (to a maximum of 255 characters), or click the browse button ... to locate and specify the path for the document. 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.

- In the **No. of Pages** field, enter the number of pages in the attached document.
- In the **Custom** field, you can add more information about the form. Information in this field will not appear in the final filing package.
- If you want the attached document to be printed as part of the final completed filing(s), select **Print Attachment**.

6. 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.

7. On the **Replacement** tab, click **Add/Lookup**.

The **Replacement Attachment Selection** dialog box 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.

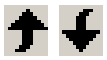
If the list of **Available Attachments** is blank or does not contain the form to be replaced, enter the replaced information.

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

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 forms.

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.



8. 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** checkbox.
- If this form is specific for this state, select the **State Specific** checkbox.
- 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.

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

– OR –

To finish, click **OK**.

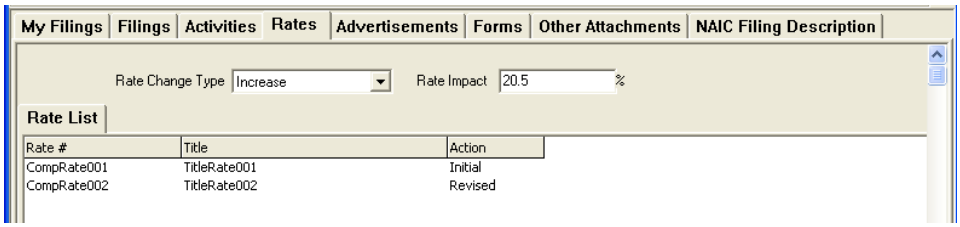
The new form reference(s) will be added (or the existing form reference updated), and the dialog box will close.

Rates

Rates are the premium amounts which insurance companies charge their customers. New rates and rate alterations must often be filed with individual State Insurance Departments 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 details for any of the rates listed.



Each rate has its own detailed record in the system. Each Rate Detail Record is displayed as a dialog box with several tabs displaying detailed information about that rate.

Method: View a rate detail record

1. On the **Rates** tab, double-click a rate record to open it.
2. Click a tab title to view or change information.

Note: When you add a rate attachment at the *Filing Group* level, all filings in that filing group will automatically contain the rate attachment. You can see these *Filing Group* level rate attachments at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level.

Method: Set the filing group level rate information at the filing group Level

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

At the filing group level, 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.
- In the **Rate Impact** field, enter a positive or negative percentage value. The value cannot exceed 3 decimal places, for example 5.793.

Method: Adding a New (or Editing an Existing) Filing Group Level Rate Attachment

At the Filing Group level:

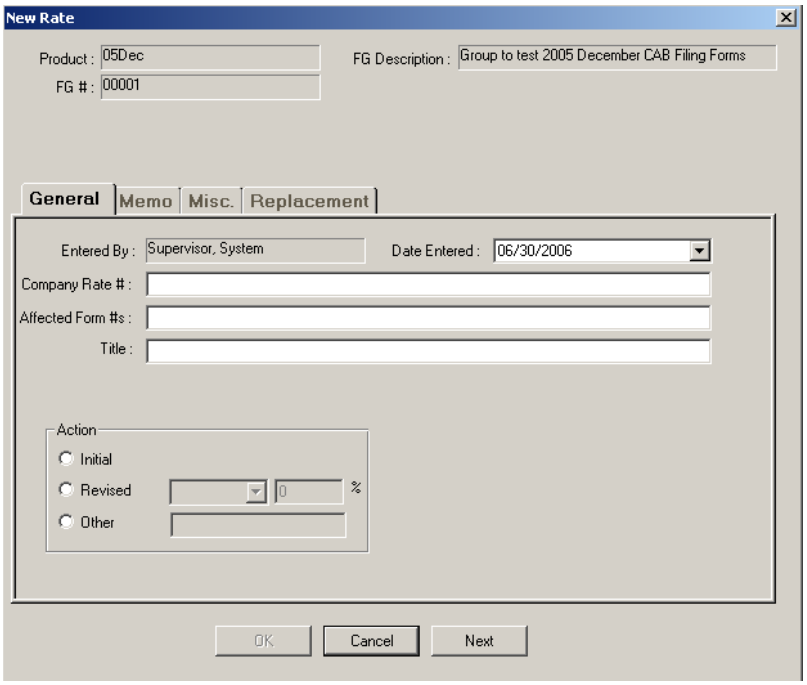
1. **To create a new Filing Group Level Rate Attachment**, click the **New Rate** toolbar button to open the **New Rate** dialog box, or select **Insert > New Rate.**

   The **New Rate** dialog box opens (shown below).

   Alternatively:

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

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



2. The basic information fields at the top of the dialog box 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.

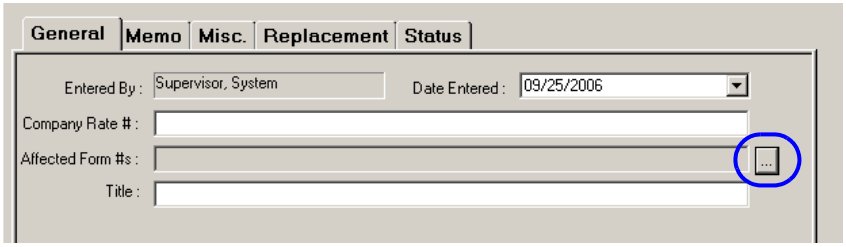
   Begin entering information on the **General** tab for the next rate.

3. On the **General** information tab:

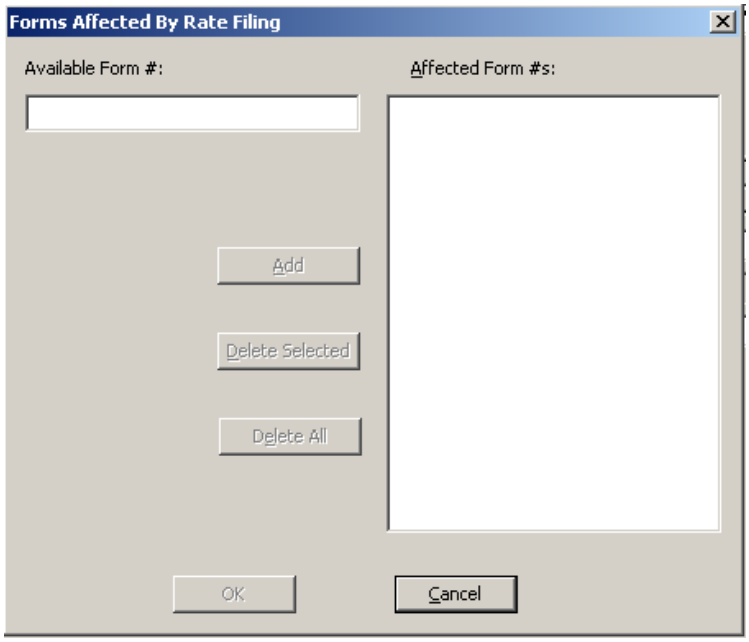
   - The **Entered By** field will automatically be filled in with your name. The **Date Entered** field will have the rate's creation date. The date can be changed by clicking the drop-down button and selecting a date from the calendar.

- In the **Company Rate #** field, enter the code/number assigned to this rate by your company.
- Populate the **Affected Form #s** field by following these steps:

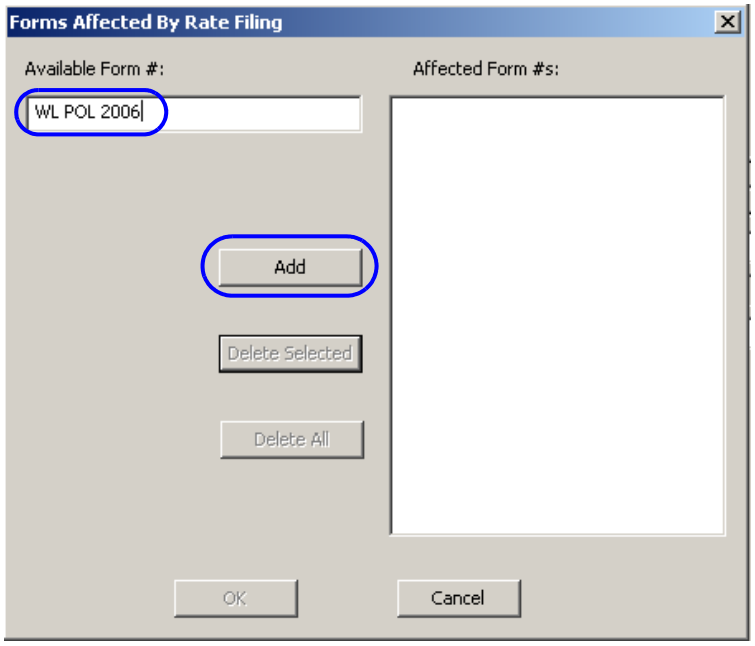
  a. Click the [...] button to the right of the **Affected Form #**.



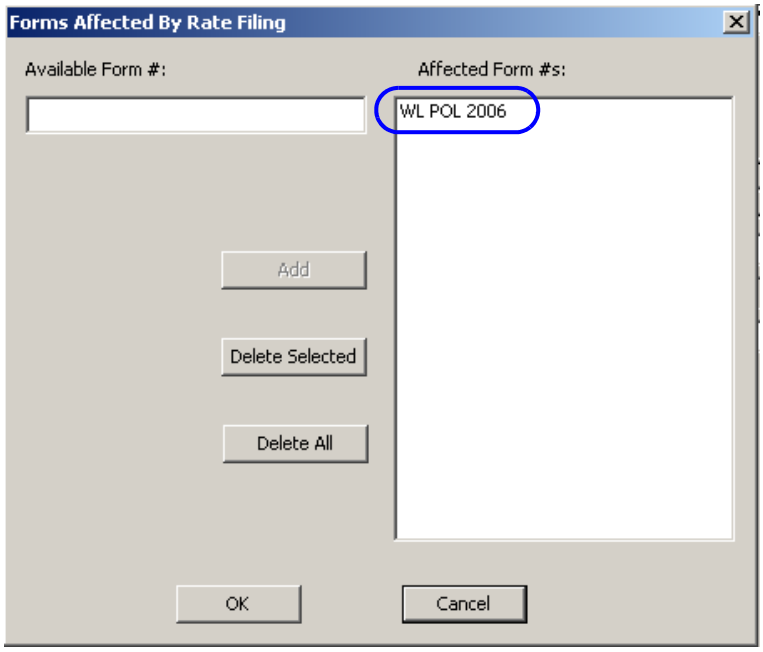
The **Forms Affected By Rate Filing** dialog box opens.



  b. In the **Available Form #** field, enter the form number for a form that is affected by the rate filing, then click **Add**.



The number is added to the **Affected Form #s** list.



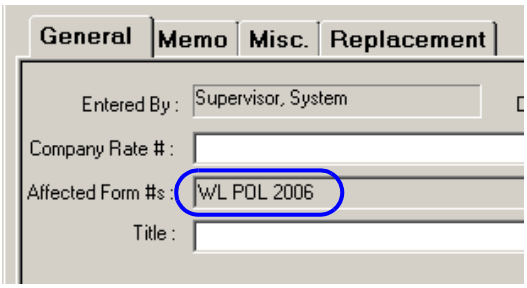
c. Repeat the above step until all the forms affected by the change have been added.

d. Use **Delete Selected** and **Delete All** to remove forms that have already been added to the list.

e. Click **Cancel** to close the dialog box without making any changes to the information in the **Affected Form #s** field.

f. Click **OK.**

The **Forms Affected By Rate Filing** dialog box closes, and the list of affected forms is displayed in the **Affected Form #** text box.



- In the **Title** field, enter a brief title for this rate attachment.
- In the **Action** area, select whether this is an **Initial**, **Revised** or **Other** rate attachment. Note that this is a mandatory field for SERFF filings.

  If **Revised**, select **Increase** or **Decrease** from the drop-down list, and enter the % change in the text box.

  If **Other**, enter an explanation.

4. 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 297.)
5. On the **Misc.** tab:
   - In the **Attachment** field, you can specify a path (to a maximum of 255 characters) to the actual rate document.

     Type in the path (to a maximum of 255 characters), or click the browse button ... to locate and specify the path for the document. 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.

In the **No. of Pages** field, enter the number of pages in the attached rate document.

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

6. On the **Replacement** tab, click **Add**.

   The **Replacement Attachment Selection** dialog box 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.

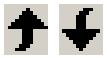
If the list of **Available Attachments** is blank or does not contain the rate to be replaced, enter the replaced information.

a. Enter the **Replaced Rate #** .

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

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.



7. 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 box will open.

OR

Click **OK**.

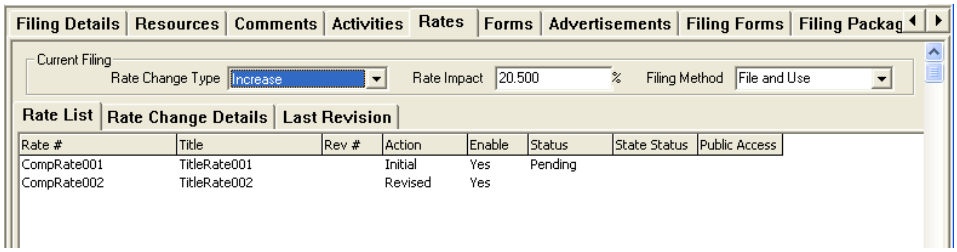
The information on all the tabs will be saved, the new rate item will be added to the main **Rate** tab at Filing Group level, and the **New Rate** dialog box will close.

OR

Click **Cancel** to close the **New Rate** dialog box without saving.

The Rates Tab – Filing Level

The Filing level **Rates** tab lists all of the rates for this filing; both Filing Group level filings and Filing Level filings.



Viewing or Changing Rates 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. When changed at the Filing level, a filing's **Rate Impact** will become independent of the **Rate Impact** setting at the Filing Group level.

Important: When you add a rate attachment at the *Filing Group* level, all filings in that filing group will automatically contain the rate attachment. You can see these *Filing Group* level rate attachments at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level. 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.

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.

Method: Enter filing level rate information

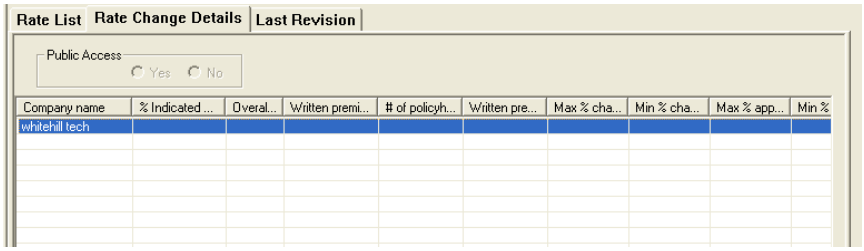
1. At the filing level, click the **Rates** tab.
2. If required, select an entry from the **Rate Change Type** drop-down list (blank, **Increase**, **Decrease**, or **Rate Neutral**).

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.

- If required, in the **Rate Impact** field, enter a positive or negative percentage value. The value cannot exceed 3 decimal places, for example 5.793.

Note: **updated 10-16-07 KW When changed at the Filing level, a filing's **Rate Impact** will become independent of the **Rate Impact** setting at the Filing Group level.

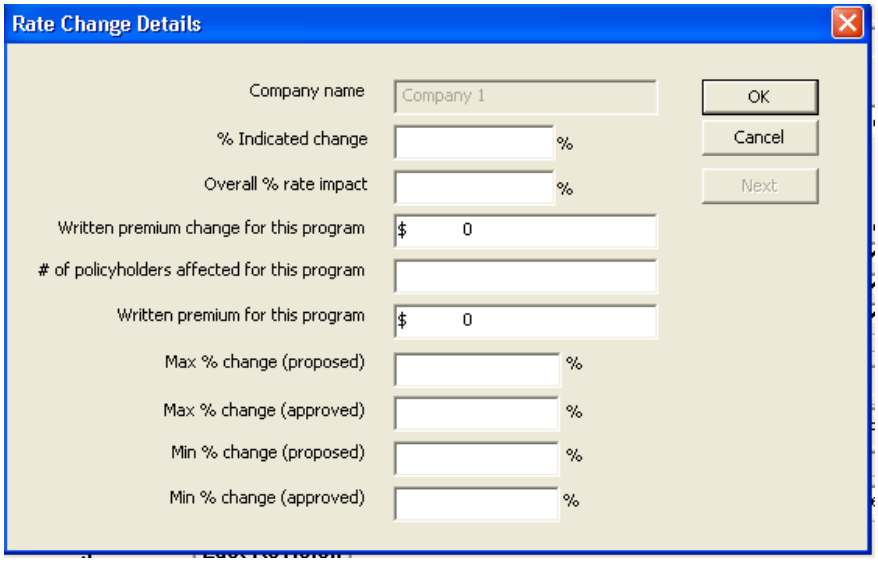
3. Select an entry from the **Filing Method** drop-down list. The choices are: **Prior Approval, File and Use,** or **Use and File**. If none of these apply, enter the appropriate method, for example, **Informational**.
4. Click the **Rate Change Details** tab. This tab contains the Public Access section (which indicates whether the document affiliated with the requirement can be publicly accessed) and a grid with company-specific rate change information for the filing.



5. Double-click a row containing data.

   The **Rate Change By Company** dialog opens.

Note: If **Rate Change Type** is set to **Not Applicable,** the fields on the **Rate Change By Company** dialog will be locked and empty.



6. 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 % **Indicated change,** enter a positive or negative percentage value. This cannot exceed 3 decimal places, for example 5.793, and also cannot exceed 99.999.

   c. In the **Overall % Rate Impact** field, enter a positive or negative percentage value. The value cannot exceed 3 decimal places, for example 5.793, and also cannot exceed 99.999.

   d. 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.

   e. 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.

   f. In the **Written premium for this program** field, enter a dollar value.

   g. In the **Max % change requested for this program** field, enter a positive percentage value – the value cannot exceed 3 decimal places, for example 5.793, and also cannot exceed 99.999.

   h. 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.

   i. In the **Min % change requested for this program** field, enter a positive percentage value. This cannot exceed 3 decimal places, for example 5.793, and also cannot exceed 99.999.

j. 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.

7. Click the **Save** button on the Tracker toolbar to save your changes.
8. Click **OK** to save your changes.
9. Click the **Last Revision** tab.
10. In this tab, enter the following information for the previous rate revision:
    - **Overall percentage –** this cannot exceed 3 decimal places, for example 5.793
    - **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.** If none of these Filing Methods are applicable, enter the appropriate method, for example, **Informational.**
11. Click the **Save** button on the Tracker toolbar to save your changes.

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

You can add new rate attachments to a specific filing using **Insert** > **New Rate** or the **New Rate** toolbar button. Be sure to start at the Filing Level to ensure that the rate is attached to the filing.

Important: Editing an existing Filing Group Level Rate Attachment at the Filing Level has the potential to sever its link with the filing group, effectively converting it into a Filing Level rate attachment. The fields that cause this to happen are marked with a broken link icon in this topic.

At the Filing level:

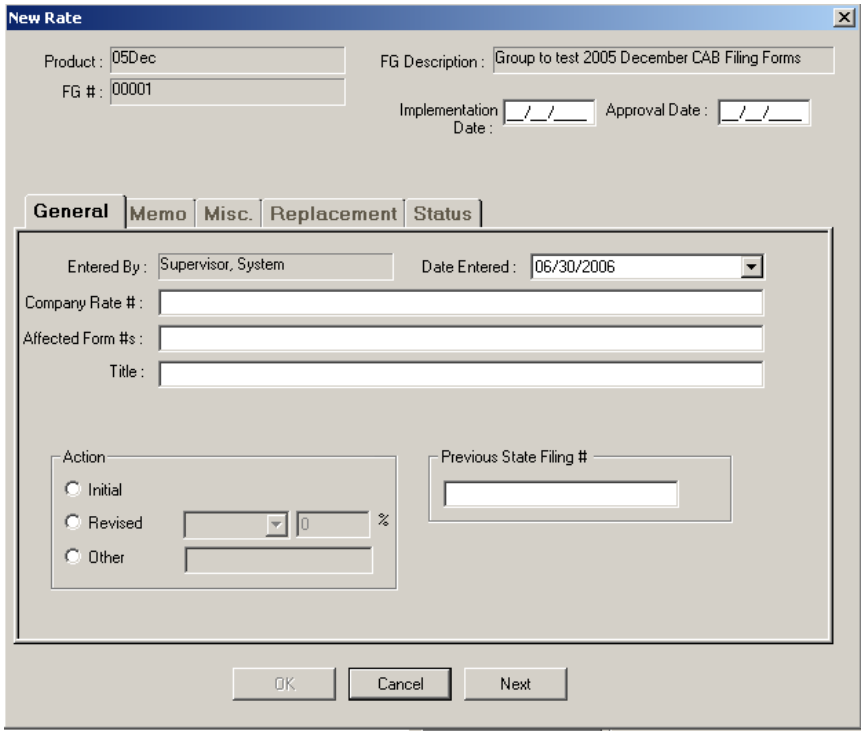
1. **To create a new Filing Level Rate Attachment**, click **New Rate** to open the **New Rate** dialog box, or select **Insert > New Rate.**

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



The basic information fields at the top of the dialog box 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.

2. 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.
- Populate the **Affected Form #s** field by following these steps:

  a. Click expand [...] to the right of the Affected From # field.

  The **Forms Affected By Rate Filing** dialog box opens.

  b. In the **Available Form #** field, enter the form number for a form that is affected by the rate filing.

  c. Click **Add**.

  The number is added to the **Affected Form #s** list.

  d. Repeat the above three steps until all the forms affected by the change have been added.

  e. Use **Delete Selected** and **Delete All** to remove forms that have already been added to the list.

f. Click **Cancel** to close the dialog box without making any changes to the information in the **Affected Form #s** field.

g. Click **OK.**

The **Forms Affected By Rate Filing** dialog box closes, and the list of affected forms is displayed in the **Affected Form #s** field.

- In the **Title** field, enter a brief title for this rate attachment.
- In the **Action** area, select whether this is an **Initial**, **Revised** or **Other** rate attachment. Note that this is a mandatory field for SERFF filings.

  If **Revised**, select **Increase** or **Decrease** from the drop-down list, and enter the % change in the text box. Enter the **Previous State Filing #**. This is the DOI file number assigned by the state to the previous filing.

  If **Other**, enter an explanation.

3. 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 297.)

4. On the **Misc.** tab:

- In the **Attachment** field, you can specify a path (to a maximum of 255 characters) to the actual rate document.

  Type in the path (to a maximum of 255 characters), or click the browse button ... to locate and specify the path for the document. 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.

- In the **No. of Pages** field, enter the number of pages in the attached document.
- If you want the attached document to be printed as part of the final completed filing(s), select the **Print Attachment** checkbox.
- The **Custom** field allows you to add more information about the rate. Information in this field will not appear in the final filing package.

5. On the **Replacement** tab, click **Add/Lookup**.

The **Replacement Attachment Selection** dialog box 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.

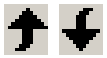
If the list of **Available Attachments** is blank or does not contain the rate to be replaced, enter the replaced information.

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.



6. 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** checkbox.
- If this rate is specific for this state, select the **State Specific** checkbox.
- 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.

7. To add another new rate attachment, click **Next**.

The **New Rate** dialog box will re-appear ready for another new rate attachment.

– OR –

To finish, click **OK**.

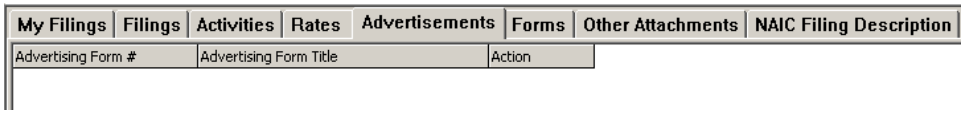
The new rate attachment(s) will be added, (or the existing rate attachment will be updated) and the dialog box will close.

Advertisements

Advertisements are composed of any flyers, brochures, jacket copy, marketing materials, commercials, and so on, used in the insurance industry to promote and sell insurance coverage. New advertisements, and changes to existing advertisements, must often be filed with individual State Insurance Departments in order to meet compliance regulations, depending on the product, method of distribution, and advertising medium used.

The Advertisements Tab — Filing Group Level

The Filing Group Level Advertisements tab lists all of the advertisements attached to this filing group.



From this tab, you can access the details for any of the Filing Group level advertisements.

1. Click the **Advertisements** tab.
2. To open its **Advertisement Details** dialog box, double-click the desired advertisement.

Adding a New (or Editing an Existing) Filing Group Level Advertisement Attachment

The Advertisements tab at the Filing Group level lists all of the advertisements added to the selected filing group.

Tracker will apply any advertisement additions that you make at the Filing Group level to each filing within the specified filing group. Any revisions made to the advertisements at the Filing Group level will apply to every linked advertisement.

Adding advertisements at the Filing Group level then making required changes at the Filing level may save you time compared to adding advertisements individually at the Filing level.

At the Filing Group level:

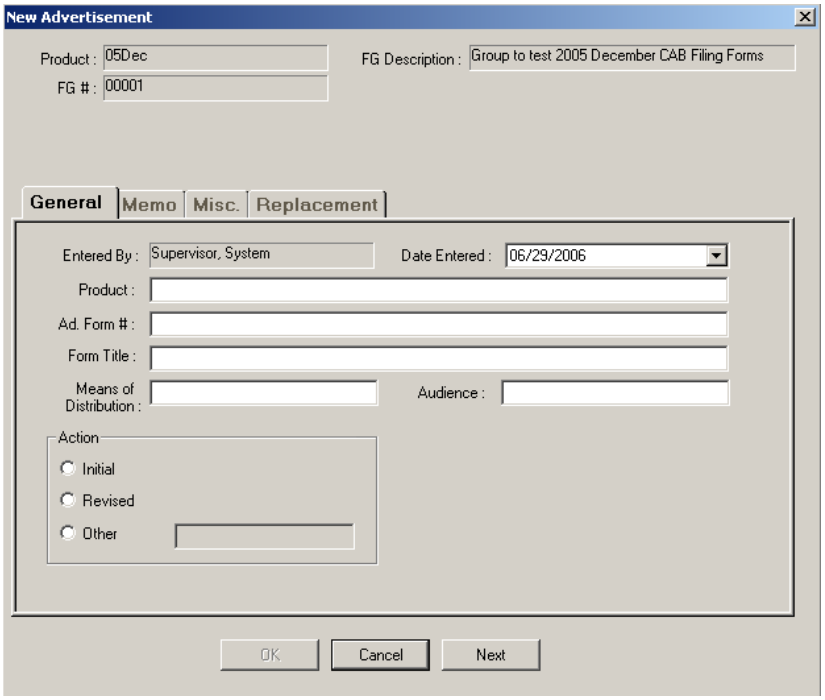
1. **To add a new Advertisement** to a Filing Group, click the **New Advertisement** toolbar button ***or*** select **Insert** > **New Advertisement**.

   The **New Advertisement** dialog box opens (shown below).

   Alternatively:

   To edit an existing Advertisement, double-click the desired advertisement.

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



2. The basic information fields at the top of the dialog box will be automatically filled with information from the filing group record. Check these to ensure that you are adding the advertisement 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 **Product** field, enter the product to which the advertising applies.
   - In the **Ad. Form #** field, enter the code/number assigned to this advertisement by your company.
   - In the **Form Title** field, enter a brief title for this advertisement.
   - In the **Means of Distribution** field, enter the distribution method for this advertisement.
   - In the **Audience** field, enter the target audience for this advertisement.
   - In the **Action** area, select whether this is an **Initial, Revised,** or **Other** advertisement. If **Other**, enter an explanation.

4. On the **Memo** tab:

   - The **Adv. Form #** field displays the advertisement 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 advertisement. This text is included in the long filing letter. (See *Understanding Filing Letters* on page 297.)

5. On the **Misc.** tab:

   - In the **Attachment** field, you can specify a path (to a maximum of 255 characters) to the advertisement.

     Type in the path (to a maximum of 255 characters), or click the browse button to locate and specify the path for the document. 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.

   In the **No. of Pages** field, enter the number of pages in the attached document.

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

6. On the **Replacement** tab, click **Add**.

   The **Replacement Attachment Selection** dialog box opens. The **Available Attachments** table displays a list of all the advertisements in the system that this new advertisement may be replacing.

   To move one or more advertisements from the list of **Available Attachments** to the **Selected Attachments** table, highlight the applicable advertisement, 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 Adv. Form #**.

   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.

7. To add another new advertisement reference, click **Next**.

   The New Advertisement dialog box opens

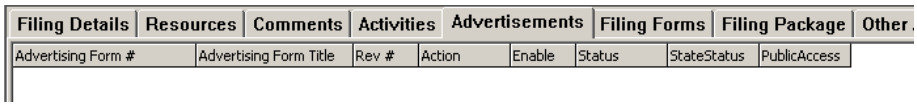
   – OR –

   To finish, click **OK**.

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

The Advertisement Tab – Filing Level

The Filing level **Advertisements** tab lists all of the advertisements for this filing at both the Filing Group and Filing levels.



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

1. On the **Advertisements** tab, double-click the Advertisement record to open it.
2. Click a tab title to view or change information.

Adding a New (or Editing an Existing) Filing Level Advertisement

Important: When you add an advertisement attachment at the *Filing Group* level, all filings in that filing group will automatically contain the advertisement attachment. You can see these *Filing Group* level advertisement attachments at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level. However, if you change certain fields at the *Filing* level, marked in this guide with a broken link icon, , the advertisement attachment will become independent of changes at the *Filing Group* level, in effect becoming a *Filing* level advertisement attachment.

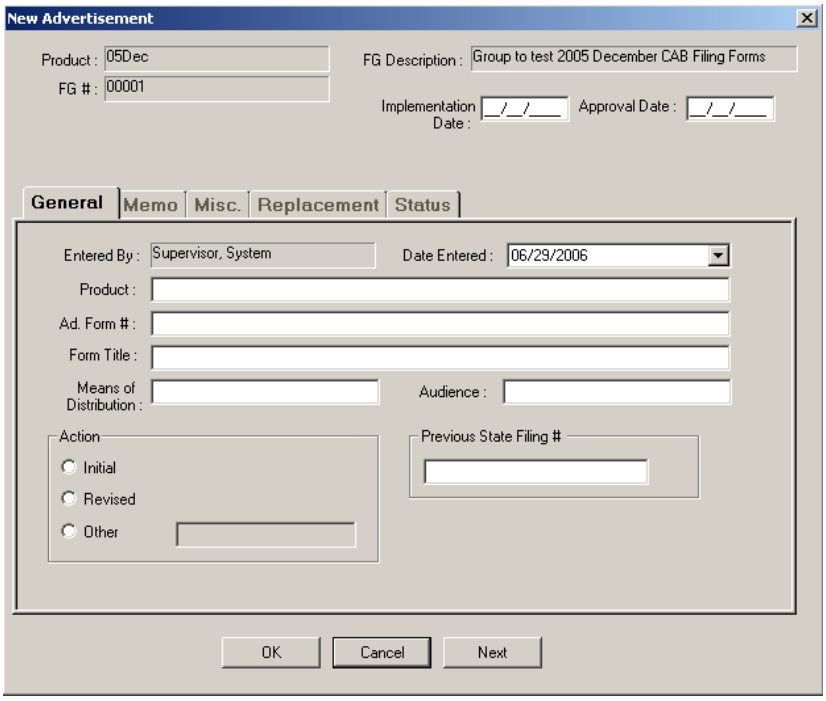
1. **To add a new** Advertisement, at the Filing level, click the **New Advertisement** toolbar button ***or*** select **Insert** > **New Advertisement**.

   The **New Advertisement** dialog box opens (shown below).

   Alternatively:

   To edit an existing Advertisement, double-click the desired advertisement.

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



2. 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 advertisement 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 **Product** field, enter the specific product to which the advertising applies.
- In the **Ad. Form #** field, enter the code/number assigned to this advertisement form by your company.
- In the **Form Title** field, enter a brief title for this advertisement form.
- In the **Means of Distribution** field, enter the distribution method for this advertisement.
- In the **Audience** field, enter the target audience for this advertisement.
- In the **Action** area, select whether this is an **Initial**, **Revised** or **Other** advertisement. Note that this is a mandatory field for SERFF filings.

  If **Revised**, enter the **Previous State Filing #**. (This is the DOI file number assigned by the state to the previous filing.)

If **Other**, enter an explanation.

4. On the **Memo** tab:
   - The Adv. Form # field displays the Advertisement number.
   - The **Title** displays the advertisement's title.
   - In the **Memo** field, enter a comment or background description of the advertisement. This text is included in the long filing letter. (See *Understanding Filing Letters* on page 297.)
5. On the **Misc.** tab:
   - In the **Attachment** field, you can specify a path (to a maximum of 255 characters) to the advertisement.

     Type in the path (to a maximum of 255 characters), or click the browse button ... to locate and specify the path for the document. 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.

   - In the **No. of Pages** field, enter the number of pages in the attached document.
   - If you want the attached document to be printed as part of the final completed filing(s), select the **Print Attachment** checkbox.
   - In the **Custom** field, you can add more information about the advertisement. Information in this field will not appear in the final filing package.
6. On the **Replacement** tab, click **Add/Lookup**.

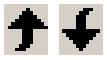
   The **Replacement Attachment Selection** dialog box appears. The **Available Attachments** table displays a list of all the advertisements in the system that this new advertisement may be replacing.

   To move one or more advertisements from the list of **Available Attachments** to the **Selected Attachments** table, highlight the applicable advertisement, 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 Adv. Form #**.
   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 changes to this window are complete, or click **Cancel** to close this window without making any changes.

7. On the **Status** tab:

- On the **Status** drop-down list, you can select a status for this advertisement only, independent of the status of the filing, but use with caution.
- If you want the advertisement to be included in the overall filing, select the **Enable** checkbox.
- If this advertisement is specific for this state, select the **State Specific** checkbox.
- The **Replacement Effective Date** will be automatically entered by the system in the future when this new advertisement is replaced, but only if the advertisement was added to the **Replacement** tab of the new advertisement.

8. To add another new advertisement, click **Next**.

– OR –

To finish, click **OK**.

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

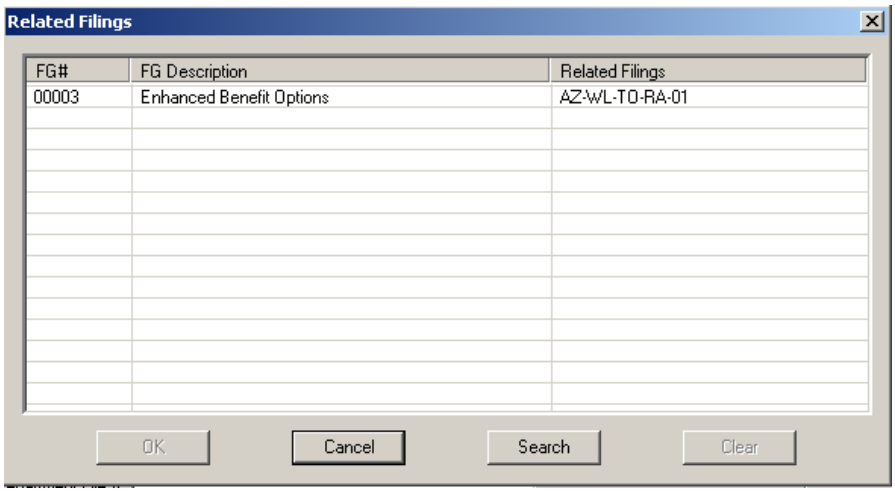
You add these cross-references to the **Related Filings** section in one of two ways: by selecting a filing from a list of filings that Tracker has determined may be related, or by searching the system and selecting from the search results. Once the ID has been entered, the filings are effectively linked to each other.

Note: 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.

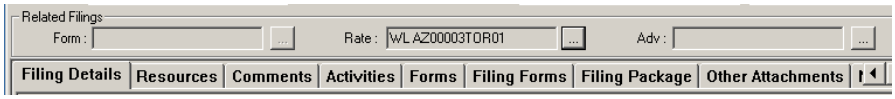
Method: Link related filings

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 opens. 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 364.)

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.

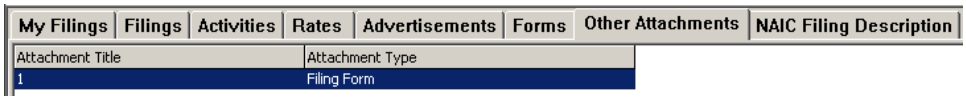
Note: If the related filing is a *combined* filing, two of the **Related Filings** fields will be populated with the related filing values. For example, if the related filing is a combined Rate and Form filing, then both the **Form** and **Rate** fields in the **Related Filings** section will be populated with filing numbers.

Other Attachments

In addition to rates, advertisements, and forms, filings usually require other supporting documentation (for example, actuarial memorandums, exhibits, certifications, and so on).

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.



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.

Important: When you add an other attachment at the *Filing Group* level, all filings in that filing group 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.

At the Filing Group level:

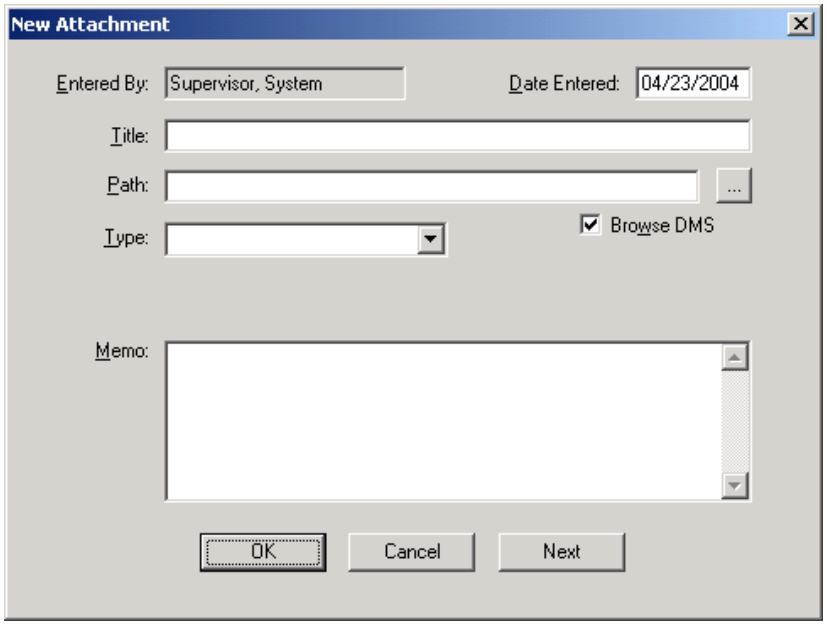
1. **To create a new Other Attachment**, click the **New Other Attachment** toolbar button or select **Insert > New Other Attachment**.

   The **New Attachment** dialog box opens (shown below).

   Alternatively:

   To edit an existing Other Attachment, double-click the attachment on the **Other Attachments** tab.

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



2. Enter the **Title** of the new attachment, or edit the existing **Title**.
3. Type in the path (to a maximum of 255 characters), or click the browse button ... to locate and specify the path for the document. Select **Browse DMS** if the attachment is located in a DMS.
4. If required, enter (or edit) text in the **Memo** box to describe this attachment. Text entered here will not appear in the final filing.
5. To add another Other Attachment, click **Next**.

   – OR –

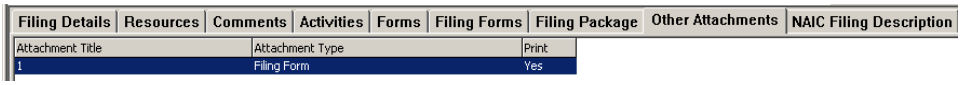
   To finish, click **OK**.

   The new Other Attachment(s) will be added (or the existing Other Attachment updated), and the dialog box 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 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. 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.

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 box opens.

   Alternatively:

   To edit an existing Other Attachment, double-click the attachment on the **Other Attachments** tab.

   The **Attachment Details** dialog box opens.

2. Enter the **Title** of the new attachment.

3. Type in the path (to a maximum of 255 characters), or click the browse button ... to locate and specify the path for the document. Select **Browse DMS** if the attachment is located in a DMS.

4. Select **Print Attachment** if you want this attachment to print with the filing.

5. If required, enter text in the **Memo** box to describe this attachment. Text entered here will not appear in the final filing.

6. 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.

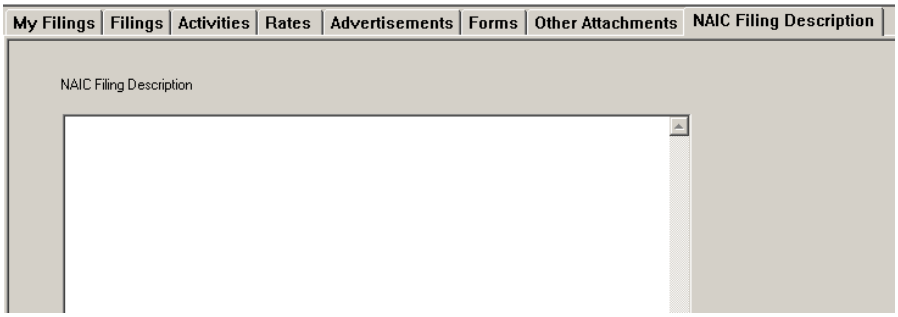
Entering NAIC Filing Descriptions

You can enter the NAIC filing description at the filing group level or filing level. This description is copied into the corresponding filing forms.

Important: When you add a NAIC filing description at the *Filing Group* level, all filings in that filing group will automatically contain the filing description. For SERFF filings, the information is also sent with the filing electronically to the state. You can see the *Filing Group* NAIC filing description at the *Filing* level, and any changes made at the *Filing Group* level will appear at the *Filing* level. However, if you change certain fields at the *Filing* level, marked in this guide with a broken link icon, , the filing description will become independent of changes at the *Filing Group* level, in effect becoming a *Filing* level NAIC filing description.

Method: Enter the NAIC filing description at the filing group level

1. At the Filing Group level, click the **NAIC Filing Description** tab.



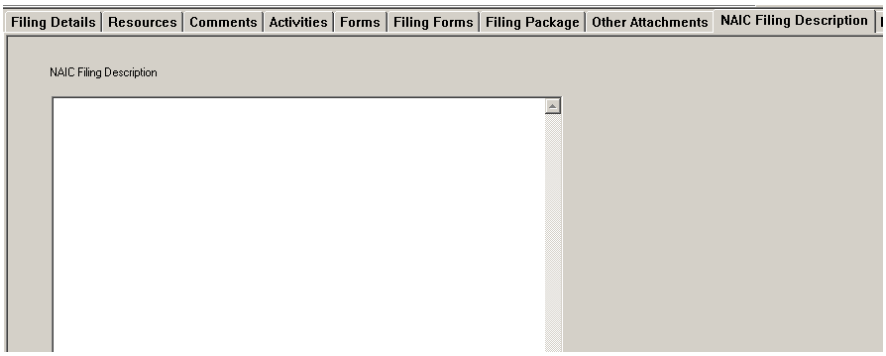
2. Enter the **NAIC Filing Description**, then click the Save button on the Tracker toolbar.

   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 the NAIC filing description at the filing level

Important: Entering a filing description at the Filing Level will sever its link to the Filing Group Level description, as indicated with a broken link icon.

1. At the Filing level, click the **NAIC Filing Description** tab.



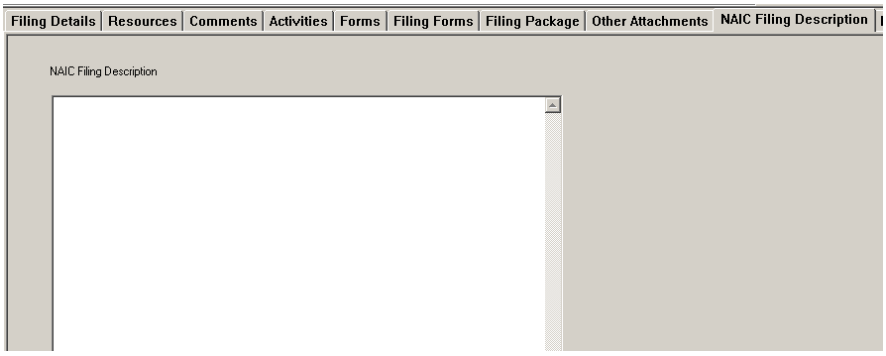
2. Enter the **NAIC Filing Description**, then click the **Save** button on the Tracker toolbar.

   The filing description is saved.

Method: Edit the NAIC filing description at the filing level

Important: Editing a filing description at the Filing Level will sever its link to the Filing Group Level description, as indicated with a broken link icon.

1. At the Filing level, click the **NAIC Filing Description** tab.



2. Make your changes to the **NAIC Filing Description**, then click the Save button in the Tracker toolbar.

   The filing description is saved.

Entering Filing Fees

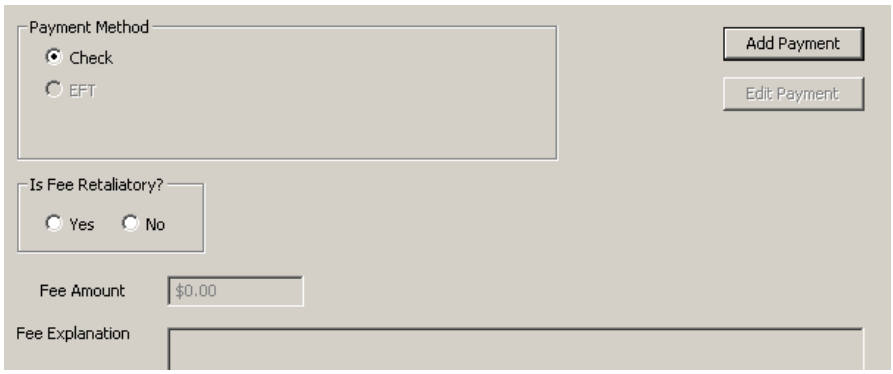
Use the **Filing Fee** tab to enter fee payment information for a filing. If you are using SERFF, you can pay by check or EFT: see *Paying Filing Fees via EFT* on page 250.

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.

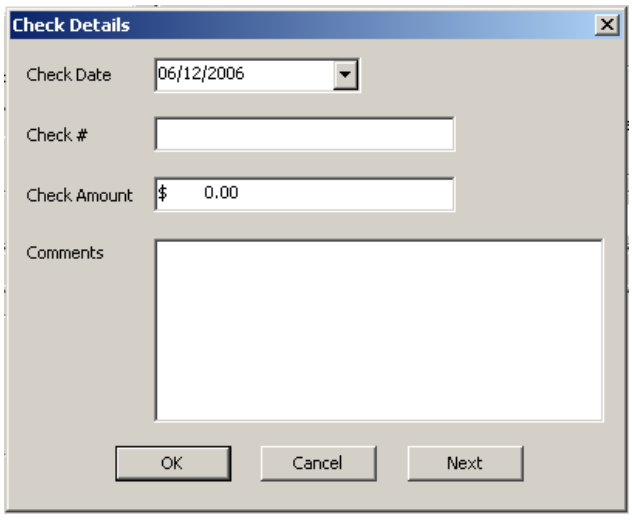
Method: Enter filing fees paid by check

1. At the filing level, click the **Filing Fee** tab.



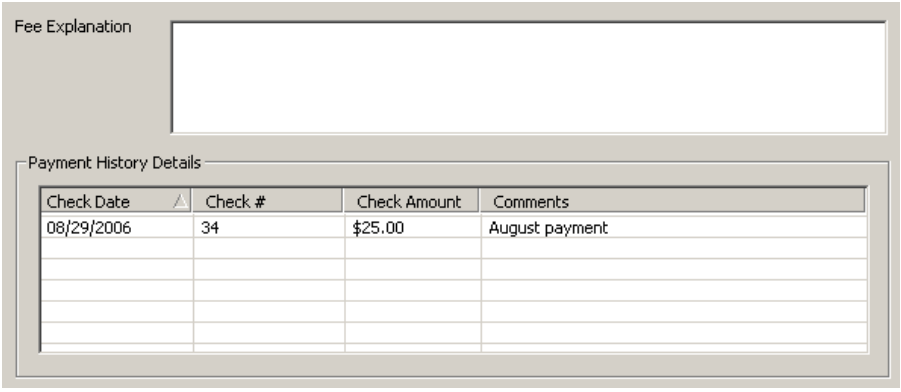
2. Under **Payment Method**, select **Check**.
3. If any portion of the fee is being paid on a retaliatory basis, click **Yes** in the **Is Fee Retaliatory?** section.
4. Click **Add Payment**.

   The **Check Details** dialog opens.



5. Enter the **Check Date, Check #** and **Check Amount**.
6. Enter any descriptive notes in the **Comments** field.
7. 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.



8. Enter any descriptive information in the **Fee Explanation** field.
9. 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. At the filing level, click the **Filing Fee** tab.
2. Scroll down to the **Payment History Details** table.
3. Double-click any of the payments listed in the **Payment History Details** table.

Chapter 6

Working With Common Filing Tasks

This chapter deals with tasks you will perform whether you are using filing profiles when you create your filings, or whether you are creating filings completely within Tracker.

This chapter describes:

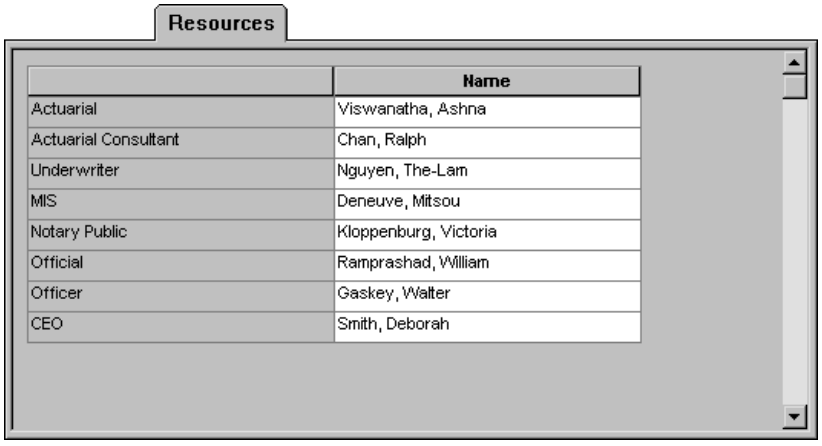
- *Filing Resources* on page 178
- *Filing Letter Comments* on page 179
- *Activities* on page 180
- *The Filing Forms Tab* on page 181
- *Filing Statutes* on page 191
- *Related Legislation* on page 192

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. This data is used to automatically enter specific information into filing forms where required.



Resources are entered into the system via the administrative User and Company functions. See *Working with User Profiles* on page 72 and *Adding a New Company* on page 45 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.

At the Filing Level:

1. Select the **Resources** tab.
2. For each applicable personnel type field select a name from the related drop down list.
3. Click the **Save** button to save your resources information.

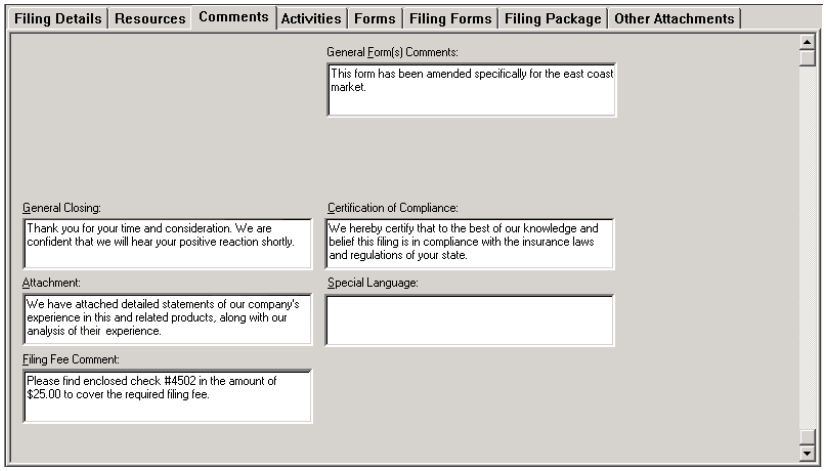
Resources may be edited at any time. Always click **Save** when you have finished editing to ensure that your changes are preserved

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 the **Save** button 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 180
- *The Activities Tab – Filing Level* on page 180

Specific Filing Level Activities

A number of specialized functions are accessed and performed via the Filing Level Activities function.

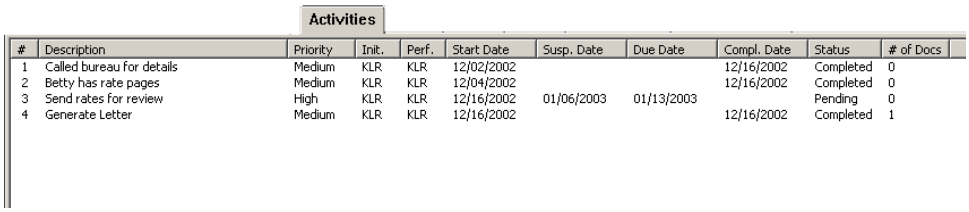
Filing Letters can be accessed within certain types of activities. The activity dialog box then allows you to select the type of letter required. Information to populate the letter is automatically taken from the administrative, regulatory, and filing specific information (such as letter comments) already 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 Activities function. The generate filing activity gathers together all of the documents specified for the filing (required filing forms, filing letters, attachments, and so on), populating each document with information taken from the filing data you've entered and the regulatory and administrative portions of the system. The generated documents are then made available to you for viewing and printing within Microsoft Word.

The Activities Tab – Filing Level

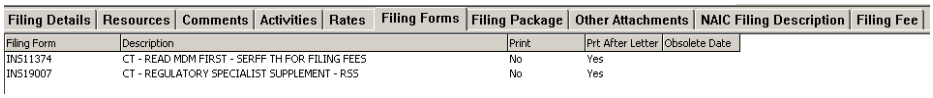
The Filing level **Activities** tab lists all activities that have been performed upon (or are pending performance upon) this filing. From this tab you can access the activity details for any of the activities listed.


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

The Filing Forms Tab

The Filing Forms tab displays a list of all filing forms attached to the filing. State-required filing forms are automatically listed here by the Tracker system, which pulls this information from the Regulatory Specialist tables. From the Filing Forms tab you can access, complete, and view any of the filing forms listed.



Tracker uses fillable forms to quickly create forms that are in the proper layout and format. Fillable forms will generate in Microsoft Word with specific fields defaulted to pre-populate. Any shaded fields require user input and are formatted as such. The form itself is protected to facilitate tabbing to the required input fields.

Once you are ready to perform the **Generate Complete Filing** activity, note that the filing form does not generate again. Filing forms configured to print will print out with the filing package and will be listed in the document list in the Generate Complete Filing activity.

Entering Filing Form Information

You enter filing form information by opening the filing form and editing it.

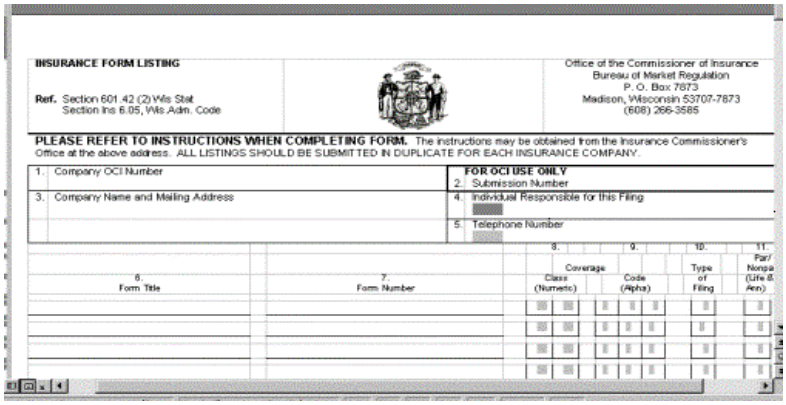
Method: Enter filing form information

1. Double click the filing form.

   The form generates through the **Document Generation Window**.

   Once generated, Microsoft Word opens and the form appears on screen.

2. Enter information into the shaded areas. Use the **Tab** key to move through these areas.



3. After entering the information, click the **Save** button, or go to **File > Save** in the menu bar.

The form is saved to the Tracker database.

Tip: If information in the generated filing form is missing because it was not entered in the filing, you can minimize the filing form, click Cancel on the message box that appears, enter the missing information in the filing, and regenerate.

Viewing or Editing Filing Forms

1. To view or edit the form that you have previously worked on, double click the filing form.

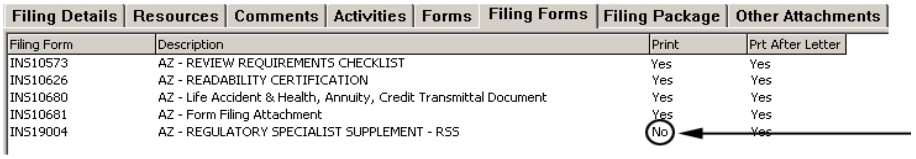
   The form automatically appears in Word.

Note: The document does not go through the generation process again.

2. Make changes as required to the form and resave.

Selecting and Deselecting Filing Forms

Since many filing forms are now optional and are only required to be submitted for certain types of filings, you have the ability to select and deselect forms for printing. You can add or omit forms from the filing package.



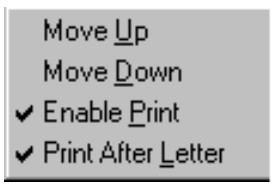
Print: This will indicate whether the filing form is going to be printed or not printed as a part of the filing package. If there is a **No** in the column next to the filing form, the form will not print when either generating a complete filing or printing the filing package. If there is a **Yes** in the column, the form will print.

Deselecting Filing Forms for Printing

By default, all filing forms will print as part of the filing package. To omit a filing form(s) from printing with the filing package you must deselect it by performing the following steps:

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

   A window appears with four choices:



3. By default, the form will print with the filing package and therefore there will already be a checkmark to the left of the **Enable Print** option.
4. To deselect the filing form so that it does not print, click the **Enable Print** option.

   The checkmark disappears and **No** appears in the workspace **Print** column.

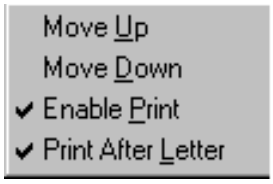
Note: Remember that you must repeat the Generate Complete Filing Activity in order for this change to take effect in the print process.

Selecting Filing Forms for Printing

If you have deselected a filing form from printing in the filing package and you want to include it, you must select it on the **Filing Forms** tab.

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

   A window appears with four choices:



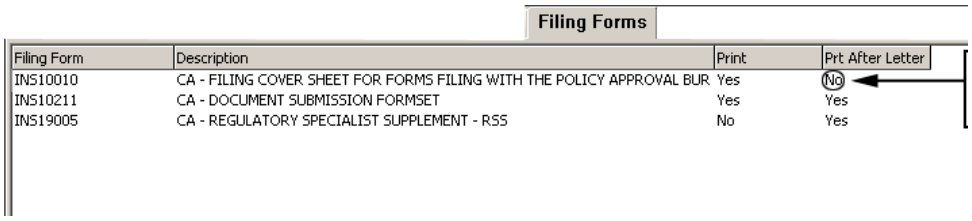
3. To select the filing form so that it does print, click the **Enable Print** option.

   A checkmark appears and **Yes** appears in the workspace **Print** column.

Note: Remember that you will have to repeat the Generate Complete Filing Activity in order for this change to take effect in the print process.

Print Filing Forms Before or After Filing Letter

The **Prt After Letter** column on the Filing Forms tab indicates whether the default behavior is for the filing form to print before or after the filing letter. If there is a **No** in the column, the filing form will print before the filing letter. If there is a **Yes** in the column, the filing form will print after the filing letter.



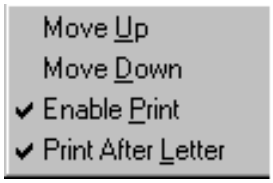
For those states which require a given filing form to print before the letter, the default is No—these filing forms will print before the letter.

Method: Print a filing form before the filing letter

If the Filing Forms tab indicates that a filing form's Print After Letter setting is **Yes** and you want the filing form to print before the letter, follow these steps:

1. Select the form that you would like to have print before the filing letter.
2. Right-click the selected form.

   A list of options appears:4



3. To make the filing form print before the filing letter, click **Print After Letter**.

   The list of options closes, and **No** is displayed in the filing form's **Prt After Letter** column. If you display the list of options again, there will not be a checkmark beside **Print After Letter**. If you click **Print After Letter** again, the setting will change back to **Yes**.
4. Repeat for other filing forms you want to print before the letter. If multiple filings forms are set to print before the letter, they will print in the same order as shown in the list.

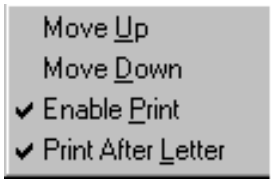
Note: Remember, you will have to repeat the Generate Complete Filing Activity in order for this change to take effect in the print process.

The Order of Filing Forms

You can also use the pop-up options list to change the order in which filing forms appear in the filing forms list by moving them up or down through the list. The order in the list controls the order that they print: all the filing forms with **Prt After Letter** set to **No** are printed in the listed order *before* the letter, and all the filing forms with **Prt After Letter** set to **Yes** are printed in the listed order *after* the letter.

1. At the **Filing Forms** tab, highlight the filing form that you would like to move.
2. Right-click the form that is selected.

   A list of options appears:



Note: The **Move Up** option will not appear when the first filing form is selected. The **Move Down** option will not appear when the last filing form is selected.

3. If you click the **Move Up** option, the selected filing form moves up one position in the list of filing forms. To move it up another position, repeat the process.

4. If you click the **Move Down** option, the selected form moves down one position in the list of filing forms. To move it down another position, repeat the process.

Note: Filing Forms can only be moved *within* the filing you are currently working with. If you create a new filing, even if the exact same filing forms apply, the filing forms will appear in the default order that is assigned by Tracker. You will have to modify their order again (as described above) if you want to maintain the custom order of forms in the Filing Forms tab.

Editing and Replacing a Generated Filing Form or Letter

You can make and save changes to a document that has been generated as part of an activity. We recommend that the only type of documents generated by Tracker that you use this functionality with is the letter. Replacing a generated document is a two step process that requires saving the edited document under a new name before you can replace it.

To enable editing and then saving a letter generated through an activity, you use the **View** and **Replace** functions in the **Edit Activity** dialog box. The **View** function lets you view an existing document in Microsoft Word so that you can then edit and save it to your hard drive under a new name. (When you open a generated document through the **Edit Activity** dialog box, it is a read-only temporary document, which is why you must save it under a new name.) For instructions, see *Printing an Edited Document* on page 189.

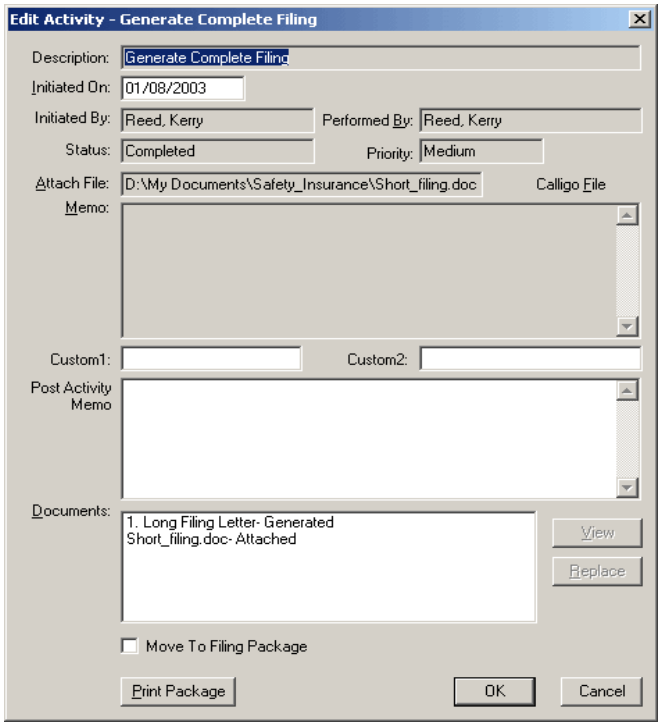
Once you edit and save the document, you must use the **Replace** function to replace the existing document (residing in the database) with the new one that you edited and saved under a new name. Until you replace the existing document, the newly saved one is only accessible from your computer, not the database.

Editing a Generated Letter

1. At the Filing Level, click the **Activities** tab.

2. Double-click the activity you want to edit.

   The **Edit Activity** dialog box opens:



3. From the **Documents** section, select the letter you want to edit or view.

Note: You can select multiple documents to view; however, you can only replace one document at a time.

4. Click the **View** button.

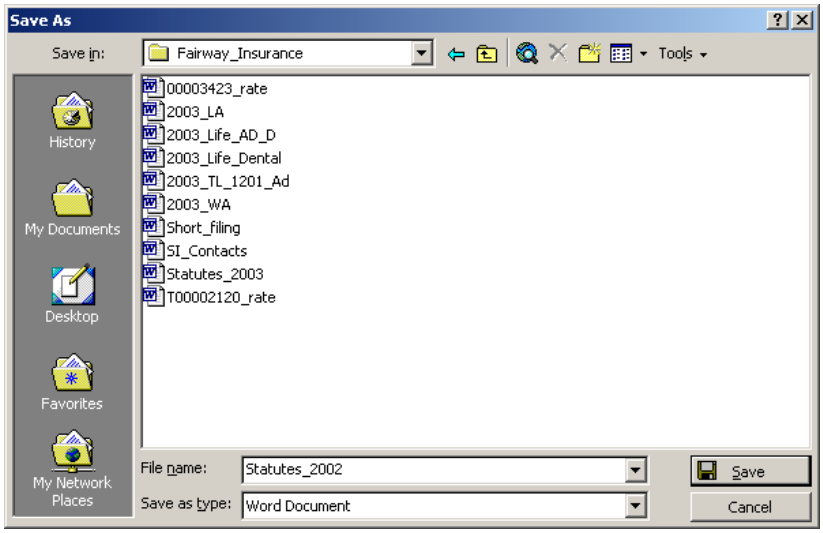
   The document opens as a read-only temporary file in Microsoft Word.

5. Make the changes you want to the document.

6. When you finish, select the **Save As** option from the **File** menu.

Note: If you choose **Save** rather than **Save As**, an error message is displayed. If this happens, click **OK** and the Save As dialog box opens.

7. In the **Save As** dialog box, type a new name for the document and select the location on your hard drive where you want to save it.



8. Click the **Save** button.

9. Once you save the edited document to your hard drive, you can replace the existing document (in the Tracker database) with this newly edited one. You must do this to update your changes to the database. To do so, return to Tracker and follow the instructions in the next section.

Replacing A Generated Document

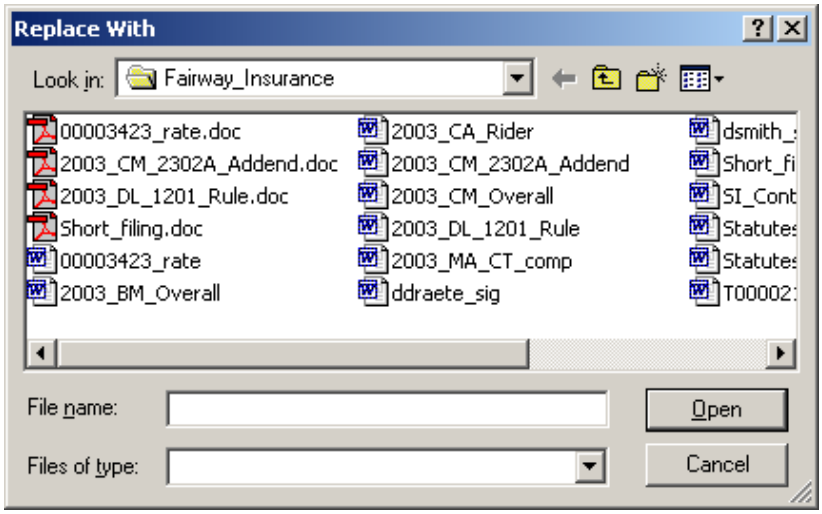
Now that you have saved the document to another name, you can replace the existing document with the newly edited one.

1. In the **Documents** section of the **Edit Activity** dialog box, select the document you want to replace.

2. Click the **Replace** button.

Note: The **Replace** button is only available when a document in the list box is selected. Otherwise, it is dimmed.

Replace With opens.



3. Locate and select a document (the one you edited and saved to a new name) to replace the existing document.
4. Click **Open**.

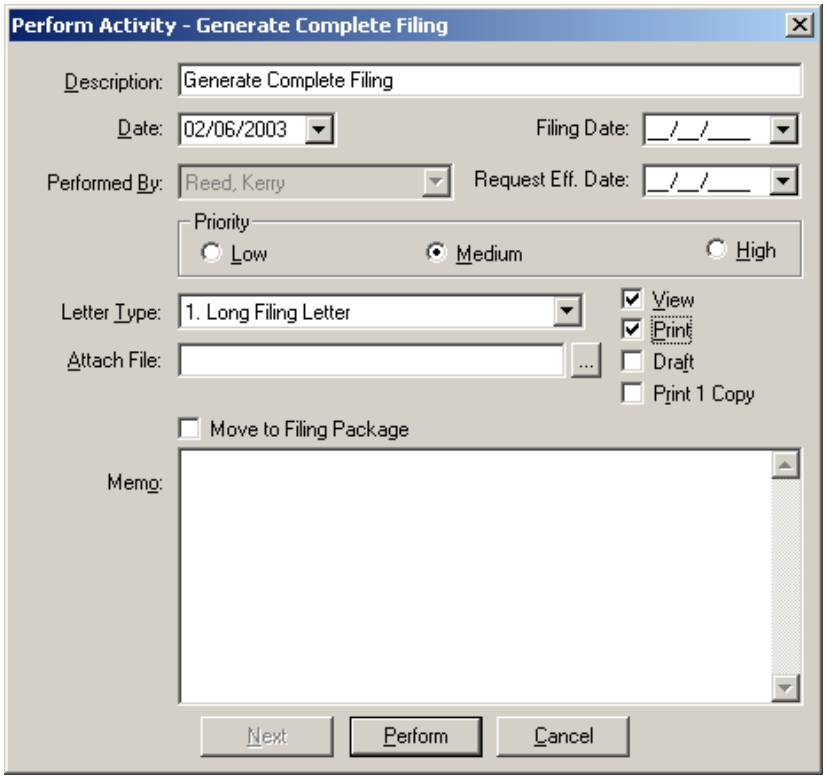
   The dialog box closes, saving your edited document to the database.

Note: To save a document to the database, its size must not exceed 0.99MB.

5. In the Edit Activity dialog box, click **OK**.

Printing One Copy of a Generated Document

A field has been added to the Perform Activity Dialog box, which allows you to print only one copy of a generated filing even if the Regulatory Specialist states require multiple copies. You must check the **Print check** box to activate the **Print 1 Copy** check box.



Printing an Edited Document

If you just want to make minor changes to one document and print it without saving the changes to the database, you can do so from within Microsoft Word.

1. At the Filing Level, click the **Activities** tab.
2. Double-click the activity you want to edit and print.
3. When the **Edit Activity** dialog box opens, click the **View** button.
4. In Microsoft Word, edit the document as required.
5. When you finish making your changes, choose **Print** from the **File** menu.
6. Once the document is printed, choose **Close** from the **File** menu.
7. In the next dialog box that opens, click the **No** button to close the document.

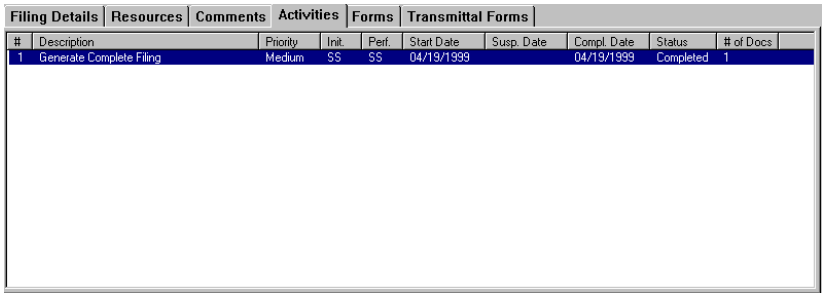
   The document closes without saving the changes you made.

Reprinting All Generated Documents

Tracker lets you reprint a complete package that is associated with an activity. The new Reprint Package feature lets you reprint all the generated documents, activity attachments, and rate, advertisement, and form attachments.

To reprint all the documents in an activity:

1. At the Filing Level, click the **Activities** tab.



2. Double-click the activity for which you want to reprint the package.

   The **Edit Activity** dialog box opens.

3. Click the **Print Package** button.

   A prompt opens asking you if you want to print only one copy.

4. Click **Yes** to print one copy. Click **No** to print the number of copies required by the state, as defined in the Regulatory Specialist.

Note: The **Print Package** button is used only for printing generated documents.

The entire package, including all of the attachments, prints.

Filing Statutes

Sometimes a filing is created where the statute on the filing details tab is left blank. This happens when there is more than one statute option for the type of filing that has been created. Tracker will not assume which statute is the correct one.

When multiple statute options are available, you must select the appropriate one for your filing. You can go to the Regulatory Specialist to look for the statute information for that particular filing and make a choice based on the information provided. When a filing is created and the statute is left blank, Tracker will now populate the field with the text **No Statute** and will prompt you to fill in the statute before performing any activities.

The statute needs to be completed because many areas of Tracker depend on the statute having data entered. (For example reports, complete filing generation, and so on.)

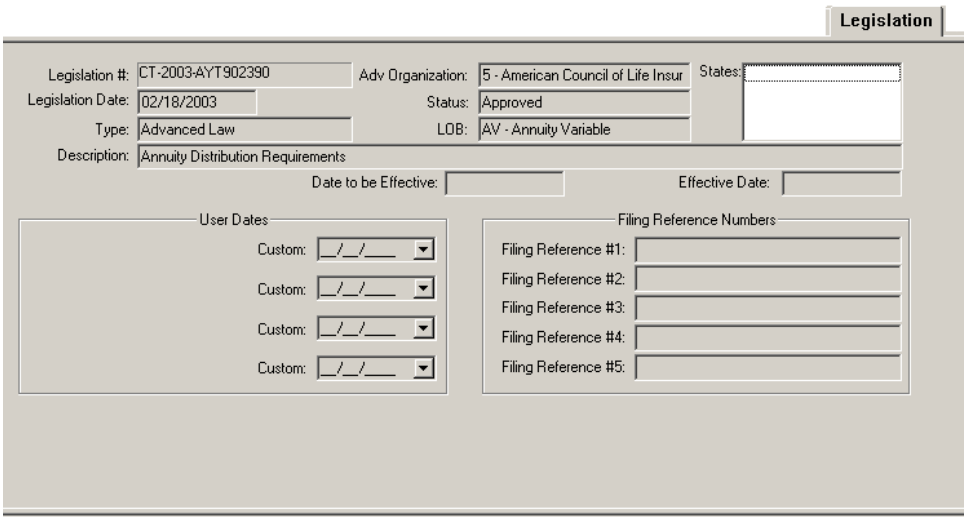
Related Legislation

This section describes legislation at the filing level. These topics include:

- *The Legislation Tab* on page 192
- *Adding a Legislation Reference* on page 192

The Legislation Tab

Filings are often created in response to the receipt of legislation bulletins from an advisory organization or legislative body. The Filing Level **Legislation** tab displays information about a legislation 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 legislation record's details screen; see *The Legislation Details Tab* on page 313 for more information.



Note that the Legislation tab appears at the Filing Level only if that filing was created or referenced in relation to a particular legislation record in your system.

Adding a Legislation Reference

A legislation reference can be added to a filing only from the originating legislation details screen. This occurs automatically when a filing is created directly from a legislation record. A reference can also be created manually from a legislation detail record by using the **Insert** Menu > **New Filing Reference** option.

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 legislation are also contained here, including instructions for attaching filing letters, filing forms, and actuarial exhibits to a filing, and procedures for generating and printing filings.

This chapter describes:

- *Tracker Activities* on page 194
- *Standard Tracker Activities* on page 196
- *Standard SERFF Activities* on page 198
- *Performing Basic Activity Procedures* on page 199
- *Performing Filing Activity Procedures* on page 207
- *Working with Attachments* on page 214
- *Performing Activity Searches* on page 218
- *Multi-Filing Activities* on page 220

Tracker Activities

In the Tracker system, an **Activity** is any action related to or performed upon a filing group, filing, or Legislation 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 Legislation 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 **Legislations** 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 legislation 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 *Working With Activity Codes* on page 88.

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. It updates the status of the filing to **Approved**.
Attach Exhibit/ 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. 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. This activity can be post-dated. It will appear on the Filing Approval Notification Report.
Instructions for Legislation	Use this activity to record instructions for tasks to be performed upon this filing at a later date. 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. 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. 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). 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). 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). Updates the status of the filing to **Objection**.
Schedule Mailing Date to DOI	Use this activity to set a scheduled mailing date. 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. Updates the status of the filing to **Withdrawn**.

Note: Not all activities are available at every level of the system. Filing Group Level and Legislation 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 activity	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 to SERFF	Use this activity to submit a objection response to an objection letter. An objection response may include revised and/or additional schedule items.

Performing Basic Activity Procedures

This section describes basic procedures used with activities:

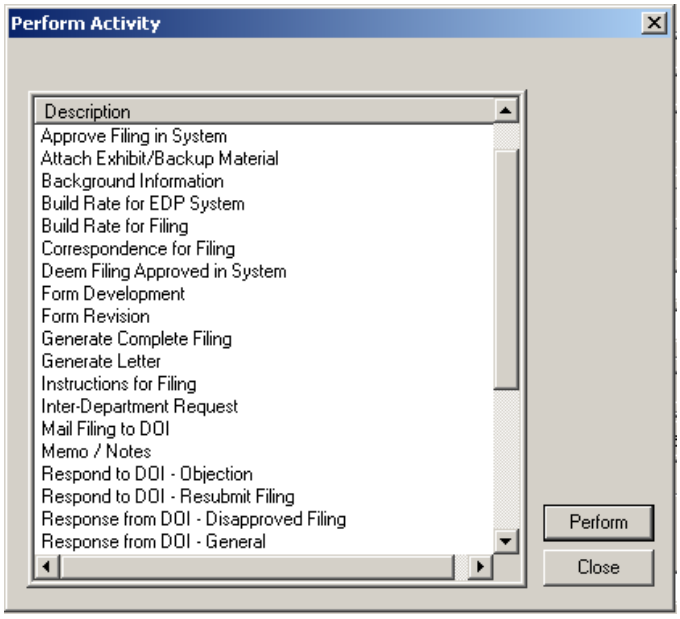
- *Performing an Activity* on page 199
- *Posting an Activity* on page 201
- *Accessing a Single Activity Detail Record* on page 203
- *Editing an Activity Record* on page 203
- *Completing an Activity* on page 204
- *Deleting an Active Activity Detail Record* on page 206
- *Deleting a Passive Activity Detail Record* on page 206

Performing an Activity

From a Filing Group or Filing Level, or Legislation screen Activities tab screen.

1. Click the **Perform Activity** toolbar button .

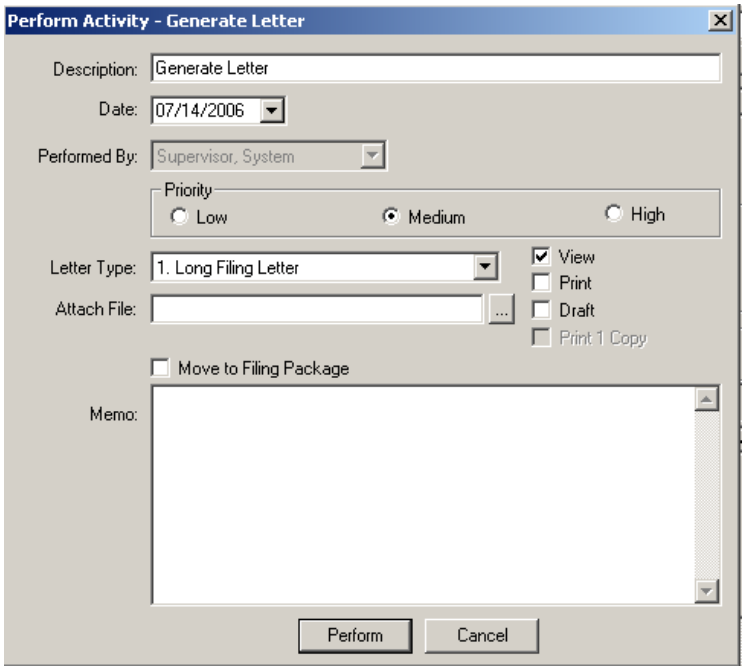
   The **Perform Activity** dialog box opens.



2. In the **Perform Activity** list box, select the activity you want to perform.
3. Click **Perform**.

   The **Perform Activity** dialog box for the selected activity opens.

Note: The following describes the steps in the **Generate Letter** activity. Each activity dialog box 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.
- 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 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** 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 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 un-check the **Draft** option.

  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** checked, and **Draft** un-checked.

- 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 Legislation Activity list tab.

6. To finish, click **OK**.

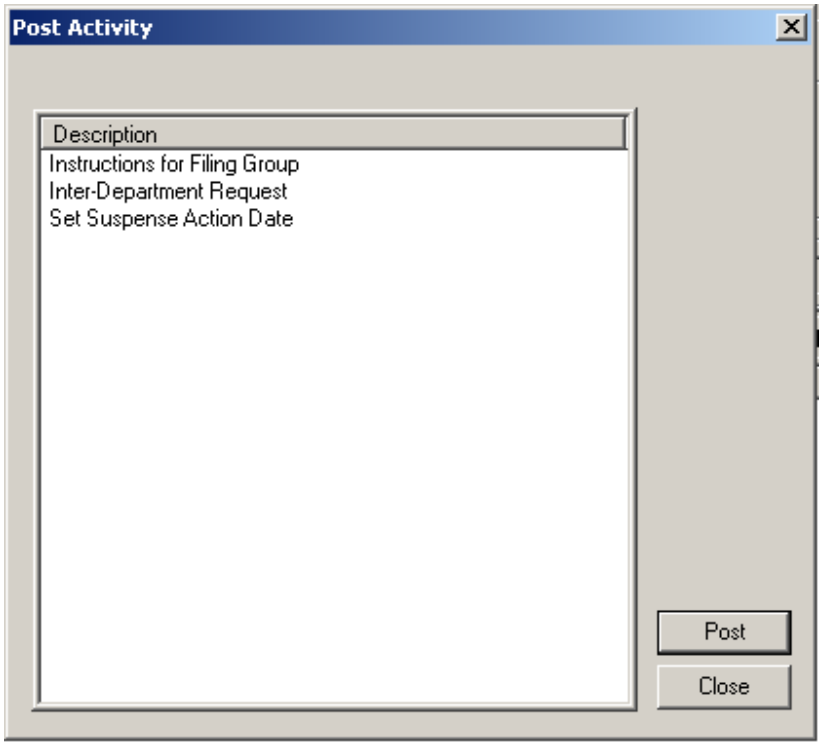
The new activity will be performed or recorded, and the dialog box will close.

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.

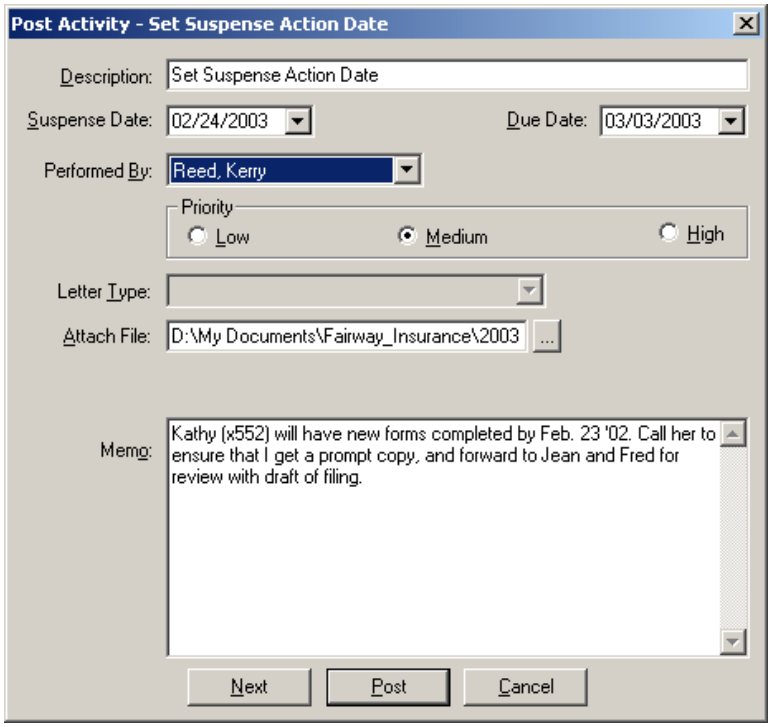
Method: Post an activity

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**.

Post Activity opens. (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.

6. To post another activity, click **Next**. The Post Activity dialog box will re-appear ready for another activity.

   – OR –

   To finish, click **OK**.

   The new activity will be posted or recorded, and the dialog box will close.

Note: The **Next** button and repeat task feature is only available following certain (mostly passive) activities. If it does not appear but you want to post another activity, simply repeat the post new activity process.

Accessing a Single Activity Detail Record

- On the **Activities** list tab (at the Filing Group or Filing Level, or **Legislation** screen) select the activity record you want to view and double-click it to open the related Edit Activity dialog box. This box will show the details of the original activity.

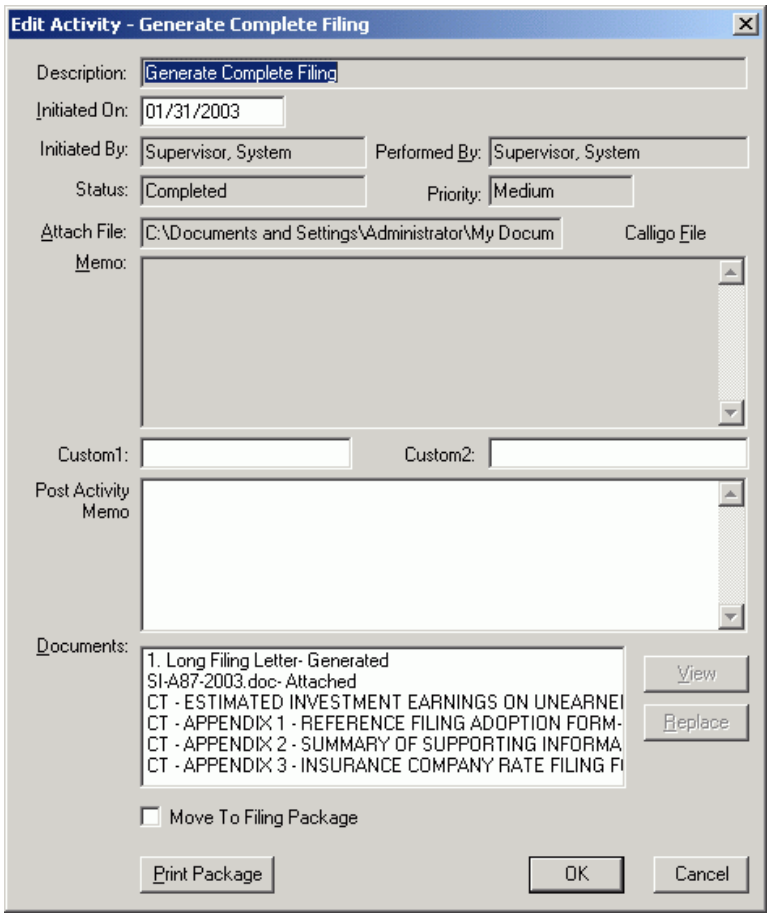
Editing an Activity Record

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).

From a Filing Group or Filing Level, or Legislation Activities tab screen.

1. On the **Activities** list tab, select the activity record you want to edit and double-click it to open the related **Edit Activity** dialog box.

It will look like the original **Perform Activity** or **Post Activity** dialog box, but will have additional fields. (The example below is for the **Generate Complete Filing** activity. Each **Edit Activity** box will look slightly different):



2. 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.

3. Click **OK** to save your changes and exit the dialog box.

Completing an Activity

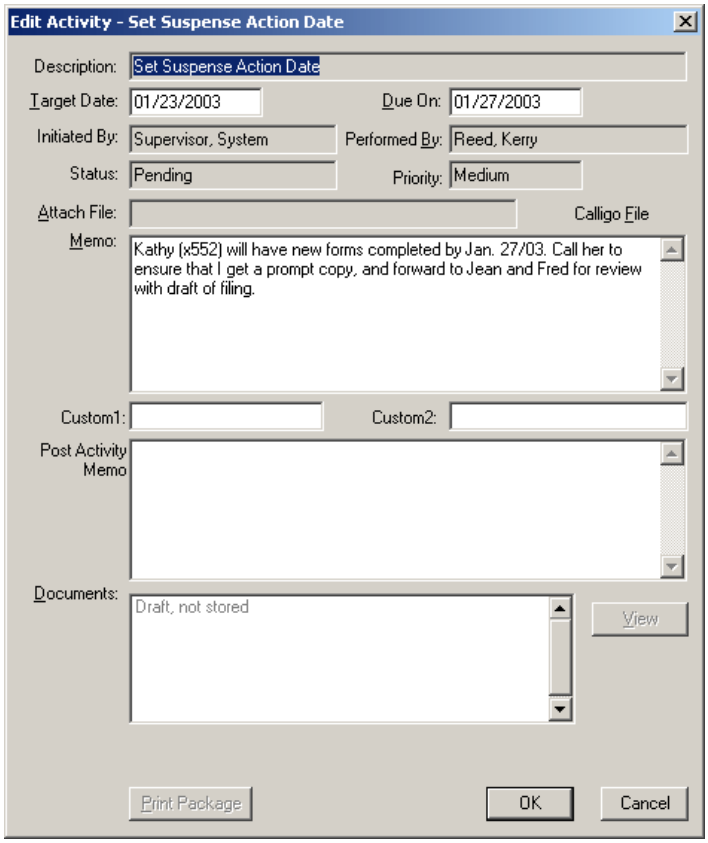
When you post an activity for a future date, you leave it open until that activity has been performed, for example, until you've forwarded the necessary documents, made the required phone call, finished the task, and so on. When you

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.

From a Filing Group or Filing Level, or **Legislation Activities** tab screen.

1. On the Activities list tab select the activity record you want to complete, and double-click it to open the related **Edit Activity** dialog box.

   It will look like the original **Post Activity** dialog box, but will have additional fields. (The example below is for the **Set Suspense Date** activity. Each **Edit Activity** box will look slightly different):



2. In the **Post Activity Memo** field, enter any information relating to the performance or completion of the original posted activity.

3. 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 box appears asking if you want to complete the activity:

4. 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.

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.

On an **Activity** list tab:

1. Select (highlight) the activity you want to delete.
2. Click **Delete**.

Deleting a Passive Activity Detail Record

Passive activities can be deleted in any order. To delete the third last passive activity performed, highlight that activity and delete it.

On an **Activity** list tab:

1. Select (highlight) the activity you want to delete.
2. Click **Delete**.

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 207
- *Information In the Filing Letter* on page 209
- *Filing Letter Comments* on page 210
- *Activities and the Filing Package Tab* on page 210

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 179 for details). Other portions of the letter are generated automatically by the system from information previously entered for the filing, and from regulatory specialist records 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 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 300.

Activities and the Filing Package Tab

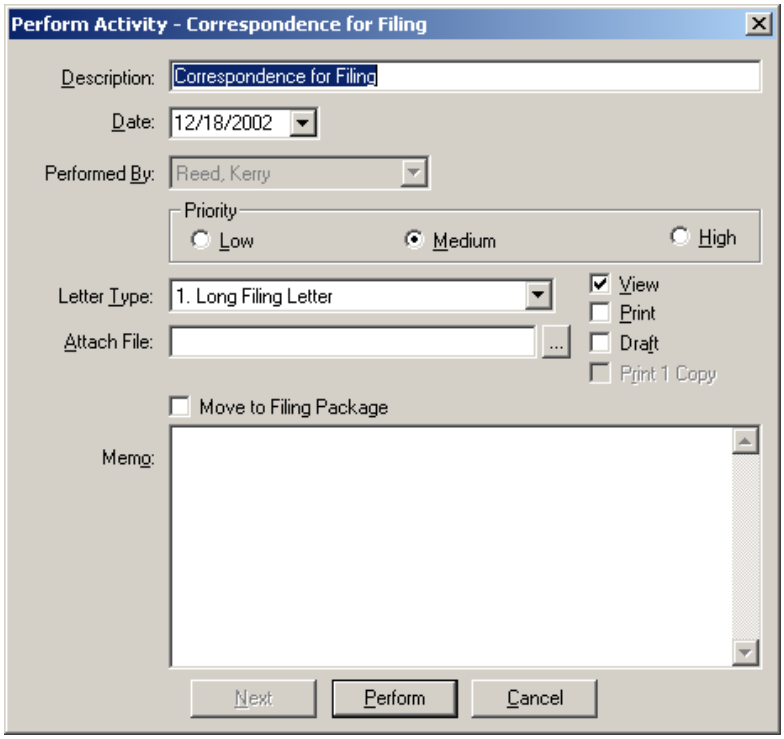
Activities can be added to the Filing Package tab, as well as any supporting documentation for those activities. Any files attached to them will be converted to Portable Document Format (PDF). All files converted in this fashion will also be printed when you generate the complete filing package.

Note: Once you have moved activities to the filing package, you cannot modify or delete the activities or their supporting documents.

Adding Activities in the Filing Package

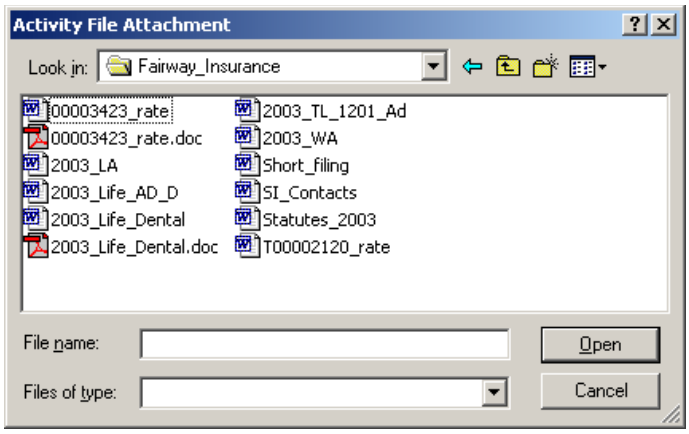
1. Click the **Perform Activity** button.
2. Select the activity you want to perform and click **Perform**.

   The activity opens.

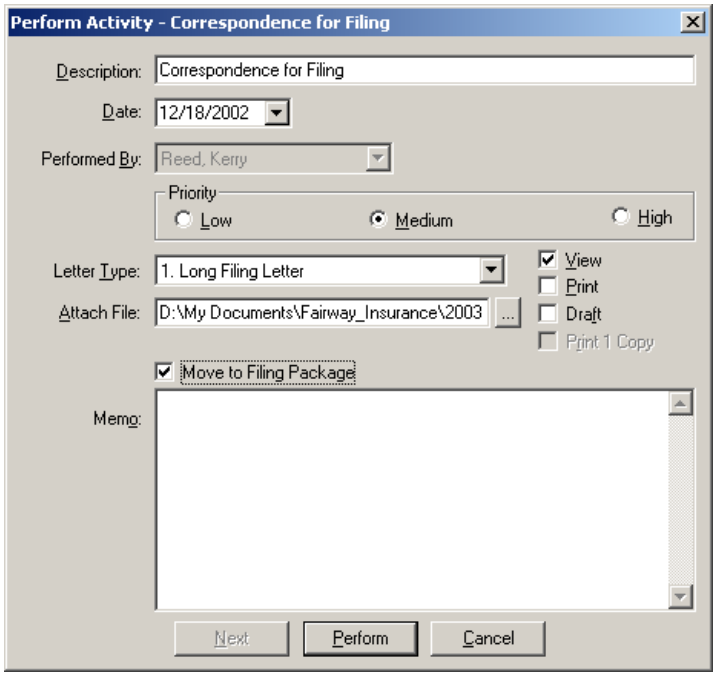


3. On the **Perform Activity** dialog box, attach the file you want to associate with this activity and print in the filing package by clicking the **Browse** button.

   The **Activity File Attachment** file requester opens.



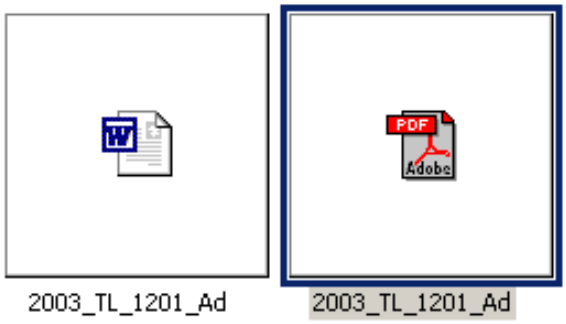
4. In the **Activity File Attachment** file requester, choose the file you want to attach and click **Open**.
5. Click **Move to Filing Package**.
6. Click **Perform**.



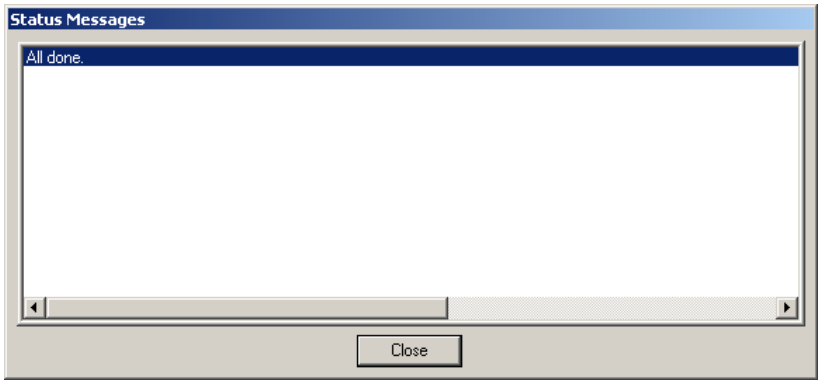
7. On the message box that opens (text below), click **Yes**.

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 a Document to a Filing* on page 214
- *Generating and Printing a Filing* on page 214
- *Performing the Filing Approval Activity* on page 215

Attaching a Document to a Filing

You may add extra documents to a filing using an attachment activity.

Method: Attach a document to a filing

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1. From a **Filing Level Activity** tab screen, click the **Perform Activity** button to open the **Activity List** box.
2. Click the desired attachment activity.
3. Click **Perform** to open the related Activity dialog box.
4. Enter any required information in the fields provided.
5. Click the button beside **Attach File** field to open a browse box.
6. Select the file path for the document you want to attach. (The path name cannot exceed 255 characters.)
7. Click **Open** to confirm the file path and return to the Activity dialog box.

   The selected file path will now appear in the **Attach File** field.
8. Click **Perform** to save the activity and exit the dialog box.

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 a Filing

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
- all filing forms required 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. Within a filing, click the **Perform Activity** toolbar button to open the **Activity List** box.
2. Select the **Generate Complete Filing** activity.
3. Click **Perform** to open the related **New Activity** dialog box.
4. 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.
5. 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.
6. Close Microsoft Word.
7. Click **OK** to finish.

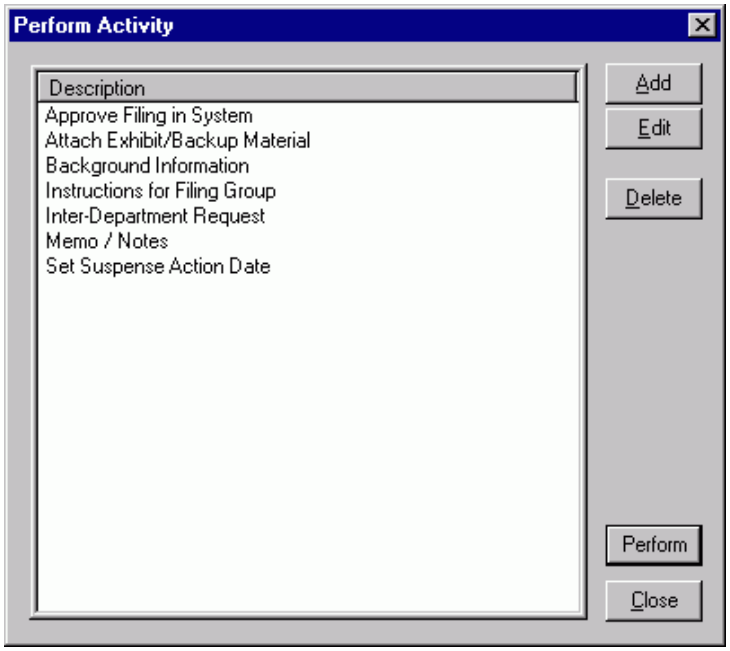
   The activity will be saved and listed on the filing's **Activity** tab. The filing documents will remain available via the corresponding activity detail record.

Performing the Filing Approval Activity

To approve the Rate/Form/Advertisement by approving the filing:

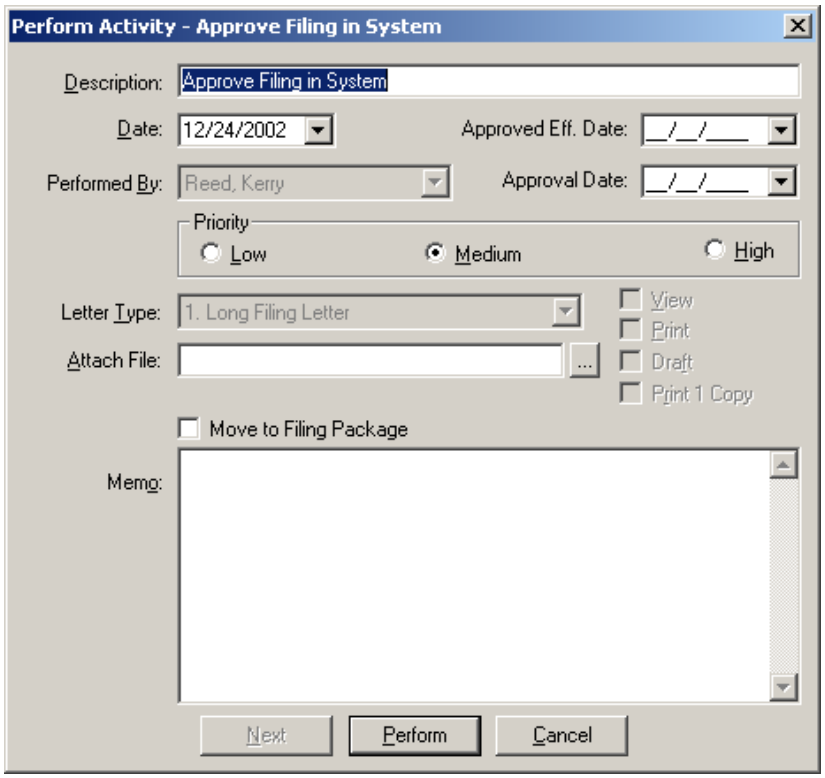
1. While at the filing level, click the **Perform Activity** button.

   The **Perform Activity** window opens.



2. Select **Approve Filing in System** and click the **Perform** button.

   The **Perform Activity – Approve Filing in System** window opens.



3. Using the calendar popup boxes, select the **Approval Eff. Date** and **Approval Date**.

4. Click **Perform**.

A **Status Message** window opens indicating whether the activity was performed successfully.

5. 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 legislation 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 218
- *Search for an activity* on page 218
- *Selecting an Activity from Search Results* on page 219

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 legislation).

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 – Legislations: 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 legislation 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.

Method: Search for an activity

Complete the steps described in *Performing Tracker Searches* on page 364. The activity search options in the **Search For** drop-down box are described in *Activity Search Options* on page 218.

After performing the search, the **Search Results** window opens, from which you can select an activity.

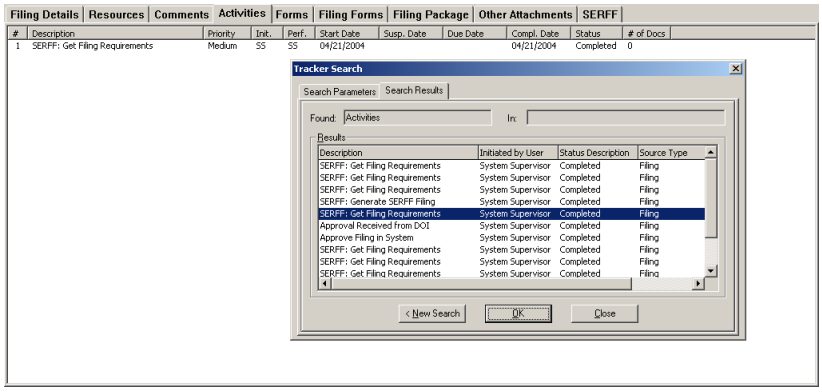
Selecting an Activity from Search Results

When selecting an activity from the **Search Results** tab of the **Tracker Search** window, the filing, filing group, or legislation for that activity is displayed with the **Activities** tab visible. This features lets you view the filing 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 activity.

To select and open a filing, filing group, or legislation from an activity search:

1. Perform a search on an activity.
2. Select the activity from the **Search Results** tab and click **OK**.

   The filing, filing group, or legislation 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, continue selecting activities from the **Search Results** tab 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 220
- *Posting Activities for a Multi-Filing* on page 220

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.

From a Filing Group Level:

1. 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.
2. Click the **Perform Activity** button to open the Activities List box.
3. Click the activity you want to perform.
4. Click **Perform** to open the related New Activity dialog box.
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.

From a Filing Group Level:

1. 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.
2. Click the **Post Activity** button to open the Activities List box.

3. Click the activity you want to post.
4. Click **Post** to open the related New Activity dialog box.
5. 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.
6. To finish, click **Post**. The new activity will be posted, 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.

Generating and Printing on Multiple Filings

Activities can be performed on multiple filings in the same manner as single filings, using the method described above for performing an activity on a multi-filing.

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, and the regulatory specialist databases. 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:

- *SERFF* on page 224
- *The SERFF Tab (Filing Level)* on page 225
- *Working with SERFF Filings En Masse* on page 227
- *Working with SERFF Filings at the Filing Level* on page 236
- *Reviewing SERFF Filings* on page 255
- *Submitting Filings to SERFF* on page 263
- *Monitoring SERFF Filings and Working with Messages* on page 264
- *Working with Submitted Filings* on page 272
- *Working with Closed Filings* on page 293

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 131.

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.

The previous chapter (*Working With Filings* on page 131) described the following steps performed in Tracker to create a traditional paper-based or SERFF filing:

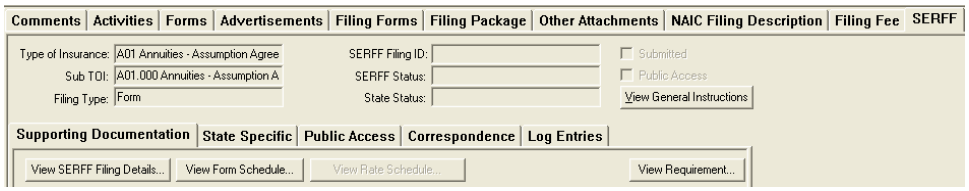
- Create your filing groups
- Create your filings
- Add the filing content of rates/advertisements/forms to your filing
- Add other attachments to your filing under the **Other Attachments** tab

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 you 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** – A value does not appear here until the filing is successfully submitted to SERFF.
- **SERFF Status** – A value does not appear here until the filing is successfully submitted to 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 to 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**.

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 –** From this tab, you can view any correspondence associated with this filing such as Notes to Filers, Objection Letters and Disposition Reports. You can also create a Filing Amendments, Notes to Reviewers and Objection Responses.

- **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 sub-tabs, 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, though, you will work with filings at the filling 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 227
- *Retrieving Requirements for Filings En Masse* on page 229
- *Satisfying Requirements for Filings En Masse* on page 231
- *Bypassing Requirements for Filings En Masse* on page 233

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 LOB.

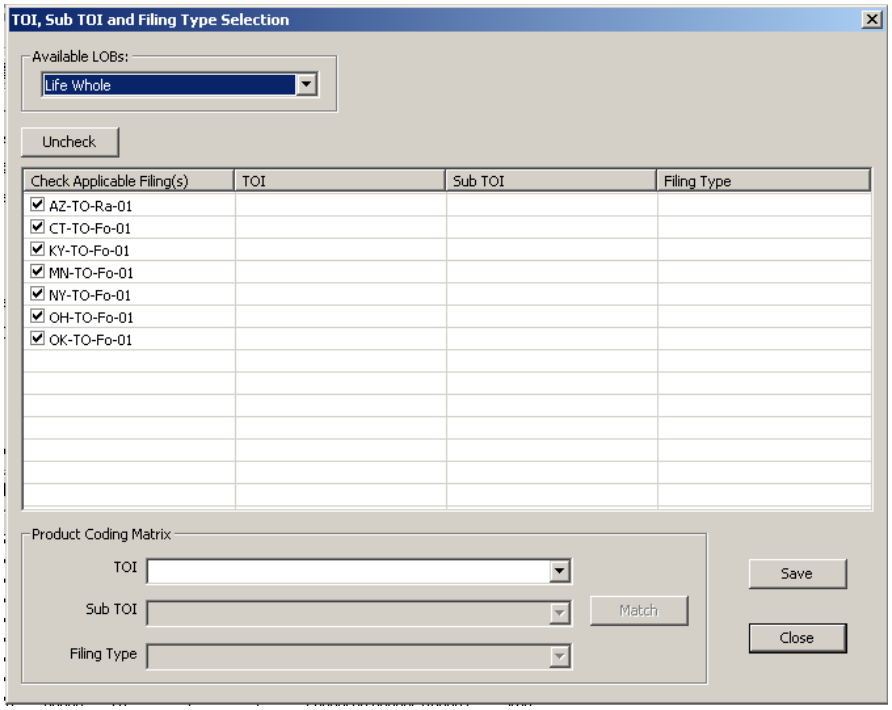
SERFF is premised on the assumption that all states are using the matrix. By using the en masse procedure below, you can make TOI, sub TOI and filing type selections for all states using the matrix by making a single selection.

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 236.

Method: Select a TOI, sub TOI and filing type for filings en masse

1. Open a 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 box opens.



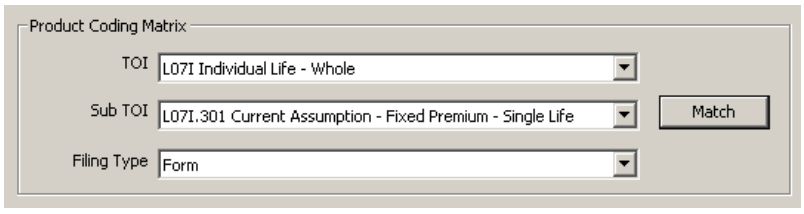
The LOB for this filing group is automatically selected in the **Available LOBs** drop-down list. If there is more than one LOB in this filing group, then the LOBs are displayed in the **Available LOBs** drop-down list in alphabetical order, and the first LOB in this list is automatically selected.

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.

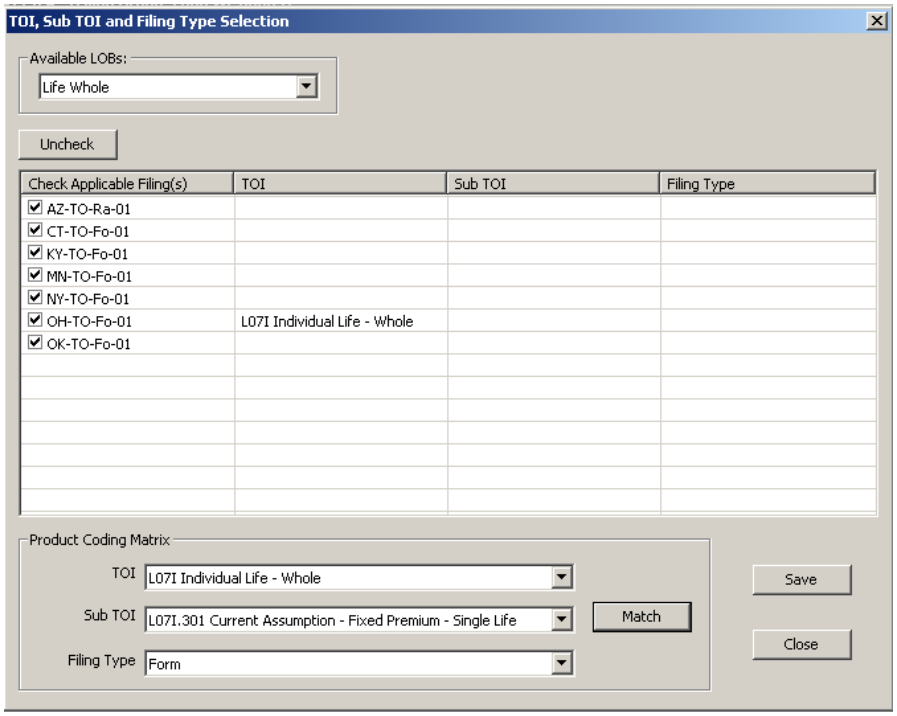
4. Ensure that all the filing(s) for which you want to make the TOI, Sub TOI and Filing Type selection are selected in the **Check Applicable Filing(s)** column. If this is the first time you are accessing the en masse selection screen, by default, all the filings are marked as selected. You can clear 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

Note: Supporting documentation filing requirements are referred to as *requirements* in this documentation.

After you have selected a TOI, sub TOI, and filing type, you need to retrieve the supporting documentation filing requirements from SERFF.

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 239.)

Method: Retrieve the requirements for filings en masse

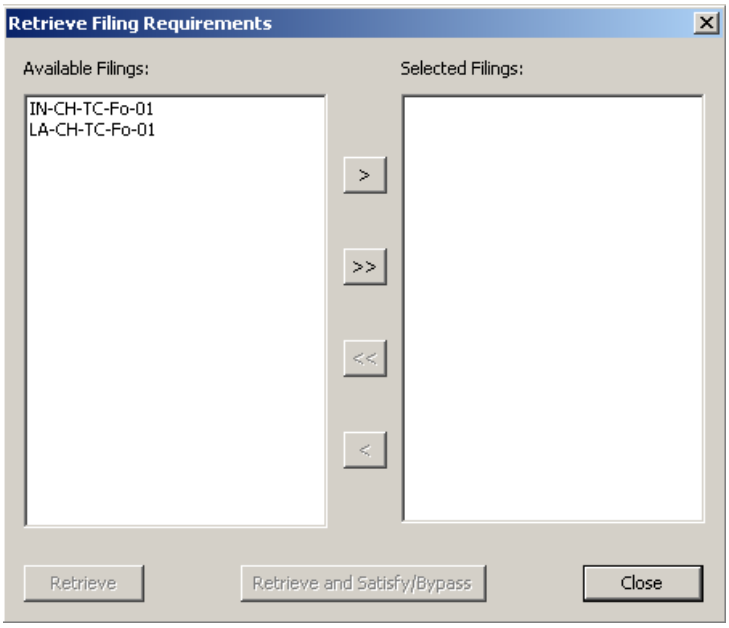
1. Open the filing group that contains the filings for which you want to retrieve the filing requirements.

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; 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 231 and *Bypassing Requirements for Filings En Masse* on page 233.)
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)
- 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 retrieving the TOI and 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 227, or *Selecting the TOI, Sub TOI and Filing Type at the Filing Level* on page 236.)

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.

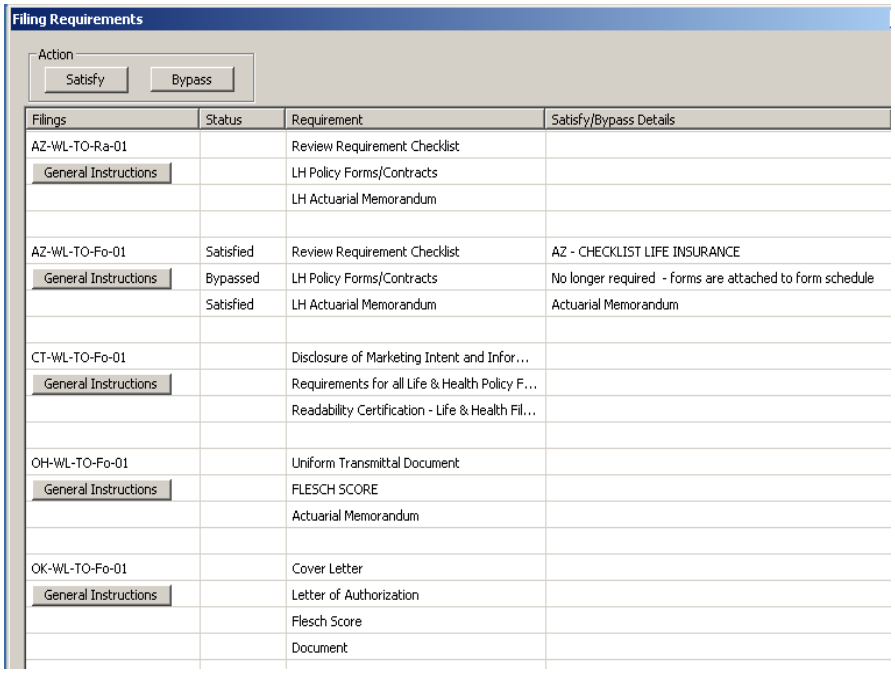
Using the en masse method, you can only satisfy requirements for which the document which applies is an Other Attachment that has been added at the filing group level. (See *Other Attachments* on page 169.) To satisfy a requirement with just a comment but no Other Attachment, you must use the filing level method. (See *Satisfying Requirements at the Filing Level* on page 244.)

Method: Satisfy the requirements for filings en masse

1. From a filing or filing group, 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, a two-digit filing content code, and a two-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.

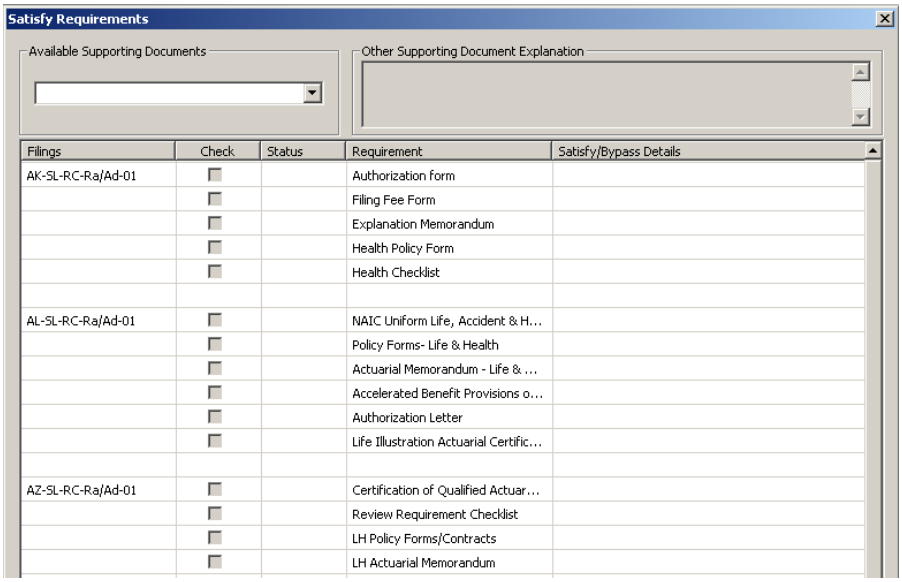
2. From this screen, you can quickly access additional information:

   - 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 box 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 checkboxes beside the requirements that you want to satisfy with the **Available Supporting Document** you selected.

Note: If a checkbox 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 233.
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.

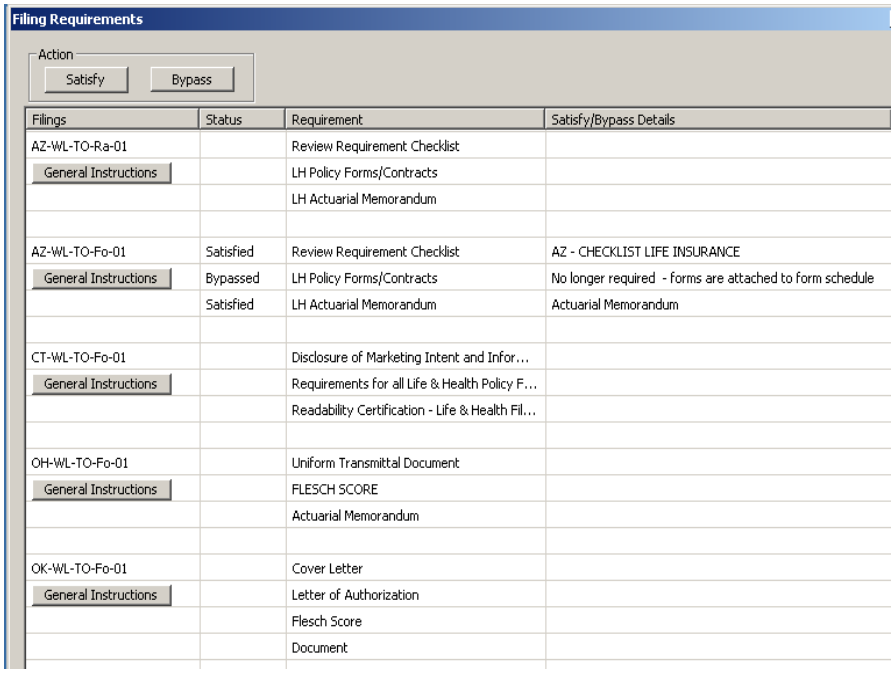
Note: Certain requirements may be designated by the state as "non-bypassable." You cannot bypass these requirements; you can only satisfy them. These requirements will be displayed in **bold**.

Method: Bypass the requirements for filings en masse

1. From a filing or filing group, 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, a two-digit filing content code, and a two-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:

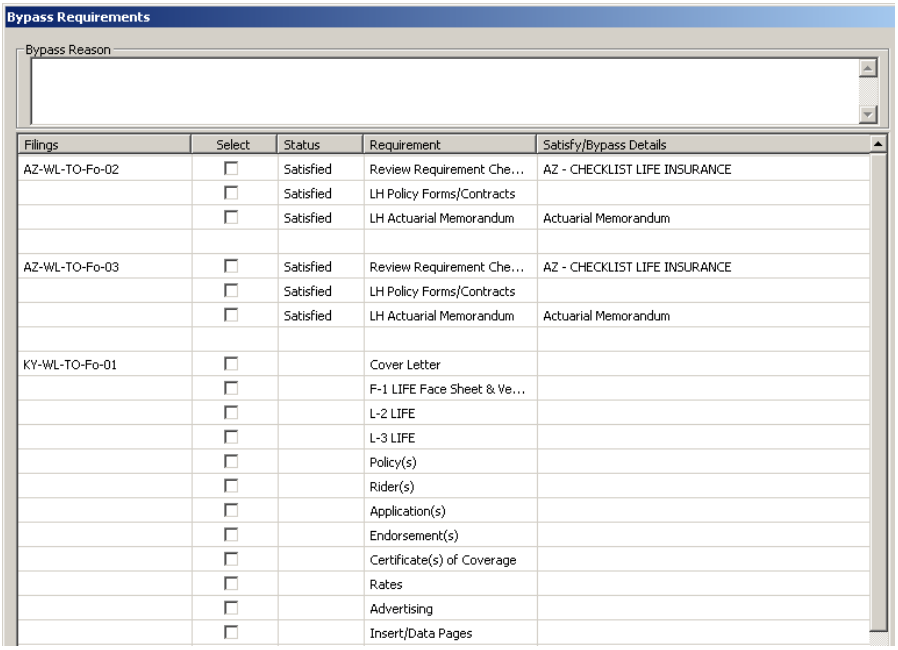
   - To view the details of a requirement, mouse over or double-click the **Requirement** name.

- 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 bypass requirements and provide a reason, click **Bypass**.

The **Bypass Requirements** dialog box opens. All the checkboxes 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 231.

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, though, you will work with filings at the filling 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 236
- *Clearing the TOI, Sub TOI, and Filing Type At the Filing Level* on page 239
- *Working with Supporting Documentation Filing Requirements at the Filing Level* on page 239
- *Creating a User Added Requirement at the Filing Level* on page 247
- *Entering State-Specific Values at the Filing Level* on page 248
- *Paying Filing Fees* on page 250

Note: See also: *Working with SERFF Filings En Masse* on page 227.

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 227.

Method: Select the TOI, Sub TOI and Filing Type at the filing level

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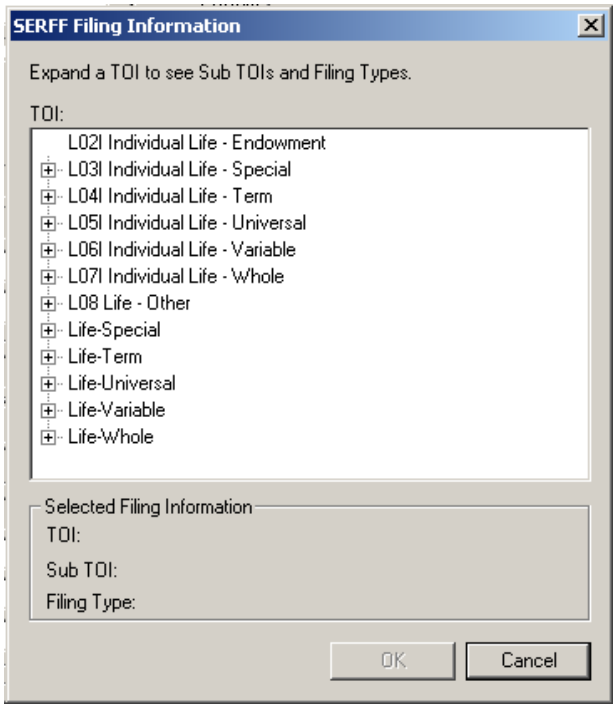
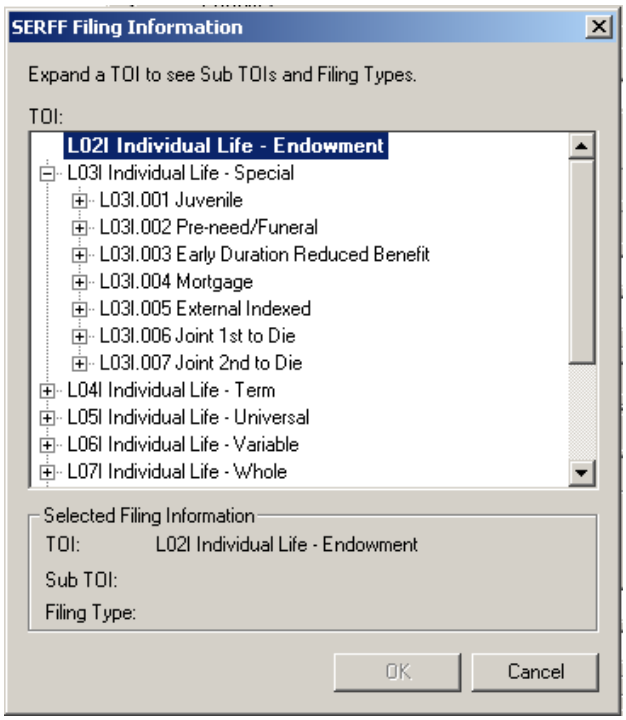
1. Within a filing group, open the filing you want to work on as a SERFF filing.
2. In the SERFF area of the **Filing Details** tab, click **Select**.

   Tracker connects directly to SERFF and returns the list of Active **TOI**s, **sub TOI**s, and **Filing Type**s for that state.

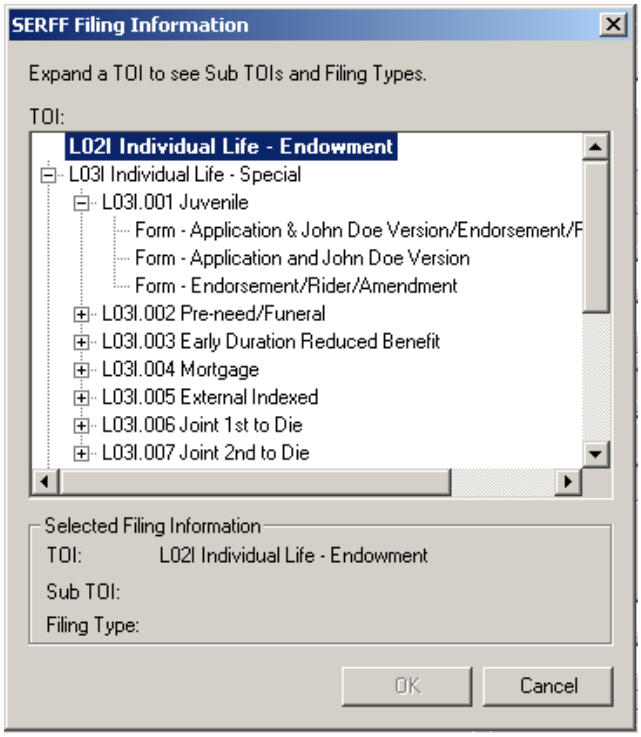
   The **SERFF Filing Information** dialog box opens.



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.**

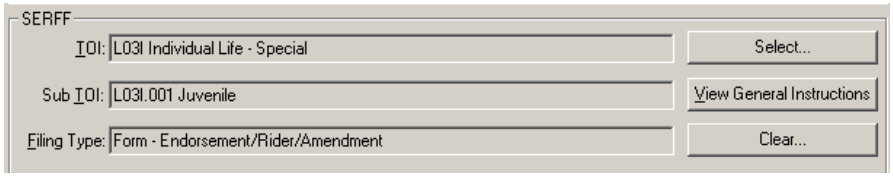


5. Click the desired filing type under the **Sub TOI**.

   The **OK** button becomes active.

6. Click **OK**.

   The filing is now using the selected SERFF filing type for this TOI and sub TOI.



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 206.

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 239
- *Viewing Requirements at the Filing Level* on page 241
- *Working with General Instructions at the Filing Level* on page 243
- *Satisfying Requirements at the Filing Level* on page 244
- *Removing Requirements Attachments at the Filing Level* on page 246
- *Bypassing Requirements at the Filing Level* on page 246

Retrieving Requirements at the Filing Level

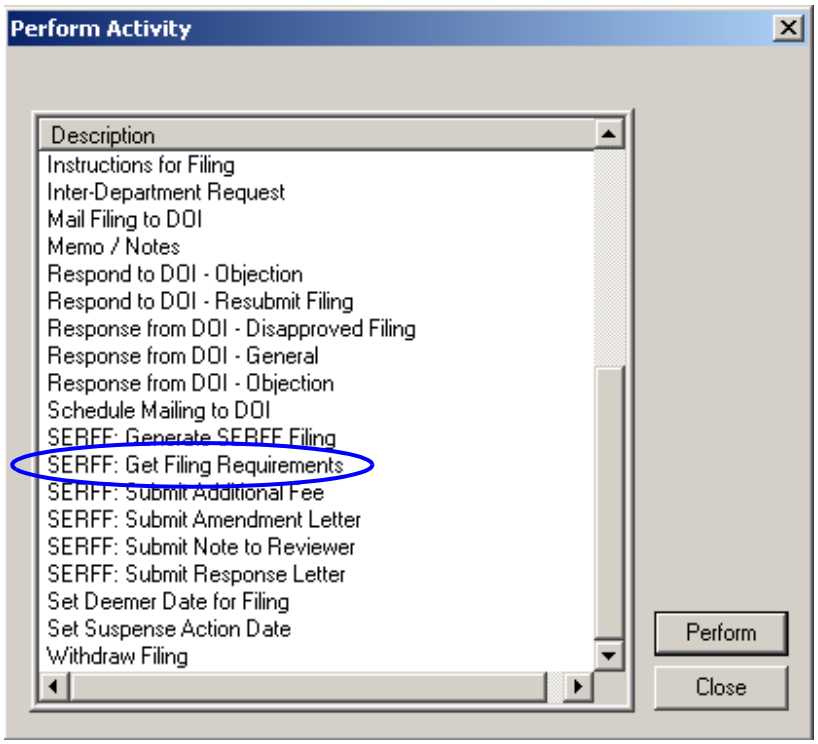
Supporting documentation filing requirements are referred to as *requirements* in this documentation. You can retrieve the SERFF filing requirements at the filing level by performing the **SERFF:Get Filing Requirements activity**.

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 229.

Method: Retrieve the filing requirements at the filing level

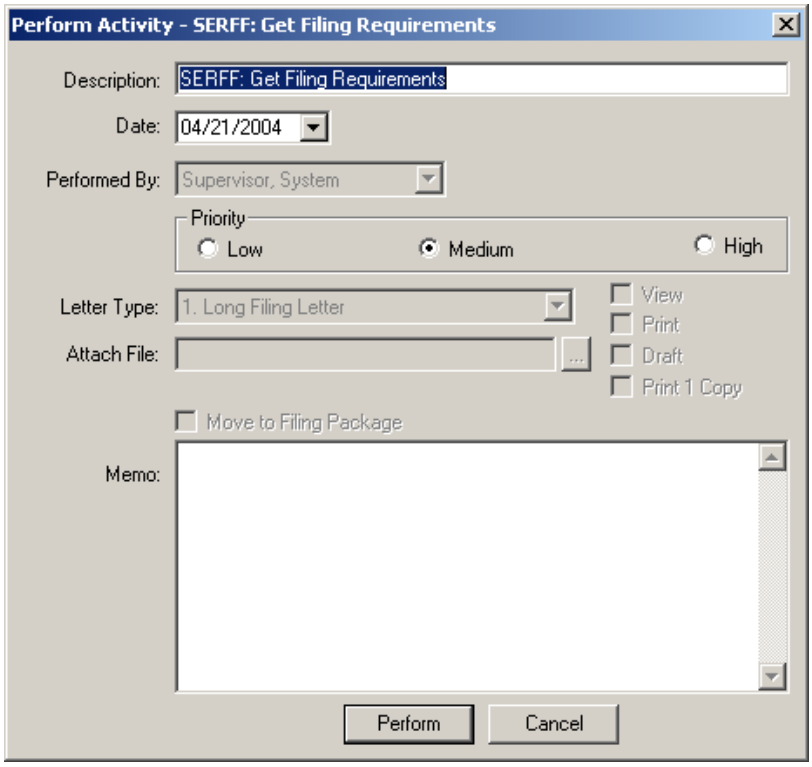
1. Open the SERFF filing for which you have already selected a TOI, sub TOI, and filing type.

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 box opens.



4. Change the **Priority** if necessary, and enter a **Memo** if required.
5. When you are done, click **Perform**.

   Tracker connects to the SERFF database and retrieves the current filing requirements.
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

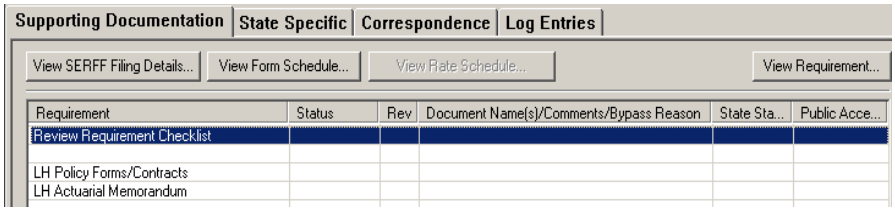
Note: Supporting documentation filing requirements are referred to as *requirements* in this documentation.

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. In the filing, click the **SERFF** tab.

   The **SERFF** tab is displayed, along with the **Supporting Documentation** subtab.

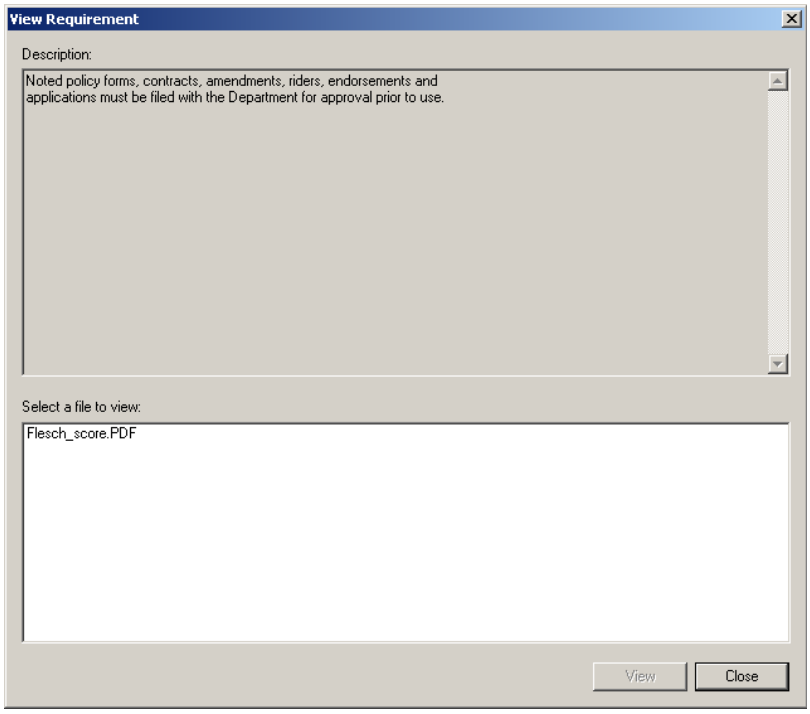


The **Supporting Documentation** subtab lists the supporting documentation filing requirements in a table that contains the following columns:

- **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**)
- **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

2. In the **Supporting Documentation** subtab, click the **Requirement** you want to view from the requirements table to highlight it.
3. Click **View Requirement**.

   The **View Requirement** dialog box opens.



4. Under **Select a file to view**, click a file name and click **View** to open the file.
5. Click **Close** when you have finished viewing this supporting documentation filing requirement.

Working with General Instructions at the Filing Level

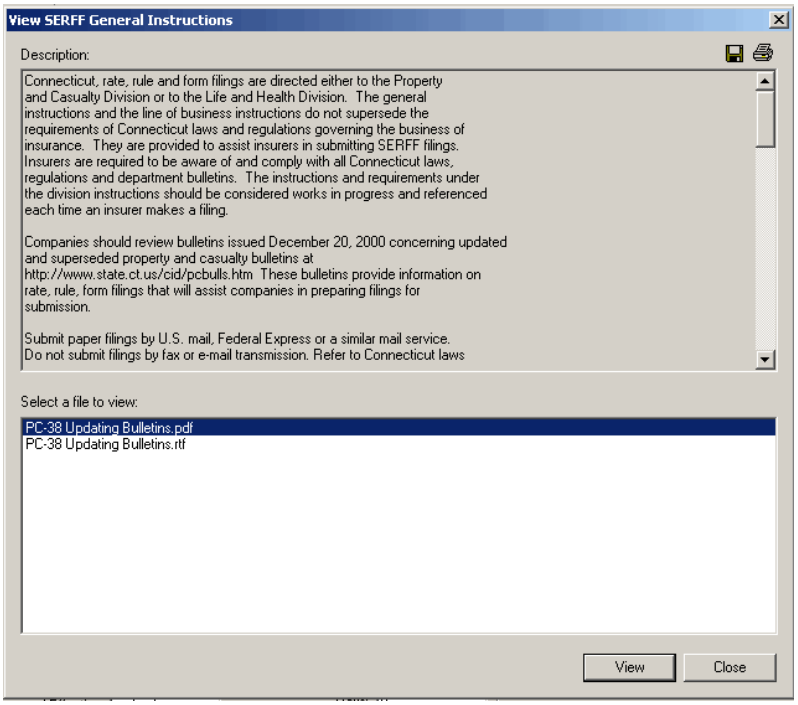
You can view, print or save the general instructions from the state for a SERFF filing. You can also view, print or save any documents that the state has attached to the general instructions.

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 231 and *Bypassing Requirements for Filings En Masse* on page 233.

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 from the state.

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

Supporting documentation filing requirements are referred to as *requirements* in this documentation.

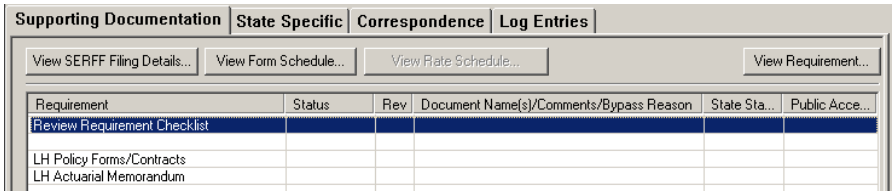
You satisfy a given state's supporting documentation filing requirements by affiliating one or more Tracker attachments with that requirement. You can also satisfy a requirement with a comment about why no attachment is necessary.

Tip: You can also use this procedure to edit a requirement's comments, or edit the list of affiliated attachments, provided the filing has not been submitted to SERFF.

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 231.

Method: Satisfy requirements at the filing level

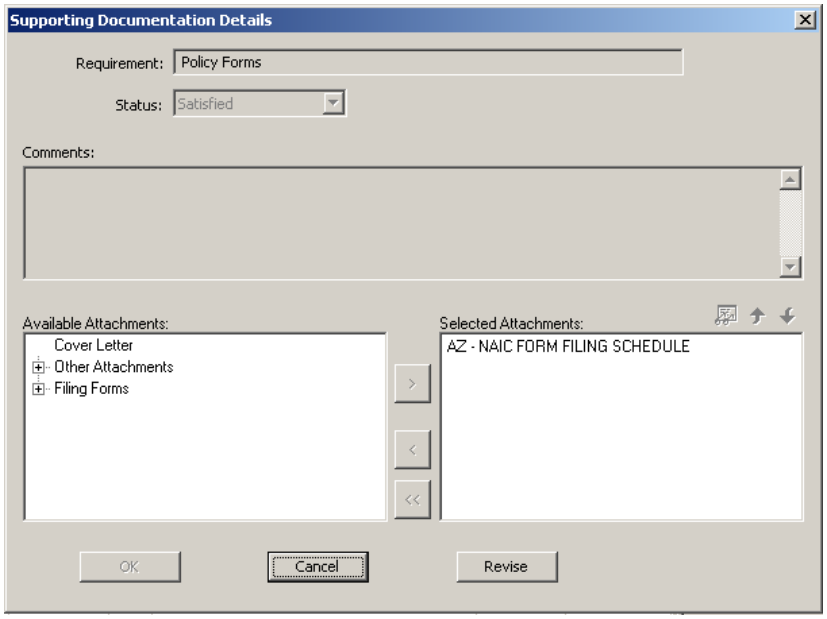
1. In the filing, click the **SERFF** tab.



2. In the **Supporting Documentation** tab, double-click the **Requirement** you want to satisfy.

   The **Supporting Documentation Details** dialog box opens.

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 box.

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 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 box.

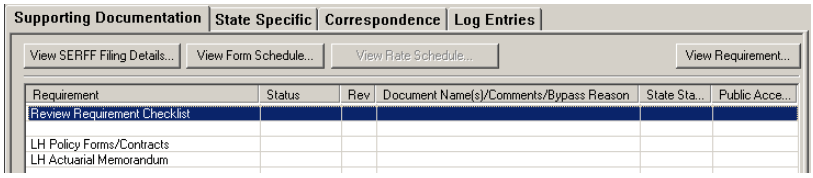
Bypassing Requirements at the Filing Level

Note: Supporting documentation filing requirements are referred to as *requirements* in this documentation.

You can bypass a requirement, 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.

Method: Bypass a requirement at the filing level

1. In the filing, click the **SERFF** tab.



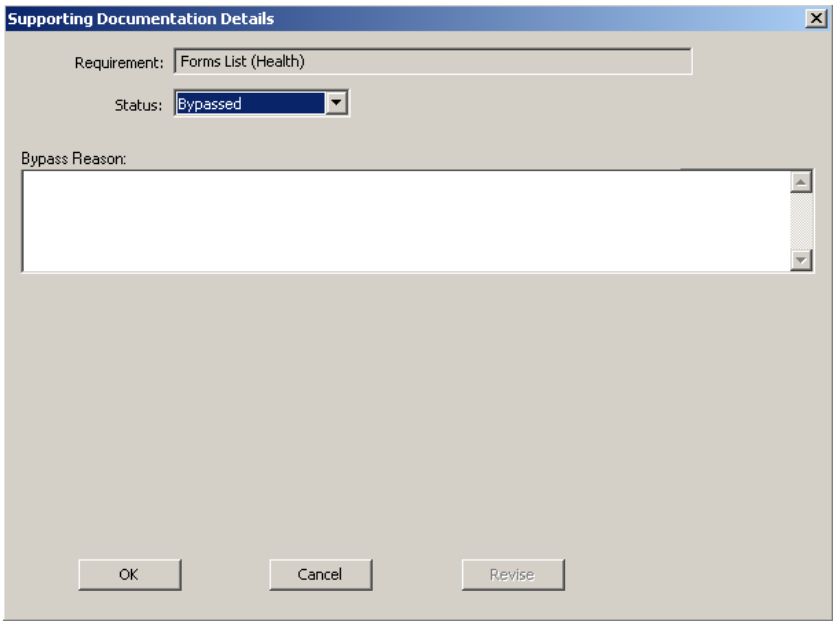
2. In the **Supporting Documentation** tab, double-click the **Requirement** you want to bypass.

Note: You cannot bypass requirements which are displayed in **bold**; you can only *satisfy* them: see *Satisfying Requirements at the Filing Level* on page 244.

The **Supporting Documentation Details** dialog box opens.

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.

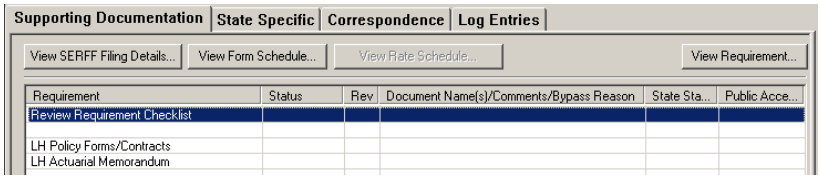
Note: You can also bypass multiple requirements on multiple filings within a filing group at one time: see *Bypassing Requirements for Filings En Masse* on page 233.

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.

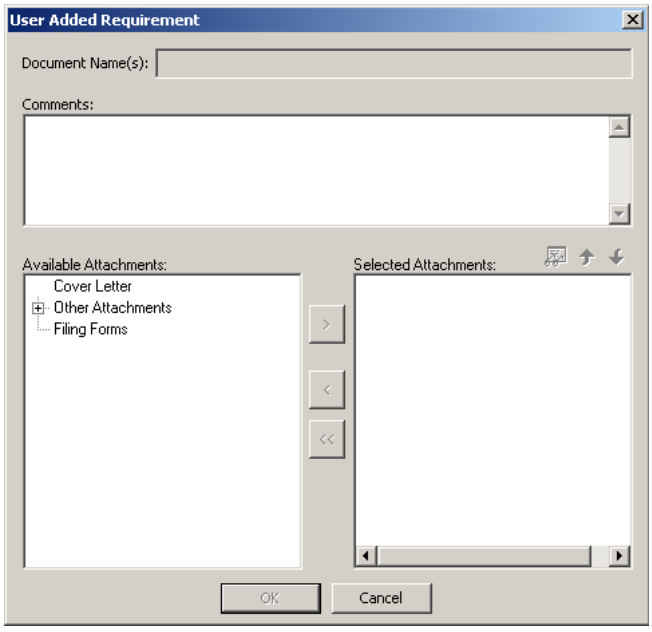
Method: Create a user added requirement

1. In the filing, click the **SERFF** tab.



2. Click the User Added button on the SERFF toolbar.

   The **User Added Requirement** dialog box opens.



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

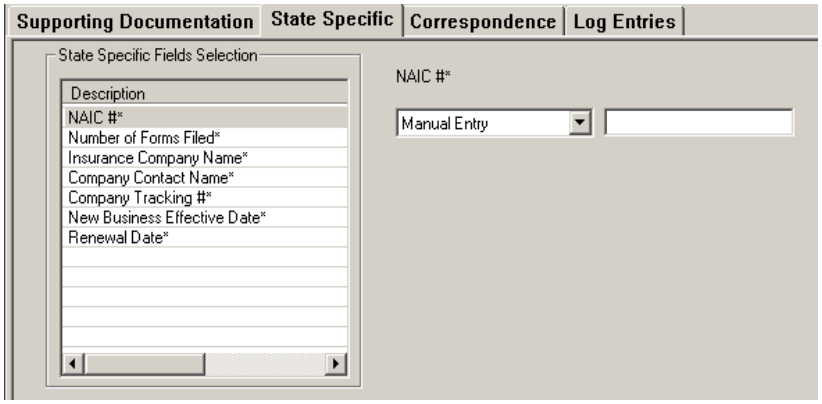
State-specific values represent other information required by the state for a SERFF filing. There are three ways you can add this information to Tracker:

- 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. In the **SERFF** tab of a filing, click the **State Specific** tab.

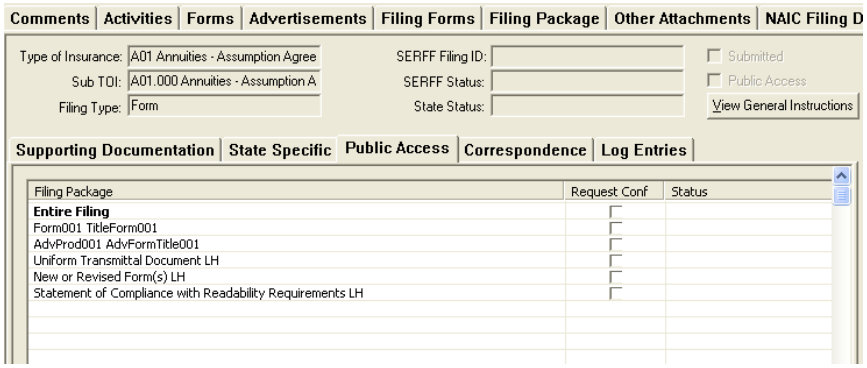


2. In **State Specific Fields Selection**, click the **Description** for the state-specified field you need to enter.
3. Select the source of the field value from the drop-down list.

   The value of the source you have selected is displayed to the right of the source name.
4. To use a different value, edit the value in the text box. No Save or Enter is required.

Setting Public Access Values

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. Any items removed or added to a filing are automatically reflected in this list. The items in the list (if they are present in the filing) are displayed in this order, from top to bottom:

- an entry called **Entire Filing**
- all forms
- all rates, followed by a rate schedule

- all advertisements
- all SERFF filing requirements (including User Added attachments) that have been satisfied or bypassed, the comments, the bypass reasons, and the attachments

For each item in the list, there is a corresponding **Request Conf** check box. Prior to submitting the filing via SERFF, when you select a check box, the word **Accepted** displays in the corresponding cell in the Status column. When you clear a check box, the Status for that item is cleared. If the check box for Entire Filing is selected, all the items in the list become selected and their status becomes **Accepted**. Clearing the **Request Conf** check box for **Entire Filing** clears all the check boxes and status values.

After the filing is submitted:

- Any subsequent new filing package items added to the filing will not appear on this list, however, any subsequent revised filing package items added to the filing will appear on this list.
- If the state accepts the request for an item's confidentiality, the item's Status will remain at **Accepted**. If rejected, the value of the Public Access setting on the Public Access subtab and other areas of Tracker will be set to **Rejected**.
- If any of the items on this list are revised, the revised items will appear on this list directly beneath the "parent" item. Until the revised item is submitted via SERFF, the corresponding values in the **Request Conf** and **Status** columns for the revised items will reflect the same current settings as the "parent." 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.

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 174. 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.

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** and the EFT authorization levels. See *Company Information* on page 44 and *Configuring Tracker for Use with SERFF* on page 56.

When you make your selection of the TOI, sub TOI and filing type, whether the state accepts EFT payments 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.

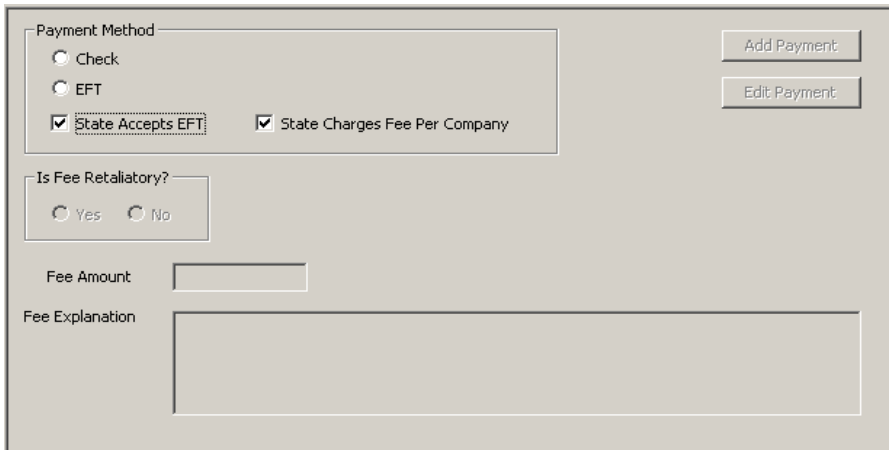
On the SERFF toolbar, the color of the EFT icon indicates the EFT payment status.

Payment Status	Icon Color
EFT payment information is added to the Payment History Details table	Green
EFT payment information is removed from the Payment History Details table, also the default status	Red
No filing or multiple filings are highlighted at the Filing Group level or Top level	Grey

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**.

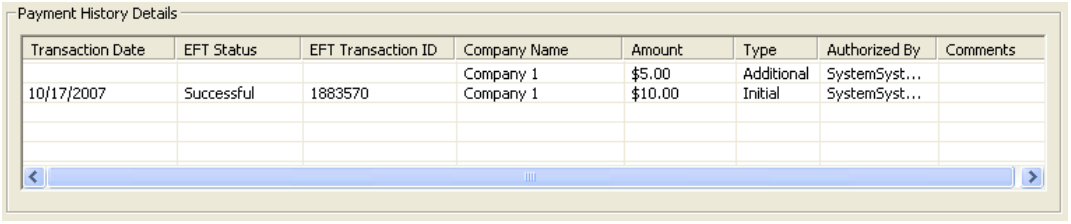
Method: Pay the filing fee via EFT

1. At the filing level, click the **Filing Fee** tab.



2. In the **Payment Method** section, select **EFT.**

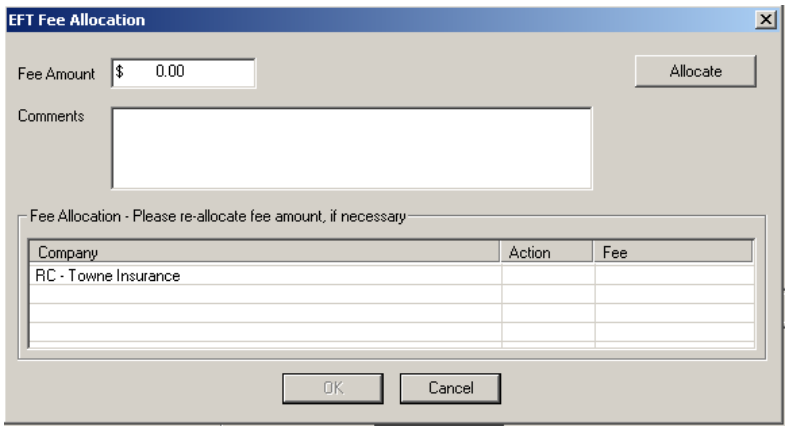
The **Payment History Details** table will display.



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 General Information for a New Company* on page 47.

3. If any portion of the fee is being paid on a retaliatory basis, click **Yes** in the **Is Fee Retaliatory?** section.
4. Enter any descriptive information (such as how the fee is calculated) in the **Fee Explanation** field.
5. Click **Add Payment**.

   The **EFT Fee Allocation** dialog box opens.



6. Enter the **Fee Amount**.
7. Enter any descriptive notes in the **Comments** field.
8. Click **Allocate**.

   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 253.)

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.

9. Click **OK** to save you work.

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 250.

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 SERFF Filing Details on page 256

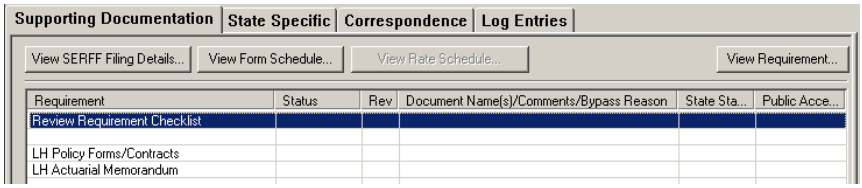
- *Viewing Form Schedules* on page 260
- *Viewing Rate Schedules* on page 261
- *Generating a Draft SERFF Filing* on page 261

Viewing 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 35 for more information.

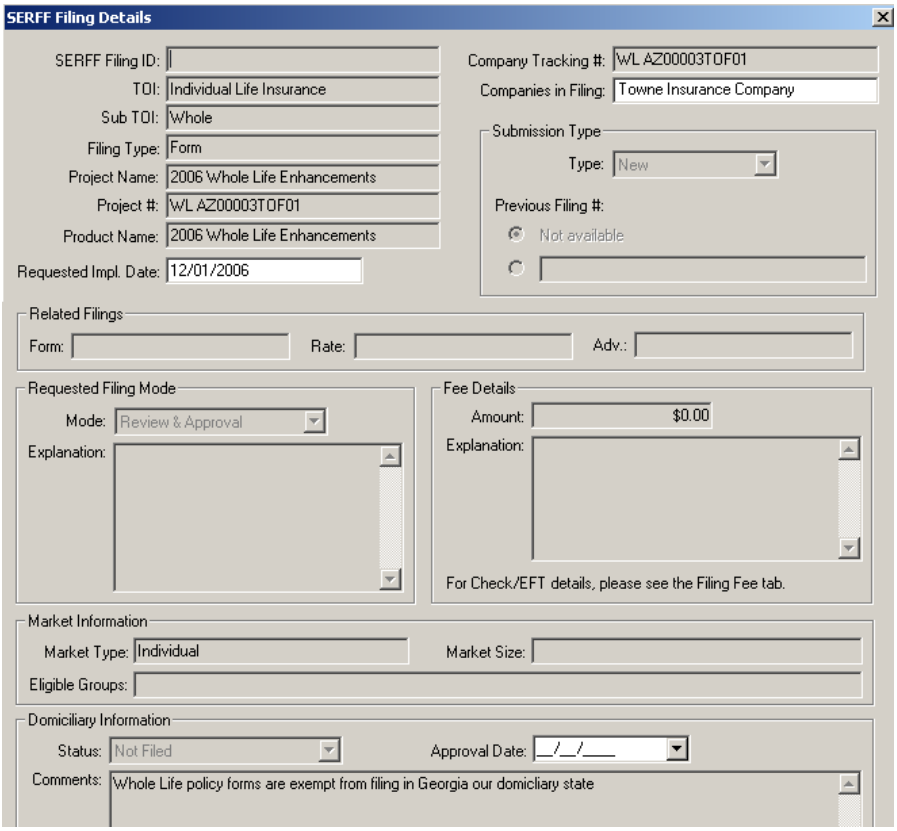
Method: View SERFF filing details

1. In the filing, click the **SERFF** tab.



2. Click **View SERFF Filing Details**.

The **SERFF Filing Details** screen opens.



3. You can accept 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 257.

4. 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 when the filing is successfully submitted to SERFF.
TOI	The TOI for this filing.	The TOI as entered in Tracker.

Field or Section Name	Description	Data Source / Data Entry Instructions
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**: • Product Name • Filing Group Name • Filing Group Description • Filing Description • Custom Field, Filing Group Level • Custom Field, Filing Level • 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: • Tracker Filing ID • Filing Group Name • Filing Group Description • Filing Description • Custom Field, Filing Group Level • Custom Field, Filing Level • Company Reference Number
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: • Product Description • Filing Group Name • Filing Group Description • Filing Description • Custom Field, Filing Group Level • Custom Field, Filing Level
Requested Impl. (Implementation) **Date**	The implementation date that was requested for this filing.	Populated based on the activity which is performed to populate this value for the filing. Read only.
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) • **Tracker Filing ID** (if a value for **Company Reference #** is not present at the point the filing is sent to SERFF)

Field or Section Name	Description	Data Source / Data Entry Instructions
Company in Filing	The company associated with this filing.	System generated
Submission Type (Section)		
Type	Indicates whether this is a new or resubmitted filing.	Select **New** or **Resubmission** from the drop-down list. Mandatory.
Previous Filing #	The previous filing number (if any).	If you select a **Type** of **Resubmission**, enter the **Previous File #** or, if the previous filing number is not available, select **Not available**.
Requested Filing Mode (Section)		
Mode	The requested filing mode.	Select a value from the **Mode** drop-down list. Mandatory.
Explanation	The description if a **Mode** type of **Other** selected.	If you select a **Mode** of **Other**, you need to enter an description.
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.
Market Information (Section)		
Market Type	The specific market type that the coverage being provided will be sold in.	Obtained from the Market Type field.
Eligible Groups	The groups eligible for this type of coverage.	Obtained from the Eligible Groups field.
Market Size	The size of the market for this type of coverage.	Obtained from the Market Size field.
Domiciliary Information (Section)		
Status	The status of the filing in the domiciliary state	Select a value from the drop-down list.

Field or Section Name	Description	Data Source / Data Entry Instructions
Approval Date	The date that the state approved the domiciliary filing.	Enter a date.
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.

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 80
- 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.

Advertisements are considered a form, therefore data of advertising records in Tracker are displayed on the form schedule and are considered a form schedule item.

If a filing contains both forms and advertising, the form information will appear first followed by the advertising information.

Method: View a form schedule

1. In the filing, click the **SERFF** tab.
2. Within the **Supporting Documentation** tab, click the **View Form Schedule** button.

   The Form Schedule is generated and displayed in Microsoft Word. See *Form Types* on page 80 for information about how to map the Form Type **Description** to SERFF.

Viewing Rate Schedules

Each enabled rate in Tracker is, by default, a rate schedule item for a SERFF filing. Tracker will pass information from the following fields to SERFF for each enabled rate in Tracker:

- Document Name
- Description
- Affected Form Numbers
- New / Revised (% Increase or Decrease) / Other
- Previous State Filing Number
- 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)
    -

View a rate schedule

1. In the filing, click the **SERFF** tab.
2. Within the **Supporting Documentation** tab, click the **View Rate Schedule** button.

   The rate 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

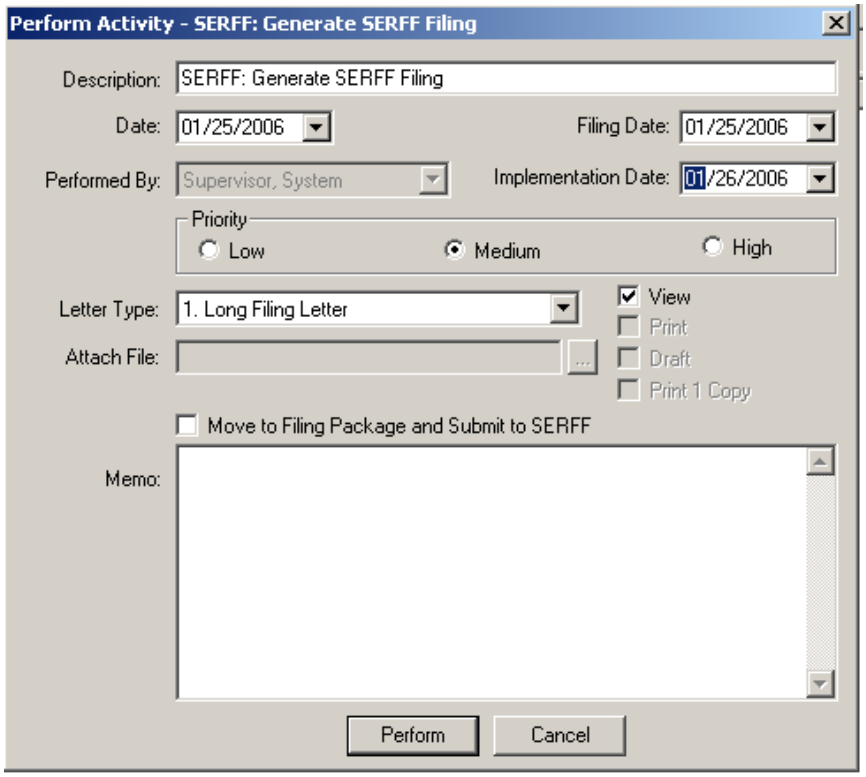
After building the SERFF filing with Tracker, you will perform an Tracker activity to verify whether the requirements you initially downloaded from SERFF are still current and complete.

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 box opens.



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

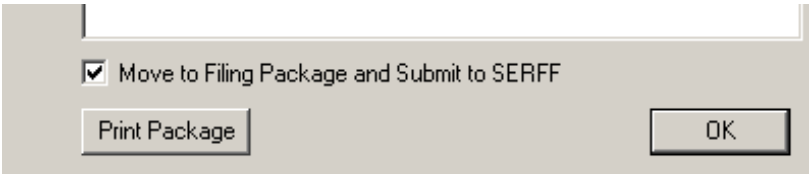
Once you have generated a draft of the SERFF filing and are satisfied with it, you can submit it to SERFF.

Note: You can only submit individual filings to SERFF; you cannot submit filings en masse.

Method: Submit your filing to SERFF

1. From the filing, go to the **Activities** tab.
2. Double click the **SERFF: Generate SERFF Filing** activity you have just performed.

   The **Edit Activity-SERFF: Generate SERFF Filing** dialog box opens.
3. At the bottom of the dialog box, select **Move to Filing Package and Submit to SERFF.**



4. Click **OK**.

   Your filing is submitted to SERFF. The **Filing Status** is now **Pending**.

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:

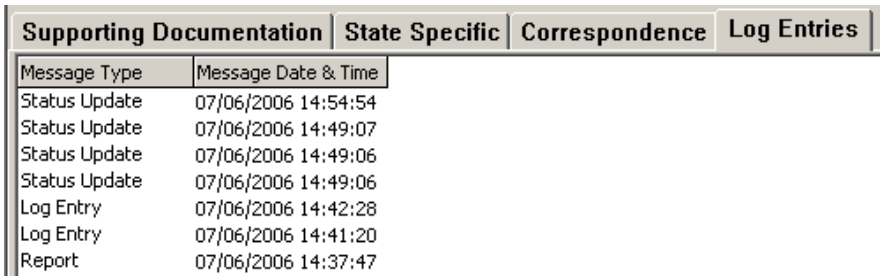
Log Entries on page 265

- *SERFF Status Filing Updates* on page 267
- *Schedule Item State Status Updates* on page 267
- *Note to Filer* on page 268
- *Objection Letters* on page 268
- *Reports* on page 268

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 402.

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

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*.
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. 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**.

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 284.

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**.

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 291.

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 269
- *Identifying New Messages* on page 269
- *Viewing Messages* on page 270
- *Deleting Messages from the Message Center* on page 271

My SERFF Messages and All SERFF Messages Tabs (Top Level)

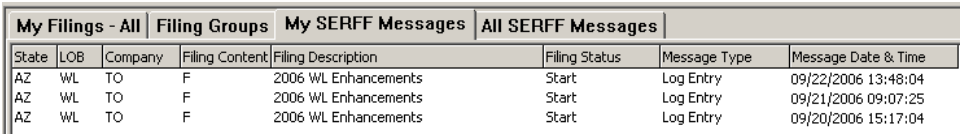
As you work with SERFF filings and submit them to SERFF, Tracker both creates messages and receives messages from the states about these filings. These messages are available in:

- 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.

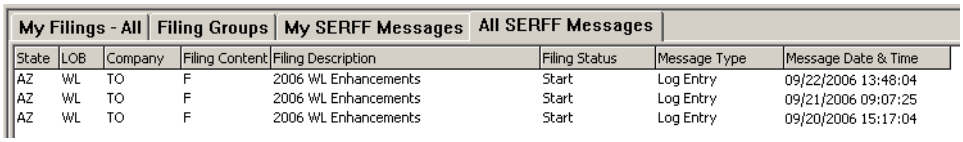
My SERFF Messages

This tab contains all SERFF messages for the filings where you are the filing manager.



All SERFF Messages

This tab contains all SERFF messages for filings for all users.



For both of these 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 Default System Settings* on page 57 and *Hide All Messages After [ ] Days* on page 58.

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 271.

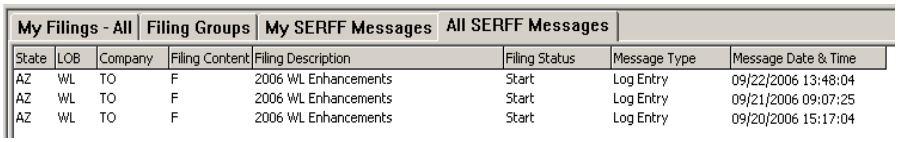
Identifying New Messages

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

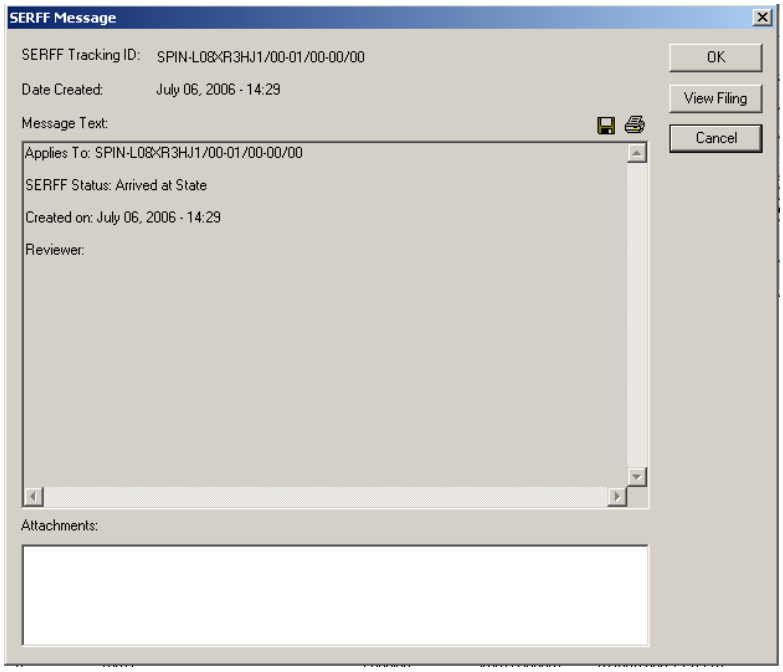
the **ALL SERFF Messages**. That is, the read or unread status of a message is not controlled on a per-user basis, but by whoever opens the message first.

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 box, 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 submitted filings are:

- *Working with Notes to Reviewers* on page 272
- *Creating Revised Form, Rate, and Advertisement Schedule Items* on page 275
- *Creating Revised Supporting Documentation Schedule Items (Other Attachments)* on page 277
- *Satisfying Previously Bypassed Requirements* on page 278
- *Working with Filing Amendments* on page 279
- *Viewing Objection Letters* on page 284
- *Working with Objection Responses* on page 286
- *Viewing Disposition Reports* on page 291

Working with Notes to Reviewers

A Note to Reviewer includes additional information about a previously submitted filing.

The procedures for Notes to Reviewers are:

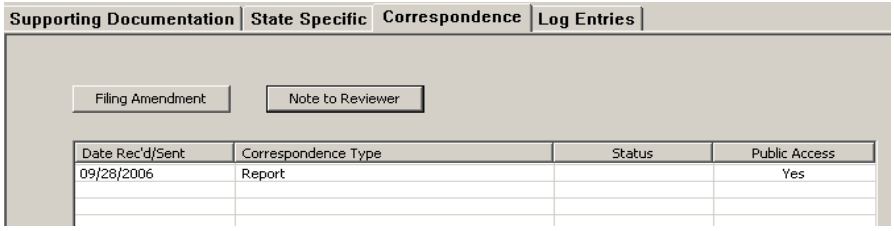
- *Creating Notes to Reviewers* on page 272
- *Deleting Notes to Reviewers* on page 274
- *Submitting Notes to Reviewers* on page 274

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.

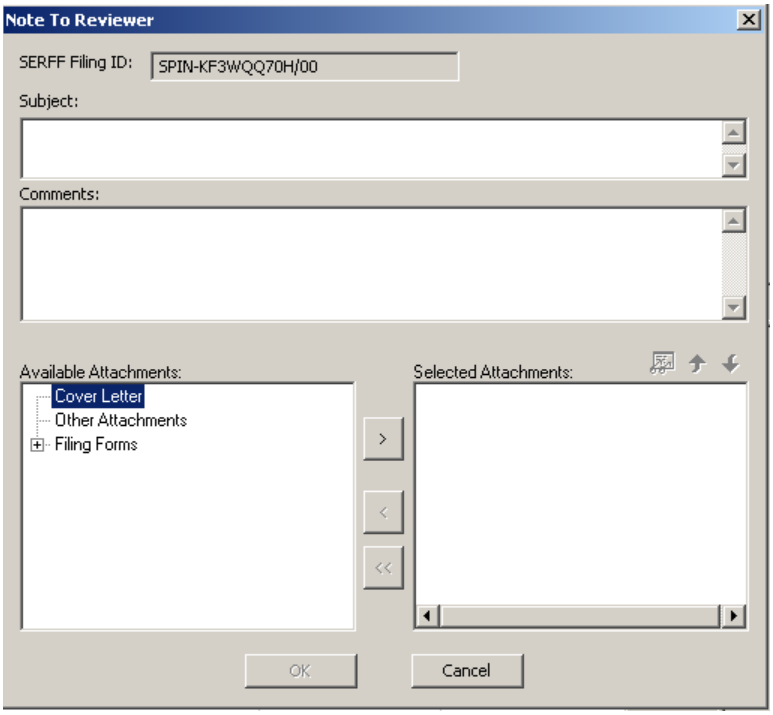
Method: Create a Note to Reviewer

1. Within a filing, click the **SERFF** tab.
2. Click the **Correspondence** subtab.



3. Click **Note to Reviewer**.

   The **Note to Reviewer** dialog box opens.



4. Complete the **Subject** field.
5. Complete the **Comments** field with the information that you want to send to the state.
6. Click **OK** to save your changes.

   The Note to Reviewer is added to the list of **Correspondence** with a **Status** of **Draft**.

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 Reviewers

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, click the **SERFF** tab.
2. Click the **Correspondence** subtab.
3. Double-click the Note to Reviewer that you want to edit.

4. Make any necessary changes. (For field descriptions, see *Creating Notes to Reviewers* on page 272.)

Deleting Notes to Reviewers

You can delete a Note to Reviewer that is in **Draft** status

Method: Delete a Note to Reviewer

1. Within 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

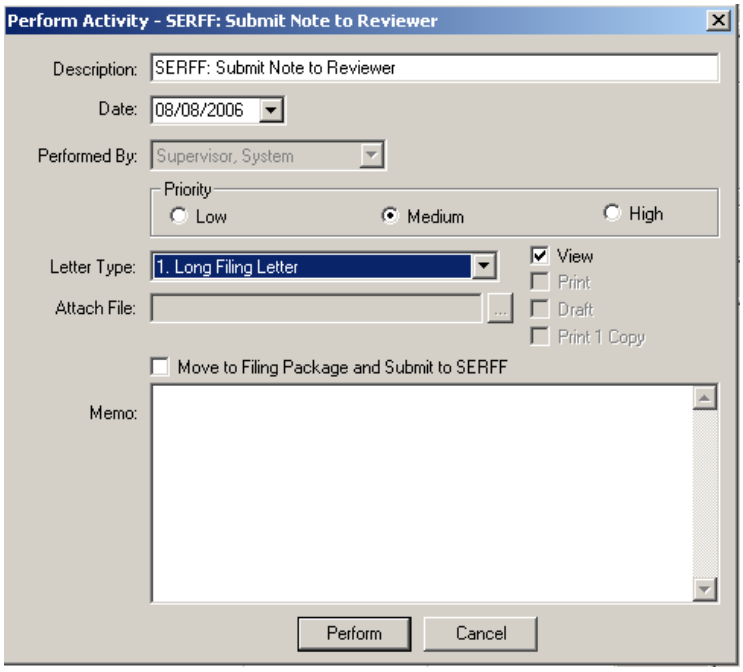
After you have created a **Note to Reviewer**, you can submit it to the state.

Method: Submit a Note to Reviewer

1. Click the **Perform Activity** button on the toolbar.

   The **Perform Activity** screen opens.
2. Select the **SERFF: Submit Note to Reviewer** activity.

   The **Perform Activity - SERFF: Submit Note to Reviewer** dialog box opens.



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** checkbox, then click **Perform**.

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.)

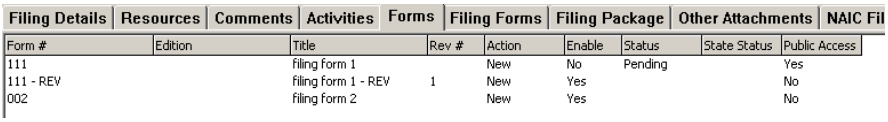
To create revised *Other Attachments* schedule items, see *Creating Revised Supporting Documentation Schedule Items (Other Attachments)* on page 277.

Method: Create a revised form, rate, and advertisement schedule item

1. At the filing level, click the **Forms, Rates** or **Advertisements** tab.
2. Double-click the form, rate, or advertisement that you need to revise.

   The form, rate, or advertisement opens.
3. 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.

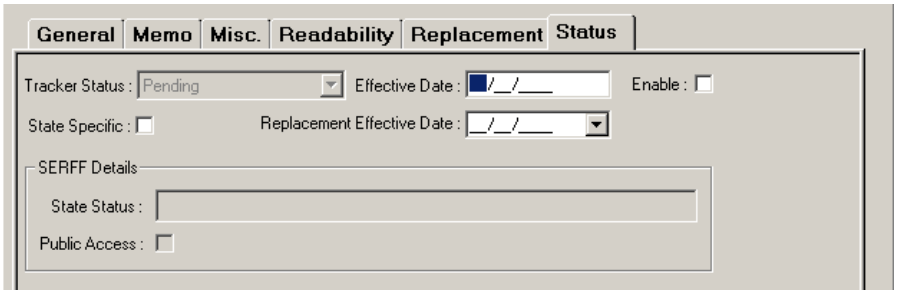
In the original form, rate, or advertisement, the **Print Attachment** check box in the **Misc**. tab and the **Enable** check box on the **Status** tab are cleared. The form, rate, or advertisement becomes independent of the Filing Group Level attachment, if it was not

For forms, once a filing has been submitted to SERFF, you cannot edit the lead form designation for the submitted forms or designate any new or revised forms in the filing as lead forms. Therefore:

- If you revise a form that had originally been designated as the lead form, the Lead Form checkbox on the revision will be cleared (not selected) and locked (not editable). The same is true for revisions of non-lead forms; when the copy is made, the lead form checkbox will be cleared and locked.
- When you begin to add a new form to the filing after it is submitted, the Lead Form checkbox will be cleared and locked; it does not matter if there are no lead forms in the original filing.

4. already. 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.



5. 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 279 and *Working with Objection Responses* on page 286.

Creating Revised Supporting Documentation Schedule Items (Other Attachments)

A supporting documentation schedule item is a schedule item other than a form, rate, or advertisement schedule item. 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, if you discover an error in a supporting documentation schedule item, or if the state objects to a supporting documentation schedule item, you will need to revise a supporting documentation schedule item.

Method: Create a revised supporting document schedule item (other attachment)

1. In a filing, click the **Other Attachments** tab.
2. Double click the Other Attachment that you need to revise.
3. Click the **Revise** button.

   A copy of the Other Attachment is added directly below the original in the list.

   An incremented revision number is assigned to the Other Attachment and appears in the **Rev #** column.

   The Other Attachment, if it was not already, becomes independent of the Filing Group Level attachment.
4. Make any necessary corrections to the Other Attachment, including the **Attachment** path.

   The **Create Revised Supporting Documentation Schedule Item** check box is selected.
5. Click **OK** to save.
6. Click the **SERFF** tab.

7. In the **Supporting Documentation** subtab, the revised supporting documentation schedule item is displayed immediately below the original entry, with a **Status** of **Satisfied.**

   The name of the revised schedule item is displayed in the **Document Name/ Comments/ByPass Reason** column.

   All revised supporting documentation schedule items are denoted with an **R** in the **Rev** column on the **Supporting Documentation** tab.

8. To add comments to the revised schedule item, double-click it to open it, then enter any comments in the **Comments** field.

9. 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 279 and *Working with Objection Responses* on page 286.

Related Topic

- *Creating Revised Form, Rate, and Advertisement Schedule Items* on page 275

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 schedule item and satisfy the requirement.

Note: You cannot bypass a requirement that was previously satisfied.

Method: Satisfy previously bypassed requirements

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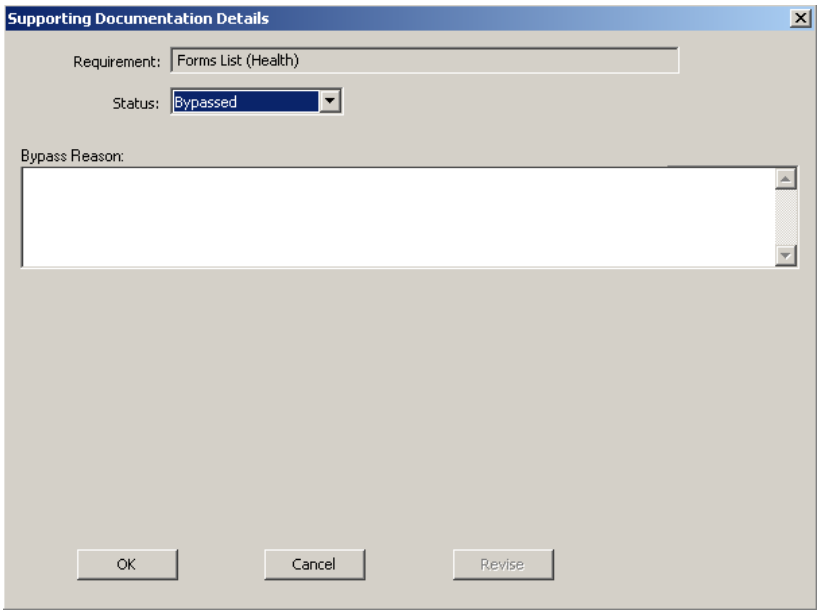
1. In the filing, click the **SERFF** tab.
2. In the **Supporting Documentation** tab, double-click the **Requirement** you want to satisfy.

   The **Supporting Documentation Details** dialog box opens.



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 schedule item is added to the table, immediately below the original schedule item.

Working with Filing Amendments

You can use a filing amendment to correct mistakes or omissions that you have discovered.

The procedures for working with Filing Amendments are:

- *Creating Filing Amendments* on page 280
- *Editing Filing Amendments* on page 283
- *Deleting Filing Amendments* on page 283
- *Submitting Filing Amendments* on page 284

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.

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 286.

Note: You must finish submitting one Filing Amendment before you can create another.

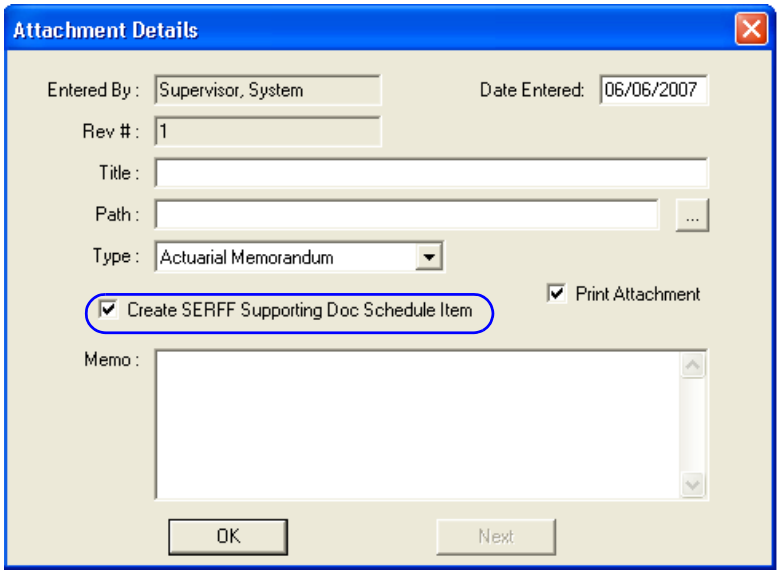
Method: Create a Filing Amendment

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** tab of a filing.

As the following procedure indicates, you need to complete extra steps if you are adding a filing amendment to a new or revised other attachment.

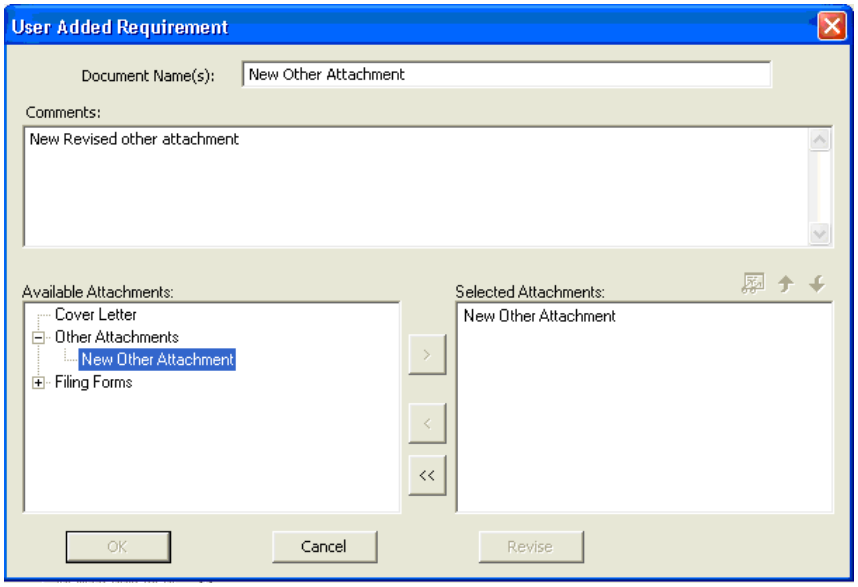
Complete the following steps to create or modify a schedule item:

1. If you are adding a filing amendment to a revised other attachment, complete the following steps, otherwise skip to step 2.
   a. Within the filing, click the **Other Attachment** tab.
   b. Double-click the revised Other Attachment to open it.
   c. Click **Revised**.
   d. Ensure the **Create SERFF Supporting Doc Schedule Item** check box is selected.



2. Within the filing for which you want to create a filing amendment, click the **SERFF** tab.
3. Click the **Supporting Documentation** tab
4. For new, Other Attachments only, complete the following steps. For all other attachment types, skip to step 5.

   a. Click the User Added button on the SERFF toolbar.

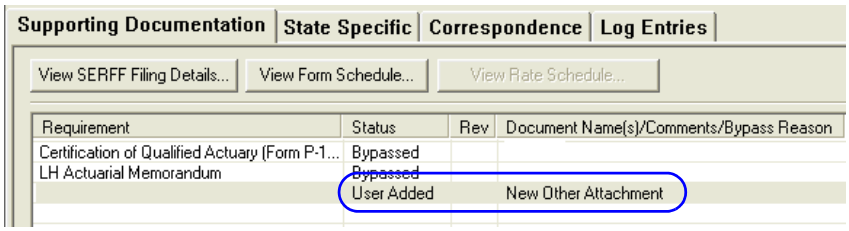


   b. On the **User Added Requirement** dialog, enter the **Comments**.

   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**.

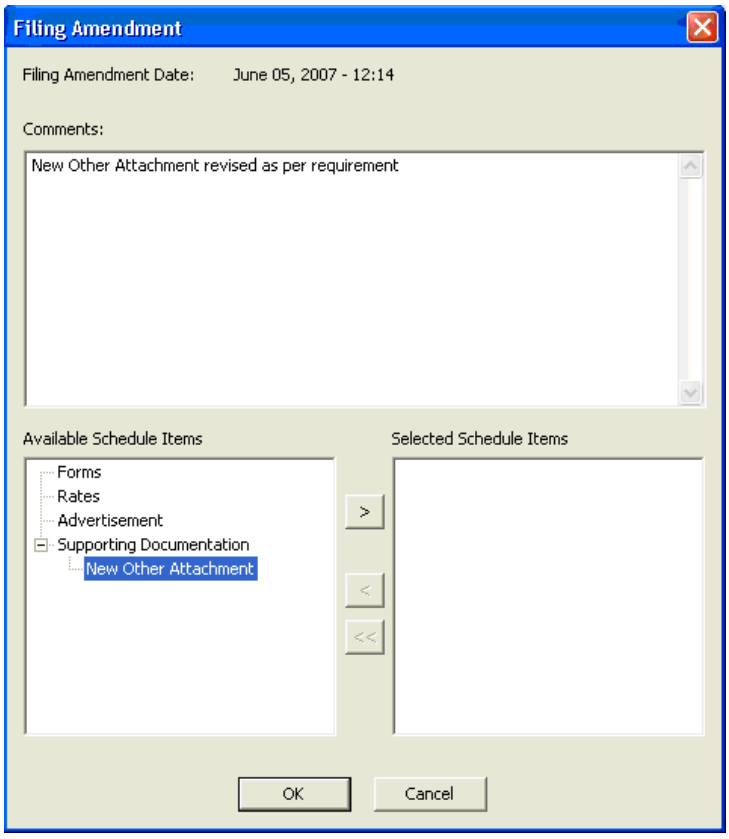
The requirement you selected is now listed in the **Supporting Documentation** table.



You can now create the filing amendment. Continue to the next step.

5. Click the **Correspondence** subtab.

6. Click the **Filing Amendment** button.



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.

7. 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.

8. Click the schedule item, then click the right arrow to move the schedule item to the **Selected Schedule Items** list.
9. 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. Within the filing containing the Filing Amendment you want to edit, 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 280.)

Deleting Filing Amendments

You can delete a Filing Amendment that is in **Draft** status.

Method: Delete a Filing Amendment

1. Within 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 to SERFF**.

   The filing amendment is submitted. In the **Correspondence** tab:

   - the **Status** of the filing amendment changes to **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.

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.

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.

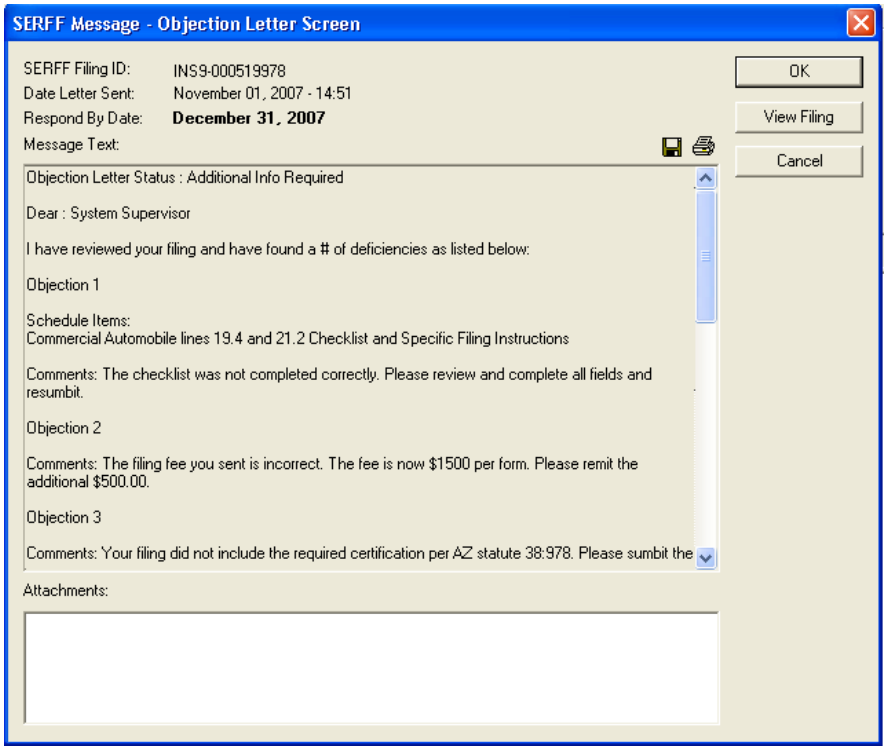
Method: View an objection letter

1. Within the **Correspondence** tab of the filing to which the Objection Letter applies, double-click the **Objection Letter.**

   – OR –

   From the **My SERFF Messages** tab, double-click a message with a **Message Type** of **Objection Letter**.

   The **Objection Letter** screen opens.



The **Objection Letter** screen contains the following information:

- **SERFF Filing ID**
- **Date Letter Sent**
- **Respond By 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**

2. 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 286.

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 286
- *Editing Objection Responses* on page 290
- *Deleting Objection Responses* on page 290
- *Submitting Objection Responses* on page 290

Creating Objection Responses

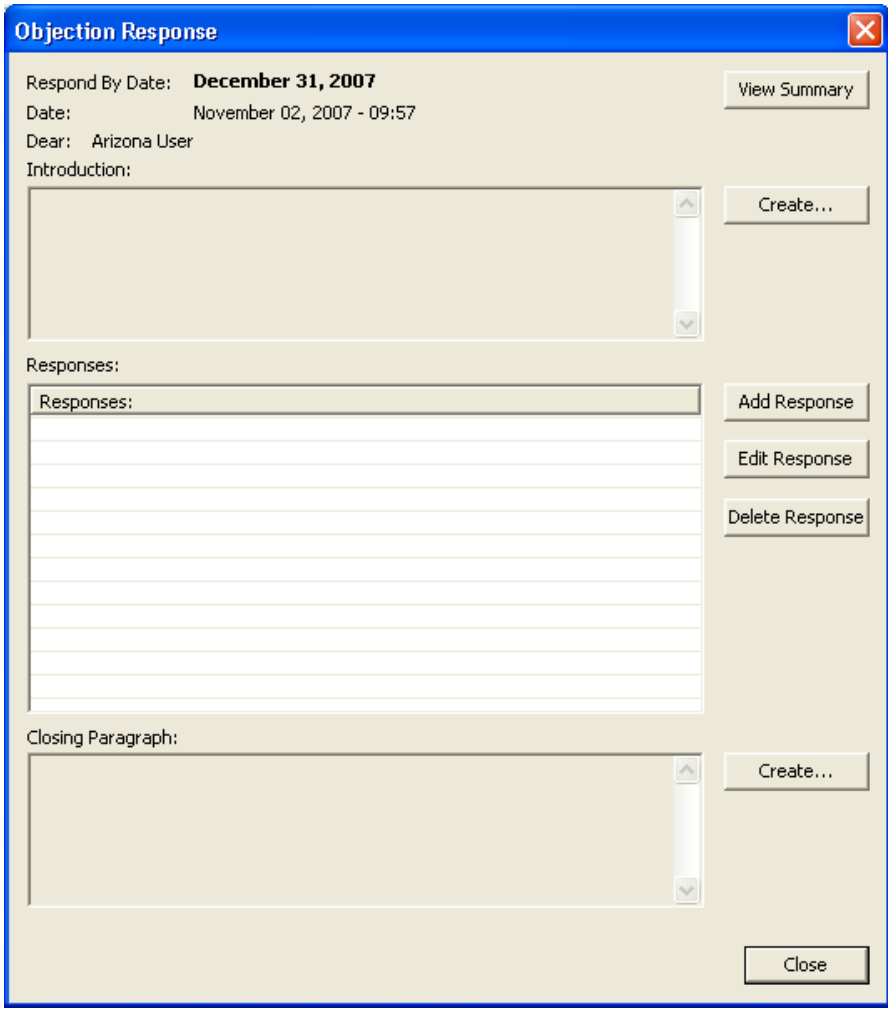
Complete the following procedure to create an Objection Response.

Method: Create an Objection Response

1. Within the filing that contains the objection letter you want to respond to, 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 284.*)*
4. Click the **Create Response** button.

   The **Objection Response** screen opens.



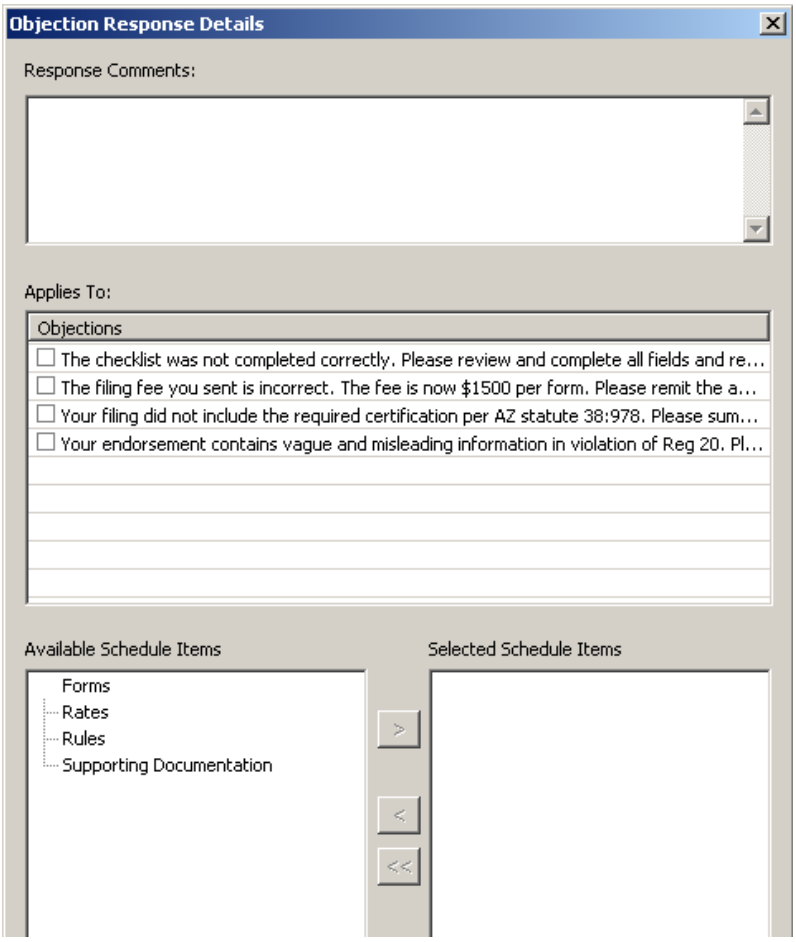
The **Respond By Date**, the current **Date** and time, and the name of the primary reviewer are automatically populated.

5. Click the **Create** button (or **Edit** button 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.

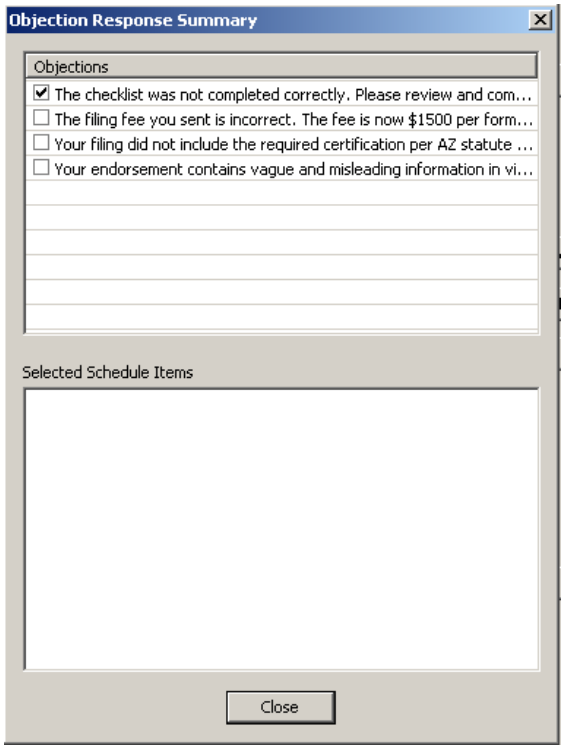
14. When you are done entering all your objection responses, click **OK**.

    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.
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 286.)

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**.
3. Select the **Move to Filing package** check box.
4. 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.
5. 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

Notes:

After submitting an Objection Response:

- the SERFF status of the filing changes to *Pending State Action*
- 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 sub-tab 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. Open a filing and click the **SERFF** tab.
2. Click the **Correspondence** subtab.
3. Double-click an entry with a **Correspondence Type** of **Disposition Report**.

   The report opens.
4. 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."

Working with Closed Filings

For a filing that has a SERFF status of Closed, you can send a Note to Reviewer or receive a Note to Filer.

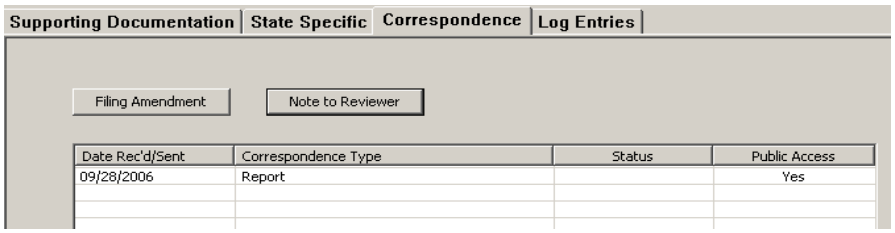
Sending a Note to Reviewer

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

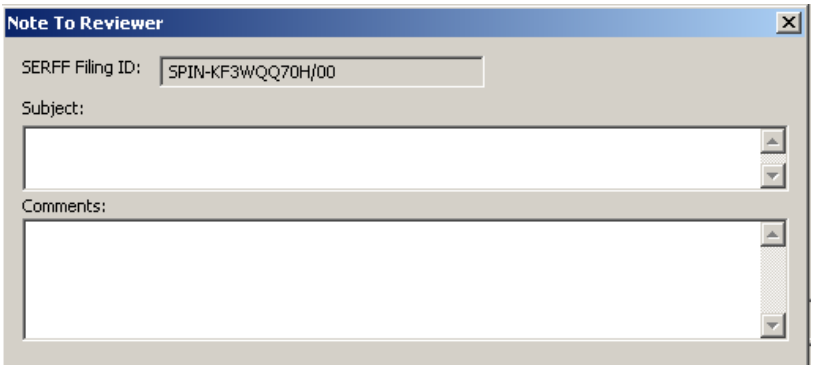
Method: Create a Note to Reviewer on a closed filing

1. Within a filing, click the **SERFF** tab.
2. Click the **Correspondence** subtab.



3. Click **Note to Reviewer**.

   The **Note to Reviewer** dialog box opens.



4. Complete the **Subject** field.
5. Complete the **Comments** field with the information that you want to send to the state.

6. Click **OK** to save your changes.

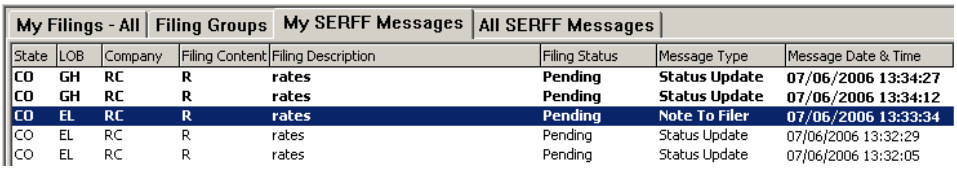
   The Note to Reviewer is added to the list of **Correspondence** with a **Status** of **Draft**.

7. To submit the Note to Reviewer, see *Submitting Notes to Reviewers* on page 274.

Receiving a Note to Filer

For a filing that has a SERFF status of Closed, you can still 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 268
- *Managing Messages in the Message Center* on page 268

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 179 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* on page 298
- *Filing Letter Comments* on page 300
- *Creating Letters* on page 302

Available Letter Types

The following types of filing letter are described:

- *Long Filing Letter* on page 298
- *Alternate Long Filing Letter* on page 298
- *Short Filing Letter* on page 298
- *Follow-Up Filing Letter* on page 298
- *Correspondence Letter* on page 298
- *Withdrawal Letter* on page 298
- *Objection Letter* on page 299

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. For more information, see *Viewing Objection Letters* on page 284.

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.

- **Advertisement Comments**

  Use this comment to include any pertinent information on the advertisements for 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**

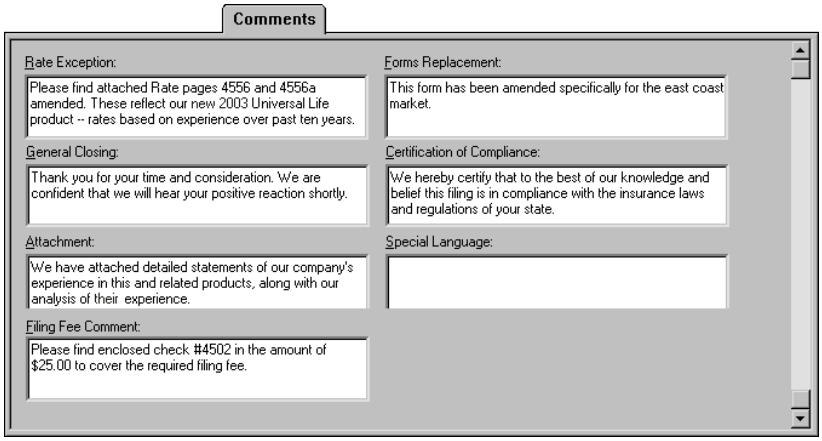
  Use this comment section to list any attachments that are being included with this filing, such as special exhibits, actuarial displays, filing memorandums, and so on

- **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 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 179 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 179 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.

At the Filing Level:

1. Click the **Perform Activity** toolbar button to open the **Activity List** box.
2. Select the **Generate Letter** activity (or another of the letter-generating activities; see *Standard Tracker Activities* on page 196 for details).
3. Click **Perform** to open the related new Perform Activity dialog box.
4. 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.

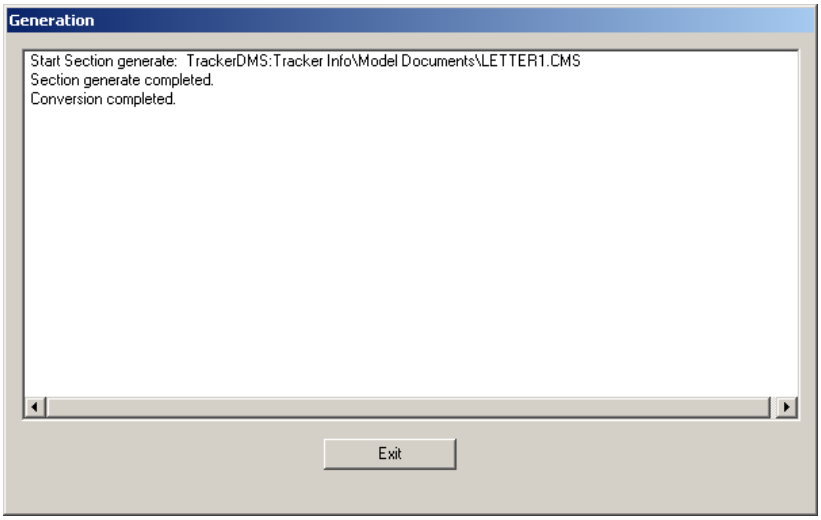
     If you check the **Draft** checkbox, the letter will be generated, but will not be saved for future viewing in the activity record.

     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.

5. Click **Perform**. The filing letter is generated. During the generation process, a Document Generation window appears, tracking the generation in progress.



6. 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.

7. If it is open, close the Microsoft Word document window.

8. 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 Legislation

This chapter introduces you to the Tracker legislation tracking function, and describes how to enter new legislation into the system, and how to work with them to create filings and monitor your filing processes.

This chapter describes:

- *Legislation* on page 306
- *The Main Legislation List Screen* on page 307
- *The Legislation Tab* on page 311
- *The Legislation Details Tab* on page 313
- *The Links Tab* on page 314
- *The Filing References Tab* on page 315
- *The Activities Tab — Legislation Level* on page 318

Legislation

In Tracker, the term **legislation** 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).

Legislation Reports

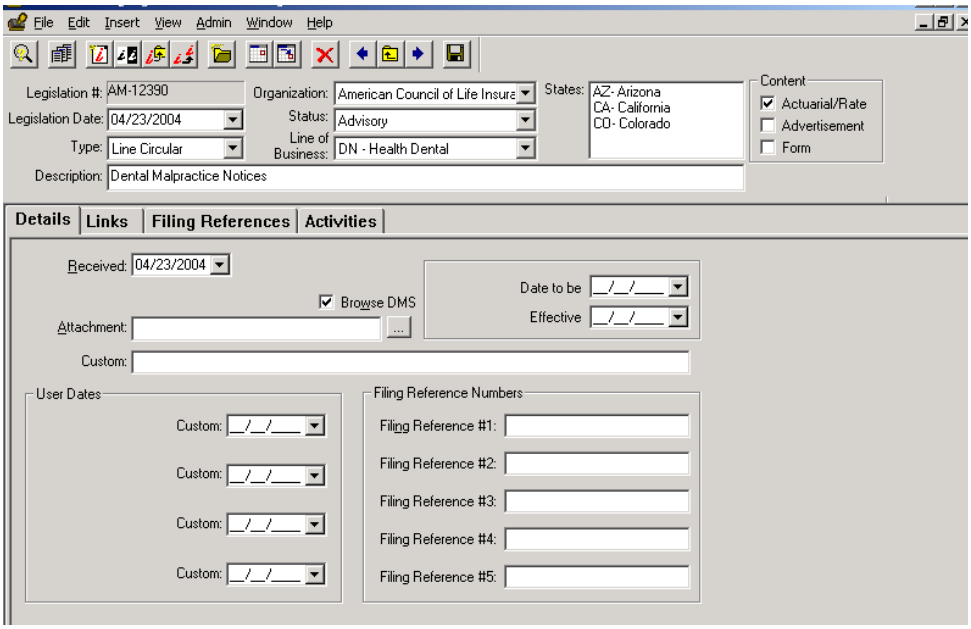
There are two standard reports in Tracker which you can use to better keep track of the legislation in your system: the **Legislation Details Report** under the **Status** tab, and the **Legislation Summary Repor**t under the **Historical** tab. For more information on using the Tracker reports functions, please see *Searching and Reporting* on page 363.

The Main Legislation List Screen

The **Main Legislation List Screen** is your access point to all the legislation currently in your Tracker system. This screen is composed of two main elements: a Legislation tab listing all the legislation in the system, and a legislation header.

When a legislation record listed on the **Legislation** tab is selected or highlighted, basic information relevant to that legislation appears in the upper field header. This provides you with a quick method of browsing through and viewing information pertaining to the legislation in your system.

From the **Main Legislation List Screen**, you can access detailed information about any single legislation record in the system by double-clicking on that legislation on the **Legislation** tab.



The Suspended Button

On each Filing Group Level, and the **Legislation** Main List Level, 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.

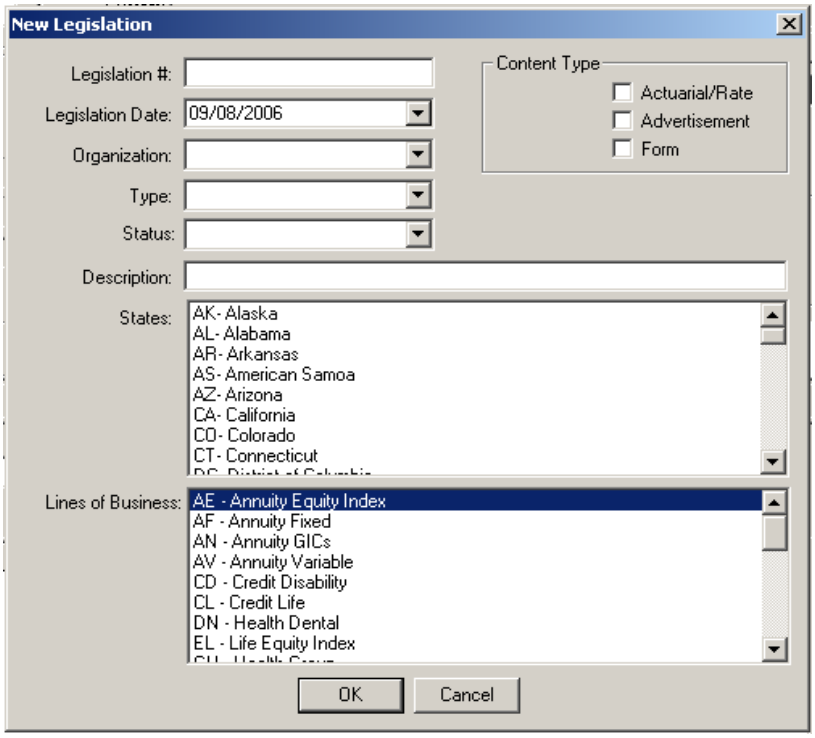
The **Suspended** button is activated if it is depressed (so that it appear to be "pushed in"). It can be activated or inactivated by clicking on it with your mouse (one click, another click off). When you log in to Tracker, or access the filing group or **Legislation** sections of the system, the **Suspended** 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.

Accessing the Main Legislation List Screen

1. Select the **View** menu.
2. Select the **View Legislation** option.

Method: Add a New Legislation Record

1. Select the **Insert** menu or click the Legislation button on the Tracker toolbar.
2. Select the **New Legislation** option to open the New **Legislation** dialog box.



3. On the New **Legislation** dialog box, enter the following information:
   - The **Legislation Number**
   - The **Legislation Date** (the date on which the legislation was issued)
   - The **Organization** that issued the legislation
   - The filing **Content Type** to which the legislation applies (Actuarial/ Rate, Advertisement, or Form)
   - The **Type** of legislation (Advanced Law, Premium Comparison, Statistical Plan)
   - The **Status** of the legislation (Administrative, Advisory, Approved, Filed, To Be Effective)

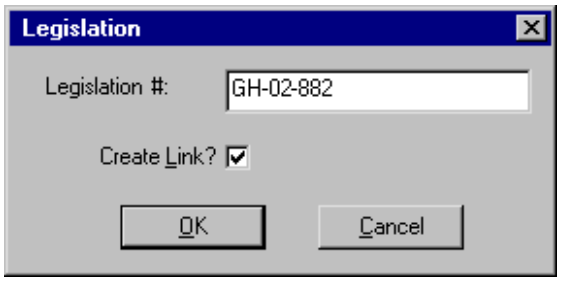
- The **Line of Business** to which the legislation applies
- A brief **Description** of the legislation
- The **State(s)** for which the legislation applies. Note that the **States** field allows the selection of multiple states.

4. When you are satisfied with all the information displayed, click **OK**. The new legislation will be added to your **Legislation** List tab, and a related **Legislation** Details record will now be available.

Adding a New Version (Copy) of an Old Legislation

Often a piece of legislation will be sent that simply updates or revises existing legislation. Tracker allows you to update and link series of legislation records quickly and easily using the Copy **Legislation** function. The information from the old legislation record is copied to a new legislation record under the new legislation 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.

1. On the old **Legislation Detail** screen, select the **Insert** menu.
2. Select the **Copy Legislation** option to open the Copy **Legislation** dialog box.

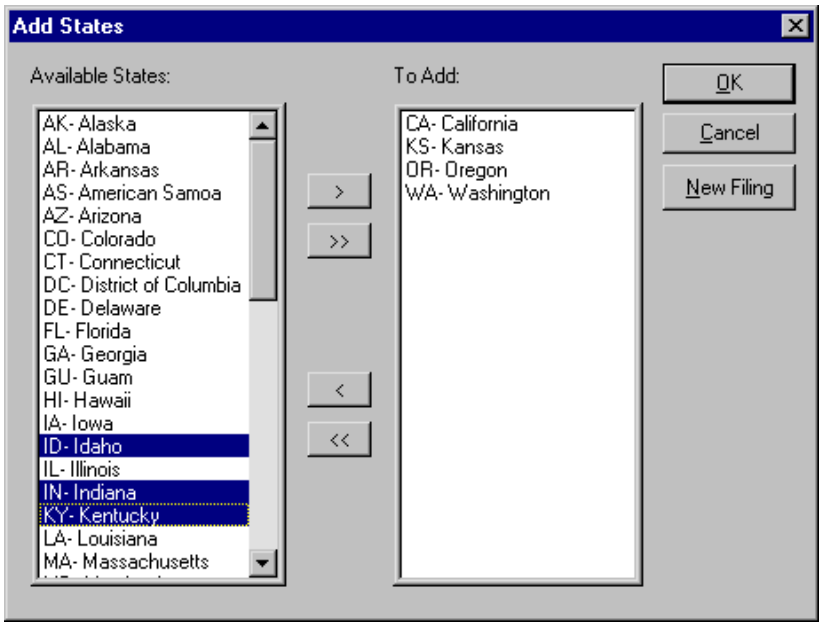


3. Enter the **Legislation Number** of the new legislation.
4. Check the **Create Link?** check box to create a link between the old legislation and the new one. The new legislation will be linked to the old one and will also carry any additional links or filing references that the old legislation did.
5. Click **OK**.

   The new **Legislation Details** screen opens.
6. Make any changes to the information on the new **Legislation** Details record, as required, and click **Save** to save the new record.

Adding/Removing States for an Existing Legislation

1. On the **Legislation Details** main screen, select the **Insert** menu.
2. Select the **Edit States** option to open the Add States dialog box.



3. From the **Available States** list field, select the states which you want to add to this legislation, 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 legislation, using the directional move buttons.

4. Click **OK** to close the dialog box and save your changes.

The Legislation Tab

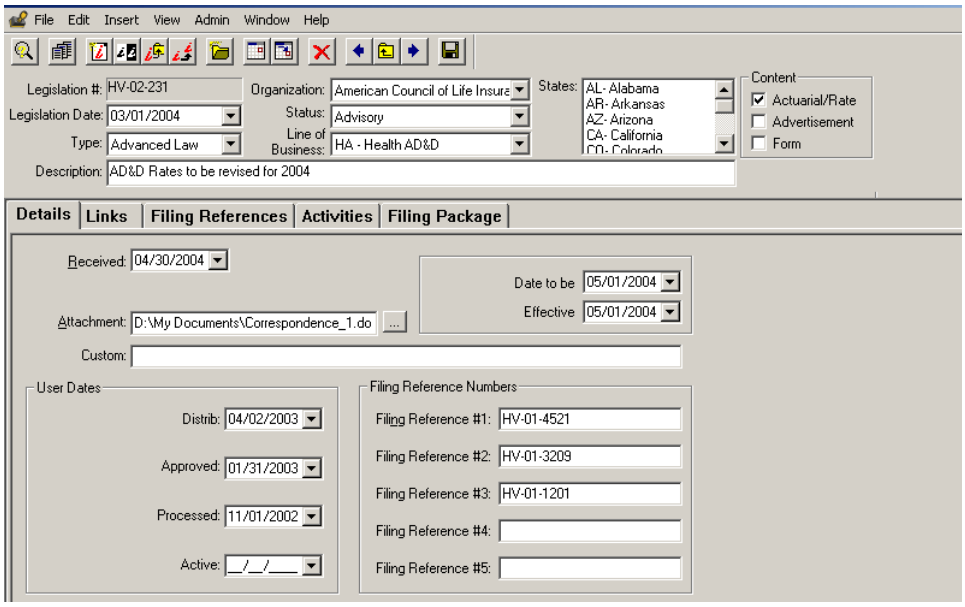
The **Legislation** tab provides a list of all legislation within your system. Highlighting a legislation record on the list allows you to view basic information about it in the display fields at the top of the Main **Legislation List Screen**. Double-clicking a legislation record in the list opens the **Legislation Details Main** screen for that particular legislation.

Accessing a Single Legislation Details Record

- On the **Legislation List** tab, select the legislation record you want to view and double-click it to open the related **Legislation Details** screen.

The Legislation Details Main Screen

There is a **Legislation Details** main screen for every legislation record in your Tracker system. Each of these **Details** main screens have four tab screens containing basic Details, a list of **Legislation Links** (linking this legislation to other previous, legislation in Tracker), a list of Filing References (linking this legislation to its resultant filings), and a list of Activities performed in relation to this particular legislation record.



Accessing the Legislation Details Main Screen

The **Legislation Details** main screen for a particular legislation can be accessed through the **Legislation** List tab on the **Legislation** main screen (as described below), or through a legislation search.

- On the **Legislation** List tab select the **Legislation** Record you want to view and double-click it to open the related **Legislation** Details screen.

Browsing through the Legislation Details Records

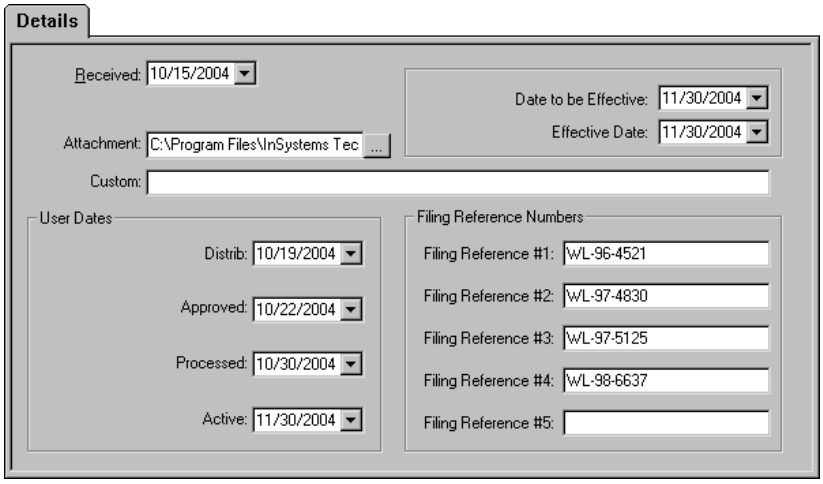
You can browse through the existing **Legislation** Details Records in the system by going to any one record and going back and forward through the records using the **Back** and **Forward** buttons.

From any **Legislation** Details Record:

1. Click the **Back** button ; the previous **Legislation** Details Record will be displayed.
2. Click the **Forward** button ; the next **Legislation** Details Record will be displayed.

The Legislation Details Tab

The **Legislation Details** tab contains fields where detailed information regarding the legislation can be stored.



Entering and Editing Legislation Detail Information

The following information can be added or changed at any time following the creation of the legislation record:

- The **Received Date** indicating the date on which your company received the legislation.
- An **Attachment** pertinent to the legislation (such as an electronic version of the actual legislation). 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 **Date to be Effective** (the proposed effective date) for the contents of the legislation.
- The **Effective Date** (the actual effective date) for the contents of the legislation.
- Four custom **User Date** fields, which can be customized to suit the needs of your company. See *Defining and Editing Custom Field Labels* on page 83 for details.
- Five **Filing Reference Numbers**.

Note: Click the **Save** button when you have finished adding or editing the legislation detail information to ensure that your information is saved.

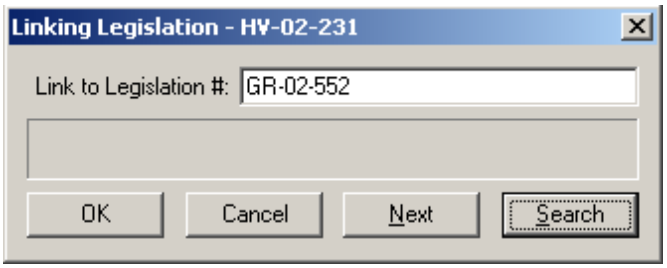
The Links Tab

The Links tab lists legislation records which have been linked to the current legislation. Legislation records are generally linked if they are strongly related, have a bearing on one another, or are parts of a series of legislation records (a new legislation which replaces an old one would be linked to its predecessor).

Adding a Legislation Link

To create a link between the current legislation record and another legislation record in the system:

1. From the **Legislation** Details screen, select the **Insert** menu.
2. Select the **Add New Link** option to open the Link **Legislation** dialog box.



3. In the **Link to Legislation #** field, enter the legislation number of the legislation to which you want to link, or click **Search** to search for the desired legislation number in the system.
4. Click **Next** to open a new **Link Legislation** dialog box if you want to link another legislation to the current one,

   – OR –

5. Click **OK** to finish.

   All specified links will be created and the you will exit the dialog box.

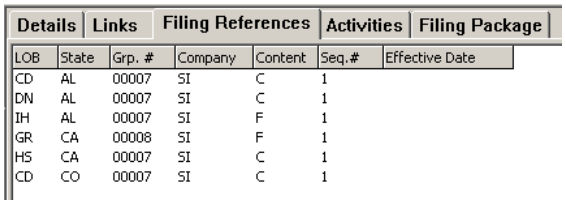
Accessing a Linked Legislation Detail Record

- On the **Legislation** Links tab, select the legislation you want to view and double-click it to open the related **Legislation Details** screen.

The Filing References Tab

The Filing References tab lists all of the filings which have been created from, or in reference to, this legislation. From here, you can access the filing details for each filing listed.

Note: Any filings which have been created directly from a legislation will automatically be listed on its **Filing References** tab.



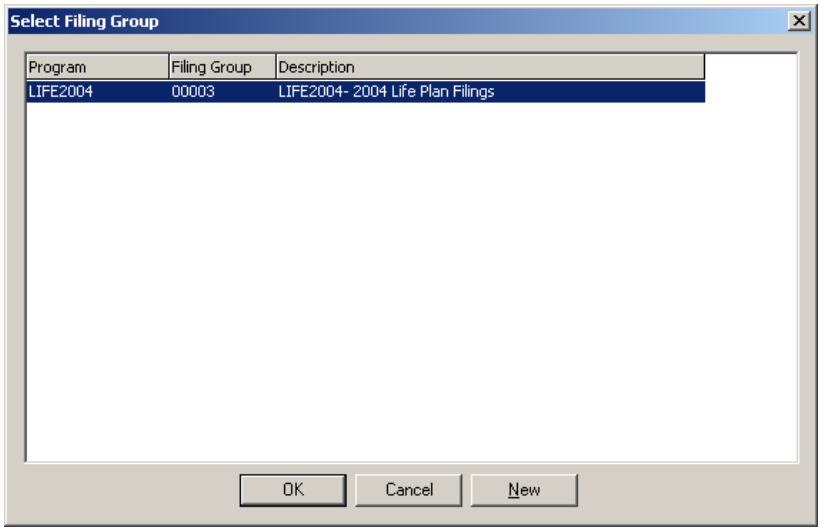
Accessing a Referenced Filing

- On the **Filing References** tab, select the filing you want to view and double-click it to open the related Filing Level.

Creating a New Filing from a Legislation Record

You can create a new filing or filings directly from within a **Legislation** Details record. When a filing is created this way, Tracker automatically adds that filing to the legislation's Filing References tab, and adds the legislation record to the new filing's **Legislation** tab.

1. From a **Legislation** Details screen, click the **New Filing(s)** button to open the **Select Filing Group** dialog box.

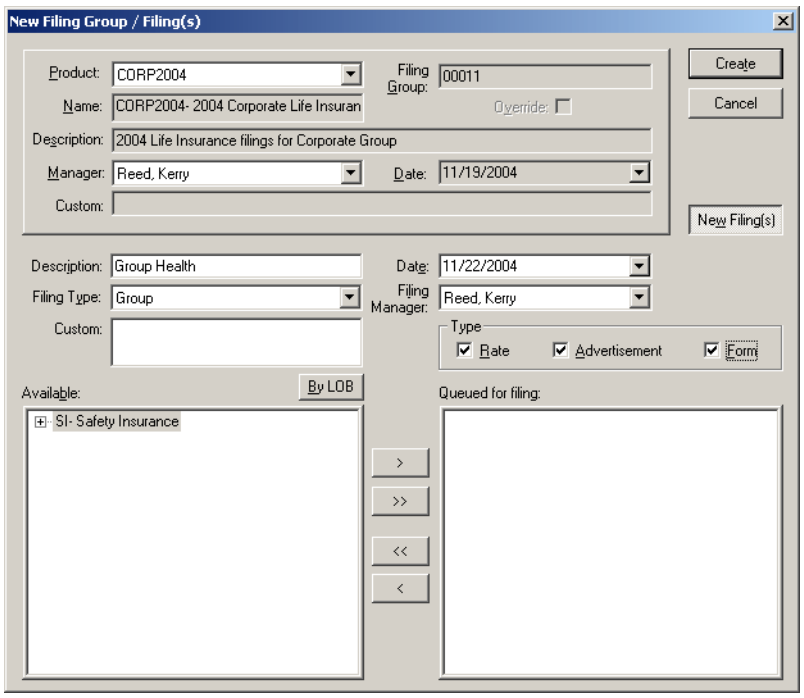


2. Select an existing filing group from the list, and click **OK** to open the New Filing(s) dialog box. Go to step 7.

   – OR –

To create a new filing group, click **New** to open the New Filing Group dialog box.

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. Press the **New Filing(s)** button to open the **New Filing(s)** dialog box.



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 legislation 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.

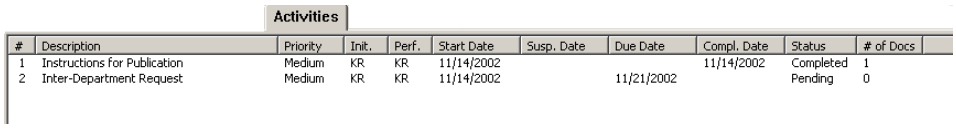
10. When you are satisfied with all the information displayed, click **Create**. A status box will open to display the filing creation process as it progresses; when the status box indicates that the process is done, click **Close**. The newly created filing(s) appear in the **Filing Reference** tab of the legislation from which they were created, and the information for the legislation appears in the related filing(s)' **Legislation** tab.

The Activities Tab — Legislation Level

In the Tracker system, an activity is any action related to or performed upon a filing group, filing, or legislation 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 legislation 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 193.

The Legislation level **Activities** tab lists all activities that have been performed upon (or are pending performance upon) this legislation record. From this tab you can access the activity details for any of the activities listed.



Chapter 11

Working With Filing Profiles

This chapter describes how to work with filing profiles sent from Launcher into Tracker.

This chapter contains information about:

- *Understanding Filing Profiles* on page 320
- *Viewing the Lists of Filing Profiles* on page 321
- *Viewing and Editing Filing Profiles in Tracker* on page 323
- *Accepting, Suspending, or Rejecting Filing Profiles* on page 340

Note: For information about how to create a project in Launcher, see the *Launcher User Guide* and *Launcher Online Help*.

Understanding Filing Profiles

Filing profiles involve Tracker and Launcher, a separate application. Launcher is a collaborative product development application available separately from Skywire Software.

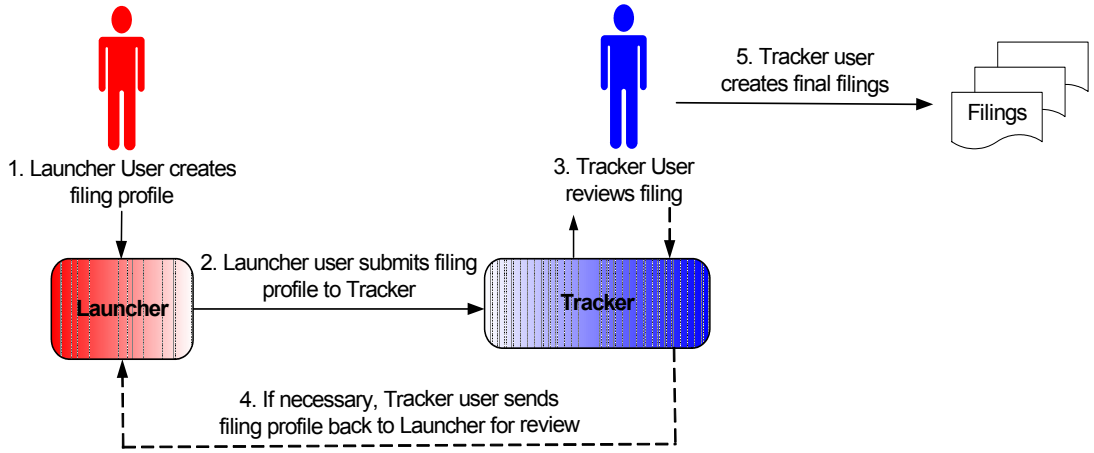
Filing profiles are used to pass attachments (forms, rates, advertising, and other supporting documentation) from Launcher into Tracker and then initiate one or more filings in Tracker.

Using Launcher and filing profiles is faster and easier than using Tracker to manually enter the required filing information and add the attachments. Instead, filings are already automatically set up when the filing profile is accepted in Tracker.

Filing profiles are listed in the **My Profiles** and **All Profiles** tabs: see *Viewing the Lists of Filing Profiles* on page 321.

Overview of the Filing Profile Process

The following diagram gives an overview of filing profile process in Tracker and Launcher:



1. An Launcher user creates a new filing profile in an Launcher project.
2. The Launcher user submits the filing profile to Tracker.
3. A Tracker user reviews the filing profile information, making any necessary changes.
4. If the Tracker user thinks the filing profile contains problems, the user can reject the filing profile and sent back to Launcher for further review and changes. The Launcher user then sends the filing profile back to Tracker.

   Steps 2 through 4 repeat until all the filing profile issues have been resolved.
5. Once the filing profile is ready, and after all the required filing profile information has been completed, the filing profile can be accepted, and the final filing information can be entered.

Viewing the Lists of Filing Profiles

Note: You can view and work with filing profiles only if you have been given the required permission by your Tracker Administrator.

The **My Profiles** and **All Profiles** tabs list all the active filing profiles that have been sent from Launcher into the filing queue in Tracker.

Note that:

- the **My Profiles** tab displays only the filing profiles that you are associated with
- the **All Profiles** tab displays *all* the filing profiles in the system

You can view any filing profile using these two tabs.

Method: View the lists of filing profiles

---

1. Log in to Tracker.

   The **My Profiles** and **All Profiles** tabs appear at the top level.

2. To view a list of all of the submitted filing profiles affiliated with your user profile, click the **My Profiles** tab.
3. To view a list of *all* the submitted filing profiles in the system, click the **All Profiles** tab.

Tip: You can use the drop-down menu to **View All** the profiles or view only the **Unassigned and Outstanding** profiles.

Note: If several minutes have passed after you have displayed the **My Profiles** or **All Profiles** tab, click the refresh button to ensure that you are viewing the current list of filings.

Note that on both the **My Profiles** and **All Profiles** screens:

- the number of **New, Suspended**, **Outstanding**, and **Unassigned** profiles are displayed at the top of each screen
- filing profiles are listed in reverse chronological order, with the newest filing profiles listed first
- new and unviewed filing profiles are displayed in **bold**

- after you view a filing profile, it is no longer displayed in bold, except if your security access level is only **View Filing Profiles**, in which case the filing profile remains bold even after you view it

Related Topics

- *Fields on My Profiles and All Profiles Tabs* on page 322
- *New Filing Profile Notification* on page 322
- *Viewing and Editing Filing Profiles in Tracker* on page 323
- *Understanding Filing Profiles* on page 320
- *Accepting, Suspending, or Rejecting Filing Profiles* on page 340

Fields on My Profiles and All Profiles Tabs

The following fields appear on the **My Profiles** and **All Profiles** screens:

- **Date Received** – the date and time the profile arrived into Tracker from Launcher
- the **Type** of filing profile – this can be **I** (**I**nitial) or **N** (**N**ew); for details, see *Filing Profile Types* on page 324
- the **Filing Description** from Launcher – to see the entire description displayed as a tooltip, place your cursor over this field
- the most recent **Comments** entry from Launcher for the filing profile – to see the entire comment displayed as a tooltip, place your cursor over this field
- the **Status** of the filing profile: **New, Suspended, Outstanding** or **Unassigned**

New Filing Profile Notification

If Tracker receives a new profile from Launcher for any user, the filing profile icon changes to:

If you click this button, the icon reverts back to the "No new profile(s) in queue" icon.

Method: View new filing profiles

- Click the **My Profiles** tab. If you were already viewing this tab, click the refresh button to ensure that all filing profiles are displayed.

  Any recently arrived filing profiles that are affiliated with you will be displayed.

Viewing and Editing Filing Profiles in Tracker

If you have been given the required permission by your Tracker Administrator, you can accept, reject and suspend filing profiles. Otherwise, you can only view filing profiles.

Please note:

- There are two types of filing profiles: *New* and *Initial*. You can only edit certain fields in each type. For more information, see *Filing Profile Types* on page 324.
- Mandatory fields are indicated with an asterix (*). Ensure that you have completed these fields on all tabs and any secondary dialog boxes, otherwise you will not be able to save your work.

Viewing and editing filing profiles involves:

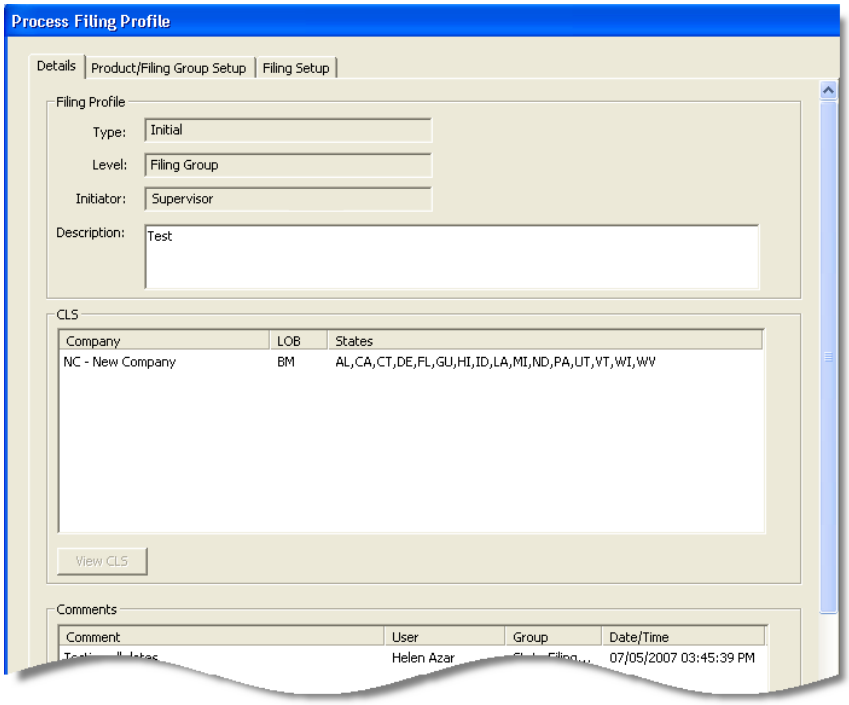
- *Viewing Filing Profile Details* on page 325
- *Viewing Companies, LOBs, and States on a Filing Profile* on page 326
- *Working with Filing Profile Comments* on page 328
- *Working with Product/Filing Group Information on a Filing Profile* on page 332
- *Working with Filings on a Filing Profile* on page 334

Related Topics

- *Viewing the Lists of Filing Profiles* on page 321
- *The Process Filing Profile Dialog Box* on page 323
- *Understanding Filing Profiles* on page 320
- *Accepting, Suspending, or Rejecting Filing Profiles* on page 340

The Process Filing Profile Dialog Box

When you open a filing profile, the **Process Filing Profile** dialog box is displayed. You use this dialog box to view or edit filing profile information.



The **Process Filing Profile** dialog box contains the following tabs:

- **Details**
- **Product/Filing Group Setup**
- **Filing Setup**

Related Topics

- *Viewing and Editing Filing Profiles in Tracker* on page 323
- *Understanding Filing Profiles* on page 320

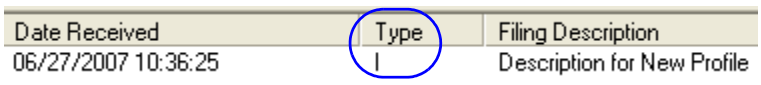
Filing Profile Types

There are two types of filing profiles: **I**nitial and **N**ew. You can edit more information in an Initial filing profile than a New one.

Initial Filing Profile Type (I)

An initial filing profile is the *first* filing profile that has been sent to Tracker from an Launcher project. Tracker has not yet accepted this profile for the project.

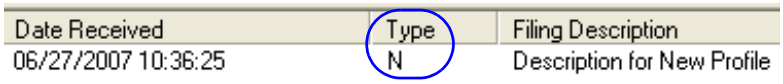
The letter **I** in the **Type** column on the **My Profiles** and **All Profiles** tabs indicates an **I**nitial filing profile.



New Filing Profile Type (N)

A New filing profile is any *subsequent* filing profile that has been sent to Tracker from an Launcher project. This project would already contain an initial filing profile.

The letter **N** in the **Type** column on the **My Profiles** and **All Profiles** indicates an **N**ew filing profile.



Viewing Filing Profile Details

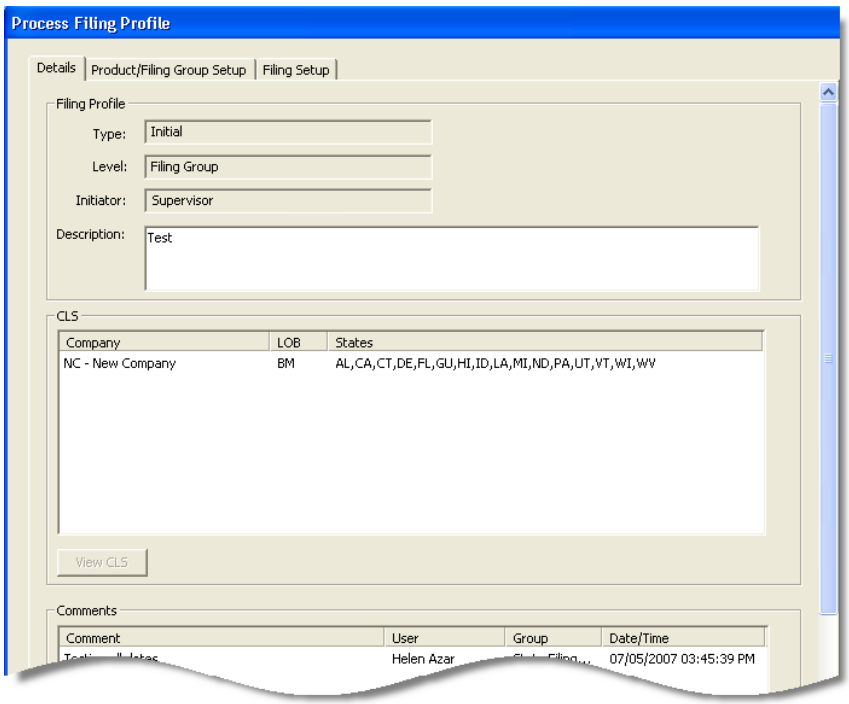
You can view (and in some cases, edit) filing profiles received from Launcher if you have been given the required permission by your Tracker Administrator.

While working with a filing profile, you can **Accept, Suspend**, or **Reject** it. For details, see *Accepting, Suspending, or Rejecting Filing Profiles* on page 340.

Method: View the details of a filing profile

1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



2. On the **Details** tab, in the **Filing Profile** section, the following fields are displayed:
   - **Type:** indicates whether this is an **Initial** or **New** filing profile**:** see *Filing Profile Types* on page 324 for details
   - **Level:** the level of the filing profile: this will be **Filing Group**
   - **Initiator:** the user in Launcher who initiated this filing profile
   - **Description:** a description of the filing profile

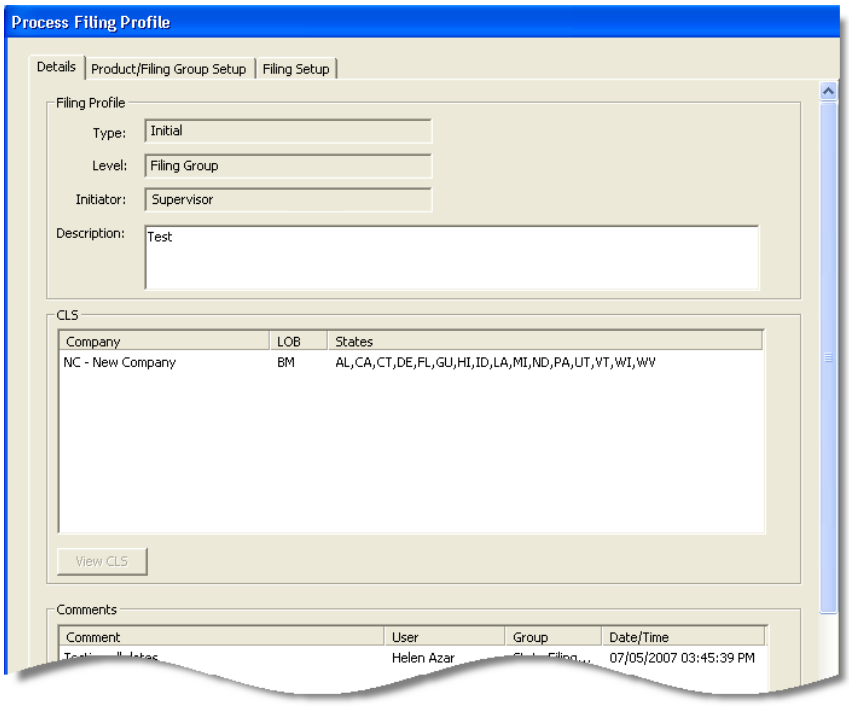
Viewing Companies, LOBs, and States on a Filing Profile

The **CLS** table on the **Details** tab of a filing profile lists combinations of **Company**, **LOB**s and **States** that apply to that filing profile. (CLS is a short form for Company, Line of Business, and States.)

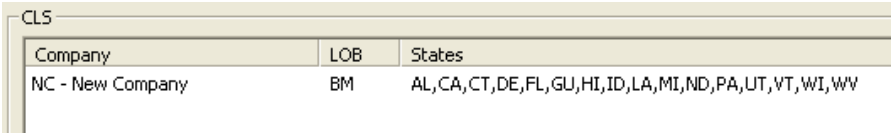
Method: View a CLS combination on a filing profile

1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



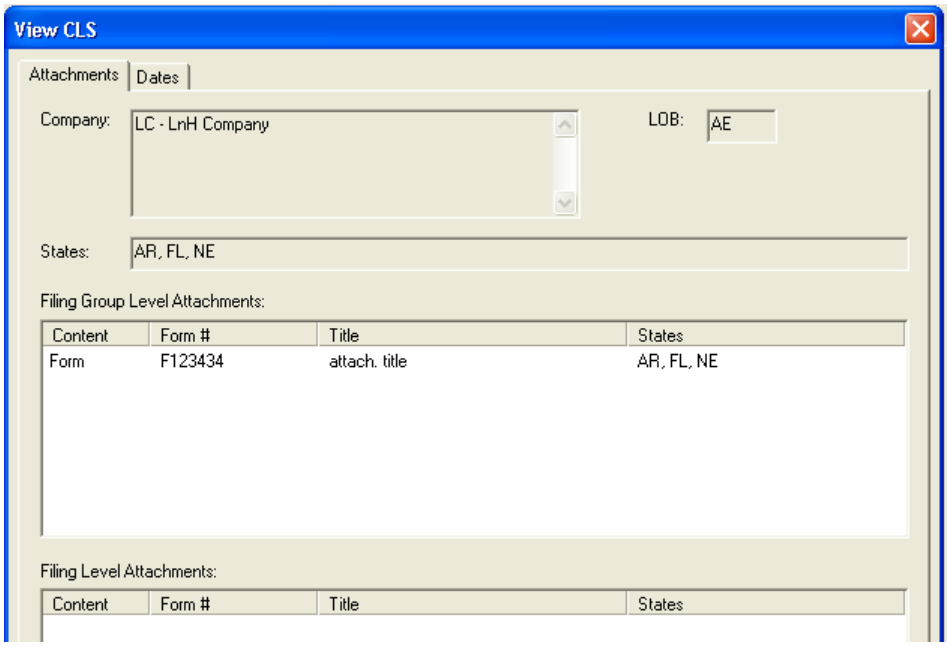
2. On the **Details** tab, in the **CLS** section, double-click a CLS combination in the table, or highlight a CLS then click **View CLS.**



The **View CLS** dialog box opens. This dialog box contains two tabs: **Attachments** and **Dates.**

CLS – Attachments Tab

The **Attachments** tab on the **View CLS** dialog box in a filing profile displays the **Company**, **LOB**, and **States**.

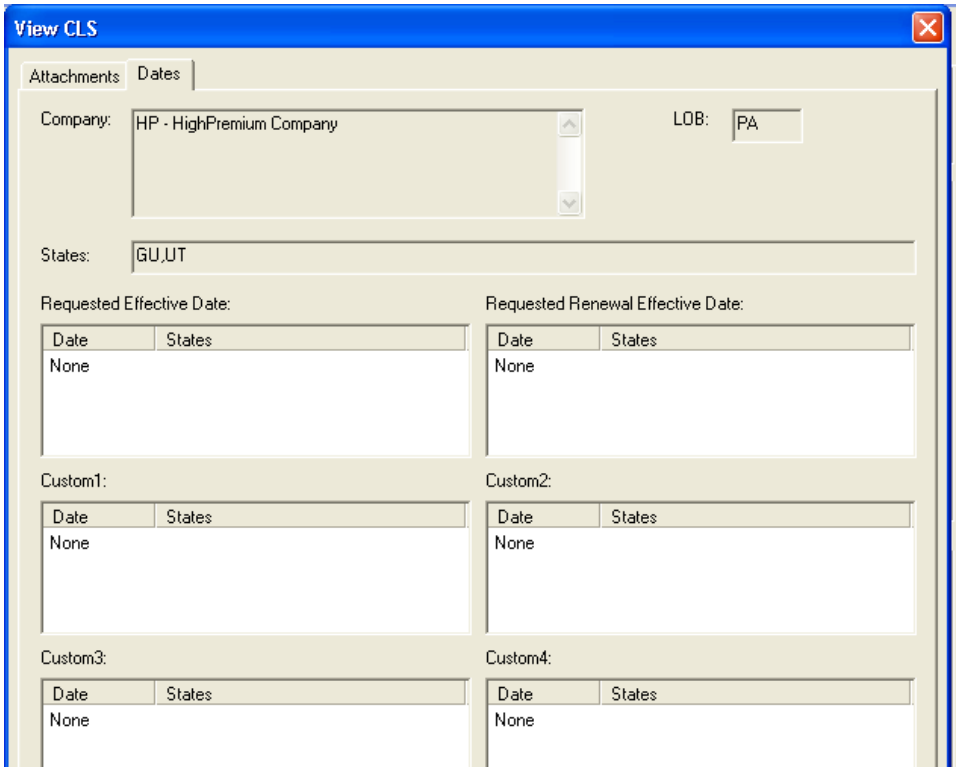


The **Attachments** tab also displays the following information for both **Filing Group Level Attachments** and **Filing Level Attachments**:

- **Content**
- **Form/Rate/Adv. Number**
- **Title**
- **States**

CLS – Dates Tab

The **Dates** tab on the **View CLS** dialog box in a filing profile displays the **Company**, **LOB**, and **States**.



The **Dates** tab also displays **Dates** and **States** for the following dates:

- **Implementation Date**
- **Custom Dates**

Working with Filing Profile Comments

You can work with filing profile comments if you have been given the required permission by your Tracker Administrator.

A filing profile comment can include the reasons why a filing profile was rejected in Tracker.

Working with filing profile comments involves:

- *Viewing Filing Profile Comments* on page 328
- *Adding Filing Profile Comments* on page 330

Viewing Filing Profile Comments

The **Comments** table on the **Details** tab of a filing profile displays a list of comments with the following information:

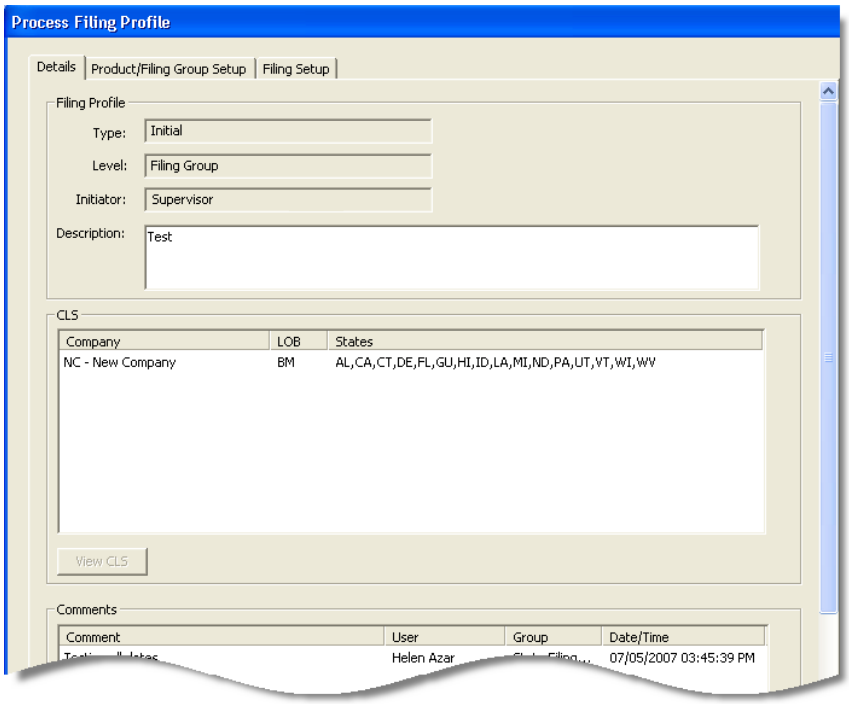
- the text of the **Comment**
- the **User** who created the comment
- the Launcher **Group** the user belongs to (if the comment was entered in Launcher)

- the **Date/Time** the comment was created

Method: View a filing profile comment

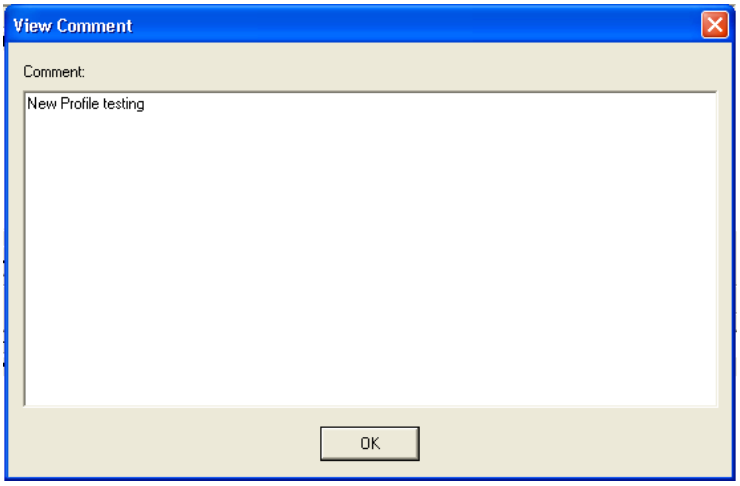
1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



2. Click the **Details** tab.
3. In the **Comments** section, double-click a comment. Alternatively, highlight a comment, then click **View Comment**.

   The comment is displayed. (You cannot edit this comment.)



4. When you are done viewing this comment, click **OK**.

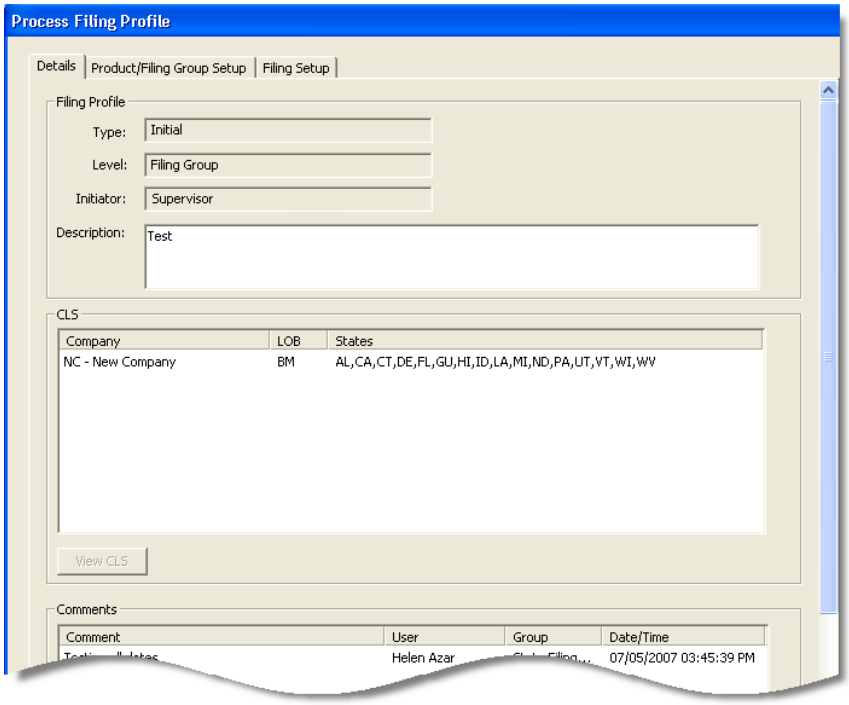
Adding Filing Profile Comments

You can a comment to a filing profile if you have been given the required permission by your Tracker Administrator.

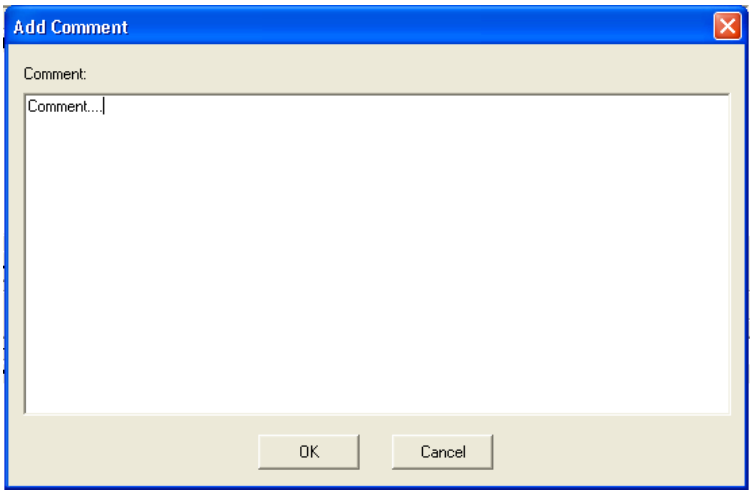
Method: Add a comment

1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



2. Click the **Details** tab.
3. Click **Add Comment**.
4. In the **Add Comment** dialog box, enter a comment. There is a 4,000 character maximum.



Important: Enter your comments carefully. You cannot change or delete your comments after you have entered them.

5. Click **OK** to save the comment, or click **Cancel** to discard your comments.

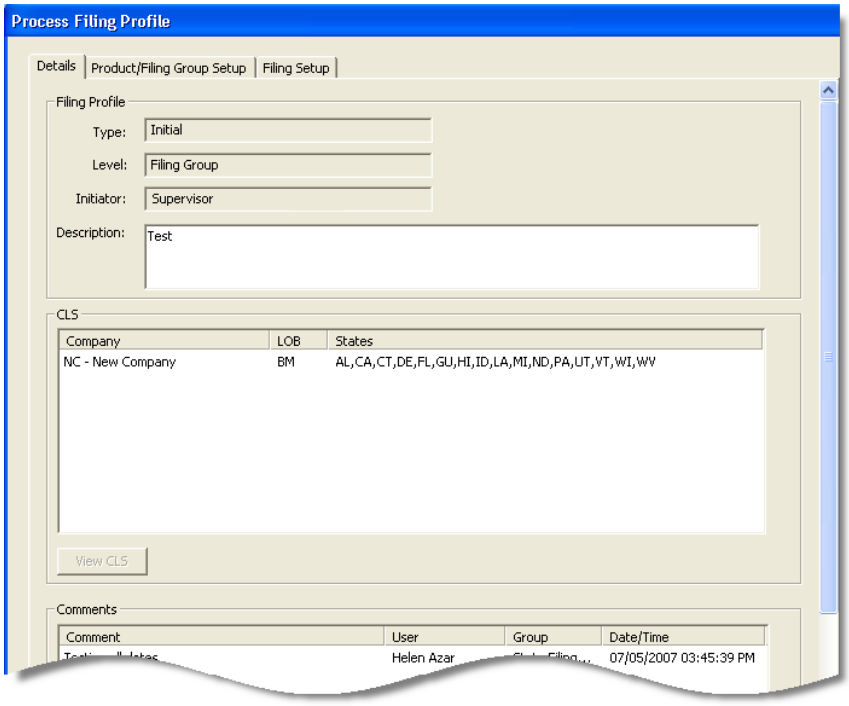
Working with Product/Filing Group Information on a Filing Profile

You can work with Product/Filing Group information if you have been given the required permission by your Tracker Administrator.

Method: Open the Product/Filing Group Setup dialog box

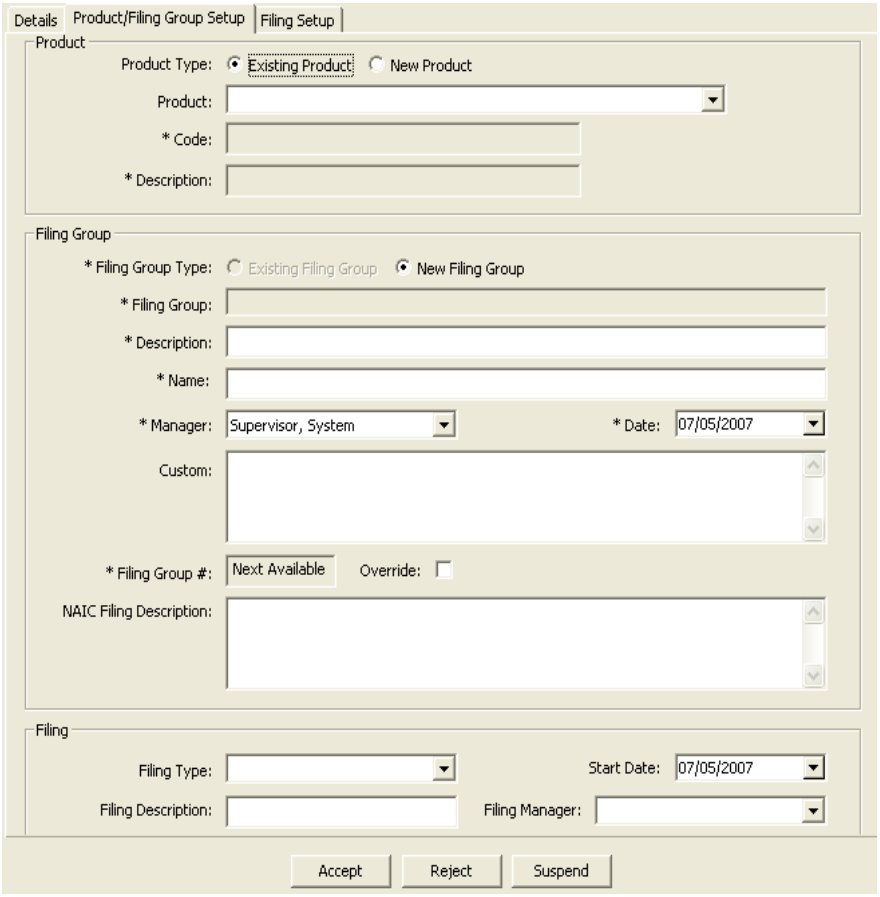
1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



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

   The **Product/Filing Group Setup** dialog box opens.



For field descriptions, see *Product/Filing Group Setup Fields*.

Product/Filing Group Setup Fields

The **Product/Filing Group Setup** contains the following sections:

- *Product Section* on page 333
- *Filing Group Section* on page 334
- *Filing Section* on page 334

Product Section

This **Product** section contains product information that applies to all the filings in this filing profile.

This **Product** section contains the following fields:

- the **Product Type** indicates whether this is an **Existing Product** or a **New Product**
- the name, **Code** and **Description** of the **Product**

Filing Group Section

The **Filing Group** section contains information that applies to the filing group in this filing profile.

The **Filing Group** section contains these fields:

- the **Filing Group Type** indicates whether this is an **Existing** or **New** filing group
- the **Filing Group** field contains the ID of the filing group
- the filing group **Description**, **Name**, **Manager**, and **Date**
- the **Custom** field that has been previously configured
- the **Filing Group # –** if the **Override** box is not selected, Tracker automatically assigns a **Filing Group #;** alternatively, you can select the **Override** box and enter a **Filing Group #** manually
- the **NAIC Filing Description –** the description entered here will be applied to all the filings in this filing group

Filing Section

The **Filing** section contains information that applies to all filings in this filing group.

The **Filing** section contains these fields:

- the **Filing Type**, **Filing Description, Start Date**, and **Filing Manager**
- the **Custom** field that has been previously configured
- the **Company Reference #**

Note: If you had previously entered values in the **Edit Filing** screen, and then try to change the values in the **Filing** section, or the **NAIC Filing Description** in the filing group section, you will be asked which values you want to keep. For details, see *Overriding Filing and Filing Group Values in a Filing Profile* on page 338.

Working with Filings on a Filing Profile

You can work with filings on a filing profile if you have been given the required permission by your Tracker Administrator.

Working with filings in a filing profile involves:

- *Viewing Filings on a Filing Profile* on page 334
- *Editing Filings on a Filing Profile* on page 337
- *Overriding Filing and Filing Group Values in a Filing Profile* on page 338

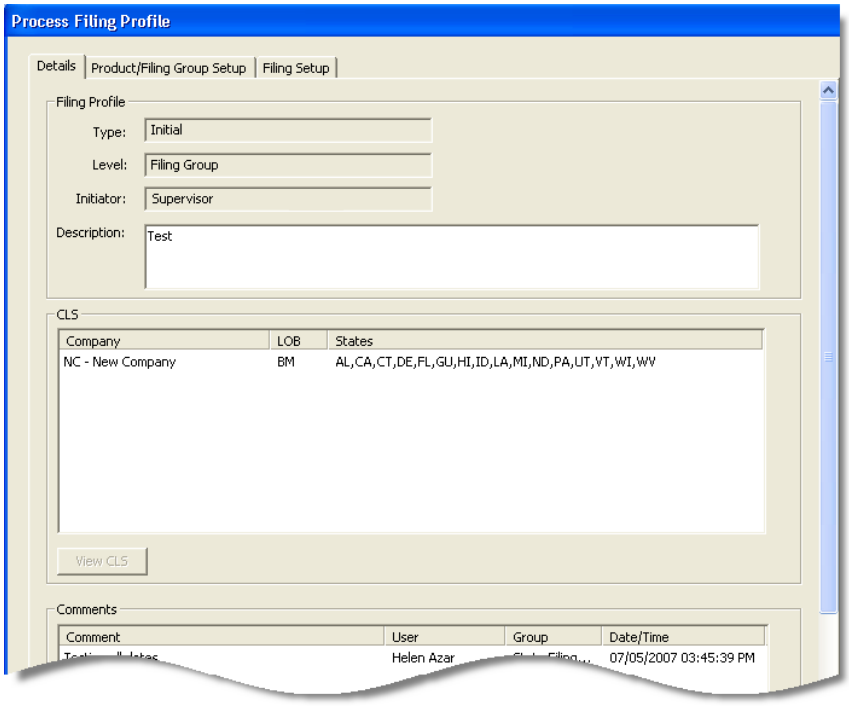
Viewing Filings on a Filing Profile

You can view detailed information about the filings on a filing profile.

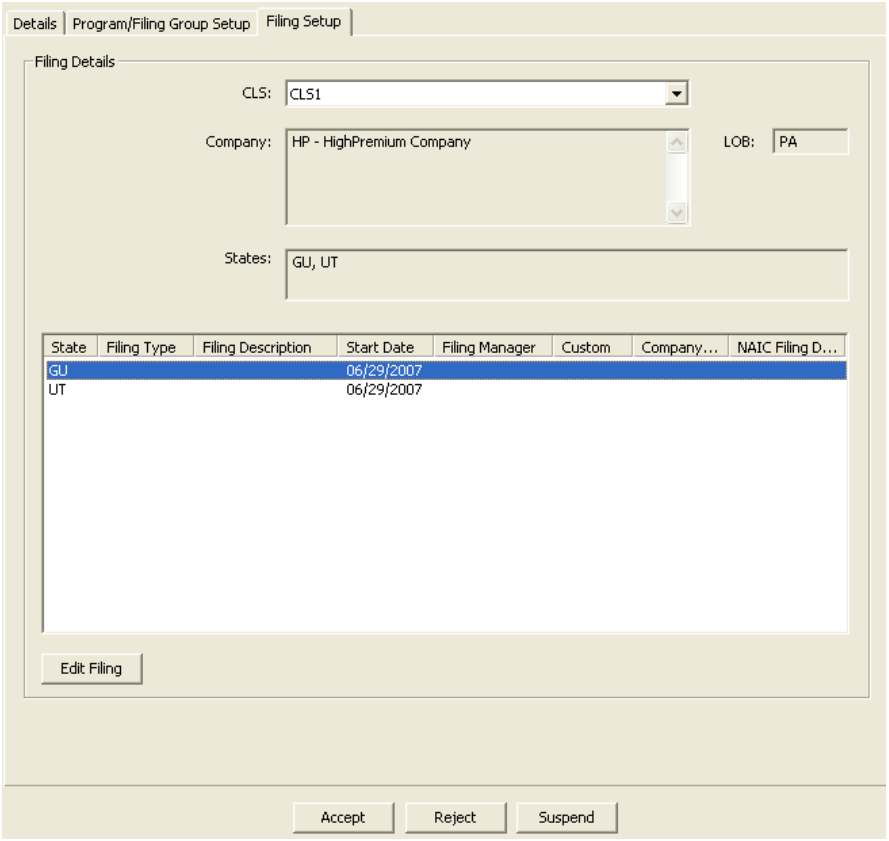
Method: View a filing in a filing profile

1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



2. Click the **Filing Setup** tab.



3. The **Filing Setup** dialog box contains the following fields:

   - **CLS**
   - **Company**
   - **LOB**
   - **States**

   A table displays the following information:

   - **State**
   - **Filing Type**
   - **Filing Description**
   - **Start Date**
   - **Filing Manager**
   - **Custom**
   - **Company Reference #**
   - **NAIC Filing Description**

Related Topics

- *Editing Filings on a Filing Profile* on page 337

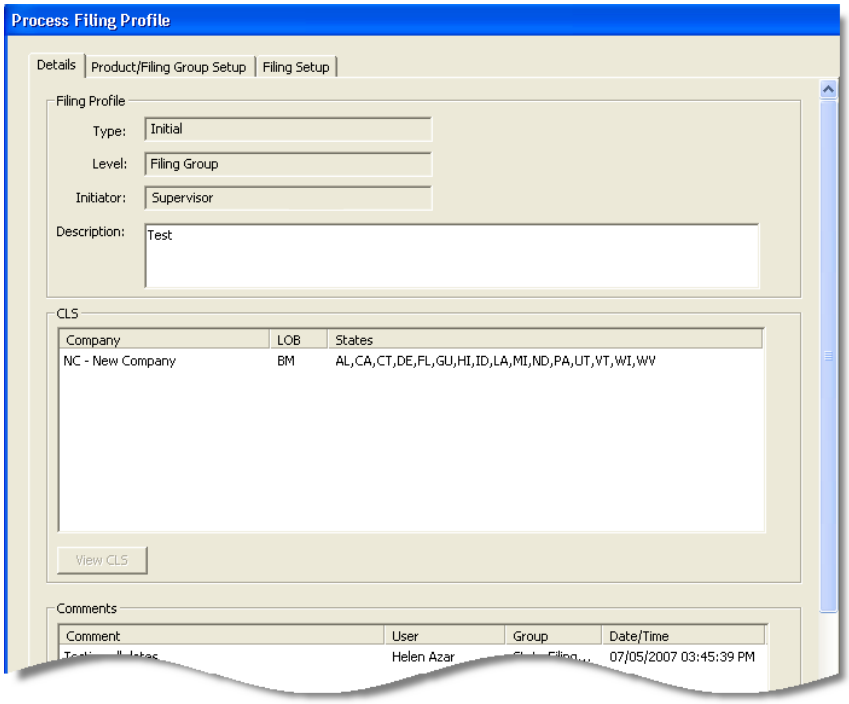
- *Overriding Filing and Filing Group Values in a Filing Profile* on page 338

Editing Filings on a Filing Profile

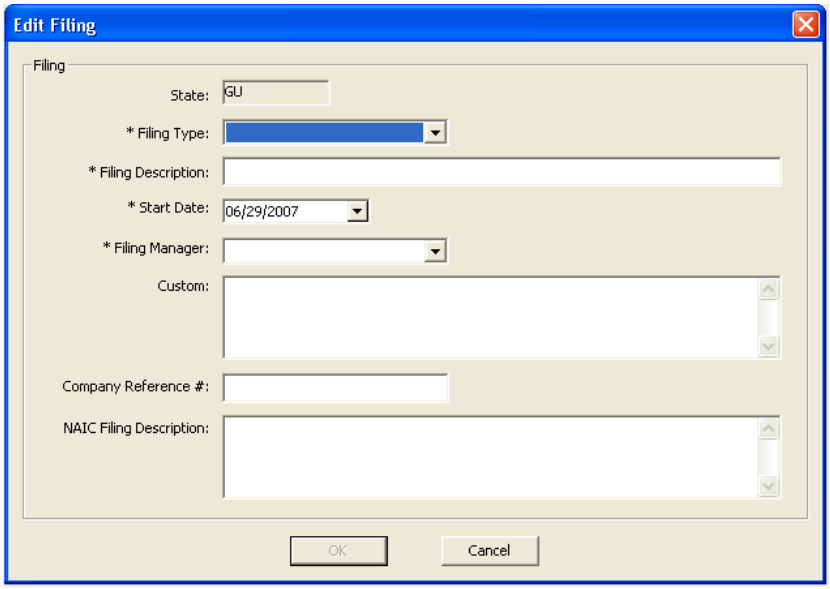
You can edit detailed information about the filings on a filing profile if you have been given the required permission by your Tracker Administrator.

1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



2. Click the **Filing Setup** tab.
3. Double-click a filing to open it. Alternatively, select a filing, then click **Edit Filing.**



4. In the **Edit Filing** screen, you can view or make any necessary changes to the following fields:
   - **State –** you cannot change this field
   - **Filing Type**
   - **Filing Description**
   - **Start Date**
   - **Filing Manager**
   - **Custom**
   - **Company Reference #**
   - **NAIC Filing Description**
5. To save your changes, click **OK**.
6. After completing all the required fields, you can click **Accept** to accept this filing profile into Tracker. For more information, see *Accepting Filing Profiles* on page 340.
7. A confirmation message appears indicating that the filing profile was successfully created or modified. You are asked where you want go next. Make a selection then click **OK**.

   You are taken to the location you selected.

Overriding Filing and Filing Group Values in a Filing Profile

You can edit the values for a *specific* filing using the **Edit Filing** screen. However if you do this, and then later return to the **Product/Filing Group Setup** tab, the following message will appear if you try to change a value in the **Filing** section:

> *Are you sure you want to overwrite previous selections made on the Filing Setup tab with your current selection?*

You have the following choices:

- click **Yes** to overwrite the *filing* value (entered on the **Edit Filing** screen) with the *filing group* value you just selected
- click **No** to keep the *filing* value (entered on the **Edit Filing** screen) and discard the *filing group* value you just selected

Accepting, Suspending, or Rejecting Filing Profiles

While working with a filing profile, you can **Accept, Suspend**, or **Reject** it.

This section describes:

- *Accepting Filing Profiles* on page 340
- *Suspending Filing Profiles in Tracker* on page 341
- *Rejecting Filing Profiles in Tracker* on page 342

Accepting Filing Profiles

You can only accept a filing profile in Tracker

- after entering all the required information as described in *Viewing and Editing Filing Profiles in Tracker* on page 323

  -and-

- if you have been given the required permission by your Tracker Administrator

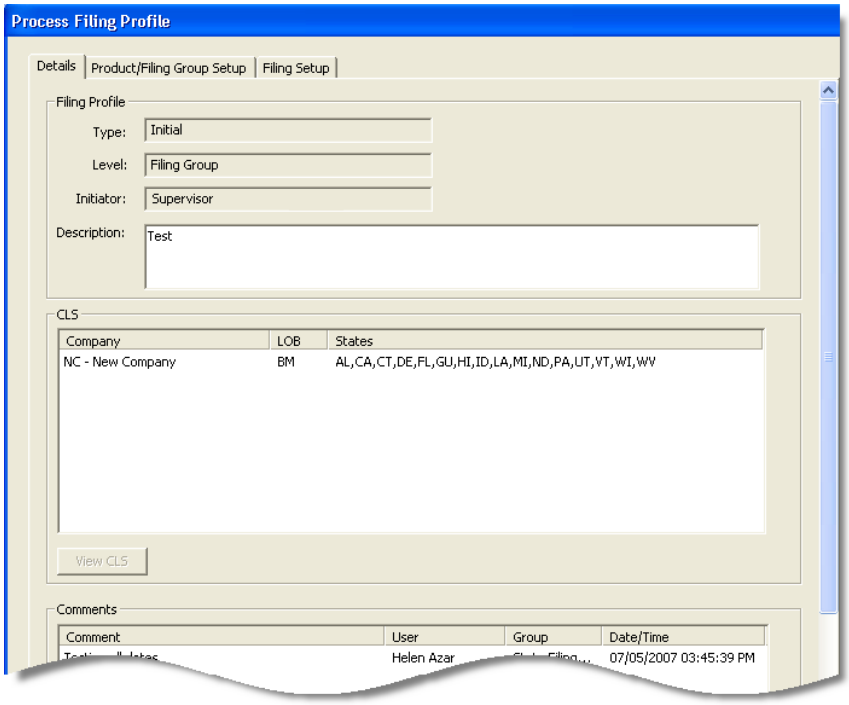
If you accept a filing profile, then the filing is created in Tracker, based on the data in the filing profile. You can continue to work with the filing as you work towards submitting it to the appropriate state DOIs.

Method: Accept a filing profile in Tracker

---

1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



2. Ensure you have completed all the required information as described in *Viewing and Editing Filing Profiles in Tracker* on page 323.

3. On the **Profile Processing Screen**, click **Accept**.

   Tracker creates the filings based on the filing profile.

Suspending Filing Profiles in Tracker

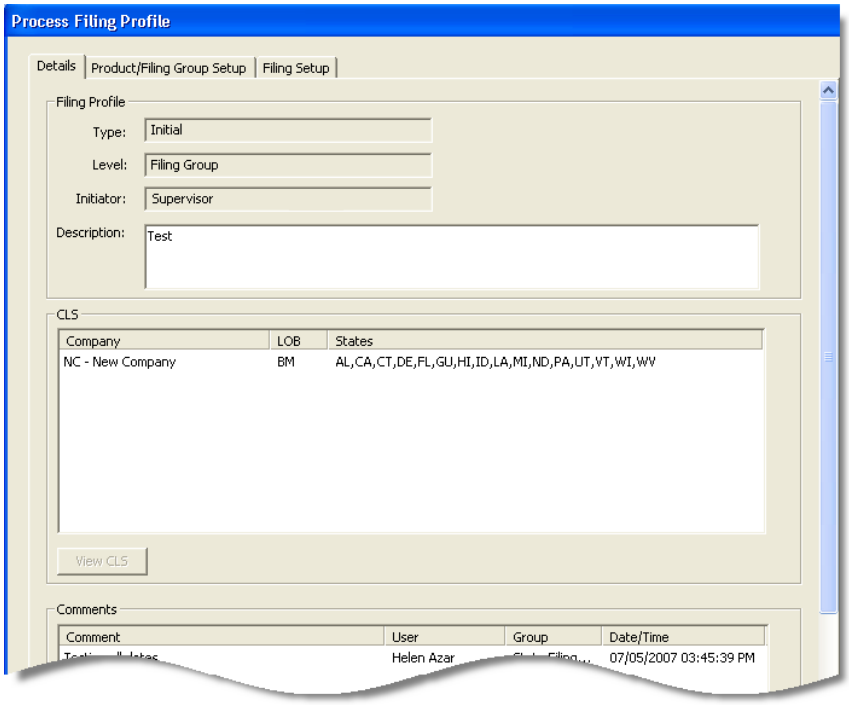
At any time while you are working on a filing profile, you can click **Suspend** to cancel all your changes, if you have been given the required permission by your Tracker Administrator.

Method: Suspend a filing profile in Tracker

Warning: When you suspend a filing, all your changes are discarded. However, the filing profile will remain on **My Profile** or **All Profile** tabs.

1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



2. On the **Profile Processing Screen**, click **Suspend**.

   You are asked where you want go next.

3. Make a selection then click **OK**.

   You are taken to the location you selected.

Rejecting Filing Profiles in Tracker

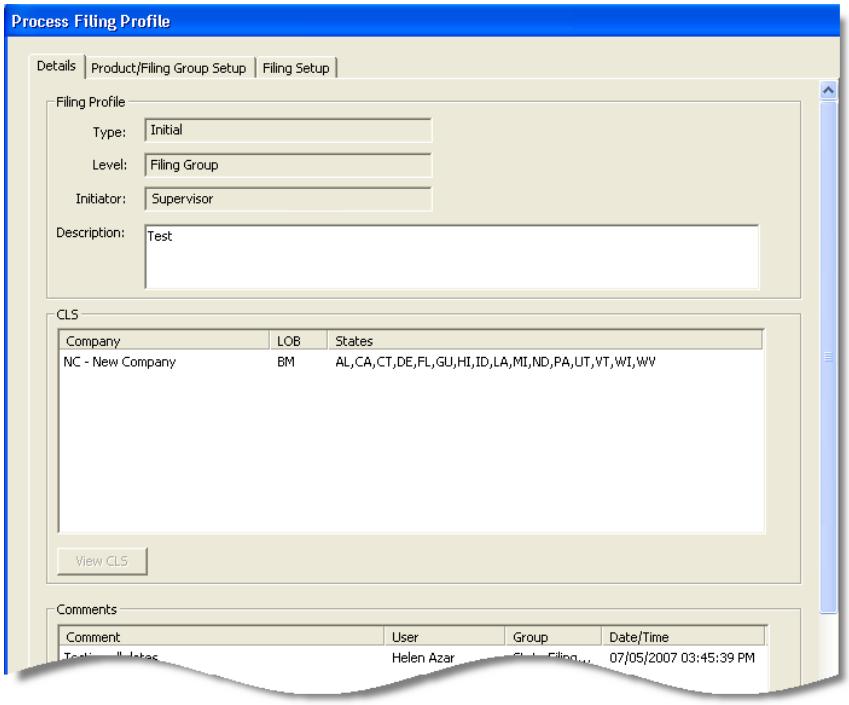
While working on a filing profile, you can reject it if you have been given the required permission by your Tracker Administrator.

Rejecting a filing profile sends it back to Launcher to be reviewed and modified. You must therefore enter the reason why you are rejecting the profile. The person updating this filing profile in Launcher will review your reason for rejection of the filing, and can modify the filing profile accordingly so that it can be accepted.

Method: Reject the filing profile in Tracker

1. If you do not already have a filing profile open, go to the top level of Tracker, click the **My Profiles** or **All Profiles** tab, then double-click a filing profile to open it.

   The **Process Filing Profile** dialog box opens.



2. On the **Profile Processing Screen**, add a comment explaining the reason you are rejecting this filing profile. (For details, see *Adding Filing Profile Comments* on page 330.)

3. Click **Reject**.

   The profile is immediately rejected. (No confirmation message appears.) The profile is returned to Launcher and a notification is created in Launcher indicating that this filing profile has been rejected. You are asked where you want go next.

4. Make a selection then click **OK**.

   You are taken to the location you selected.

Chapter 12

Working with the Regulatory Specialist

This chapter introduces and explains the Regulatory Specialist component of Tracker. The Regulatory Specialist contains all the state and line of business specific regulatory information used by Tracker to ensure that your filings meet every requirement.

This chapter describes:

- *The Regulatory Specialist* on page 346
- *Regulatory Specialist Tabs* on page 348
- *Regulatory Specialist Reports* on page 358

The Regulatory Specialist

The Regulatory Specialist database contains important information regarding state statutes and regulations as defined by the individual state Departments of Insurance.

Note: Canadian provincial filing requirements, if any, are not supported in the Regulatory Specialist.

The Regulatory Specialist window contains the following tabs:

- *File Statute* on page 348
- *General* on page 349
- *Filing Forms* on page 351
- *Dept. Addresses* on page 352
- *Contacts* on page 353
- *RS Custom Fields* on page 355
- *SERFF* on page 356

Related topics:

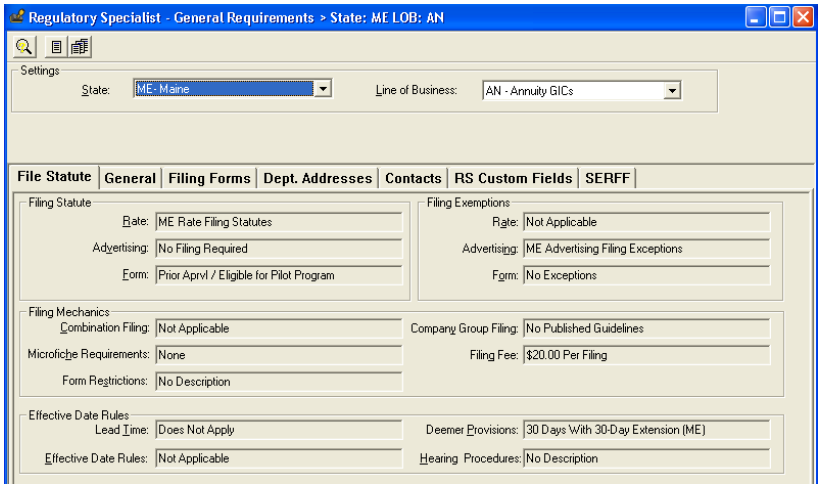
- *Using the Regulatory Specialist* on page 346
- *Updating and Changing Information in the Regulatory Specialist* on page 347

Using the Regulatory Specialist

The Regulatory Specialist can be accessed from any point in the system at any time.

1. Select **View** > **Regulatory Specialist.**

   The **Regulatory Specialist** window opens.



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 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 (**Filing Forms** and **Dept. Addresses** tabs) – 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. To search for information within Regulatory Specialist, complete the steps described in *Performing Tracker Searches* on page 364.
5. To examine a filing form in more detail:
   a. On the **Filing Forms** tab, double-click a filing form in the list.

      A **Model Document Memo** window opens describing the filing form.

   b. To view an example of the form, click **Preview**.

      The form is generated, and Microsoft Word opens displaying the example form. You can print the form if you want. When finished, close Word and the **Model Document Memo** window.
6. When finished, close the **Regulatory Specialist** Window.

Updating and Changing Information in the Regulatory Specialist

One of the major benefits of using Tracker is that Skywire Software maintains and updates the information in Regulatory Specialist. All of the information contained within the **File Statute**, **General** and **Filing Forms** tabs is maintained and updated by us as changes occur. (See *Accessing Regulatory Specialist Updates* on page 62 for an explanation of the update process, including how frequently updates are provided.) The information in Regulatory Specialist (with the exception of the **Contacts** information) cannot be changed within Tracker. If you find an error in the regulatory information, or feel that any of it needs to be changed or augmented, please contact Customer Support so that your suggestion can be explored and included in the next subscription update if required.

Regulatory Specialist Tabs

Information in Regulatory Specialist is organized into seven tabs:

- *File Statute* on page 348
- *General* on page 349
- *Filing Forms* on page 351
- *Dept. Addresses* on page 352
- *Contacts* on page 353
- *RS Custom Fields* on page 355
- *SERFF* on page 356

File Statute

The **File Statute** tab contains information regarding state filing statutes and related basic regulatory information such as filing mechanics.

The sections of this tab are:

- *Settings* on page 348
- *Filing Statute* on page 348
- *Filing Mechanics* on page 349
- *Effective Date Rules* on page 349

Settings

This section contains fields you use to filter the output from Regulatory Specialist.

State

This field identifies the state to which this information applies. There is one record for each of the 50 states, as well as Puerto Rico, the US Virgin Islands, Guam, American Samoa, and the District of Columbia.

LOB

This field identifies the Line of Business to which this information applies.

Filing Statute

This section contains fields with information relevant to filings for the chosen state and LOB.

Rate

This field identifies the **Rate** filing statute for this state and LOB.

Advertisement

This field identifies the **Advertisement** filing statute for this state and LOB.

Form

This field identifies the **Form** filing statute for this state and LOB.

Filing Mechanics

This section contains fields with information relevant to special requirements for filings in the chosen state, and for the chosen LOB. The special requirements deal with such things as required formats for filings, and filing fees.

Combination Filing

This field identifies whether this state allows combination filings, that is, whether rates, advertisements, and forms can be submitted in a single filing. Possible values are: **Yes**, **No**, and **Cross Reference Required**.

Filing Fee

This field identifies filing fees and/or retaliatory fees required by this state, if any.

Effective Date Rules

This section contains fields with information relevant to dates involved in the filing.

Deemer Provisions

This field identifies state deemer provisions.

Hearing Procedures

This field identifies whether a company can be forced to retroactively withdraw a filing that has been disapproved as a result of a formal hearing, or whether a future date must be specified for the company to cease use of the disputed filing's rate(s), advertisement(s), or form(s).

General

Regulatory Specialist contains a variety of general information. The **General** tab contains fields with information about assembly requirements and special needs that are relevant to the chosen state and LOB.

The sections in this tab are:

- *Settings* on page 350
- *Assembly* on page 350
- *Special Requirements* on page 351

Settings

This section contains fields you use to filter the output from the Regulatory Specialist.

State

This field identifies the State to which this information applies. There is one record for each of the 50 states, as well as Puerto Rico, the US Virgin Islands, Guam, American Samoa, and the District of Columbia.

LOB

This field identifies the Line of Business to which this information applies.

Assembly

This section contains fields relevant to how filings must be assembled before being submitted.

Certification of Compliance

This field identifies whether this state requires a formal certification statement in the filing.

Final Printing Requirements

This field identifies whether there are state requirements for submission of the final printed forms.

Index of Attachments

This field identifies whether a formal index of attachments is required.

Notice of Domiciliary State Approval

This field identifies whether this state requires filings to certify that the same filing has been approved in the company's state of domicile.

Number of Filing Cover Letters

This field identifies the number of copies of a filing cover letter that must be submitted.

Number of Attachments

This field identifies the number of full sets of filing attachments (exception pages, forms, actuarial exhibits, and so on.) that must be submitted.

Order of Assembly

This field identifies whether this state specifies a particular order of assembly for each filing.

Special Requirements

This section contains fields which detail any special requirements needed for the filing.

Advertising Material

This field contains a definition of what constitutes advertising in that state.

Discretionary Group

This field identifies special filing requirements for discretionary group filings for the state and LOB specified, if any.

Extra Territorial

This field identifies whether that state's laws for the LOB specified are extra territorial, and require that policies and/or certificates issued to groups outside that state must be filed for approval or information in that state.

Flesch Scoring

This field identifies readability requirements, including lines affected, required Flesch test scores and other readability criteria.

Illustration Cert. Adopt.

This field identifies whether or not a state has adopted the NAIC Life Illustration Model Regulation.

John Doe Form

This field identifies John Doe Form requirements for the filings submitted in that state, if required.

Number of SASE

This field identifies the number of Self-Addressed Stamped Envelopes required with the filing, if any.

Filing Forms

Regulatory Specialist contains information about every state filing form (including filing forms, checklists, NAIC transmittal documents, and so on) currently required by state Departments of Insurance. The Filing Forms tables contain records for each state, line of business, and type of filing. Forms can be previewed from the Filing Forms tab.

The sections in this tab are:

- *Settings* on page 352
- *Table of Filing Forms* on page 352

Settings

This section contains fields you use to filter the output from the Regulatory Specialist.

State

This field identifies the State this information applies to. There is one record for each of the 50 states, as well as 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.

Type of Filing

The Type of Filing to which this information applies, such as Individual, Group, Blanket, Informational, and so on.

Filing Content

This field identifies the content of the filing, such as Rate or Form, or any combination of these.

Table of Filing Forms

This section contains a table of filing forms relevant to the state, LOB, Type of Filing, and Filing Content selected in the Settings section of the Filing Forms tab. The table columns are **Filing Form**, **Description**, and **Form Obsolete Date**.

Filing Form

This column displays a code that uniquely identifies every form within Tracker.

Note: Because state Departments of Insurance do not always assign formal numbers to forms, each filing form in Tracker is assigned a unique eight digit code beginning with INS.

Description

This column displays the title of the form, as assigned by the state DOI.

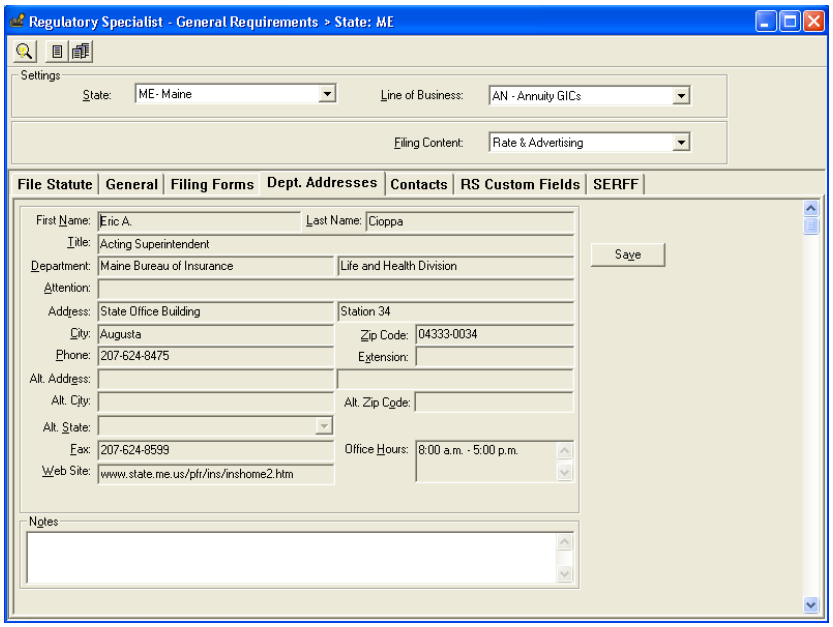
Form Obsolete Date

This column displays the date on which this form became obsolete, if any.

Dept. Addresses

This tab of Regulatory Specialist contains information about state Departments of Insurance, including names, addresses, phone numbers, and e-mail and Web site addresses, as well as the titles of current insurance commissioners, reviewers, and so on.

The addresses you send your filings to may depend on the type of filing being submitted. Tracker's Regulatory Specialist can accommodate multiple Department of Insurance addresses. Regulatory Specialist will choose the appropriate address based on the type of filing that has been created. The chosen address will automatically be added to the letter that is generated during the Generate Complete Filing activity.



For information on the fields on the Dept.Address tab, see *Address/Contact Information* on page 354.

Contacts

On the **Contacts** tab of Regulatory Specialist, you will find the same type of information as on the **Dept. Addresses** tab, but in this section you can enter the information yourself and it will not get overwritten with each monthly subscription update.

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 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.

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.

Name *(Contacts tab only)*

This field identifies the Name of the person to whom this information applies.

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

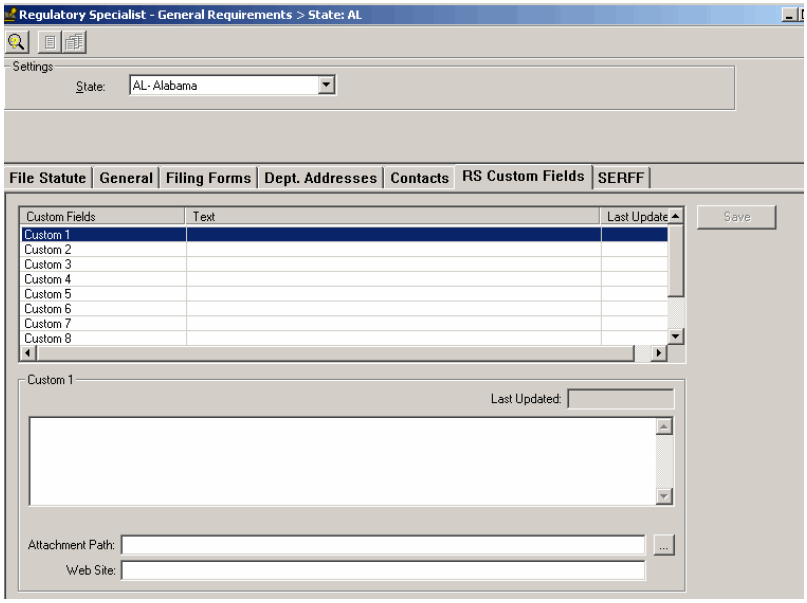
Any additional notes users want to add regarding the insurance department or this contact in particular are entered here. Information in this field is not affected by Regulatory Specialist updates.

RS Custom Fields

This tab contains ten custom free-format fields which you can use to capture filing information unique to your organization, and to supplement the regulatory information provided by Skywire Software.

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 or 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 *Changing RS Custom Field Labels* on page 85.

SERFF

The **SERFF** tab allows you to see which TOIs, sub TOIs and filing types a state is accepting for SERFF filings. This information is provided in real time. When you click the **SERFF** tab 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. It also displays whether the state allows confidentiality requests, the filing fee information for that state (including whether the state is currently accepting EFT), and whether the state allows NTRs on closed filings.

1. Select **View** > **Regulatory Specialist**.
2. Click the **SERFF** tab.
3. Expand the TOI and sub TOI to see what kinds of SERFF filings are supported for that TOI and sub TOI. You will also be able to see filing fee information for that state— including whether the state is currently accepting EFT—the state's preference for allowing NRTs on closed filings, and whether the state allows confidentiality requests.

Regulatory Specialist Reports

A number of reports are available to summarize the information provided by the Regulatory Specialist. These Regulatory Specialist reports provide summary regulatory information for the various states, lines of business, and State Departments of Insurance in Tracker. For example, you can produce a report that lists detailed regulatory information for a state/line of business combination that you have looked up in the Regulatory Specialist section of the system.

Note: These reports are available only through the Regulatory Specialist screens and not via the general reports function.

For more information about the Tracker Reports function, please see *Searching and Reporting* on page 363.

For instructions regarding the generation of a Regulatory Specialist report, see *Generating a Regulatory Specialist Report* on page 360.

The following regulatory specialist reports are available in Tracker:

- *Filing Requirements Summary Report* on page 358
- *Detailed Filing Requirements Report* on page 359
- *State Contact Listing Report* on page 359
- *Detailed State Contacts Report* on page 360

Filing Requirements Summary Report

The **Filing Requirements Summary Report** allows you to print basic information provided by the Regulatory Specialist for a selected state and line of business. This data includes filing statute details, general filing information, actuarial information, and information regarding required filing forms.

This report displays the following fields:

- State
- Line of Business
- Filing Statute - Rate
- Filing Statute - Advertisement
- Filing Statute - Form
- Combination Filings - whether they are allowed or not
- Number of Filing Cover Letters required
- Number of Attachments
- Notice of Domiciliary State Approval required
- Final Printing Requirements
- Flesch Scoring

Detailed Filing Requirements Report

The **Detailed Filing Requirements Report** allows you to print detailed regulatory information provided by the Regulatory Specialist for a selected state and line of business. This data includes filing statute details and general filing information. This is a more detailed version of the **Filing Requirements Summary Report** described above. It includes any additional information available for the fields included.

This report displays the following fields:

- State
- Line of Business
- State Department of Insurance (DOI) Contact Name
- DOI Contact Title
- DOI Address
- DOI City
- DOI Zip Code
- DOI Phone Number
- Filing Statute - Rate
- Filing Statute - Form
- Filing Statute - Advertisement
- Combination Filings - whether they are allowed or not
- Number of Filing Cover Letters required
- Number of Attachments
- Notice of Domiciliary State Approval required
- Final Printing Requirements
- Flesch Scoring

State Contact Listing Report

The **State Contact Listing Report** provides a summary of all State Department of Insurance contacts you have entered in Tracker for a specific state.

This report displays the following fields:

- State
- Name of Contact
- Title
- Department
- Address
- City

- Zip Code
- Phone Number
- Fax Number

Detailed State Contacts Report

The **Detailed State Contacts Report** provides detailed information about the State Department of Insurance contacts for a given state.

This report displays the following fields:

- State
- Name of Department Contact
- Title
- Department
- Attention
- Address
- City
- State
- Zip Code
- Phone Number
- Fax Number
- Email Address
- Office Hours
- Comments

Generating a Regulatory Specialist Report

The Regulatory Specialist reports are generated automatically when you click of the reports buttons on one of the Regulatory Specialist screens. Which report you generate depends on which tab you have selected, and which button you click.

Method: Generate a Regulatory Specialist report

---

1. To generate the **Filing Requirements Summary Report**, select either the **File Statute** tab or the **General** tab, and ensure that you have selected the state and line of business for which you want to generate the report. Click the Basic Report button to generate the report.

To generate the **Detailed Filing Requirements Report**, select either the **File Statute** tab or the **General** tab, and ensure that you have selected the state and line of business for which you want to generate the report. Click the Detailed Report button to generate the report.

To generate the **State Contact Listing Report**, select either the **Dept. Addresse**s tab or the **Contacts** tab, and ensure that you have selected the state for which you want to generate the report. Click the Basic Report button to generate the report.

To generate the **Detailed State Contacts Report**, select either the **Dept. Addresses** tab or the **Contacts** tab, and ensure that you have selected the state for which you want to generate the report. Click the Detailed Report button to generate the report.

2. Tracker generates the report and a preview of the generated report appears in a **Crystal Reports** viewer window.
3. View the generated report carefully to ensure that it meets your needs. If it does not meet your needs, close the preview window and select a different state, LOB, tab, or report button. If it is OK, proceed to the next step.
4. Click the **Print** button.

   Your default printer prints your report, or click the **Export** button to save or email the report in your choice of formats.

Chapter 13

Searching and Reporting

This chapter describes how to perform searches in Tracker, and 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.

This chapter describes:

- *Performing Tracker Searches* on page 364
- *Tracker Reports* on page 366
- *Working with Reports* on page 367
- *Report Descriptions and Types* on page 374

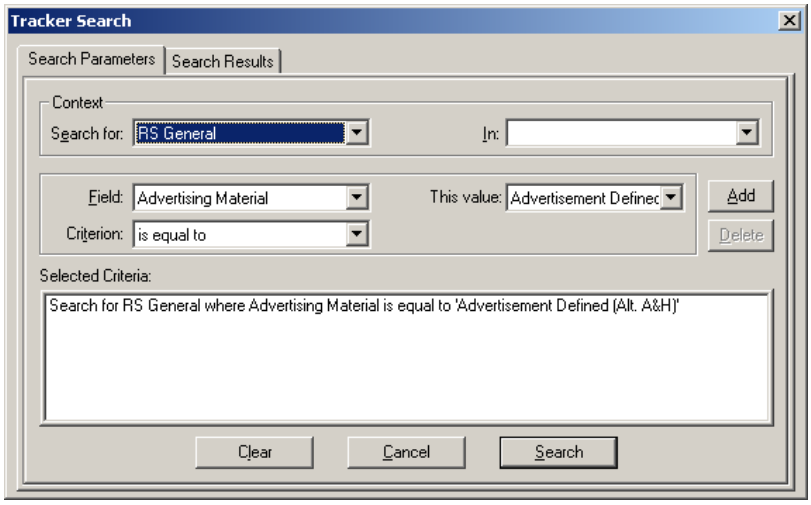
Performing Tracker Searches

You can search Tracker to locate a specific filing, activity or other item.

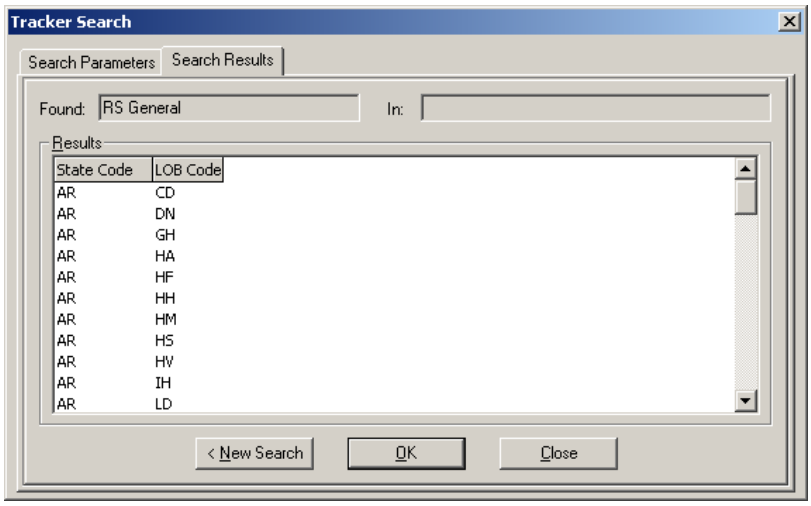
The following procedure describes the general steps required to perform a Tracker search

Method: Perform a Tracker search

1. Click the **Search** button to open the **Search** dialog box.
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.
4. Click **Add** to add the criterion you have just specified to the **Criteria Selected** list field.
5. Repeat steps 2 to 4 to add up to five criteria statements to the **Selected Criteria** list.



6. 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.*

7. In **Search Results**, you can select an item from the list and click **OK** (or double-click the item) to open the related record.

   – 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 218

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.

Standard Tracker reports are divided into different types. 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 374.

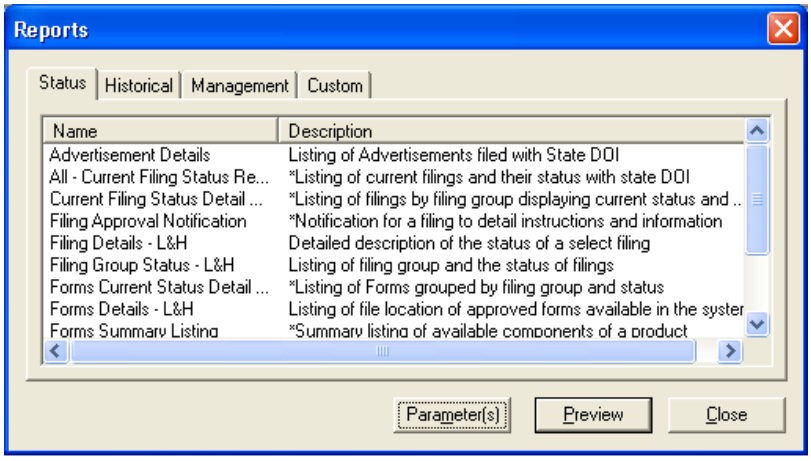
Working with Reports

The procedures involved in defining and generating a report remain the same for all reports. The procedures described here, therefore, apply to all of the standard reports listed below.

Accessing the Reports Function

The reports function can be accessed from any point in the system at any time via the View Menu **Reports** option.

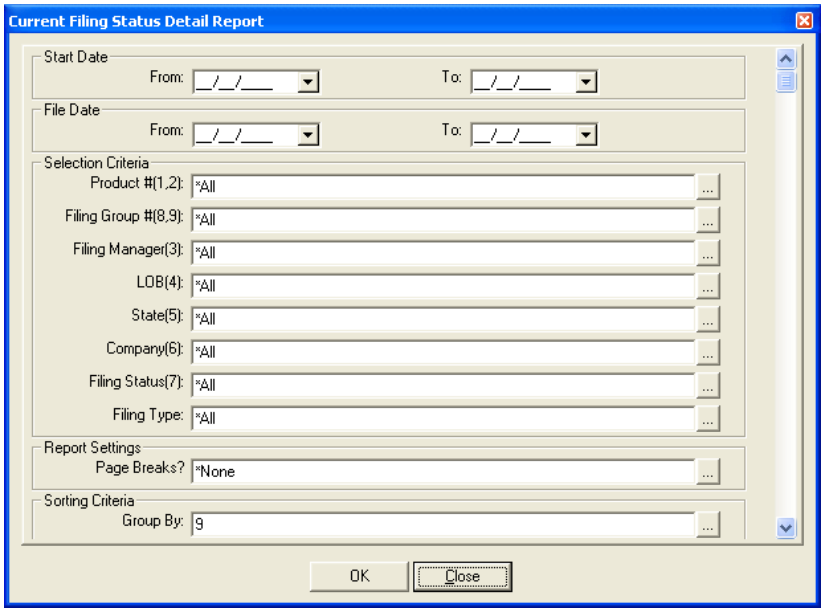
1. Select the **View** menu.
2. Select the **Reports** option to open the **Reports** dialog box.



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.

1. Access the **Reports** dialog box.
2. On the **Reports** dialog box, click the tab that represents the type of report you would like to produce.
3. Select and highlight the report you want to produce from the list of available reports.
4. Click the **Parameters** button to open the related Selection Criteria dialog box (the example below is for the **Current Filing Status Detail Report**; the **Selection Criteria** box for each report will be slightly different):



5. If this report has a set of date ranges, enter the **Date Range(s)** you want this report to encompass. Only records which fall within this date range will be shown on the report. Note that this field will not always appear as not all reports require a date range.

6. 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 specific member for each field, or you may select **All** to generate a report for all the members of that field group.

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. Click the **Preview** button.

   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.

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

   If you do not need to make changes, proceed to the next step.

10. Click the **Print** button.

    Your default printer prints your report.

Note: If your report does not print as expected, check your **Printer Settings** to see that they are correctly formatted to print the report document. Most reports are best printed and viewed in **Portrait Orientation** printed on one side of the page only.

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 use a default **From** date of 01/01/1990 and a default **To** date of 01/01/2100 to generate the report.

Please note:

- Not all reports require that a date range be specified. Where they are unnecessary, no date range entry fields will appear.
- 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 of a particular sort will appear in your report. The list of available selection criteria is specific to each standard report.

Selecting Multiple Items in Report Parameters

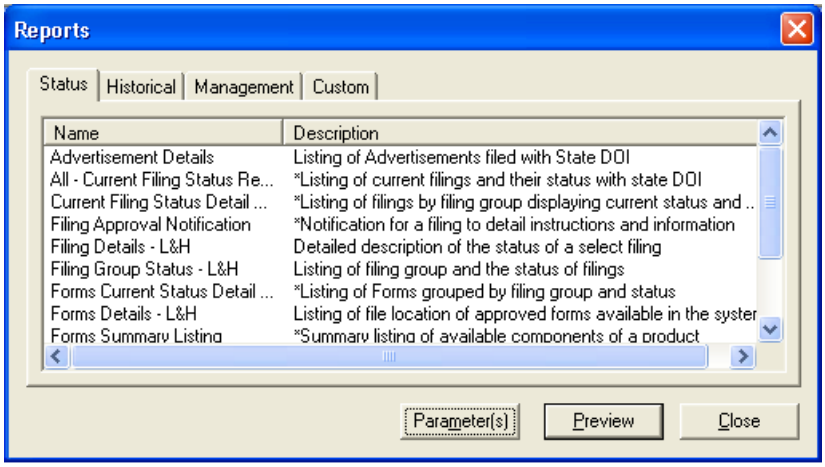
Some of the reports in Tracker allow you to select multiple items for a given report parameter. This functionality allows you to (for example) select multiple states, lines of business, or filing managers as parameters to create a single report.

The following reports support this functionality:

- Current Filing Status Detail Report
- Aging Detail Report
- Activities Detail Report
- Current Production Status Detail Report
- Production Activity Detail Report
- Forms Current Status Detail Report

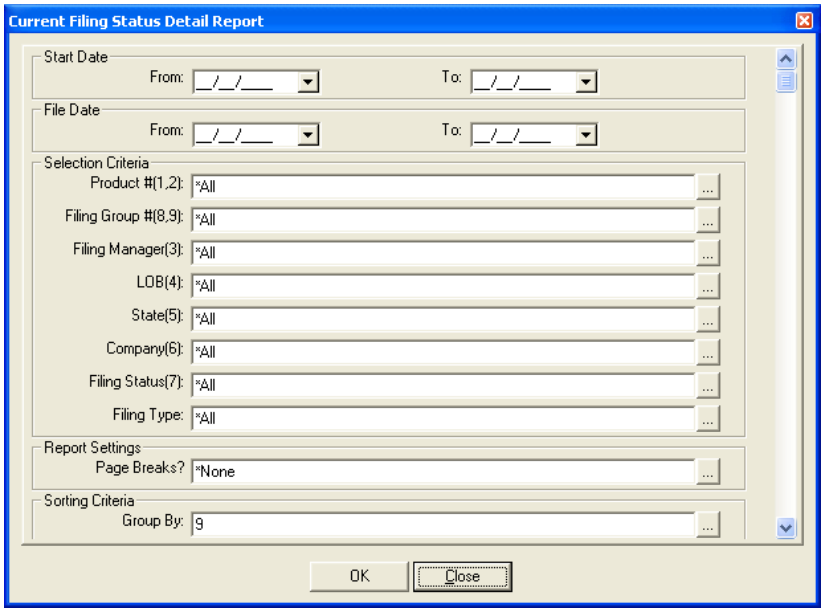
The example below uses the Current Filing Status Detail Report.

1. Select the **View** menu option.
2. Select the **Reports** sub-option.



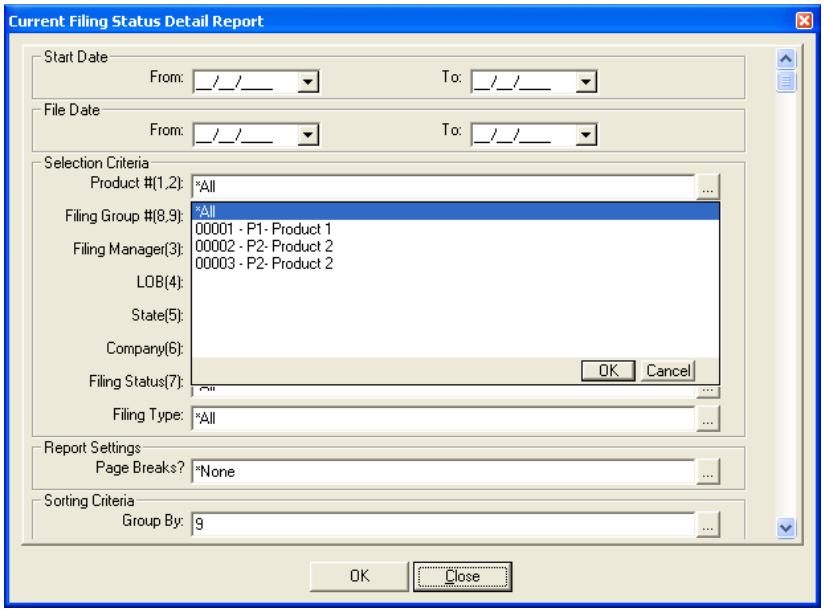
3. Click the **Status** tab.
4. Select the report you want to work with and click **Parameters**.

   The report parameters window opens.



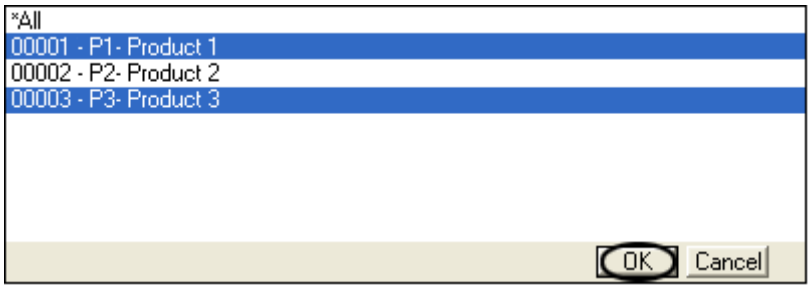
5. Click the button ... at the right side of the parameter.

   The items window opens.



6. Select multiple items within a parameter by pressing and holding the **Cutler** key while clicking on each item you want to use with that parameter.

7. When you have finished selecting items, click **OK** in the items list.



8. Repeat steps 4 to 6 until you have finished setting parameters, then click **OK** in the main parameters dialog box.

   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.

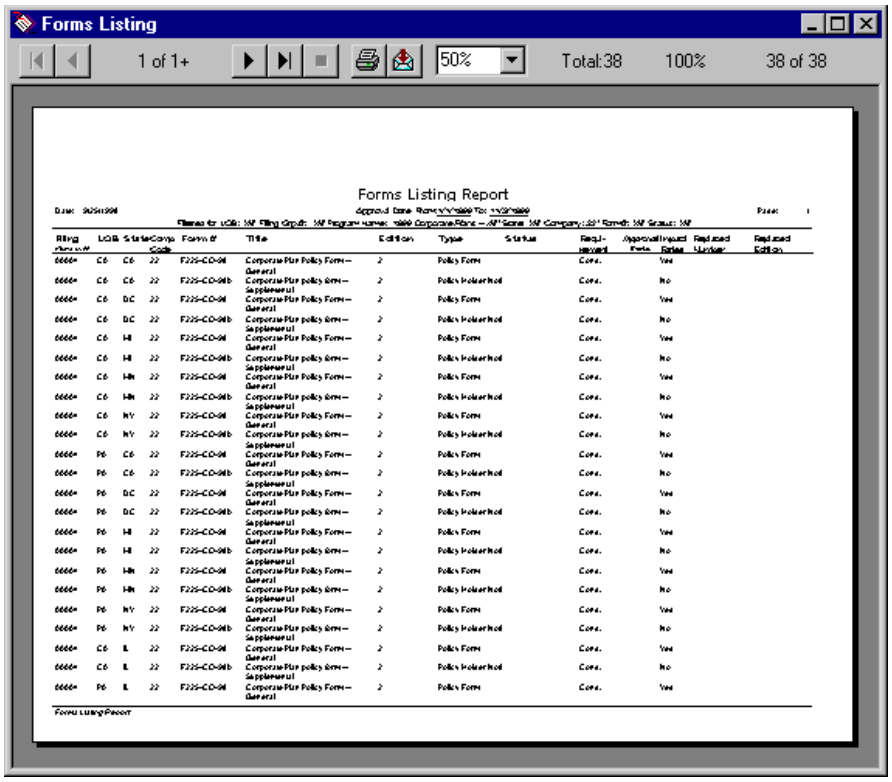
First, you need to decide which of the **Selection Criteria** you want to use to sort your report: in a Filings Report, for example, you may want to organize your report by Filing Number, by Date Created, by State, or by LOB, depending upon the purpose of your report. Note the number located beside the 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 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.

Method: View 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; you do not need to go through the Activities Function in order to print a report.

In the Report Preview Window:

1. View the previewed report; check to see that it includes all the information you intended.

2. Click the **Print** button -- .

   Your default printer prints your report.

Saving Report Settings

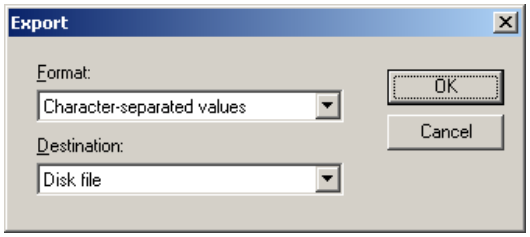
Each time you generate a report, the settings and criteria you specify are saved by the system: the next time you access that particular report dialog, the settings will be as you last left them.

Exporting Reports

You can export reports in any of several formats, to any of several destinations.

In the Report Preview Window:

1. Click the Export button.
   Export opens.



2. On **Export**, choose the **Format** you want to which you want to export the data.
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 374
- *Historical Summaries* on page 380
- *Management Reports* on page 382
- *Custom Reports* on page 384
- *Other Reports* on page 386

See also *Tracker Reports* on page 366.

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

- Select **View** > **Reports**, then click the **Status** tab.

The following status reports are available in Tracker:

- *Advertisement Details Report* on page 374
- *Current Filing Status Detail Report* on page 375
- *Filing Approval Notification Report* on page 376
- *Forms Current Status Detail Report* on page 376
- *Forms Detail Report* on page 377
- *Forms Summary Listing Report* on page 377
- *Objection Report* on page 378
- *Legislation Detail Report* on page 379
- *Rate Details Report* on page 379

Advertisement Details Report

The **Advertisements Details Report** displays a list of all advertisements that have been entered in your system and fall within the specified filing date range.

This report displays the following fields:

- Product to which the advertising pertains
- Advertising Form Name and Form Number
- Means of Distribution

- Audience
- Attachment Path
- Memo field

Applicability

- Company
- Line of Business
- Filing Group Number
- Status
- Effective Date

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:

- Product Code and Description
- Filing Group Number and Description
- 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 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
- State
- Filing Manager
- Company
- Approval Date

Forms Current Status Detail Report

The **Forms Current Status Detail Report** shows the status (by form number) of all the forms that have been filed. You can either display all forms, or choose the statuses you want to display. The report is grouped at two levels.

The first level is by form number, and the second level is by form (not filing) status. So, each form number contains each instance of that form in the system, and the status of each filing with that form number. The report also includes all relevant information for each filing in the report.

Note: Usually the form and filing status will be the same, but there can be situations where (for example) the form has been approved but the filing has not.

This report displays the following information:

- Summary of Status by Form
- Form Number
- Filing Group Number and Description
- Edition Date
- Form Type
- 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 Detail Report

The **Forms Detail Report** displays all information captured in Tracker for each **Approved** form in the system.

This report displays the following fields:

- Form Number
- Edition
- Type
- Contract
- Title
- Lead Form
- Sentence Count
- Syllable Count
- Word Count
- Replaced Form Number
- Memo

Applicability

- Company Code
- LOB
- State
- Group Number
- Status
- Effective Date

Forms Summary Listing Report

The **Forms Summary Listing Report** displays a list of forms contained within each of the filing(s) specified.

The report is organized by filing, and displays the following information for the filing:

- Tracker Filing Number

- Filing Description
- Company
- Filing Group Number
- Filing Group Description
- Product Code
- Product Name
- State
- Line of Business

Each form contained within the filing is then displayed with the following information:

- Form Number
- Form Edition
- Form Title
- Form Type
- Impact Rates – indicates whether this form will impact rates
- Comments

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 (Pending, Objection, Resubmit)
- Filing Manager
- Objection/Disapproval Date
- Respond By Date
- Resubmit Date
- Objection/Response (obtained from the Activities and Memo fields)

Legislation Detail Report

The **Legislation Detail Report** displays a list of all legislation records with Effective Dates within the range specified in your Tracker system. Use this report to keep track of legislation records in your system.

This report displays the following fields:

- Legislation Number
- Legislation Date
- Description
- Legislation Type
- Legislation Content (Rate/Advertisement/Form)
- Legislation Status
- Legislation Title
- Legislation Proposed Effective Date
- Legislation Approved Effective Date

Rate Details Report

The **Rate Details Repor**t shows a summary of all rates in Tracker.

This report displays the following fields:

- Rate Number
- Advisory Organization
- Type
- Title
- Edition
- Attachment
- Replaced
- Edition
- Memo

Applicability

- Company Code
- LOB
- State
- Group Number
- Name
- Status
- Effective Date

Historical Summaries

Historical Summary 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 summary report

- Select **View** > **Reports**, then click the **Historical Summary** tab.

The following historical summaries are available in Tracker:

- *Activities Detail Report* on page 380
- *Forms Listing Report* on page 381
- *Forms Location Report* on page 381
- *Legislation Detail Report* on page 379
- *Legislation Summary Report* on page 382

Activities Detail Report

The **Activities Detail Report** displays existing activities in Tracker at a detailed level. It will show activities at the Filing Group Level even if there are no corresponding activities at the Filing Level.

This report displays the following information:

- Product Code and Description
- Filing Group Number and Description
- State
- Line of Business
- Filing Content (Rate/Advertisement/Form)
- Company
- Filing Manager
- Filing Status
- Activity Description and Level (FG indicates filing group activity, FL indicates filing level activity)
- Activity Memo
- Activity Status
- Suspense Date
- Completion Date
- Due Date
- Performed By

Forms Listing Report

The **Forms Listing Report** displays a list of all forms filed with a State Department of Insurance, within a specified range. Use this to keep track of all the forms you file.

This report displays the following information:

- Filing Group Number
- Line of Business
- State
- Company Code
- Form Number
- Form Title
- Edition
- Form Type
- Status
- Requirement – indicates whether this is a required form
- Approval Date
- Impact Rates – indicates whether this form impacts rates
- Replaced Number – the number of the old form this new form replaces
- Replaced Edition – the edition of the old form this new form replaces

Forms Location Report

The **Forms Location Report** displays a list of file paths for all forms within the specified range. Use this form to keep track of the location of the forms within your system.

Note: This report will supply a location (path) for a form only if the actual form document has been attached at the Filing Group Level or Filing Level.

This report displays the following fields:

- Form Number
- Edition
- Effective Date
- Title
- Line of Business
- State
- Req. – indicates if this is a required form
- Non Std. – indicates if this is a non-standard form
- Filing Number

- Description of the Form
- Location (Path) of the Form within your System

Legislation Summary Report

The **Legislation Summary Report** displays a list of legislation records, as specified, together with their internal detailed company adoption information. Use this report to monitor legislation in your system as they are adopted.

This report displays the following fields:

- Legislation Number
- Lines of Business Affected
- Content
- Status
- Description

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

- Select **View** > **Reports**, then click the **Management Reports** tab.

The following management reports are available in Tracker:

- *Aging Detail Report For Outstanding Filings* on page 382
- *Current Production Status Detail Report* on page 383
- *Filing Evaluation Report* on page 384

Aging Detail Report For Outstanding Filings

The **Aging Detail Report For Outstanding Filings** shows information on filings that are still outstanding. You can set how the number of days outstanding is calculated, from one of:

- the Start Date
- the Filed Date
- the most recent change in status for one of the statuses of Start, Filed, Objection, Resubmit.

This report displays the following information:

- Product Code and Description
- Filing Group Number and Description

- State
- Line of Business
- Company
- Filing Content (Rate/Advertisement/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 at two levels of grouping. The first level is by company and filing manager, and the second level is by status. So, each manager will have their filings displayed, and each filing will be grouped according to its status. The report also includes all relevant information for each filing in the report.

This report displays the following information:

- Filing Status
- Filing Group Number and Description
- Filing Manager
- State
- Line of Business
- Company Code(s)
- Filing Content
- Start Date
- File Date
- Objection Date
- Resubmit Date
- Approval Date
- Disapproval Date
- Withdrawal Date
- Summary of Filings By Status (for the statuses Start, Pending, Objection, Approved) for each Filing Manager

Filing Evaluation Report

The **Filing Evaluation Report** displays, by manager, summary information about filings within the date range and line(s) of business specified.

The purpose of the **Filing Evaluation Report** is to provide management information about filings under development.

This report displays the following information:

- Manager Initials and Name
- Line of Business
- Effective Month and Year
- Number of Filings Started
- Number of Filings Pending
- Number of Filings Approved
- Number of Filings Disapproved
- Number of Filings Closed
- Number of Filings Withdrawn
- Percentage of Filings Started
- Percentage of Filings Pending
- Percentage of Filings Approved
- Percentage of Filings Disapproved
- Percentage of Filings Closed
- Percentage of Filings Withdrawn

Custom Reports

The following custom reports are available in Tracker:

- *Average Approval Time Summary Report* on page 385
- *Filing Fees Detail Report* on page 385
- *SERFF Transaction Fee Report* on page 386

Method: Access a custom report

- Select **View** > **Reports**, then click the **Custom** tab.

Average Approval Time Summary Report

The **Average Approval Time Summary Report** lists the average number of days taken by the state DOI to approve SERFF and paper filings.

This report displays the following information:

- Product Code
- Filing Group Number and Description
- Filing Description
- Filing Manager
- Line of Business
- State
- Company
- Filing Type
- Filing Content
- Calculation Method

Filing Fees Detail Report

The **Filing Fees Detail Report** report lists detailed filing fee information with summaries.

This report displays the following information:

- Product Code
- Filing Group Number
- Filing Description
- Line of Business
- State

EFT and check payments information:

  - Company
  - Number of transactions
  - Subtotals
- Total filing fees
- Grand totals for all companies and states

SERFF Transaction Fee Report

The **SERFF Transaction Fee Report** list all filings that have been submitted to SERFF, allowing you to can track and reconcile the transaction fees charged by the NAIC.

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:

- Report Name – A custom name for the report. 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.
- Filed Date
- Product
- Filing Manager
- LOB
- State
- Company
- Sorting – The report defaults to sort by Company, Filed Date, and Filing Manager. You can select your own sort criteria using the following fields: Company, Filed Date, Filing Manager, State, LOB and Filing Content.

Other Reports

The following reports are not part of the general reports and are available only to certain users:

- *Administrative Reports* on page 386
- *Regulatory Specialist Reports* on page 387

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, see the detailed section *Administrative Reports* on page 102.

Regulatory Specialist Reports

Regulatory Specialist Reports provide summary regulatory information for the various states, lines of business, and State Departments of Insurance in your system.

Note: These reports are available only through the Regulatory Specialist screens and not through the general reports function.

For more detailed information on Regulatory Specialist Reports, please see *Regulatory Specialist Reports* on page 358.

Chapter 14

Viewing Filing and Rate/ Advertisement/Form Statuses in Calligo

If you have a Calligo DMS, you can view the statuses of both filings and attachments. The only attachments you can view the statuses of are those that are stored in the Calligo DMS. There are three types of attachments whose statuses can be viewed:

- rates
- advertisements
- forms

You can also search for filings or rates, advertisements, and forms using search parameters you select from a predefined set of search parameters.

This chapter describes:

- *The Search Interface* on page 390
- *Searching for Filing Statuses* on page 392
- *Searching for Rates, Advertisements, and Forms* on page 394
- *Viewing Rates, Advertisements, and Forms* on page 397
- *Clearing Search Parameters* on page 398

Note: The screens on your system may differ from those shown in this guide.

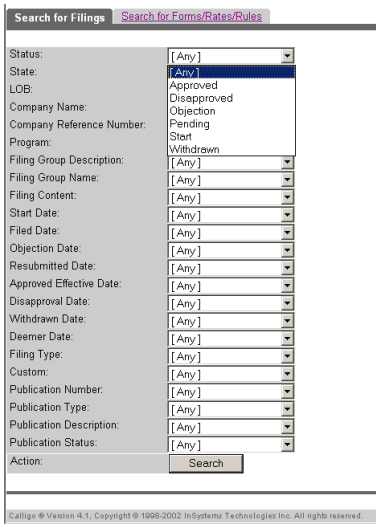
The Search Interface

The following kinds of search mechanisms exist in the search interface for filings and attachments:

- *Drop-Down Menus* on page 390
- *Drop-Down Menus with Manual Text Entry* on page 390
- *Date Search Menus* on page 391

Drop-Down Menus

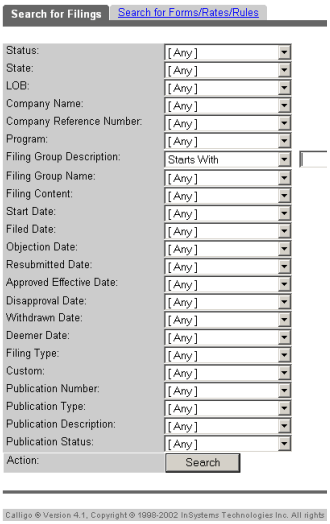
Drop-down menus contain a list of all available entries from the existing data for the given search parameter.



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

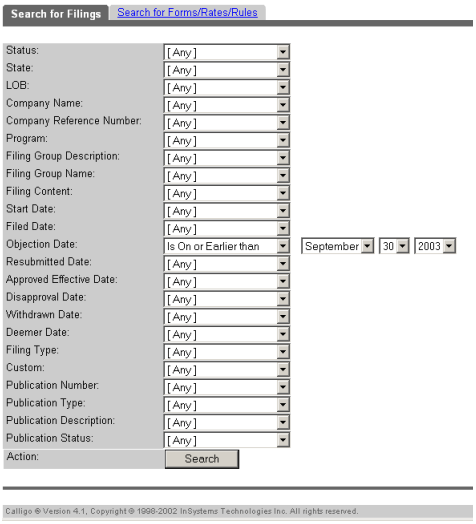
Some drop-down menus allow you to enter a search string as part of the search parameter.



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.



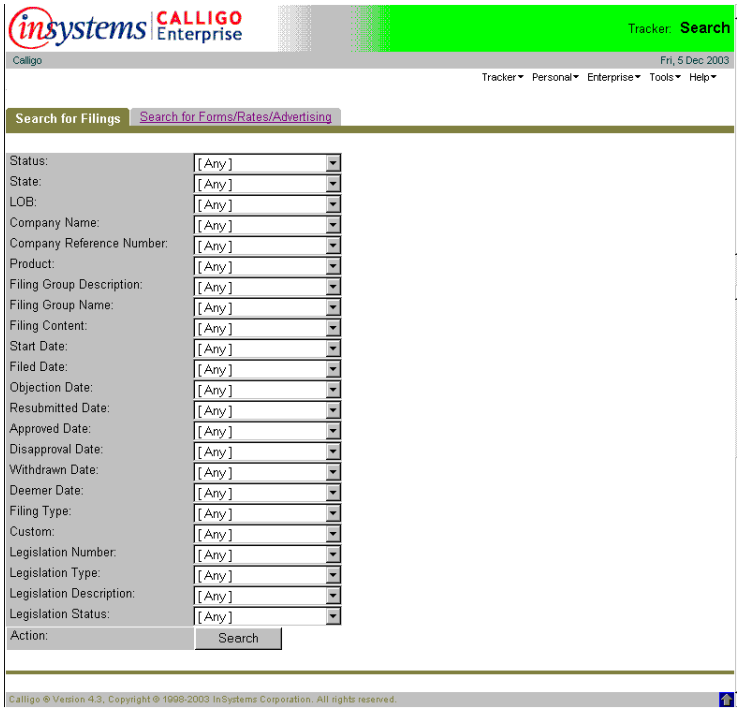
In the above example, filings with an **Objection Date** of September 30, 2003 or earlier would be selected in a search.

Searching for Filing Statuses

You can search for filing statuses using a variety of criteria.

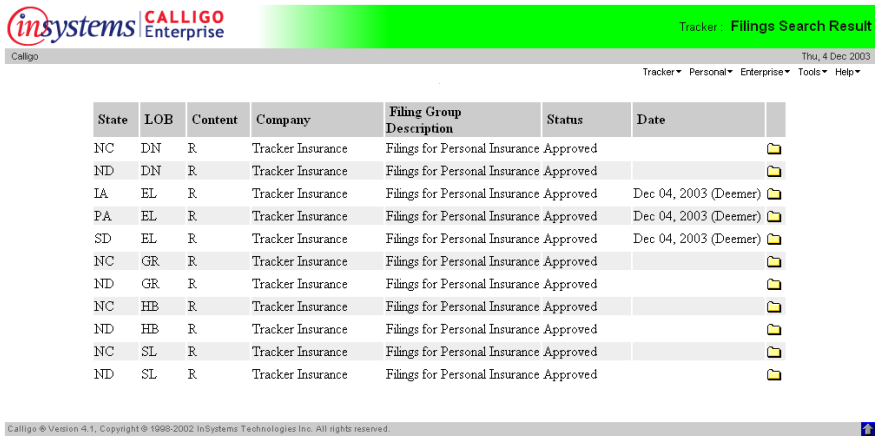
Method: Search for a filing status

1. Log in to Calligo.
2. Go to **Tracker > Search**. **Tracker: Search** opens.



3. On **Tracker: Search**, enter any combination of criteria you want to use to narrow your search and click **Submit**.

   Tracker: Filings Search Result opens.



State	LOB	Content	Company	Filing Group Description	Status	Date
NC	DN	R	Tracker Insurance	Filings for Personal Insurance	Approved	
ND	DN	R	Tracker Insurance	Filings for Personal Insurance	Approved	
IA	EL	R	Tracker Insurance	Filings for Personal Insurance	Approved	Dec 04, 2003 (Deemer)
PA	EL	R	Tracker Insurance	Filings for Personal Insurance	Approved	Dec 04, 2003 (Deemer)
SD	EL	R	Tracker Insurance	Filings for Personal Insurance	Approved	Dec 04, 2003 (Deemer)
NC	GR	R	Tracker Insurance	Filings for Personal Insurance	Approved	
ND	GR	R	Tracker Insurance	Filings for Personal Insurance	Approved	
NC	HB	R	Tracker Insurance	Filings for Personal Insurance	Approved	
ND	HB	R	Tracker Insurance	Filings for Personal Insurance	Approved	
NC	SL	R	Tracker Insurance	Filings for Personal Insurance	Approved	
ND	SL	R	Tracker Insurance	Filings for Personal Insurance	Approved	

Viewing Filing Statuses

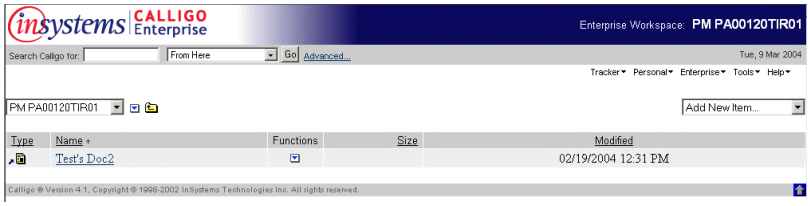
You can view filing statuses by searching for filings. The status is displayed in the **Status** column.

Viewing Rates, Advertisements, and Forms

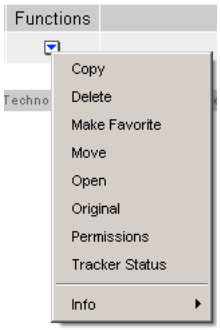
You can view rates, advertisements, and forms associated with a filing by clicking on the folder icon at the far right. You can also view the states and LOB for any rate, advertisement, and form.

Method: View rates, advertisements, and forms

1. Click the folder icon at the far right of the filing. The rates, advertisements, and forms associated with the filing appear.



2. To view the states and LOB a rate, advertisement, or form is associated with, click the arrow and select **Tracker Status**.



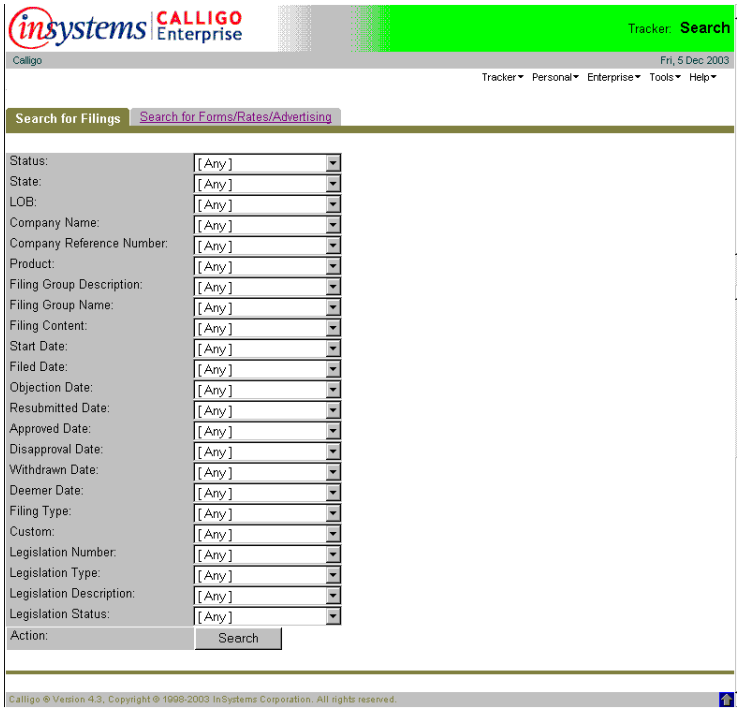
3. A list of the states and LOBs associated with this rate, advertisement, or form appears.
4. Click the **Details** link to view the list of dates applicable to this rate, advertisement, or form.

Searching for Rates, Advertisements, and Forms

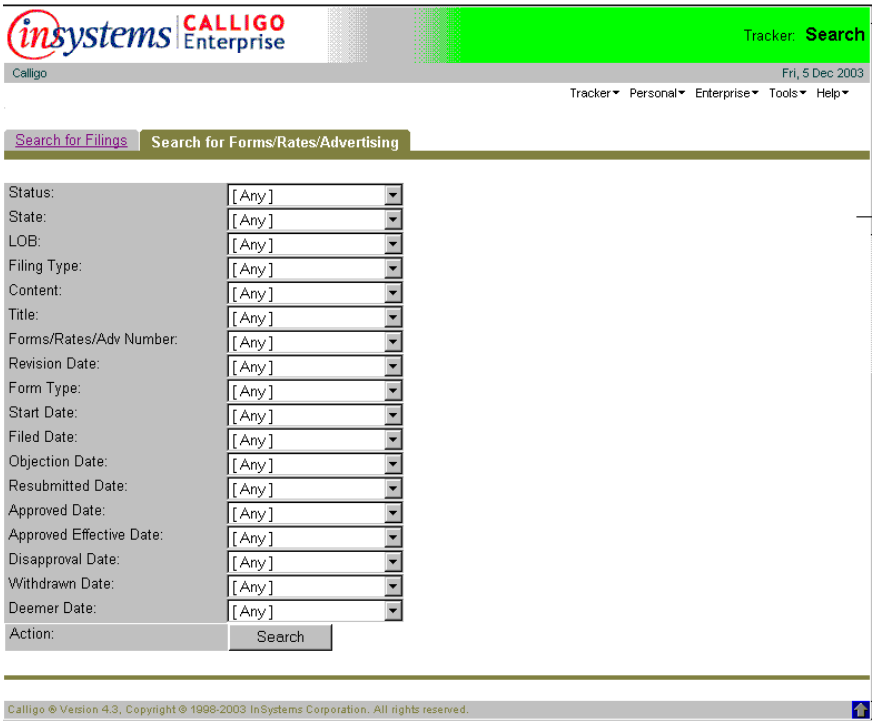
You can search for rates, advertisements, and forms using a variety of criteria.

Method: Search for rates, advertisements, and forms

1. Log in to Calligo.
2. Go to **Tracker > Search**. **Tracker: Search** opens.



3. On **Tracker: Search**, click **Search for Forms/Rates/Advertising**.



4. On **Tracker: Search**, enter any combination of criteria you want to use to narrow your search and click **Submit**.

   Tracker: Attachments Search Result opens.

The above screens shows the results of searching for attachments where the **LOB** is **GH**.

Viewing Rate, Advertisement, 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**

Status	Corresponding Date	Conditions/Rules for Determining 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 Calligo.

You can view rate, advertisement, and form statuses by searching for rate, advertisement, and form. The status is displayed in the **Status** column.

Viewing Rates, Advertisements, and Forms

You can view individual rates, advertisements, and forms through Calligo. First, you must find the rates, advertisements, or forms by searching for them. Then you click the icon associated with the rate, advertisement, or form so you can view it.

Method: View rates, advertisements, and forms

1. Search for rates, advertisements, or forms as described in *Searching for Rates, Advertisements, and Forms* on page 394.
2. Click the document icon at the right of the rate, advertisement, or form you want to view. **File Download** opens.
3. To view the rate, advertisement, or form, click **Open**. **File Download** closes and the attachment opens in your Web browser.

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 chapter 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. (See *Contacting Skywire Software for Help* on page 31 for contact details.)

This chapter describes:

- *Troubleshooting Tracker* on page 400
- *SERFF — Filing in Limbo* on page 402

Troubleshooting Tracker

This section describes troubleshooting the following areas:

- *Viewing Activities in the Filing Package* on page 400
- *Deleting Activities in the Filing Package Tab* on page 400
- *Filing Forms Do Not Generate* on page 400
- *Updating Subscriptions or Services Causes Error Message* on page 401

See also: *SERFF — Filing in Limbo* on page 402.

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.

Filing Forms Do Not Generate

Problem

Trying to generate a filing form displays the following error message.

> *Error (2): Unable to generate document INS00562.*

Solution

This message appears only if the filing form is missing in the `Tracker\Repository\Model Documents` folder. Verify that your installation of Tracker had no errors. Contact Customer Support if you think the installation was correct.

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.

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