SERFF STATE USER MANUAL APPENDIX

v6.1

09/06/2013

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Introduction

The System for Electronic Rate and Form Filing (SERFF) is a smart Internet application designed to provide an efficient process for rate and form filing. With the release of v6.0, SERFF Plan Management functionality was introduced for Qualified Health Plan (QHP) and Qualified Dental-Only Plan (QDP) submissions. Using SERFF, issuers can create and submit QHPs to states that have implemented SERFF for Plan Management for review, approval and certification.

Conventions Used In This Manual

The following special features are included in this appendix to assist readers:

Bold fonts – are used to emphasize an idea or a representation.

☞ The green pointer hand is used represent a task the user may perform.

☞ The red pointer hand is used to represent a note of special interest.

SERFF Binder Tracking Number

The SERFF binder represents a collection of templates and plan data filed on behalf of one company, sent to one state. To ensure uniqueness and provide searching capabilities, each SERFF binder has a unique SERFF Tracking Number. The SERFF Tracking Number is comprised of three parts.

Instance Identifier	State and Binder Year Identifier	Unique Numeric Characters
ABCD	WY14	000004382

1. **Instance Identifier:** A unique, four character ID assigned to an instance by the SERFF Help Desk. Both states and industry are assigned Instance Identifiers.
2. **State and Binder Year Identifier:** The specific state to which the binder is submitted, as well as the applicable plan year for the QHPs being submitted.
3. **Numeric Value:** A numeric string that, when combined with the Instance Identifier and State and Binder Year Identifier, create a unique SERFF Binder Tracking Number. This portion of the tracking number is created by the SERFF application.

Plan Management User Roles

The ability to perform Plan Management functions within SERFF is based on the roles assigned to a SERFF User Name. Some users may have a role assigned to their ID that permits greater access while other users may have a role with limited access to SERFF Plan Management functions. Roles have pre-determined permissions within the SERFF application that dictate role-related responsibilities. The SERFF Help Desk maintains and assigns roles for all users. Below is a table that explains the permissions associated with each state SERFF Plan Management User role:

Role	Description
State Plan Management User	Allows a State User to review submitted binders, create correspondence, including Dispositions, edit Plan Management General Instructions, and assign Reviewers.
Certify Plan User	This role gives the user permission to certify plans. This gives the user access to all of the certification functionality – create, edit, delete draft, and submit.
Plan Management Read-only	This role allows read only access to all binders on the instance.
State Plan Management Transfer Plan User -	This role allows the user the ability to transfer a plan or plans to a state exchange or the Federal system.

☞ **Note:** With the Read- only role, the user won't be able to view items included on the Associate Schedule Items tab.

☞ **Note:** The Certify Plan User role, is an action that an SBM, SPM, or MPM would take. Typically FFMs will not use this functionality.

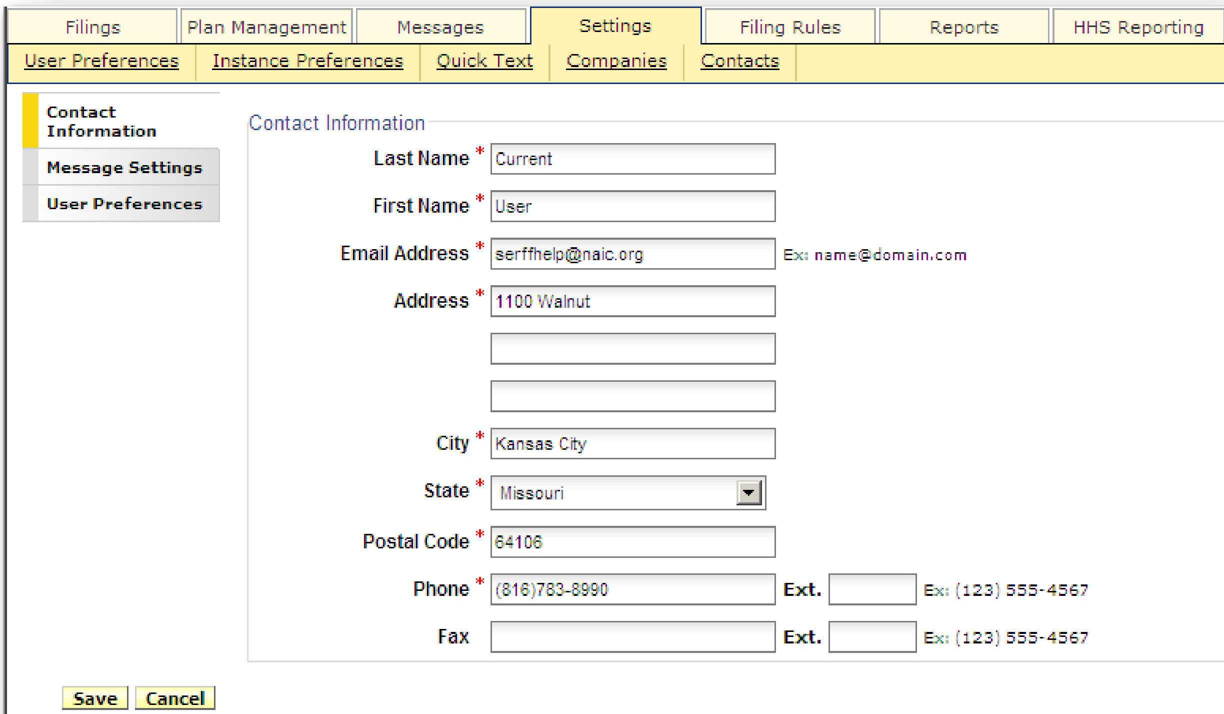
Settings

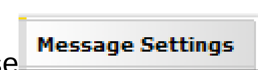
Message Settings

The State Plan Management User role in SERFF will generate several messages related to binders. The user will not automatically be opted in to all of the new message types. To begin receiving these messages, users should navigate to their ‘Message Settings’ and select the Plan Management message types they would like to receive.

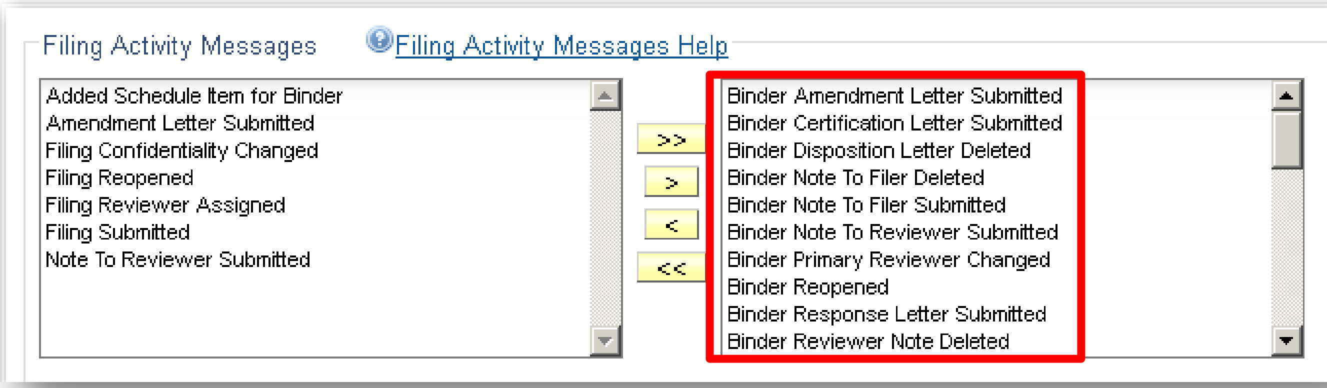
☞ **Updating Message Settings**

1. Click on the ‘Settings’ tab.



2. Choose 

on the left hand side of the screen.
3. To begin receiving a specific message, highlight the message type and move it to the box on the right.
    a. Messages on the right will be received in the user’s Message Center; messages on the left will not be received. It’s recommended that users opt in to all binder messages.



Messages related to Plan Management are as follows:

- Binder Amendment Letter Submitted
- Binder Certification Letter Submitted
- Binder Disposition Letter Deleted
- Binder Note to Filer Deleted
- Binder Note to Filer Submitted
- Binder Note to Review Submitted
- Binder Note to Review Changed
- Binder Reopened
- Binder Response Letter Submitted
- Binder Reviewer Note Deleted
- Binder Reviewer Note Saved
- Binder Submitted
- Plan Exchange Workflow Status Updated
- Plan State Status Updated
- Plan Transferred to Exchange
- Removed Schedule Item from Binder
- Review Status Updated for Binder

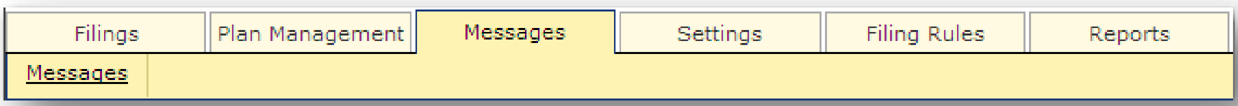
For more information regarding SERFF Message Settings please refer to page 146 of the SERFF User Manual.

Messages

The Message Center contains notifications about activity on SERFF filings and binders. Users receive messages for all events on filings or binders to which they are a reviewer or have access via SERFF roles.

Messages are identified by a distinct subject line. Once the message is opened, additional information is displayed and the user may link directly to the filing or binder referenced.

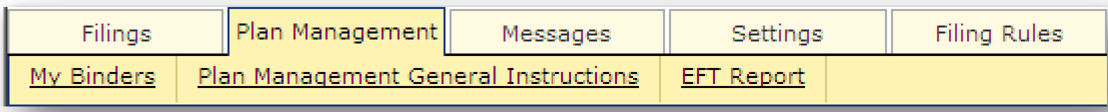
The Message Center may be accessed via the Messages tab located between the Plan Management and Settings tabs.



Plan Management View

Users with a Plan Management role, have access to Plan Management, which is located directly to the right of the Filings tab. Navigating to this tab will allow the user to work within the Plan Management view of SERFF.

Depending on the roles assigned, Plan Management users will have the option to view 'My Binders', 'Plan Management General Instructions,' or run an 'EFT Report.'



Binder Overview

A binder is a collection of one to many Plans sharing a common year, state, company, and market type. All SERFF Plan Management binders may be viewed under the Plan Management tab. Users with the State Plan Manager role will be able to view all binders within that instance.

My Binders

A listing of all binders, regardless of status, that have been submitted to a given state.

Plan Management General Instructions

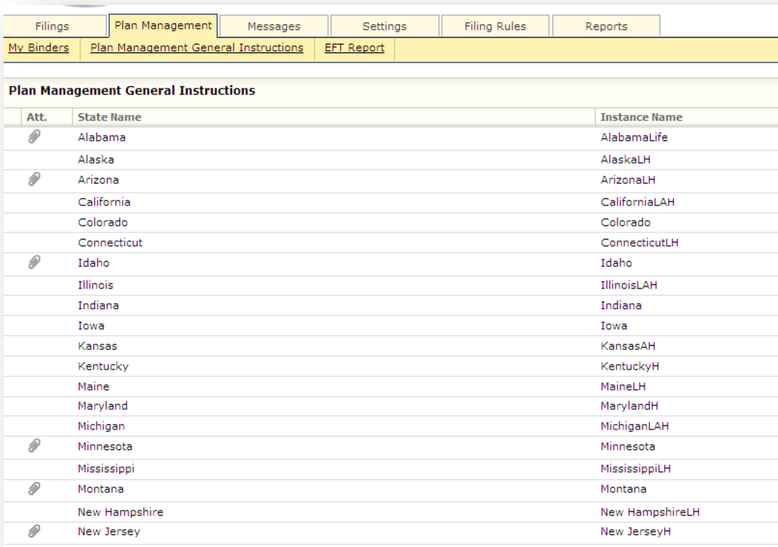
Plan Management General Instructions contain overall binder information advising companies how they should submit SERFF binders to a particular state. It is important to be as specific and thorough as possible in the Plan Management General Instructions to ensure industry users submit the most complete and accurate binder.

EFT Report

The EFT report includes all Plan Management binder and SERFF filing transactions. Please note: The summary report does not indicate the type of SERFF transaction.

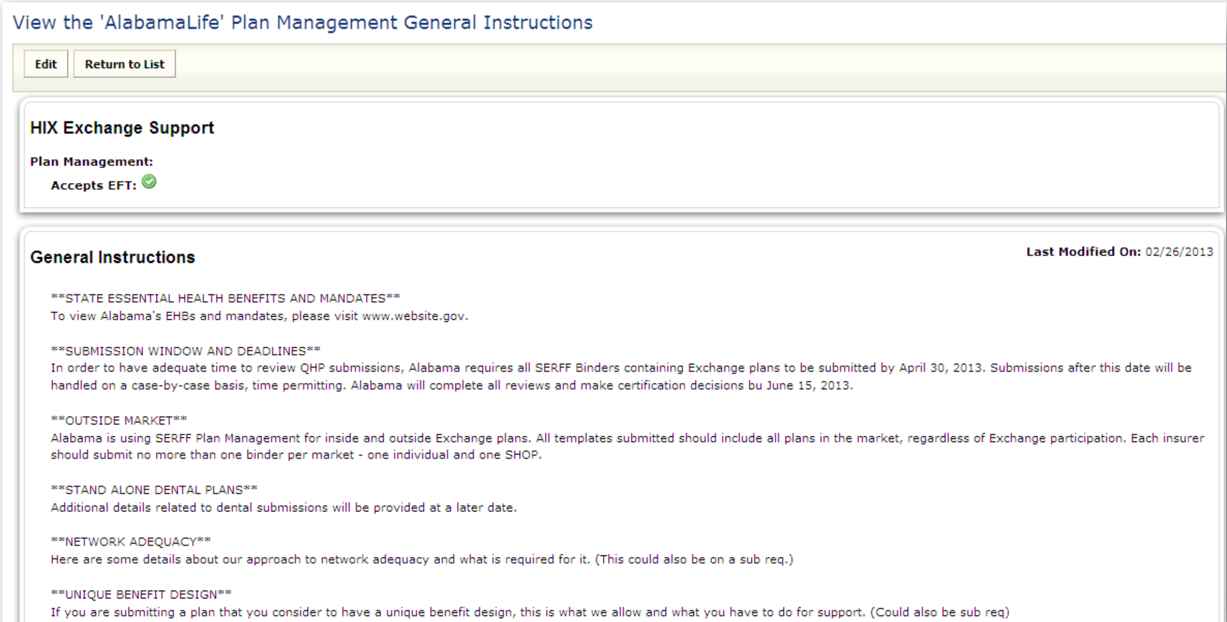
View Plan Management General Instructions

1. Click the Plan Management tab.
2. Click on the Plan Management General Instructions link. A list of all Plan Management General Instructions is displayed for states participating in SERFF Plan Management.

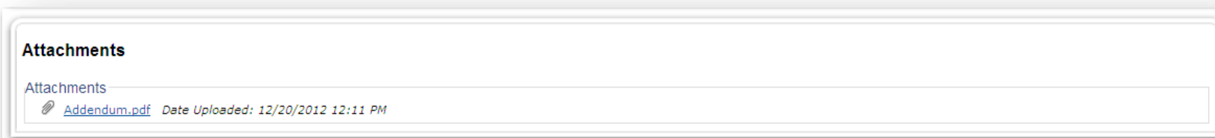


Att.	State Name	Instance Name
	Alabama	AlabamaLife
	Alaska	AlaskaLH
	Arizona	ArizonaLH
	California	CaliforniaLAH
	Colorado	Colorado
	Connecticut	ConnecticutLH
	Idaho	Idaho
	Illinois	IllinoisLAH
	Indiana	Indiana
	Iowa	Iowa
	Kansas	KansasAH
	Kentucky	KentuckyH
	Maine	MaineLH
	Maryland	MarylandH
	Michigan	MichiganLAH
	Minnesota	Minnesota
	Mississippi	MississippiLH
	Montana	Montana
	New Hampshire	New HampshireLH
	New Jersey	New JerseyH

3. To open the Plan Management General Instructions for a specific state instance, click anywhere in the state row.
4. The selected Plan Management General Instruction page is displayed.

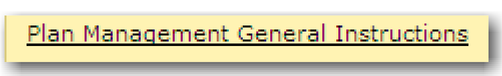


If there are attachments, they will be displayed at the bottom of the page.

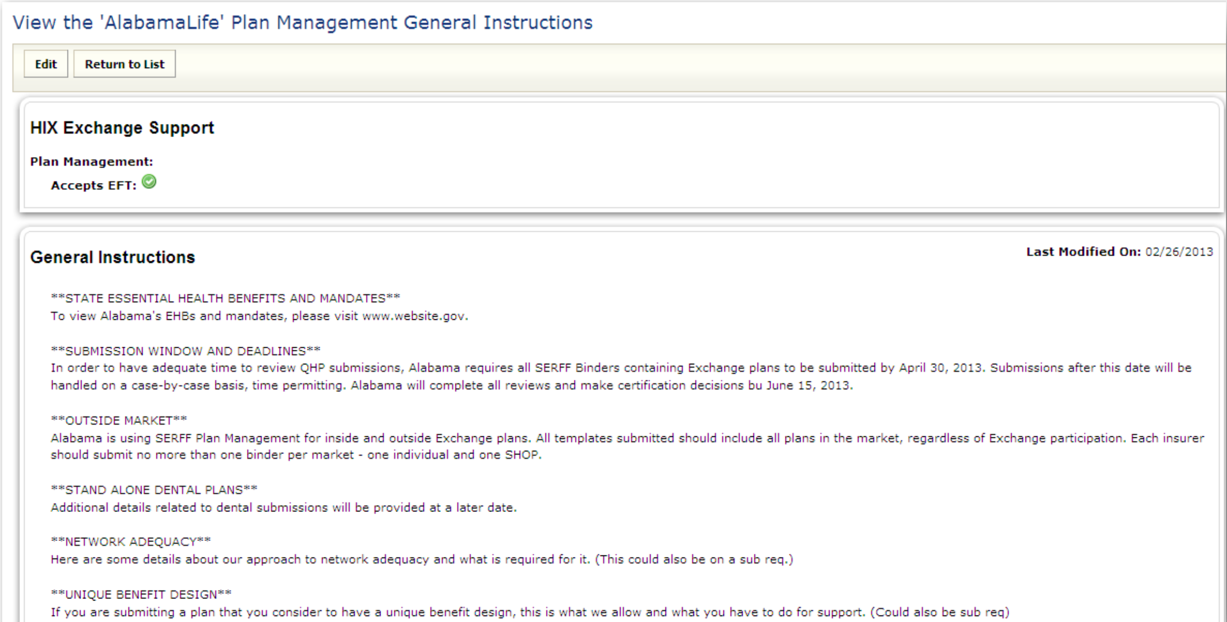


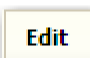
Editing Plan Management General Instructions

You must have the State Plan Manager role assigned to your SERFF user ID to edit Plan Management General Instructions.

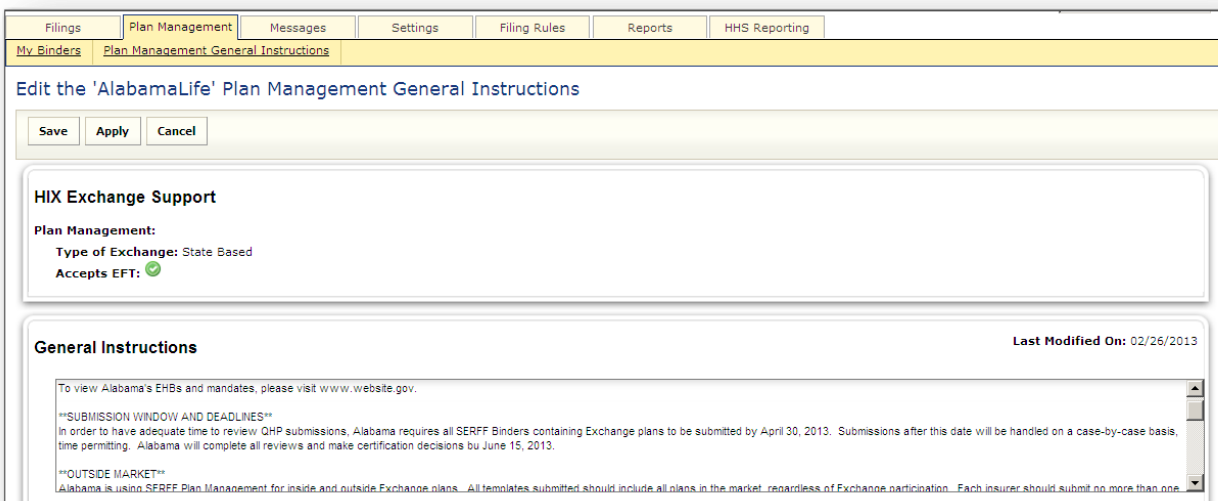
1. Click the Plan Management tab.
2. Click on the  link.

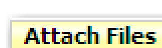
3. Choose the Plan Management General Instructions to edit.

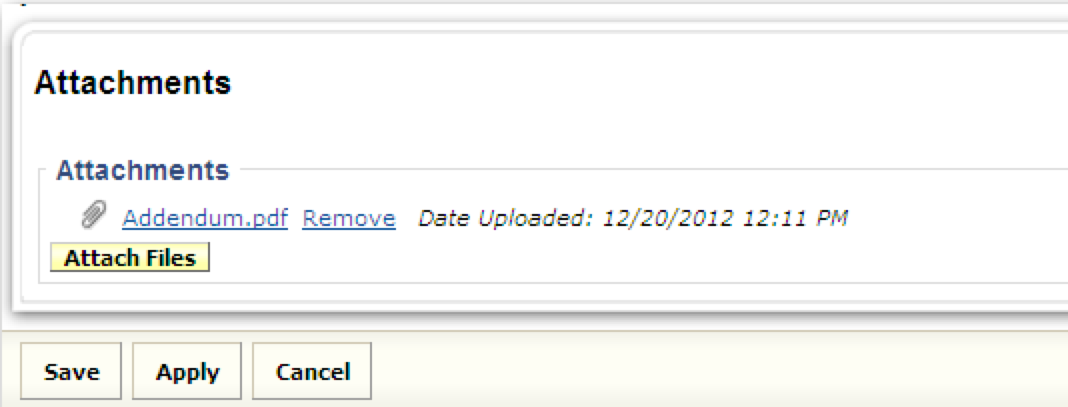


4. Click the  button.

5. Update the Plan Management General Instructions as necessary.



6. If there are attachments, attach them under the Attachments section using the  button.

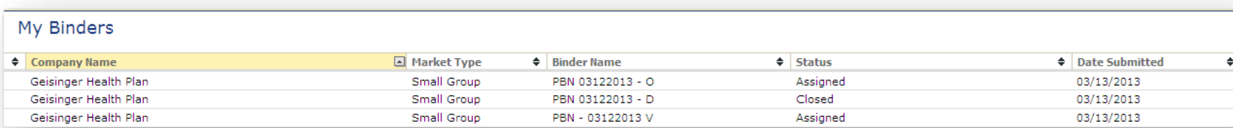


7. Click the **Save** button.

My Binders

Opening a Binder

1. Navigate to any of the binders listed in the 'My Binders' view and click anywhere on the binder row.

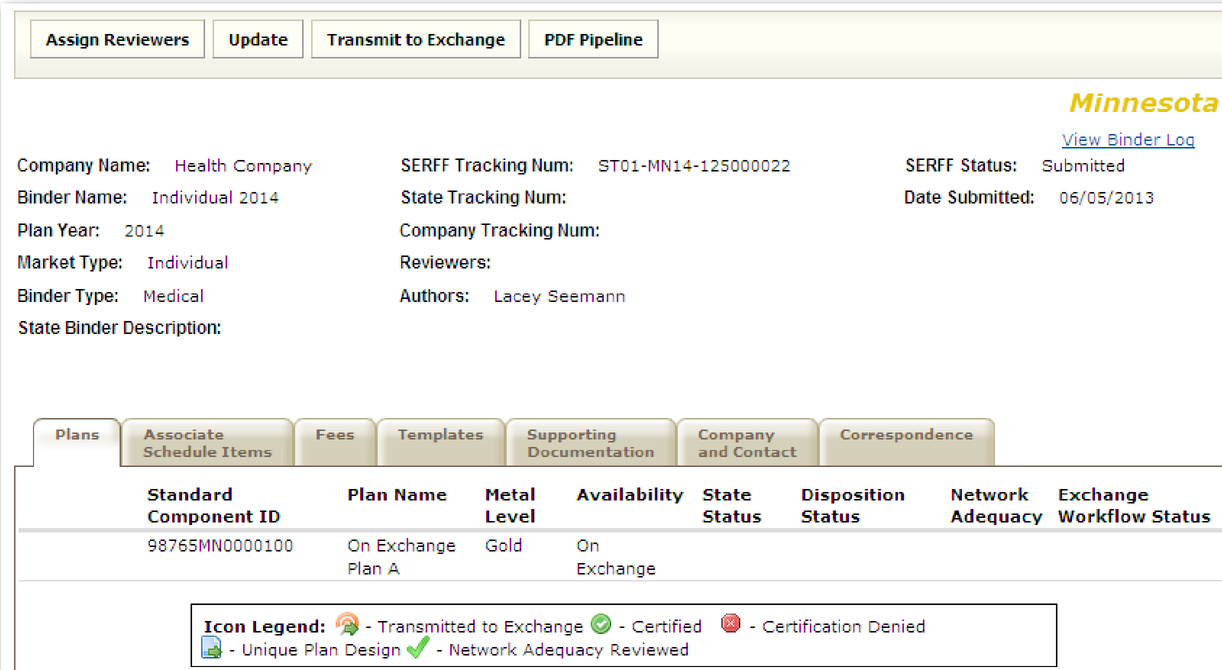


My Binders

Company Name	Market Type	Binder Name	Status	Date Submitted
Geisinger Health Plan	Small Group	PBN 03122013 - O	Assigned	03/13/2013
Geisinger Health Plan	Small Group	PBN 03122013 - D	Closed	03/13/2013
Geisinger Health Plan	Small Group	PBN - 03122013 V	Assigned	03/13/2013

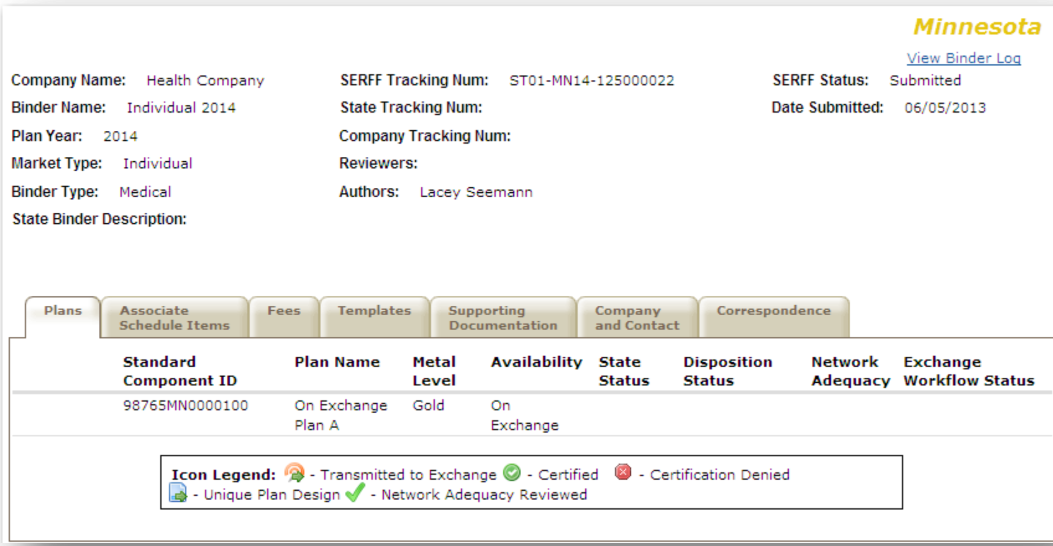
There are several buttons at the top of the page. Some of the buttons may not display, depending on the access of the user and the status of the binder:

Assign Reviewers	Allows the assignment of the binder to one or more reviewers.
Update	Puts the binder in edit mode and allows the update of certain fields.
Transmit to Exchange	Allows plans to be transferred to the Exchange.
PDF Pipeline	Creates a PDF of the binder with options to include the entire binder or selected portions.
Reopen	Allows the user to reopen the binder for further updates.


Assign Reviewers
Update
Transmit to Exchange
PDF Pipeline
Minnesota
View Binder Log
Company Name: Health Company
SERFF Tracking Num: ST01-MN14-125000022
SERFF Status: Submitted
Binder Name: Individual 2014
State Tracking Num:
Date Submitted: 06/05/2013
Plan Year: 2014
Company Tracking Num:
Market Type: Individual
Reviewers:
Binder Type: Medical
Authors: Lacey Seemann
State Binder Description:
Plans
Associate Schedule Items
Fees
Templates
Supporting Documentation
Company and Contact
Correspondence
Standard Component ID
Plan Name
Metal Level
Availability
State Status
Disposition Status
Network Adequacy
Exchange Workflow Status
98765MN0000100
On Exchange Plan A
Gold
On Exchange
Icon Legend: - Transmitted to Exchange - Certified - Certification Denied
- Unique Plan Design - Network Adequacy Reviewed

Binder at a Glance

Binder at a Glance contains key information about the binder and is always displayed at the top of the page, regardless of which tab is being viewed.



The Binder at a Glance contains the following fields:

- **State**
- **View Binder Log:** Allows user to view the binder Log. This log contains a record of key activity that has occurred on the binder.
- **Company Name:** The company associated with the binder.
- **SERFF Tracking Num:** This number is unique and assigned by SERFF. It will differ from SERFF filing tracking numbers by containing four extra numbers and letters in the middle of the tracking number.
- **SERFF Status:** This value is assigned by the SERFF application and automatically updates as activity occurs on a binder. This field has two main purposes: (1) give state and industry a common measure as to where the binder is in the process, and (2) give the SERFF application a mechanism to control activities that can take place on a binder.
    - **Draft:** Binder has been assigned a tracking number but has not been completed and submitted to the state.
    - **Submitted to State:** The binder has passed all applicable validations and Author has submitted the binder to the state. State can now access the filing.
    - **Assigned:** State has assigned the binder to one or more reviewers.

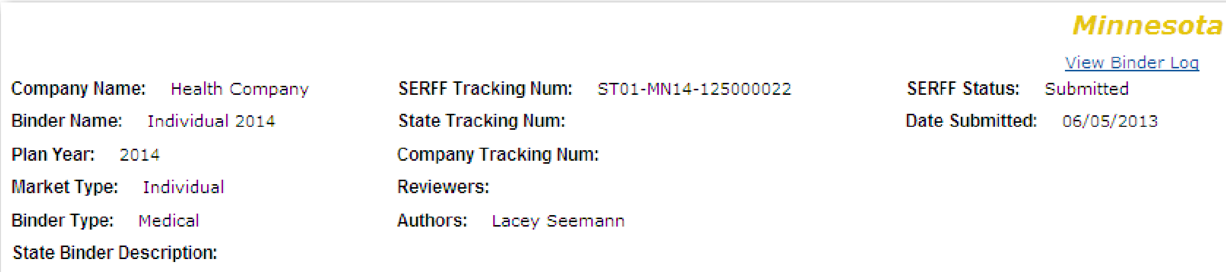
    - **Pending Industry Response:** There are one or more open Objection Letters on the binder that need a response from the issuer.
    - **Pending State Action:** One or more Objection Letters have been responded to by the issuer. Binder is still open.
    - **Closed:** The state has created a Disposition indicating the final action of the binder and its collection of plans.
    - **Reopened:** The state has reopened the binder.
- **Binder Name:** The issuer defined name of the plans being submitted.
- **State Tracking Num:** The state tracking number, if applicable.
- **Date Submitted:** The date the binder was submitted.
- **Plan Year:** The year the plans are effective within the Exchange Marketplace or the outside market.
- **Company Tracking Number:** The company tracking number, if applicable.
- **Market Type:** Individual or Small Group.
- **Reviewers:** Reviewers assigned to the binder.
- **Binder Type:** Medical or Dental Only.
- **Authors:** Authors of the binder.
- **State Binder Description:** This field is intended for the state to use however they deem necessary. They can enter state specific comments, track data, etc. This field is not seen by the industry. .

View Binder Log

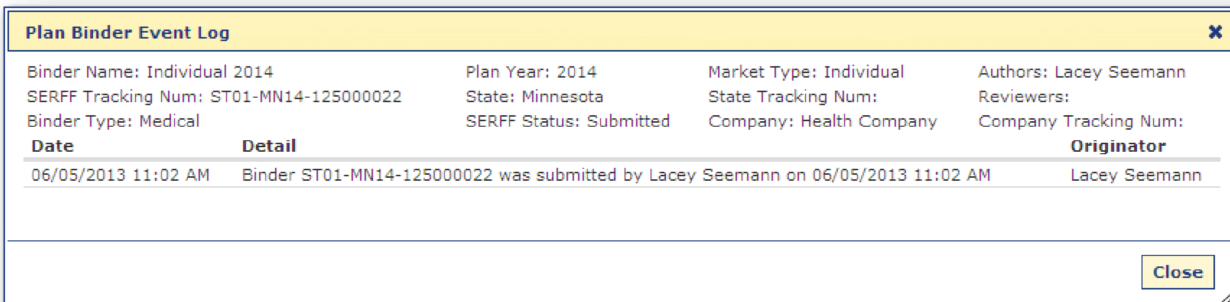
Users have the ability to view activity history on a binder with the View Binder Log feature. The activities displayed are limited to Binder Events. The View Binder Log feature is particularly helpful if more than one person has worked on a submission or if there was a problem with the submission.

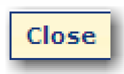
How to Access the Binder Log

1. To access View Binder Log, click on the View Binder Log hyperlink in the upper right-hand corner – under the state name.



2. A new window will open, containing a list of all activity on a binder. The activity is listed in chronological order, with the most recent activity on top. The View Binder Log hyperlink is available on open and closed binders.



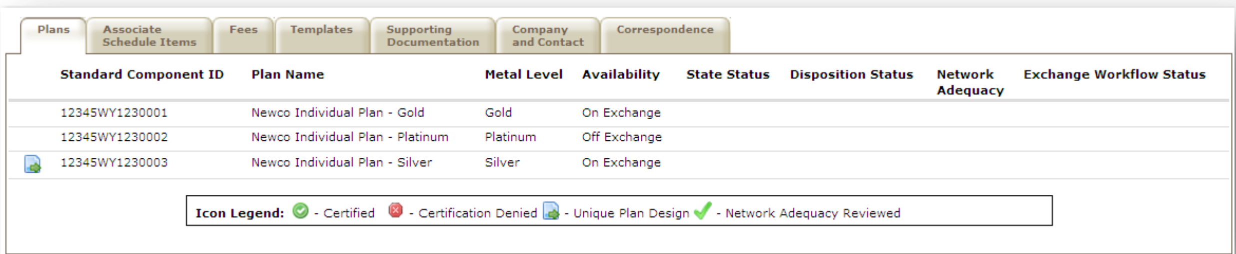
2. Once review of the binder activity has been completed, click 

. The user will be returned to the binder.

Plans Tab

The Plans tab contains the Standard Component ID, Plan Name, Metal Level, Availability, Unique Plan Design indicator, State Status, Disposition Status, Network Adequacy, and Exchange Workflow Status. All fields, outside of the Standard Component ID, State Status, Disposition Status, Network Adequacy, and Exchange Workflow Status are imported from a successfully validated Plans Benefits Template. If the template is revised and resubmitted, the fields will also be updated (if changed).

- Standard Component ID(s) are the level of the submission to which plans are certified. Once a binder has been submitted by the issuer, the Standard Component ID(s) will never change. In the event of a revision where additional plans are added, for example, a new binder must be created and submitted.

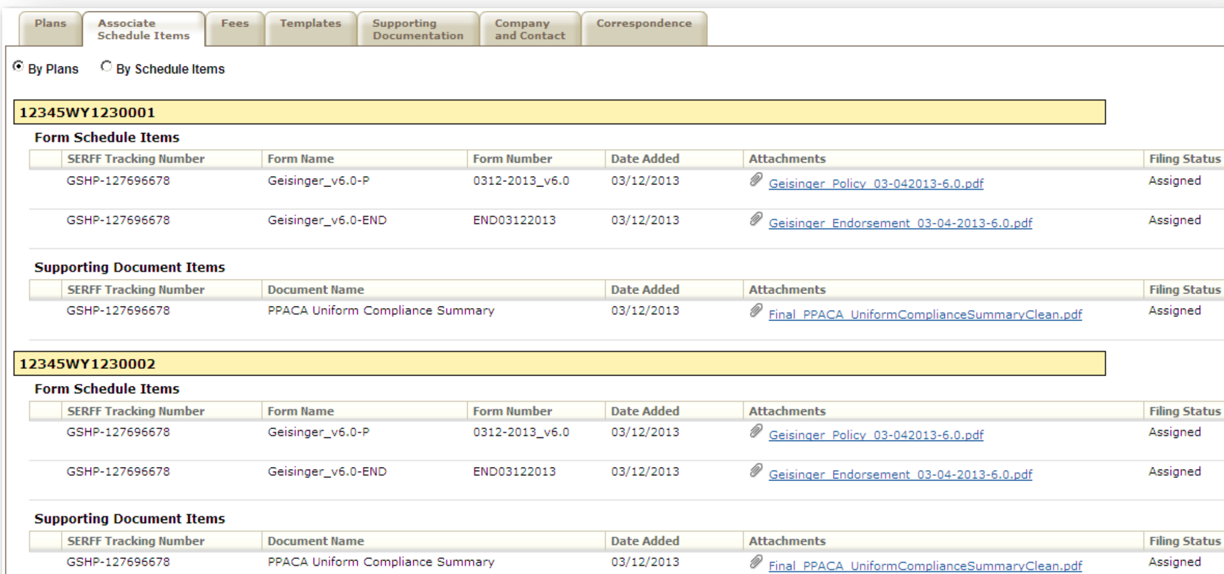


Associate Schedule Items

The Associated Schedule Items tab contains Rate and Form filing information linked to each plan within a binder. This feature allows the user to review submitted Rate and Form filing data that is related to the QHP submission. The user can view SERFF filing attachments without leaving the Plan Management workspace as they review a binder.

Things to keep in mind when reviewing Associated Schedule Items:

- Industry users cannot associate items that are in draft form.
- For each Associated Schedule Item attachment, the most recent version is always displayed.
- For each Associated Schedule Item listed, the corresponding and most current SERFF filing's status is displayed.
- Associated Schedule Items may be viewed by Plan or by Schedule Items.



12345WY1230001

Form Schedule Items

SERFF Tracking Number	Form Name	Form Number	Date Added	Attachments	Filing Status
GSHP-127696678	Geisinger_v6.0-P	0312-2013_v6.0	03/12/2013	Geisinger_Policy_03-042013-6.0.pdf	Assigned
GSHP-127696678	Geisinger_v6.0-END	END03122013	03/12/2013	Geisinger_Endorsement_03-04-2013-6.0.pdf	Assigned

Supporting Document Items

SERFF Tracking Number	Document Name	Date Added	Attachments	Filing Status
GSHP-127696678	PPACA Uniform Compliance Summary	03/12/2013	Final_PPACA_UniformComplianceSummaryClean.pdf	Assigned

12345WY1230002

Form Schedule Items

SERFF Tracking Number	Form Name	Form Number	Date Added	Attachments	Filing Status
GSHP-127696678	Geisinger_v6.0-P	0312-2013_v6.0	03/12/2013	Geisinger_Policy_03-042013-6.0.pdf	Assigned
GSHP-127696678	Geisinger_v6.0-END	END03122013	03/12/2013	Geisinger_Endorsement_03-04-2013-6.0.pdf	Assigned

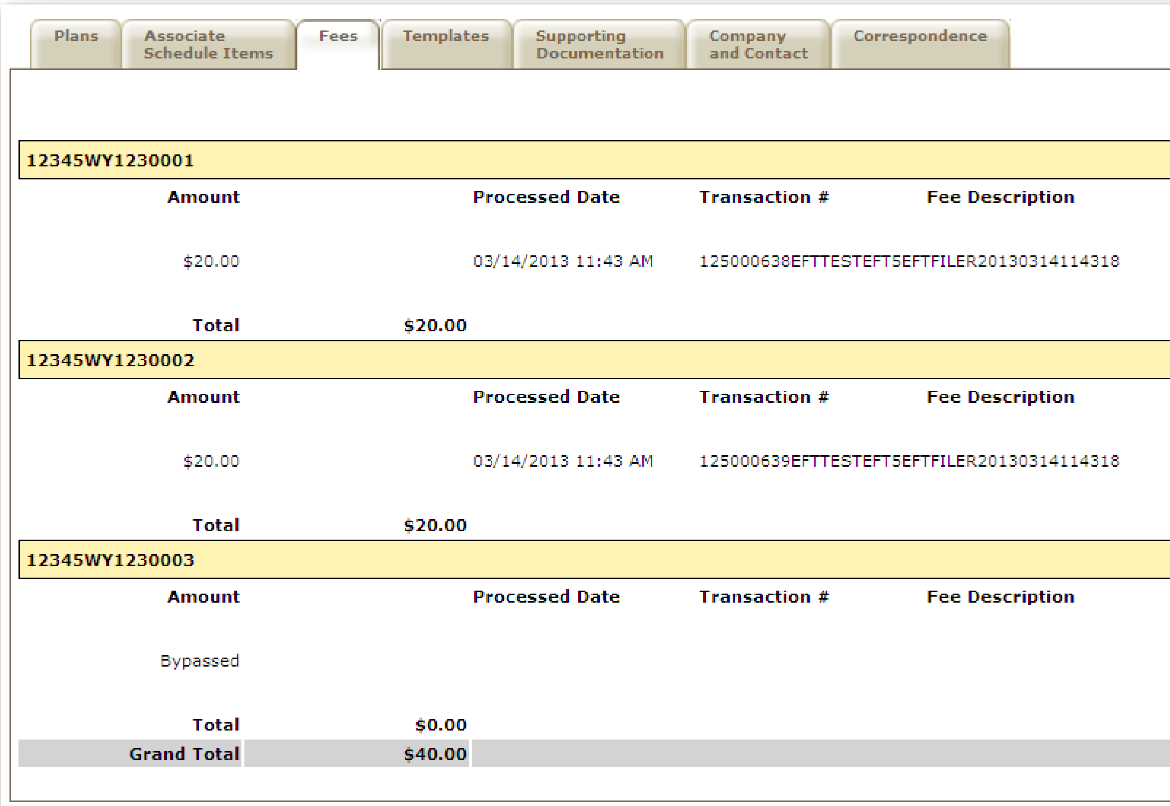
Supporting Document Items

SERFF Tracking Number	Document Name	Date Added	Attachments	Filing Status
GSHP-127696678	PPACA Uniform Compliance Summary	03/12/2013	Final_PPACA_UniformComplianceSummaryClean.pdf	Assigned

Fees

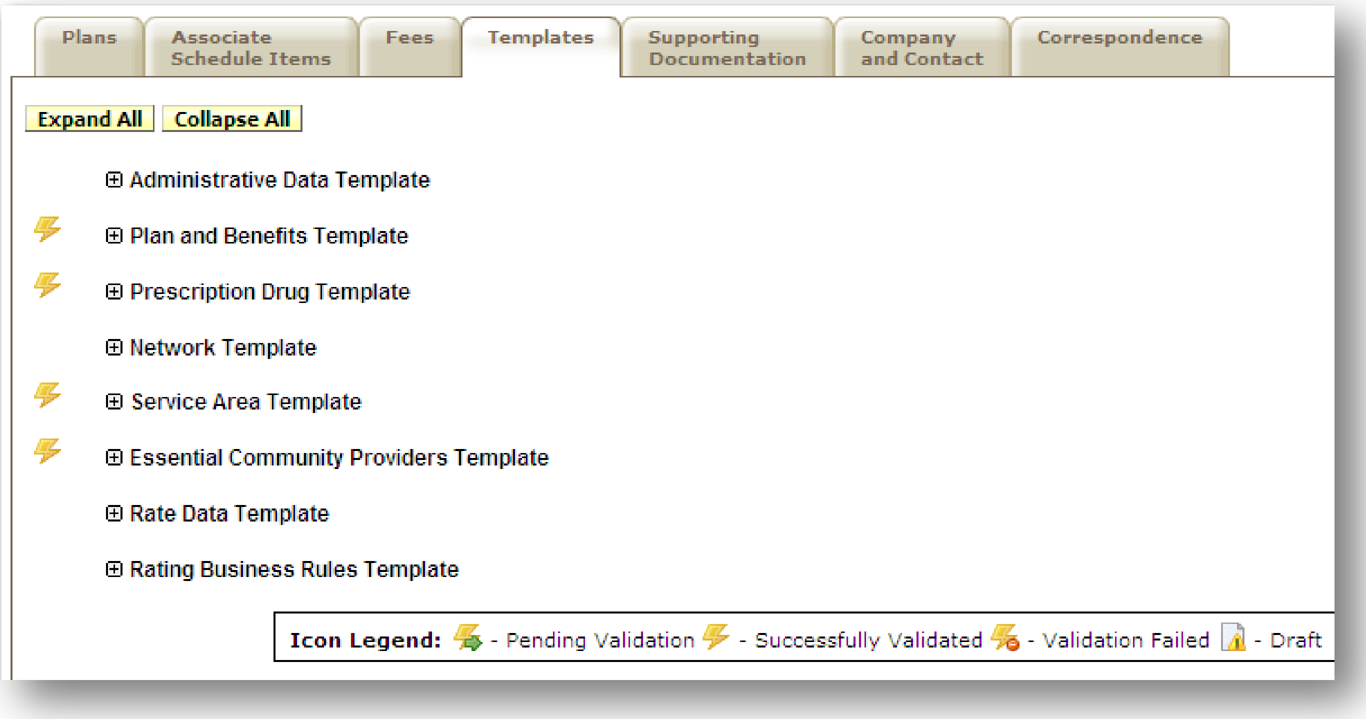
This is the section where plan fees are entered by the issuer and EFT information is displayed. If a fee for QHP submissions is required, the amount submitted, per plan will be displayed. Each plan is identified its corresponding Standard Component ID.

☞ The issuer may include the total amount due under one plan and bypass the remaining plans if a different fee structure exists or a flat fee is due for QHP submissions.

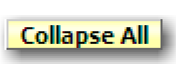


Templates

A template is a Microsoft Excel workbook intended to create a standard collection of plan and issuer-level data for the use of QHP certification, exchange operations, and oversight activities. State users will only see successfully validated templates on this tab. Successfully validated templates will show a  icon next to the template.

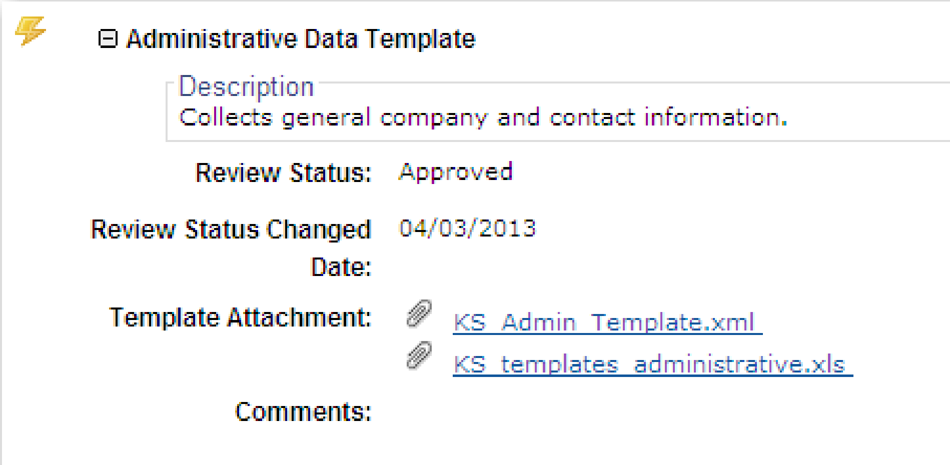


To expand all the templates and see the comments and/or attachments submitted with the binder.



To collapse all of the templates.

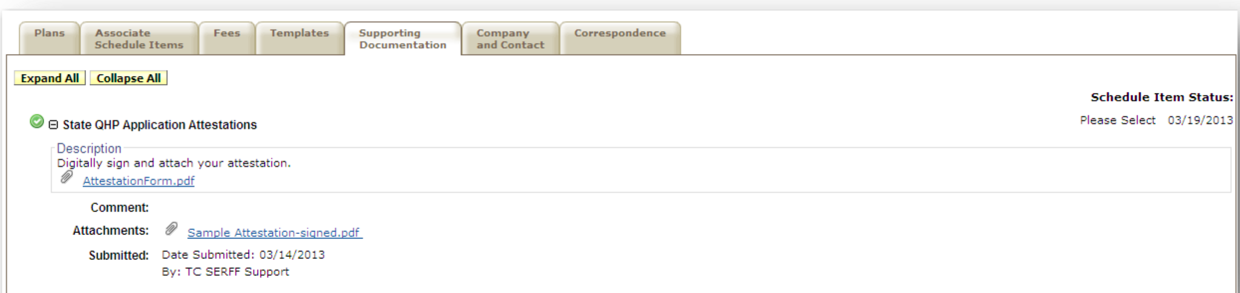
+/- To expand or collapse a single template.



☞ Once a template is expanded, the user will see a .xml file and a .xls file. The reviewer may click on the .xls version of the template to assist with plan review.

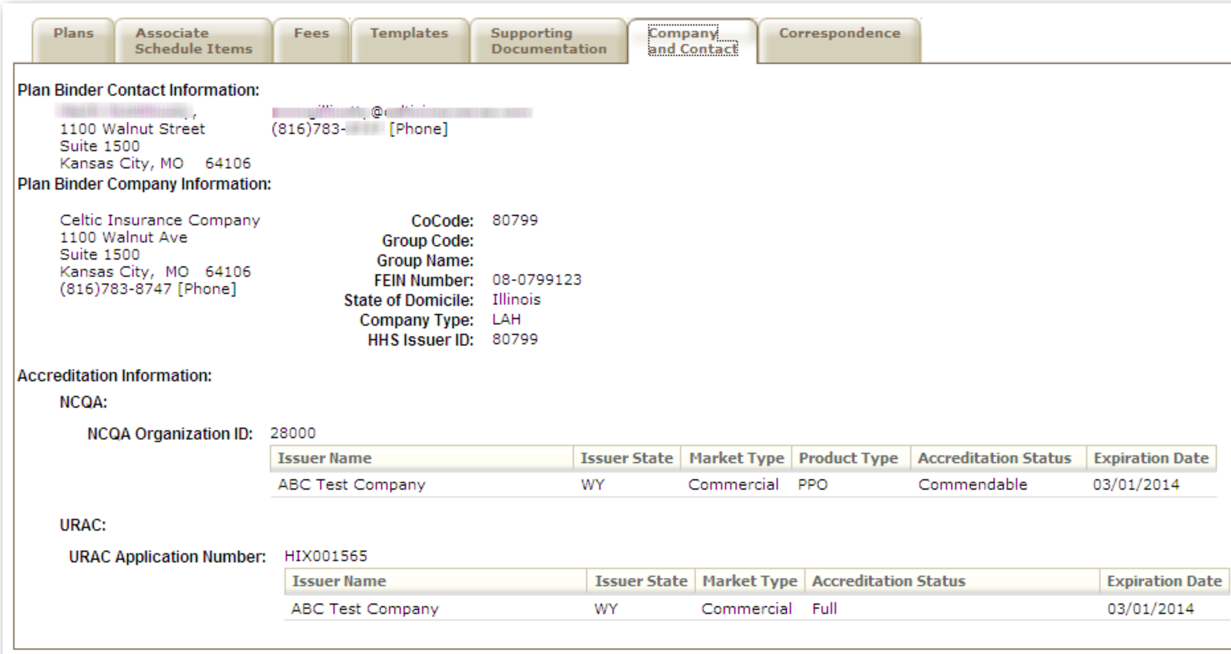
Supporting Documentation

The Supporting Documentation tab provides functionality for attaching information to a binder that may be required by the state. Most states require Federal Supporting Documentation which is listed on this tab. Clicking the tab displays a list of requirements that have been satisfied or bypassed.



Company and Contact

This is the section of the binder where the state views the company and contact information.



Accreditation information, provided by NCQA and URAQ, is displayed on the Company and Contact tab. The Accreditation IDs are entered on the Company maintenance screen.

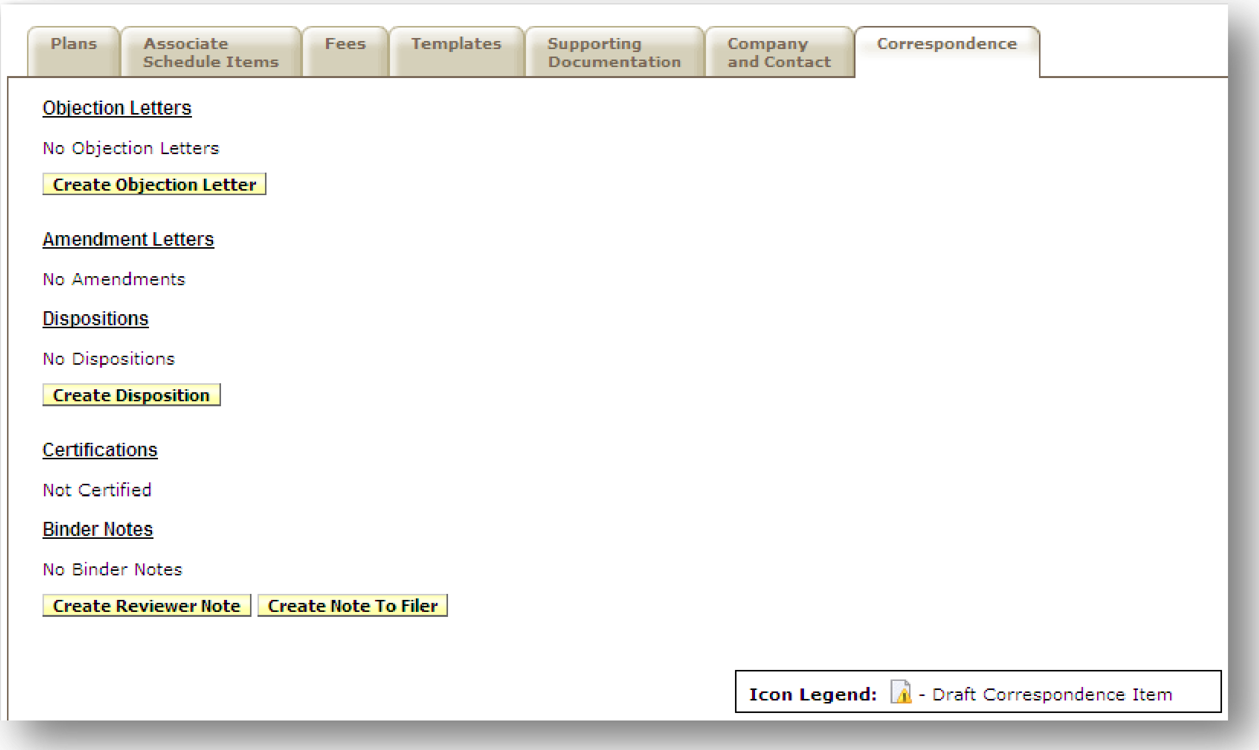
☞ If a NCQA or URAQ ID is added after binder creation it will not be reflected on the binder.

The following NCQA and URAQ fields will be displayed under Accreditation Information:

- Issuer Name
- Issuer State
- Market Type
- Product Type
- Accreditation Status
- Expiration Date

Correspondence

The Correspondence tab is where communication between industry and state is stored. The Correspondence tab contains Notes to Reviewer, Notes to Filer, Reviewer Notes, Objections Letters, Amendments, Response Letters, Dispositions, and Certifications.



Assigning a Binder

Assigning a binder will be completed through the same process as with rate and form filings.

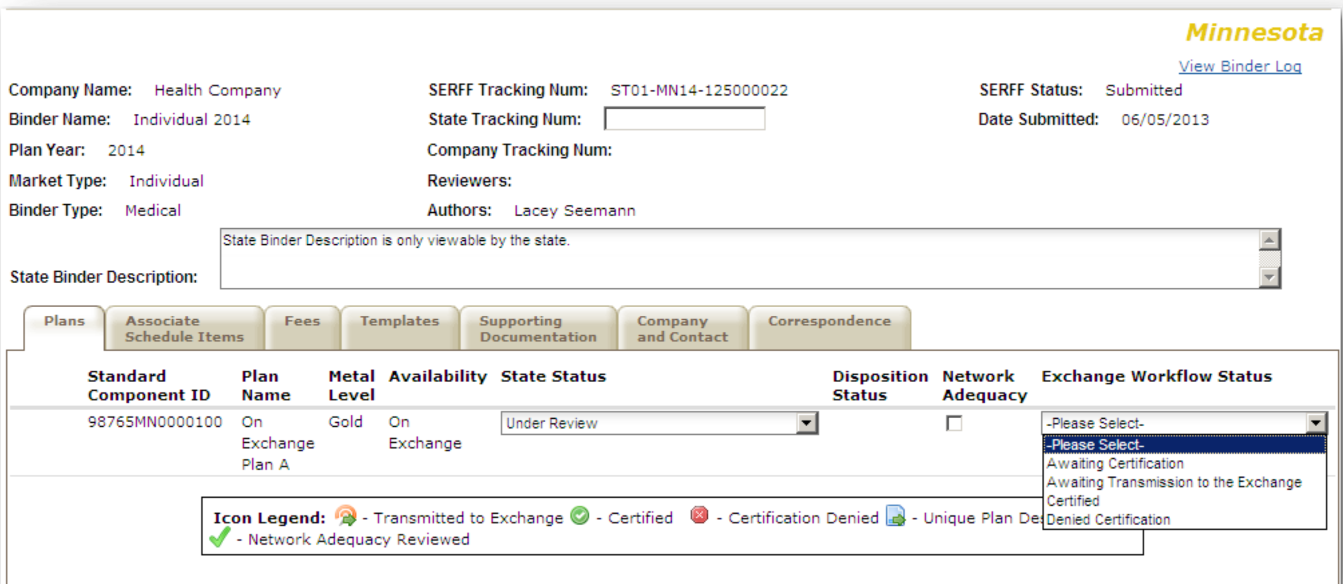
For more information on assigning a reviewer to a binder please refer to page 93 of the SERFF User Manual.

Updating a Binder

In addition to creating Correspondence (which is covered in the next lesson) there are a number of updates the state can make to a binder to manage workflow during the review process.

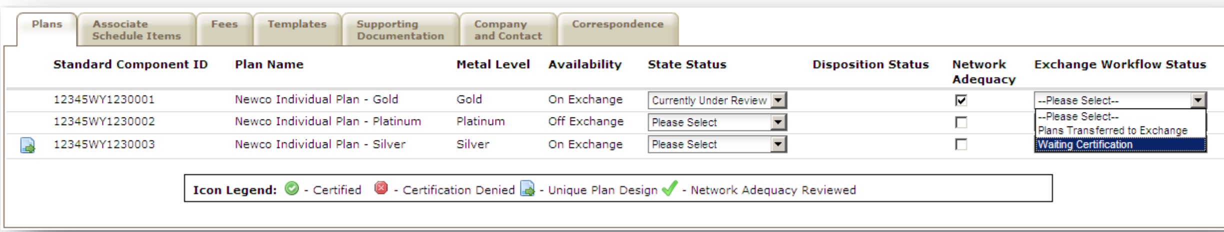
☞ Updating a Binder

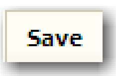
1. Click the **Update** button. The binder is put into update/edit mode.



2. Enter a State Tracking Number (optional).
3. Enter a State Binder Description (optional).
4. Under the Plans tab, select a State Status (optional) for each plan included in the binder. State statuses are pulled from the state's Instance Preferences and may be set at any time. Additionally, they are displayed to industry users. A Configuration Manager may create additional state statuses that are applicable to plan review to assist with workflow management.

5. Under the Plans tab, select the Network Adequacy Indicator (if applicable) for each plan. The Network Adequacy Indicator is a field that allows the state reviewer to indicate that the issuer's plan meets their network adequacy standards.
6. Under the Plans tab, select an Exchange Workflow Status (if applicable) for each plan. The Exchange Workflow Status is a configurable status intended for use by a State-based Exchange, Department of Insurance and their Exchange counterpart. This status may also be useful for states in other Exchange models to indicate the status of review activities that may be completed by the Department of Insurance or another entity (outside of the Department of Insurance.



7. Click 

to finalize your updates.

Note: The Certified or Certification Denied icons won't appear until the Certification has been submitted. Also, the Disposition Status will automatically update once the Disposition has been submitted for the binder.

Updating Status on a Supporting Documentation Item

SERFF allows the Reviewer to set an optional status on each item on the Supporting Documentation tab:

Note: The Schedule Item Status can be updated from the Instance Preferences under the Settings tab. All status option updates must be made by users with the Configuration Manager role under the Settings tab.

1. Click the **Update** button to put the binder in Edit mode.
2. Navigate to the Supporting Documentation tab.
3. Click the drop down list next to a Schedule Item.
4. Select the status appropriate for the item.
5. Save the binder.

Reviewer Notes

A Reviewer Note is internal communication and is not submitted to industry. Only those state users who have access to the filing will be able to view the Reviewer Note.

For more information regarding Reviewer Notes, please refer to Lesson 5 of the SERFF User Manual.

Note to Filer

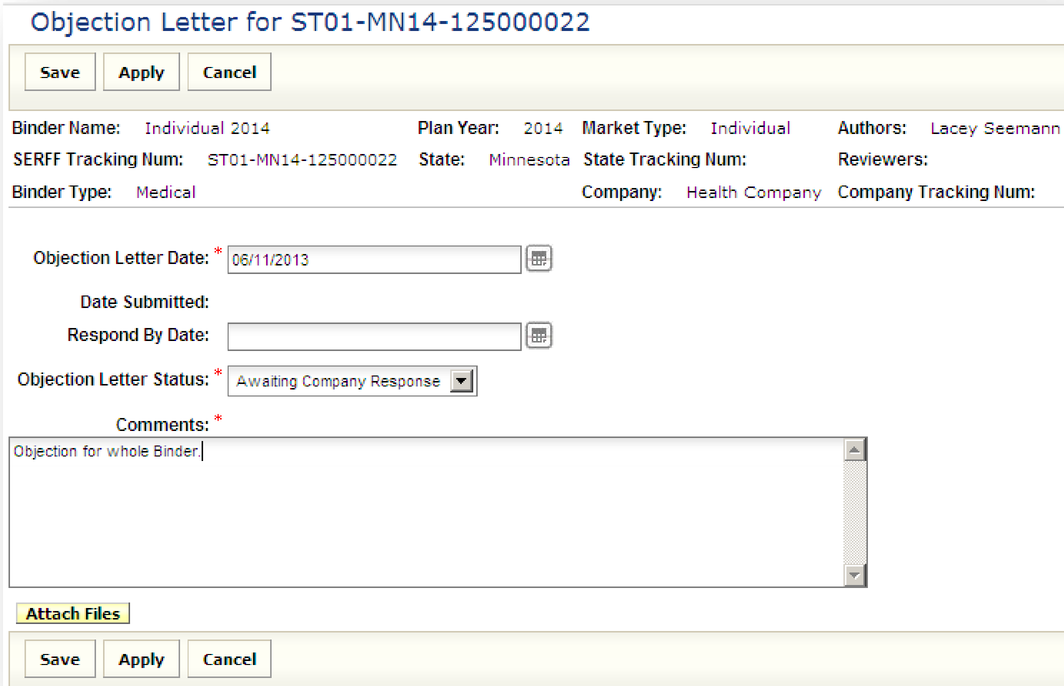
A Note to Filer is sent from a state user to the filer.

For more information regarding Notes to Filer, please refer to Lesson 5 of the User Manual.

Objection Letters

Creating an Objection Letter

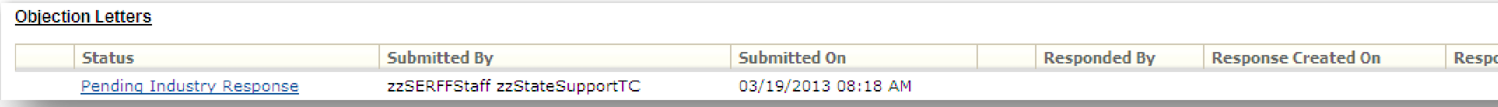
A reviewer may send an Objection Letter containing one to many issues informing the issuer of items that need to be amended and resubmitted. Click the **Create Objection Letter** button from within the Correspondence tab.



1. The Objection Letter Date will automatically populate today's date, but may be changed if desired.
2. Enter a Respond By Date (if applicable) for a date in the future. This date is used to notify the issuer of the latest date the state will accept a response to the Objection Letter.
3. Select the Objection Letter Status from the dropdown.
4. Enter any objections pertaining to thebinder in the Comments field.
5. Upload any attachments (if applicable).
6. Click the **Save** button.
7. Once you have confirmed the Objection Letter is correct click the **Submit** button.

   ☞ After clicking **Save**, the user may Submit, Edit, Delete or Close the Objection Letter.

8. The Date Submitted under the Filing Correspondence tab indicates the date the Objection was sent to the issuer.



For more information regarding Objection Letters please refer to Lesson 5 of the SERFF User Manual.

Response Letters

For more information about viewing Response Letters please refer to Lesson 5 of the SERFF User Manual.

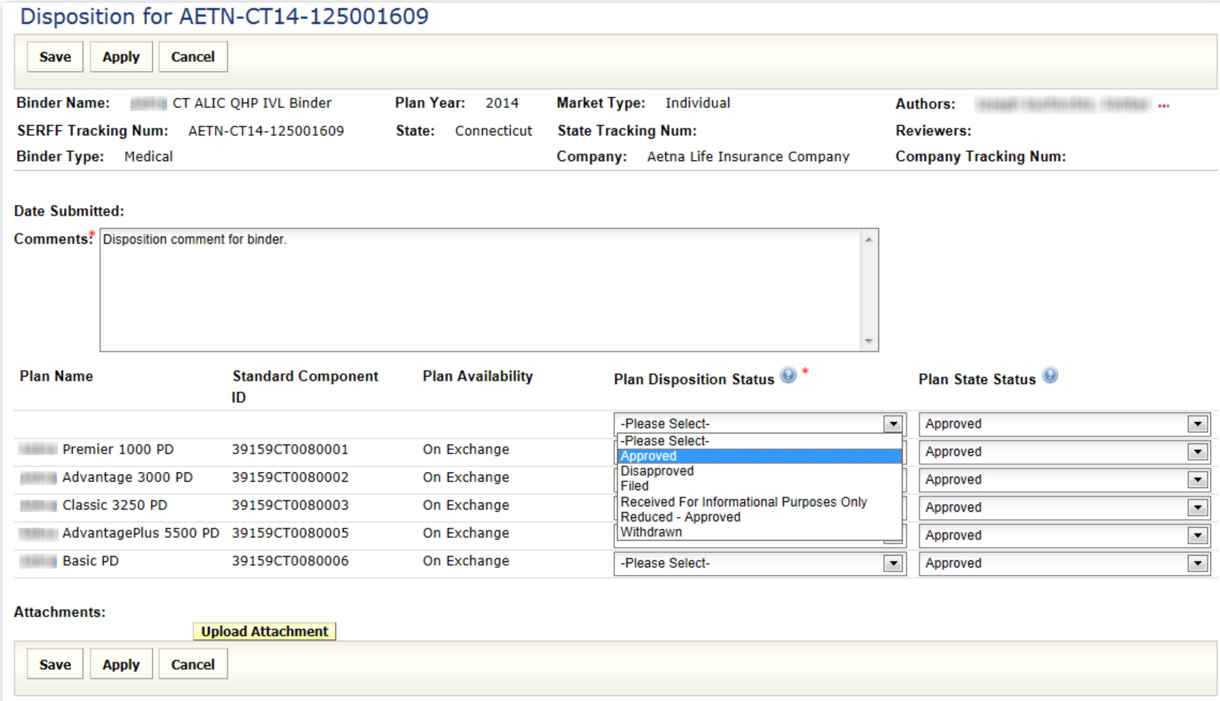
Dispositions

A Disposition is the final result of the review of the binder. When a Disposition is created, the status of the binder is changed to 'Closed'. While the Disposition is created and submitted at the binder level, plans are approved and/or disapproved at the plan level..

Creating a Disposition

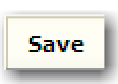
1. Click the Filing Correspondence tab.
2. Click the 

button.

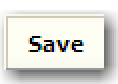


3. Enter comments.
4. SERFF will automatically bring in the Plan Name, Standard Component ID and Plan Availability for the plans included on the binder.
5. Select a Plan Disposition Status for each plan. The Plan Disposition Status is pulled from the State Instance Preferences and is displayed to industry users.

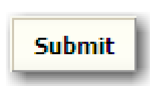
☞ **Note**: All status option updates must be made by users with the Configuration Manager role under the Settings tab.

6. Select a Plan State Status for each Plan (if applicable). If a Plan State Status was previously selected for each plan, SERFF will automatically populate these fields for the user.
7. Upload any attachments (if applicable).
8. Click the 

button.

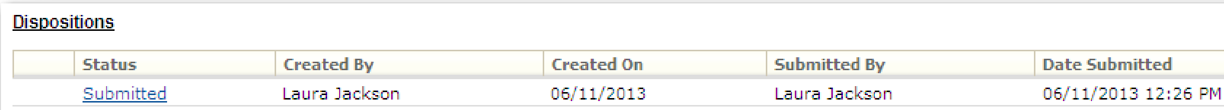
☞ After clicking 

, the user may Submit, Edit, Delete or Close the Disposition Letter.

9. Once you have confirmed the Disposition is correct click the 

button.

10. The Date Submitted under the Filing Correspondence tab indicates the date the Disposition was sent to the issuer.



For more information regarding Dispositions please refer to Lesson 5 of the SERFF User Manual.

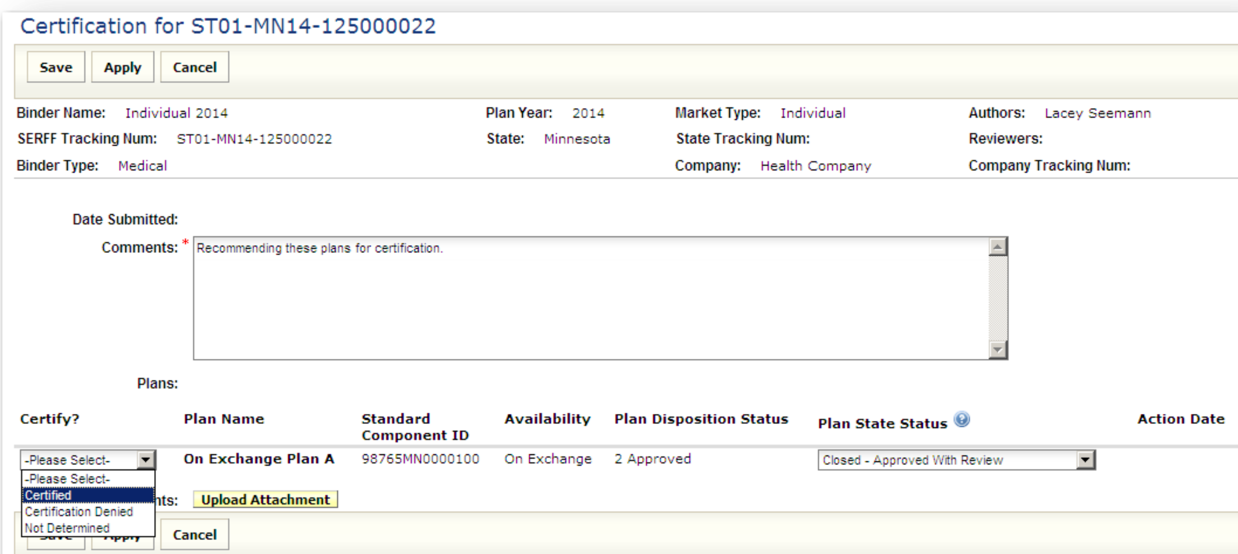
Certifications

Once the Disposition is submitted, users with the proper permissions will have the ability to certify one to many plans within the binder. Certifications are used to identify plans that have been certified or denied certification to be on the Exchange. As decisions may take place at varying times for plans included in a single binder, multiple Certifications may be submitted.

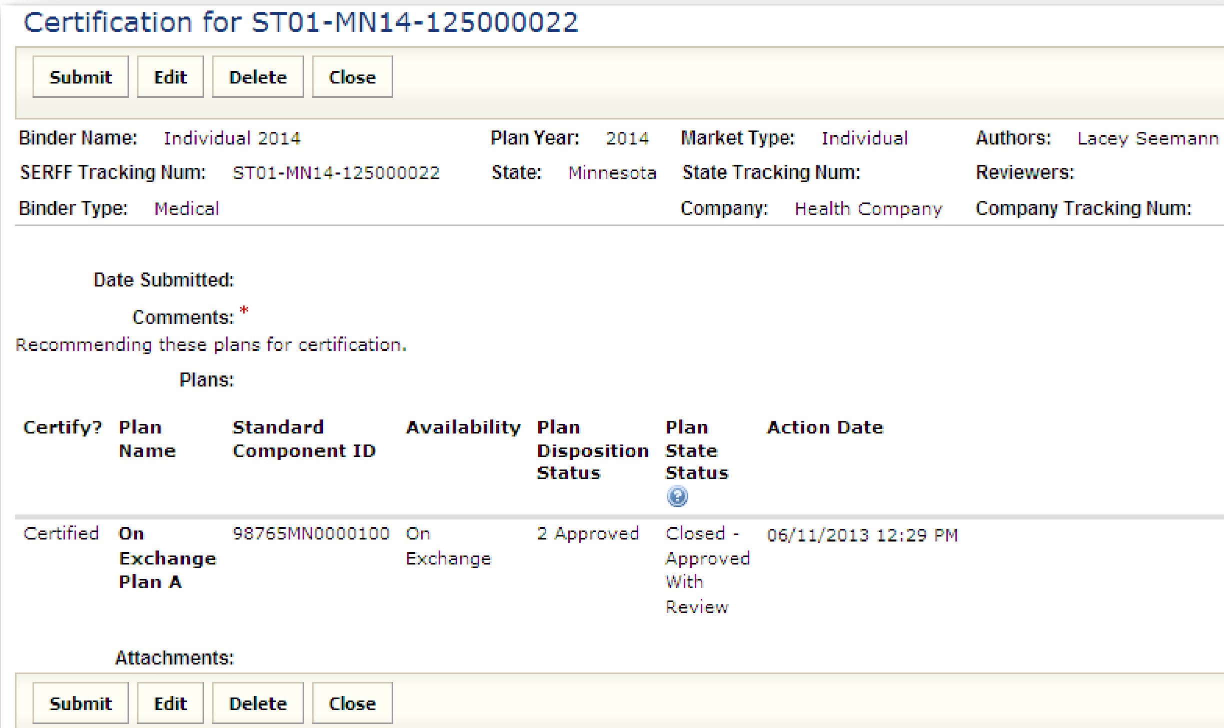
Note: If your state or jurisdiction is a State Partnership Exchange or Marketplace Plan Management Exchange, you will be recommending Certification to the Federal Exchange. The user will select certified or certification denied as a recommendation to the Federal Exchange.

Creating a Certification

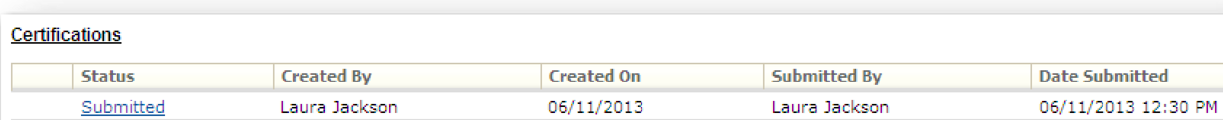
1. Click the Correspondence tab.
2. Click the **Certify** button.



3. Select a status from the Certify dropdown for each plan. This identifies each plan as being ‘Certified,’ ‘Certification Denied,’ ‘Not Determined,’ Or ‘Decertified.’
4. If a Plan State Status was selected on the Disposition, the Plan State Status field is automatically populated.
5. Enter comments.
6. Upload any attachments (if applicable).
7. Click the **Save** button.



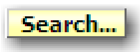
8. Similar to creating Objection Letters and Disposition, once you have confirmed the Certification is correct click the **Submit** button.
9. The Date Submitted under the Correspondence tab indicates the date the Certification was submitted.



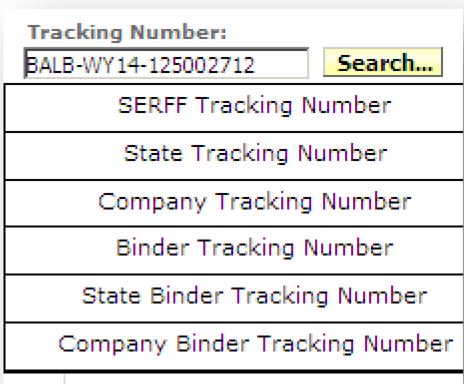
Tracking Number Search

The Tracking Number Search box displays in the upper right portion of the SERFF Workspace. This search will use the value entered to search the SERFF Tracking Number, State Tracking Number, Company Tracking Number, Binder Tracking Number, State Binder Tracking Number, and Company Binder Tracking Number.

☞ Running a Tracking Number Search

1. Enter the tracking number search field.
2. Click the 

button and select the appropriate search selection from the displayed drop-down menu.

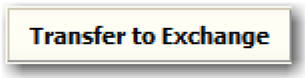


☞ A wildcard may be used to take the place of the part of the number that isn't known. In the Tracking Number search, the wildcard is (*). For example, if 'SERF-FL14-12501*' is entered, it will produce all binders that begin with 'SERF-FL14-12501.' The wildcard may be used at the beginning of the number as well.

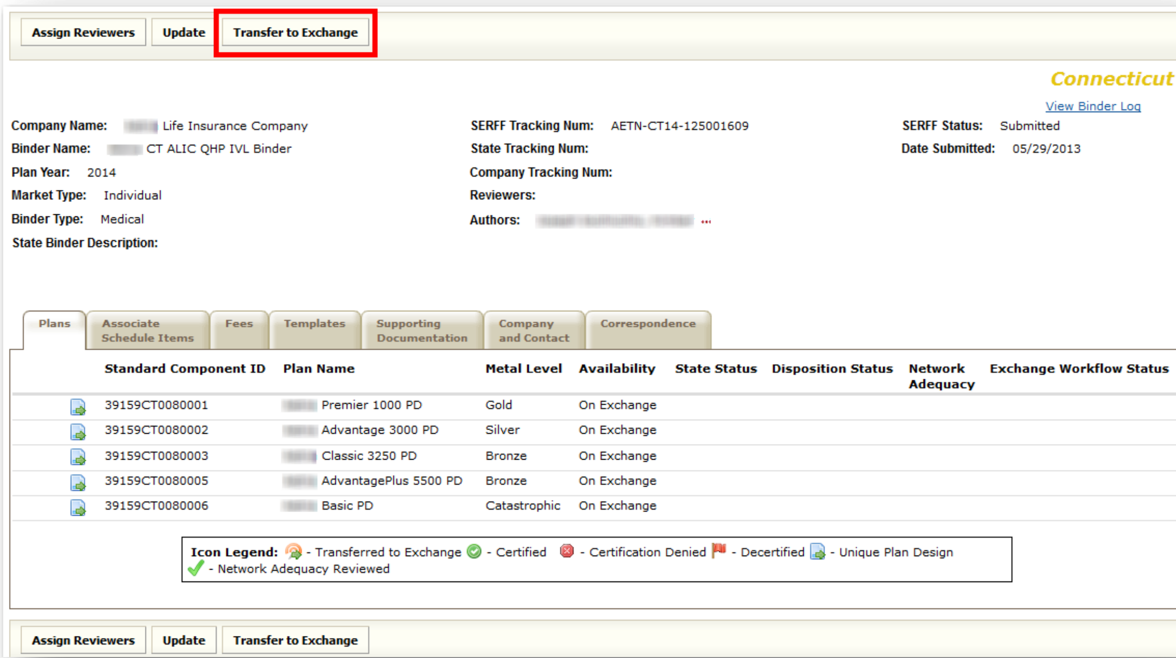
Transfer Plans

Users with the State Plan Management Transfer Plan User role will have ability to transfer plans to the exchange once they have been certified.

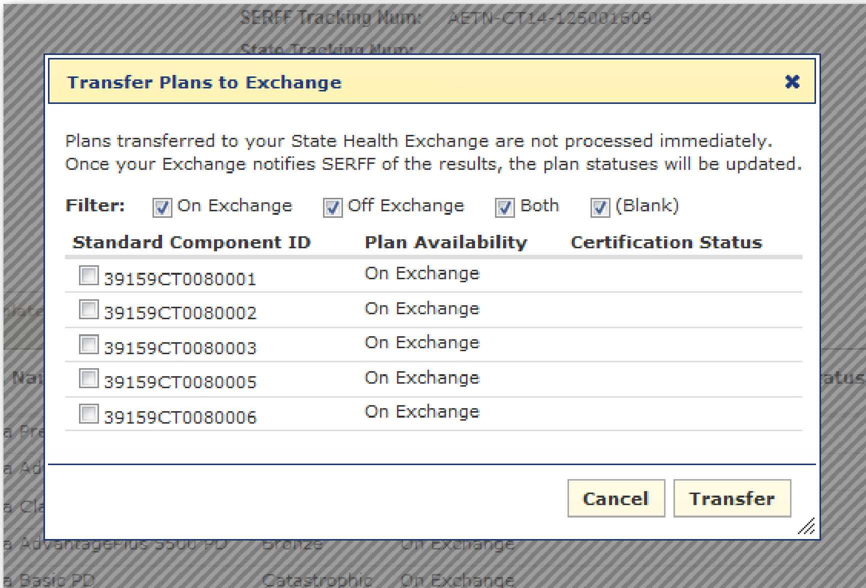
Transferring plans to the exchange:

1. Once in the binder, click the 

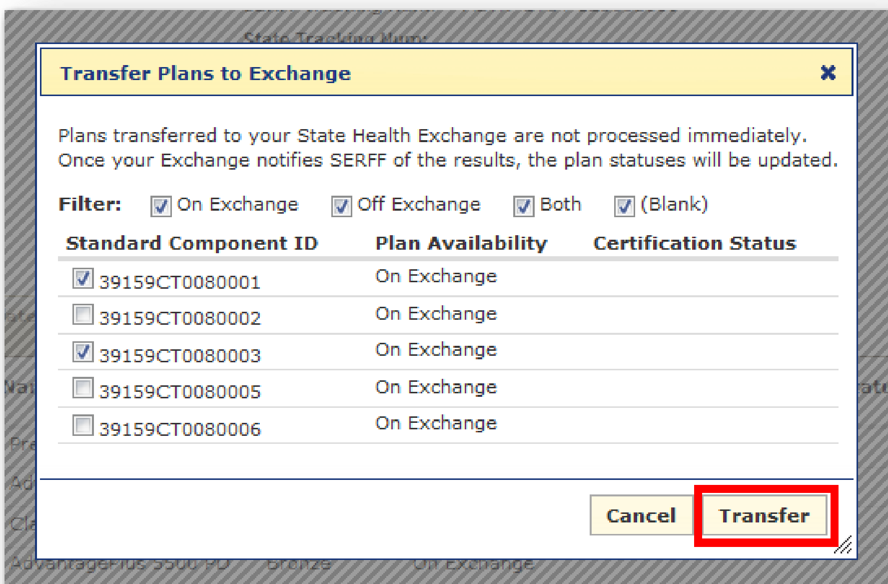
button.

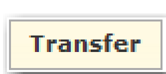


2. The system will display a list of all the plans on the binder. By unchecking one or more options in the the filter, the list of plans displayed can be narrowed.



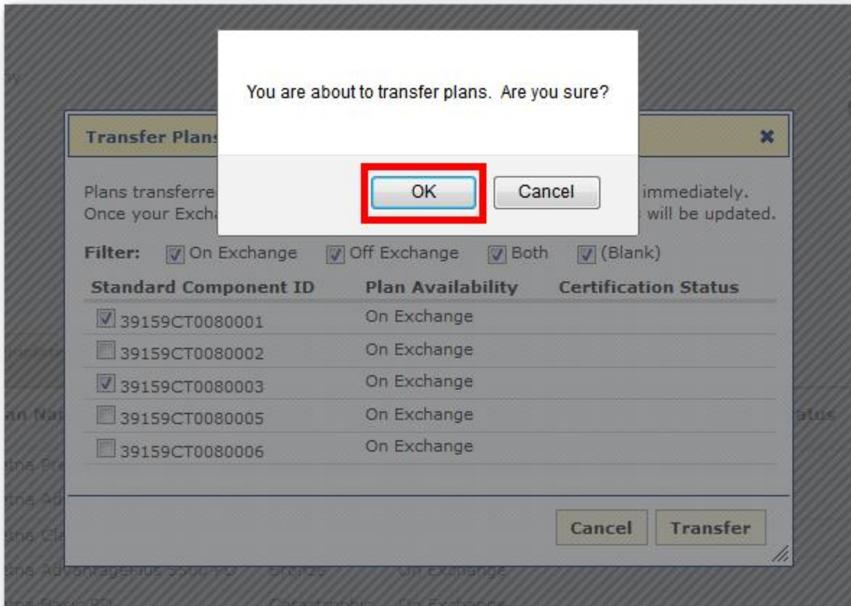
Please note that all information related to the selected plan(s) will be transferred to the exchange. However, the sytem will not transfer the Supporting Documentation items that have been marked as "Do Not Transfer To Exchange" under the Supporting Documentation tab. For instructions on how to mark Supporting Documentation items, see page 7 of this document.



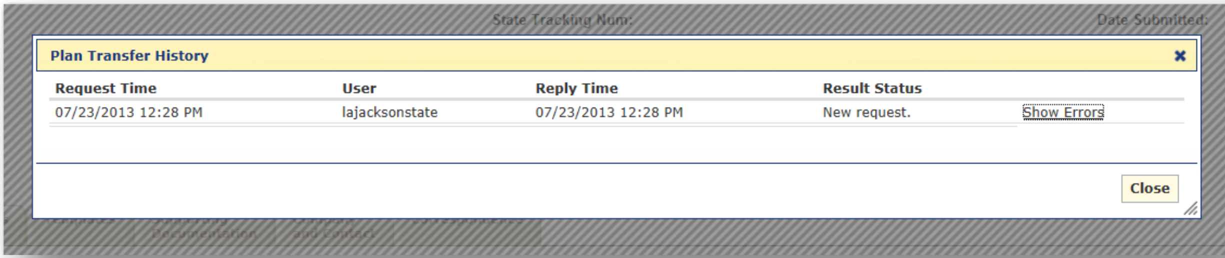
3. Once plans are selected, click the 

button.

4. The system will display a confirmation prompt. Select ‘OK’ to transfer the plans to the exchange or Cancel to return to the list of plans without transferring.



After clicking OK, the plan(s) selected will be queued for processing and an icon will appear next to the plan(s) on the binder. Click on the transferred to exchange icon  to check the status of the transfer.



The Plan Transfer History includes the following fields:

- **Request time**: The date and time of the initial transfer plan request.
- **User**: The user that submitted the transfer plan request.
- **Reply time**: The date and time the Result Status was updated.
- **Result Status**:

  New request. *This is the status that displays immediately after clicking transfer. The plan is now in the queue and awaiting processing. Plans will likely be in this state a very short time.*

  Request is processing. *This status means that SERFF is compiling the data and attachments for the plan and initiating the transfer to the exchange. Plans will likely be in this state a very short time.*

  Request is complete. *This status means that the request has been sent to the exchange for processing but the exchange has not yet provided results. Plans may be in this state for up to an hour. During peak times, plans may be in this state several hours.*

  Request has a validation error from the exchange. *This indicates a response has been received from the exchange.* ***<u>At this time, all plans show this message even when the transfer was successful. The SERFF team is working to correct this. See below for more information.</u>***

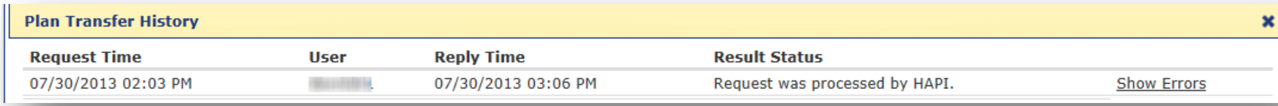
- **Show Errors**: This link will allow you to expand what errors are associated with the plan transfer.

Please note that, at this time, this link will always be present even if there are no errors associated with that plan.

Examples of responses from CMS

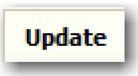
After a response has been received from CMS, there are several types of messages that may appear.

- HAPI Processed

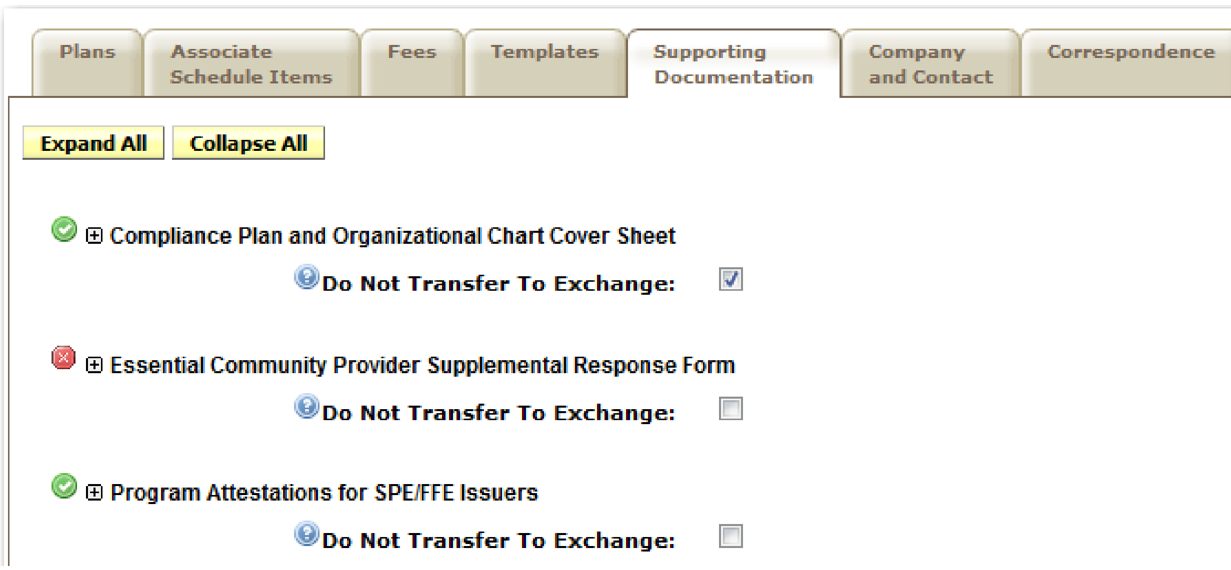


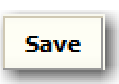
If the plan was transferred **<u>after</u>** Saturday, July 27th, this indicates the plan was successfully transferred to the exchange, no other action is needed.

Indicating an item should <u>not</u> be transferred to the exchange

1. Navigate to the binder.
2. Select  to place the binder into update mode.

3. Navigate to the Supporting Documentation tab of the binder.



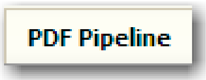
4. Under each Supporting Documentation item, if the system should not include this item in the transfer of the plan, select the item as "Do Not Transfer To Exchange."
5. Click  to finalize your changes.

These settings can be changed, but will not impact plan transfer requests already processed.

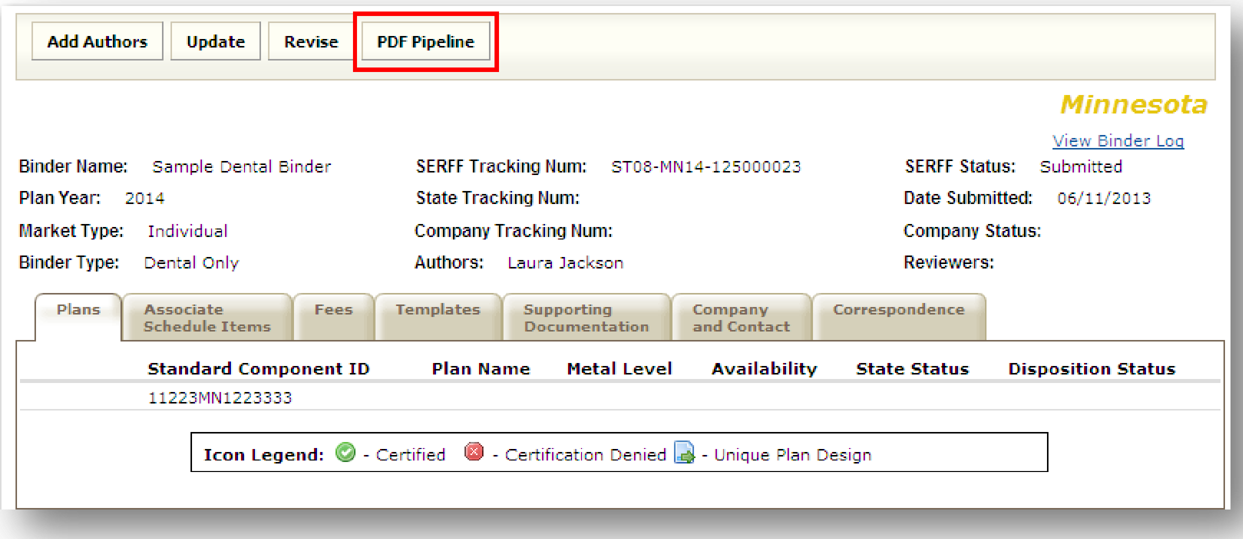
PDF Pipeline

PDF Pipeline provides users with the ability to generate an on demand, single PDF file of their entire binder. The results are displayed instantly and the user can save the PDF locally to their network or review online.

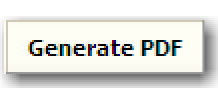
☞ Generating a PDF Pipeline

1. Open the binder.
2. Click the 

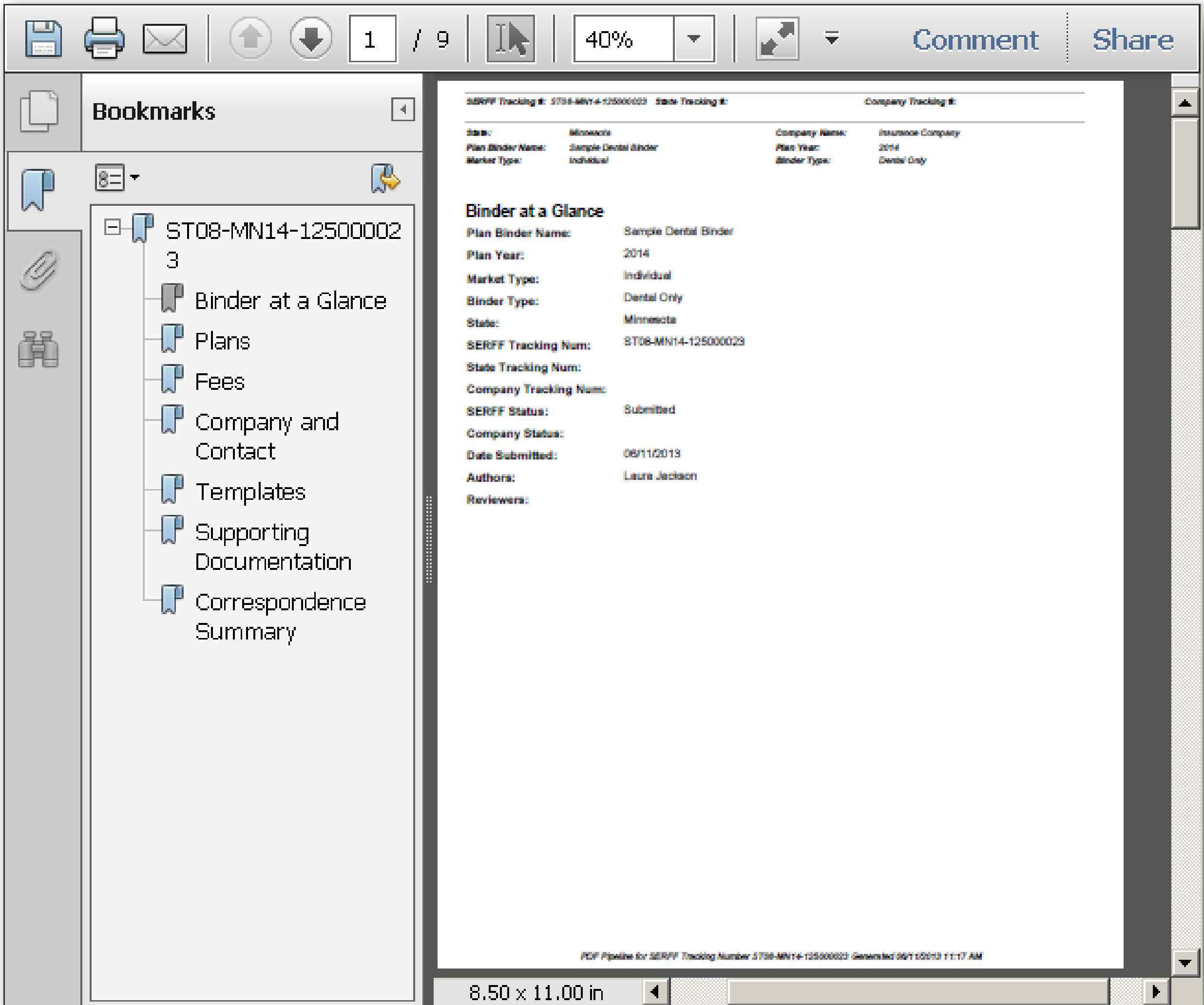
button.



A dialog box will appear.

3. Click the 

button to create the PDF.



The binder PDF file will open in a new window. Click on the individual bookmarks to navigate to the different sections of the filing.

☞ Click on the  button to save the PDF file outside of the SERFF system.

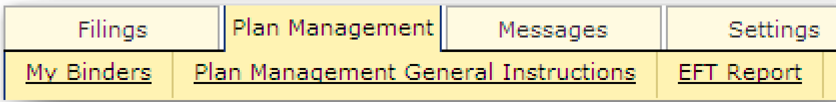
☞ Non-PDF attachments and attachments that are larger than 3 MB will not appear in the PDF Pipeline.

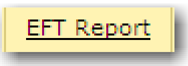
EFT Report

The EFT Report allows the user to run a report for all EFT transactions for a given date range.

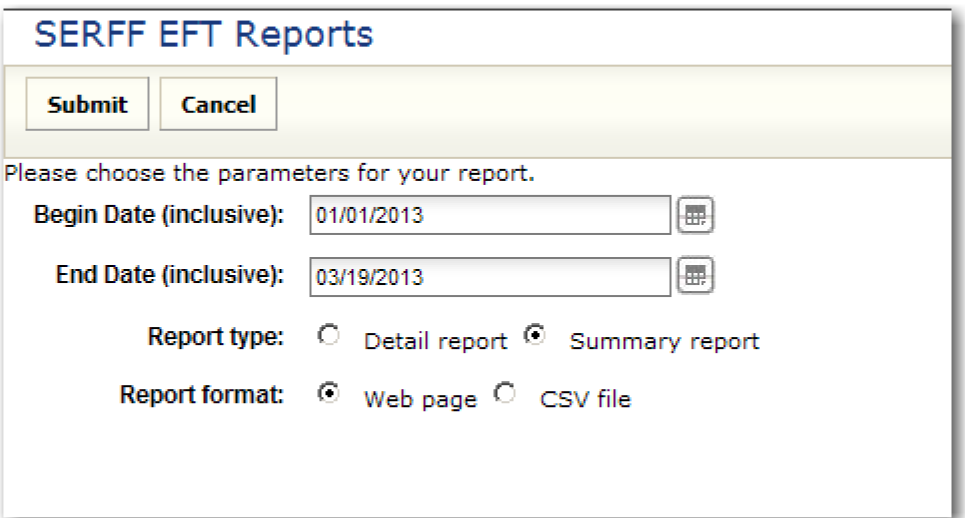
Running an EFT Report

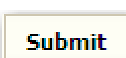
1. Navigate to the Plan Management Tab.



2. Click the 

button.



3. Select the Begin Date and End Date. Please note that dates must be formatted as mm/dd/yyyy.
4. Select either Detail Report or Summary Report *(Example below shows a Detail report selection).*
5. Select either Web page or CSV file *(Example below shows a Web page selection).*
6. Click the 

button.

SERFF EFT Reports

EFT Detail Report for dates 03/20/2013 to 03/20/2013

03-20-2013 Binders

Transaction Date	Company Name	Company Code	Submitter Name	Plan Year	SERFF Tracking Number	Binder Name	Plan Name	Standard Component ID	Amount	Transaction Number
03-20-2013	Hallmark National Insurance Company	19530	zSERFFstaff zIndustrySupportLJ	2014	HLMK-NJ14-125002654	Inside Market Plans		23NJ1239092	$100.00	1764312
03-20-2013	Hallmark National Insurance Company	19530	zSERFFstaff zIndustrySupportLJ	2014	HLMK-NJ14-125002654	Inside Market Plans		23NJ1239093	$100.00	1764313
	subtotal for 03-20-2013, 2 transaction(s), total amount $200.00									
totals for 03-20-2013, 2 transaction(s), total amount $200.00										

☞ *Please note the EFT report will display both binder EFT submissions and Rate/Form filing EFT submissions.*