

Washington State SERFF Property and Casualty Form Filing Instructions

Edition 11-14

I. Filing requirements for Property and Casualty Insurers

- A. Insurers, rating organizations (“bureaus”) and advisory organizations must file all forms in SERFF.
- B. The NAIC Uniform Transmittal Forms are **not** required.
- C. See [WAC 284-20B-060](#) for rules for filings submitted by a third-party filer on behalf of an insurer.
- D. Under [WAC 284-20B-030](#), these instructions are incorporated by reference into the Washington Administrative Code.
- E. Filers must attach filed forms to the Form Schedule tab. You must attach all other documents (such as correspondence, explanatory memorandums, side-by-sides or marked-up forms) to the Supporting Documentation tab.
- F. Do not file or attach previously approved forms that are no longer in use or being withdrawn. There is no regulatory requirement to notify the OIC when forms are withdrawn or are no longer in use.
- G. Filers must use the correct Type of Insurance (TOI) and Sub-TOI as listed on the NAIC Uniform Property and Casualty Product Coding Matrix.

II. Your filing is incomplete and will be rejected if:

- A. We cannot download your filing into our back-office system. Common reasons filings cannot be downloaded into our back-office system include:
 - 1. Attachments are not formatted using a Distiller in PDF format.
 - 2. An incorrect CoCode number is entered in the Filing Company Information, under the Companies and Contacts tab.
 - a. For insurers, the CoCode number is the same number as your company’s 5-digit NAIC number.
 - b. An advisory organization or bureau must enter its WAOIC number in the State ID Number field.
- B. You attach more than one form to a row in the Form Schedule tab.
- C. You combine a rate and rule filing with a form filing. See [WAC 284-20B-030\(5\)](#).
- D. The filing is for the sole purpose of withdrawing forms.

NOTE: Under [WAC 284-20B-040](#) and [-050](#), when a filing is rejected, that filing is not considered to be filed with the commissioner.

III. You must enter the form number and edition identifier on the Form Schedule tab correctly.

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- A. You must attach your form on the **same row** as the form name, number and edition date fields. If you are adopting a bureau form, please review the instructions in section IV.
- B. You must enter the form number and edition identifier correctly on the Form Schedule tab. Common errors include:
1. Entering the edition date twice in the Form Number and Edition Date fields. For example, P1492 0407 is entered as **Form Number:** P14920407 **Edition Date:** 0407.
 2. Entering the edition date or edition identifier incorrectly. Please follow these instructions:
 - a. If you use traditional form numbers and edition dates, you must enter numbers as they appear on the form in the Form Number and Edition Date fields.
 - (1) If spacing exists between the form number and edition date, the edition date is not part of the form number, and must be entered in the **Edition Date** field. For example, P1492 0407 must be entered as **Form Number:** P1492 **Edition Date:** 0407.
 - (2) If spacing does not exist between the form number and edition date, the edition date is part of the form number, and must be entered in the **Form Number** field. For example, P14920407 should be entered as **Form Number:** P14920407 **Edition Date** {Blank}.
 - b. If you use an alternative method to identify the edition of the form, you must enter the form number and edition date the same way it is displayed on the form.
 - (1) If spacing exists between the form number and the edition identifier, the edition identifier is not part of the form number, and must be entered in the **Edition Date** field. Examples:
 - (a) Form 1234 1st Edition should be entered as **Form Number:** 1234 **Edition Date:** 1st
 - (b) Form 1234 Ed. 1.0 should be entered as **Form Number:** 1234 **Edition Date:** 10
 - (c) Form 1234 Ed. 7/01 (c) should be entered as **Form Number:** 1234 **Edition Date:** 0701c
 - (2) If spacing does not exist between the form number and edition date, the edition indicator is part of the form number, and must be entered in the **Form Number** field. Examples:
 - (a) Form 1234.1 should be entered as **Form Number:** 12341 **Edition Date:** {Blank}
 - (b) Form 1234c should be entered as **Form Number:** 1234c **Edition Date:** {Blank}

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IV. Adopting Forms Filed by a Bureau (Licensed Rating Organization)

- A. You must identify the Bureau filing number in the Bureau “Reference Number” field.
- B. If you are a member or subscriber of the Bureau and you are:
 - 1. Adopting or non-adopting an entire filing made by a Bureau (such as ISO) do not list individual form numbers and edition dates on the Form Schedule tab.
 - 2. Adopting certain forms (but not the entire filing) made by a Bureau, you must list the form numbers and edition dates under the Form Schedule Tab in the appropriate fields. You are not required to attach the forms.
- C. If you are not a member or subscriber of the Bureau, you must file all forms independently. You must list the form numbers and edition dates under the Form Schedule Tab and attach copies of the bureau forms on the Form Schedule tab.

V. Rules for responding to SERFF objection letters

- A. All attachments submitted with a response to an Objection Letter must be in PDF format.
- B. OIC must be able to determine which forms are “Approved” or “Disapproved” when creating a Final Disposition Report. When responding to an Objection Letter, you must:
 - 1. *Amend Filing* to respond to an objection.
 - 2. *Revise a Schedule Item* to make changes to a form that was previously submitted.
 - 3. *Add a Schedule Item* to add additional forms that were not previously submitted.
 - 4. *Use General Update* to change a filing when the filing is in Review Pending. Review Pending is the state status when an OIC analyst has not reviewed the filing. Never use a General Update to change a filing after it has been reviewed by an OIC analyst.

VI. After a Final Disposition by OIC Analyst

- A. To change an effective date: Submit a Note to Reviewer and ask to revise the effective date.
- B. If you must submit a new attachment to make a change or correction to a closed filing, you must contact the analyst who reviewed the filing (preferably by Note to Reviewer) and ask to re-open the filing. The analyst will review the filing and determine if you can make a change to the filing.
- C. If the analyst agrees to re-open the filing, you can make changes and corrections without making a new SERFF filing.
- D. If the analyst determines the filing cannot be re-opened, you must make a new filing in SERFF.

For questions related to SERFF filing procedures, contact:

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Rates & Forms Help Desk
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