NAIC

National Association *of* Insurance Commissioners

TECHNICAL TRAINING

Course Catalog

What's inside? Course information on ACL, iSite+, SERFF, and TeamMate

WELCOME

The Technical Training Course Catalog lists all courses offered by the NAIC Technical Training Team. Training is offered to state regulators, department of insurance staff, and to insurance industry personnel. A brief description of courses, along with a list of topics covered is provide.

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TRAINING AVAILABILITY

State Insurance Departments

All training listed in this catalog is conducted by the NAIC's professional Technical Training Team and is offered tuition-free to State Departments of Insurance. However, for onsite training, the NAIC seeks reimbursement for the instructors' travel-related expenses. States have the option of using NAIC Zone or Grant funds to offset these expenses.

Please utilize this training course catalog to assist you in identifying your educational and training needs.

If your state is interested in onsite training, please contact the Manager of Technical Training, Frances Stuart by phone at 816-783-8586 or by email at fstuart@naic.org.

Insurance Industry

The Technical Training Team provides fee-based training to insurance industry personnel. SERFF training for insurance industry is available throughout the year. The schedule is listed on the Education & Training website at education.naic.org.

OUR TEAM

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Teresa Pantoja	816-783-8611	tpantoja@naic.org
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OTHER CONTACTS

NAIC Help Desk	816-783-8500
NAIC Reception Desk	816-842-3600
NAIC Help Desk Email	help@naic.org

ADDITIONAL INFORMATION

Prerequisites for Training
• Experience using Microsoft Windows, Windows Explorer and
  Internet Explorer or Firefox browser
• Microsoft Office, Word, Excel, etc.
• Database and related terminology
• Spreadsheet and related concepts

Suggestions for Effective Learning
• Ask questions
• Take notes
• Practice new skills for mastery
• Share your knowledge with the class
• Make the instructors aware of any special learning needs
• Consult with instructors for individual solutions

Training Customization
Technical training requests can be customized to suit your needs and
requirements.

Training Materials
All training materials and class handouts are yours to keep for future
reference.

Feedback
We encourage your written comments and suggestions for course
improvement on the post-course evaluation form.

Inquiries
Contact Frances Stuart for details at 816-783-8586 or
fstuart@naic.org.

Before you begin...

THESE ICONS MEAN...

Web-Based Training

Classroom Training

Abbreviations

ACL	Audit Command Language
CDS	Complaints Database System
FAH	Financial Analysts Handbook
FCEH	Financial Conditions Examiners Handbook
FEETS	Financial Exam Electronic Tracking System
IRIS	Insurance Regulatory Information System
MAPT	Market Analysis Prioritization Tool
MARS	Market Analysis Review System
MATS	Market Action Tracking System
OFRS	Online Fraud Reporting System
PICS	Personal Information Capture System
RIRS	Regulatory Information Retrieval System
SAO	Statement of Actuarial Opinion
SERFF	System for Electronic Rate and Form Filing
UCAA	Uniform Certificate of Authority Application

INTRODUCTION TO ACL™

ACL™ is a computer based audit tool developed and marketed by Galvanize. The NAIC Audit Software Subgroup and NAIC Audit Software Working Group selected ACL™ as the examination software tool of choice.

Course Description: Students will learn how to import data, execute commands, build expressions and export/report analysis results.

Prerequisite: Working knowledge of MS Windows

Audience: State Regulators and State Approved Contractors

Class Length: 2 1/2 days

Topics Include:
- ACL™ Fundamentals and Key Concepts
- Accessing Data Files
- Importing Files
- Data Integrity and Fixed Point Arithmetic
- Manipulating Data
- Creating Reports and Graphing
- Sampling

ACL™ training is scheduled throughout the year at the NAIC's Central Office in Kansas City, Missouri. The current ACL™Training Schedule can be viewed online under the section titled Training Topics: https://www.naic.org/education_technical_training.htm

INTRODUCTION TO ACL™ MARKET CONDUCT

Course Description: Students will learn how to import data, execute commands, build expressions and export / report analysis results.

Prerequisite: Working knowledge of MS Windows

Audience: State Regulators and State Approved Contractors

Class Length: 2 1/2 days

Topics Include:
- ACL™ Fundamentals and Key Concepts
- Accessing Data Files
- Importing Files
- Data Integrity and Fixed Point Arithmetic
- Manipulating Data
- Creating Reports and Graphing
- Sampling
- Sample Market Conduct Data Call List

ACL™ training is scheduled throughout the year at the NAIC's Central Office in Kansas City, Missouri. The current ACL™ Training Schedule can be viewed online under the section titled Related Documents and Resources on the following webpage: https://www.naic.org/education_technical_training.htm

ADVANCED ACL™

Course Description: Students will learn how to use advanced ACL ™ functions to create expressions and filters and scripts to automate ACL™ processes.

Prerequisite: Working knowledge of MS Windows
Introduction to ACL™
Introduction to ACL™ Market Conduct

Audience: State Regulators and State Approved Contractors

Class Length: 2 1/2 days

Topics Include:
- Introduction to ACL™ Review
- Defining a Report File
- Using ODBC Multi-Variable Files
- Functions Overview
- Computed Fields Expression
- Joins and Relations
- Workspaces

ACL™ training is scheduled throughout the year at the NAIC's Central Office in Kansas City, Missouri. The current ACL™ Training Schedule can be viewed online under the section titled Related Documents and Resources on the following webpage: https://www.naic.org/education_technical_training.htm

USING TEAMMATE™ ELECTRONIC WORK PAPERS (EWP)

Course Description: Students will learn the basics of working a TeamMate™ Exam with EWP.

Prerequisite: Working knowledge of MS Windows

Audience: State Regulators and State Approved Contractors

Class Length: 2 days

Topics Include:
- Setting up an Exam
- Adding Procedures from a Template, TeamStore, and Manually
- Adding Analysts and Examiners
- Working on an Exam
- Adding Work Papers
- Issues
- Coaching Notes
- Tick Marks
- Signing off Work
- Reviewing Work
- Creating Reports

TeamMate™ training is scheduled throughout the year at the NAIC's Central Office in Kansas City, Missouri. The current TeamMate™ Training Schedule can be viewed online under the section titled Related Documents and Resources on the following webpage: https://www.naic.org/education_technical_training.htm

TEAMMATE™ STORES WORKSHOP

Course Description: Students will customize the TeamStores™ and Team Libraries for their department.

Prerequisite: Using TeamMate™

Audience: State Regulators responsible for maintaining their state's TeamStores™

Class Length: 1-3 day workshop

Topics Include:
- Downloading NAIC TeamStores™
- Creating and Customizing TeamStores™

This is an instructor led, self-paced class that allows attendees to customize TeamStores™ in a manner that is most beneficial to their department.

See the contact information below to schedule TeamMate™ EWP training for your examination staff.

INTRODUCTION TO iSITE+

Course Description: Participants will learn to navigate iSite+ and become familiar with the iSite+ interface and its applications. Company search techniques will be emphasized along with many time saving tips such as saving companies codes and how to receive e-mail notifications alerting you of NAIC database changes.

Prerequisite: Working knowledge of MS Windows and Internet browsing

Audience: State Regulators, new & experienced iSite+ users

Class Length: 3 hours

Topics Include:
- iSite+ Homepage
- iSite+ Navigation
- iSite+ Help
- Company Firm Search
- Business Entity Search
- Individual Entity Search
- Company Demographics
- Saving Company Codes for Quick & Easy Recall
- Personalized Information Capture System—PICS
- StateNet

iSITE+ FOR FINANCIAL REGULATION

Course Description: iSite+ for Financial Regulation covers the full spectrum of iSite+ financial reports, filing compliance reports and solvency tools for insurance company analysis and examinations. This course can be customized for web-based training.

Prerequisite: Working knowledge of computers, Microsoft Windows Explorer, Word, Excel, Adobe Acrobat PDF Reader, Zip Files and Internet browsing

Audience: State Regulators, new & experienced iSite+ users

Class Length: 1 day

Topics Include:

- Pick-A-Page
- Filing PDFs
- Line Reports
- Profile Reports
- RBC Quarterly Estimation
- Scoring Tools
- IRIS Ratios
- Financial Analysis Handbook
- Financial Exam Electronic Tracking System (FEETS)
- Jumpstart Reports
- Loss Reserves
- IT Technology Summary

- Securities
- Closed Complaints - CDS
- Regulatory Actions - RIRS
- Summary Reports
- Permitted Practices for Accounting

Filing Compliance
- Analyst Notes
- Audit Trail
- Filing at a Glance
- Validation Exceptions
- Company Demographics

Summary Reports (Financial)
iSite+ Utilities (Financial)

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iSITE+ FOR MARKET REGULATION

Course Description: iSite+ for Market Regulation covers the full spectrum of iSite+ market regulation tools, reports, summary reports and utilities for insurance company analysis and examinations. This course can be customized for web-based training.

Prerequisite: Working knowledge of computers, Microsoft Windows Explorer, Word, Excel, Zip Files and Internet browsing

Audience: State Regulators, new & experienced iSite+ users

Class Length: 1 day

Topics Include:
- Market Conduct Annual Statement - MCAS
- Closed Complaints - CDS
- Regulatory Actions - RIRS
- MAP Demographics
- Market Analysis Profile reports
- Market Action Tracking System - MATS
- Company Demographics
- Company Profile Reports
- Financial Scoring Tools

Summary Reports (market regulation)
iSite+ Utilities (market regulation)

PRODUCER LICENSING

Course Description: Students will become familiar with the use of producer licensing reports and functions related to firms and individuals.

Prerequisite: Working knowledge of MS Windows and Internet browsing

Audience: State Regulators responsible for maintaining Producer Licensing Data

Class Length: 3 hours

Topics Include:
- Producer Licensing
- Customized Producer Reports
- Regulatory Actions - RIRS
- Closed Complaints - CDS

iSite+ Utilities
- Company Appointments Termination Report
- Producer Licensing Batch Report
- File Repository
- Participation Reports
- Transmission Viewer

MARKET ACTION TRACKING SYSTEM (MATS)

ACTION CALL AND UPDATE

Course Description: Chief Examiners & Market Regulation staff will learn the process of calling a Market Action, and once called will be able to use the system to update market reports and exchange exam-related information among examiners as a collective team. This course can be customized for web-based training.

Prerequisite: Working knowledge of MS Windows and Internet browsing

Audience: Chief Examiners and Market Regulation Staff responsible for updating exam information in the Market Action Tracking System (MATS)

Class Length: 1 hour

Topics Include:
- Calling an Action
- Updating an Existing Action
- Viewing Historical Information
- Submission of Online Results Reports

Note: Special permission is required to call and update exams.

FINANCIAL EXAM ELECTRONIC TRACKING SYSTEM (FEETS)

EXAM CALL AND UPDATE

Course Description: Chief Financial Examiners and designated financial examination staff will learn the process of calling a Financial Exam, and once called will be able to use the system to update financial exam reports and exchange exam-related information among examiners as a collective team. This course can be customized for web-based training.

Prerequisite: Working knowledge of MS Windows and Internet browsing

Audience: Chief Financial Examiners and designated financial examination staff responsible for updating financial examination information in the Financial Exam Electronic Tracking System (FEETS)

Class Length: 1 hour

Topics Include:
- Calling an Examination (Individual/Group)
- Updating Existing Examination Information
- Viewing Historical Exam Tracking Information
- Submission of Online Exam Results Reports
- Permitted Practices for Accounting

Note: Special permission is required to call and update exams.

FORM A DATABASE

Course Description: Form A is the Statement Concerning the Acquisition of, Control of, or Merger with a Domestic Insurer. Participants will learn how to enter information into the Form A Database. The specifications for the database were designed by the Financial Condition (E) committee and its Insurance Holding Company Working Group. This course can be customized for web-based training.

Prerequisite: Working knowledge of computers, Microsoft Windows Explorer, and Internet browsing

Audience: Company Licensing, Anti-Fraud Staff

Class Length: ½ hour

Topics Include:
- Viewing Existing Form A Entries
- Form A Search/Queries
- Submitting Form A Data for New Companies
- Editing and Updating Form A Data

Note: Special permission is required to add and update Form A records.

MARKET ANALYSIS REVIEW SYSTEM (MARS)

Course Description: The Market Analysis Review System (MARS) is available to specific state users for the purposes of tracking, recording, and reviewing the standard question analysis done by other states as defined by the Market Analysis Working Group.

Prerequisite: Working knowledge of computers, Microsoft Windows Explorer, and Internet browsing

Audience: Market Conduct Regulation Personnel

Class Length: 1 hour

Topics Include:
- Viewing a Market Review
- Creating a Market Review
- Closed/Approve a Market Review
- MARS Reports
- Print and Save Reports

Summary Reports
- Market Analysis Company List
- Market Analysis Company Prioritization Tool

iSite+ Utilities
- Market Systems Participation (Utilities)

Note: Special permission is required to use the Market Analysis Review System (MARS).

REGULATORY ACTIONS DATA ENTRY TOOL / STATE DATA LOAD ERROR VIEWER

Course Description: Students will learn how to submit qualitative Market Conduct data electronically using the Regulatory Actions Data Entry Tool. In order to preserve data quality, students will learn to detect data transmission errors using the State Data Load Error Viewer and take steps to correct the errors.

Prerequisite: Working knowledge of MS Windows

Audience: Users submitting Market Conduct Data

Class Length: 2 hours

Topics Include:
- View Existing RIRS Entries
- View Demographic Information
- Enter New and Update Existing RIRS Actions
- Run State Data Load Error Viewer to Identify Data Errors
- Recognize Transmission Errors for Corrections

Note: Special permission is required access Regulatory Actions Data Entry Tool.

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UNIFORM CERTIFICATE OF AUTHORITY APPLICATION (UCAA)

Course Description: Students will learn how to navigate the UCAA system to facilitate the review process for approving Corporate Amendments and Expansion Applications. Participants will learn how to view, download and print all forms submitted with a filing. They will also learn how to view the status of other states that may be included in the filing and will ultimately learn how to approve or close a UCAA filing.

Prerequisite: Working knowledge of computers, Microsoft Windows Explorer, and Internet browsing

Audience: Company Licensing Staff

Class Length: 1 hour

Topics Include:
- Overview of the UCAA Application
- Viewing and Reviewing Applications
- The State of Domicile's Responsibilities
- The Submission/Expansion States' Responsibilities
- Summary Reports (UCAA)

Note: Special permission is required to access UCAA update functions.

SERFF FOR STATE REGULATORS

Course Description: SERFF is the System for Electronic Rate & Form Filing. Students will gain hands-on experience examining SERFF filings from both the insurer and regulator perspectives.

Prerequisite: Working knowledge of MS Windows

Audience: State Regulators responsible for processing rate and forms

Class Length: 2 days

Topics Include:
- SERFF Application Overview and Navigation
- Setup Overview – General Instructions, Filing Rules, Quick Text…
- Receiving Filings from Intake
- Assigning Filings
- Review Filings
- Objection and Objection Letters
- Filing Disposition
- Confidentiality, PDF Pipeline
- Post Submission Updates
- Searching for Filings

SERFF FOR INSURANCE INDUSTRY USERS

Course Description: SERFF is the System for Electronic Rate & Form Filing. Students will gain hands-on experience creating and submitting new SERFF filings from the insurer perspective. This class is offered as a hands-on webinar.

Prerequisite: Working knowledge of MS Windows

Audience: Insurance Company personnel and consultants responsible for submitting rate and form filings to state departments of insurance

Class Length: Three consecutive half-day sessions

Topics Include:
- SERFF Application Overview
- Filing Rules, Requirements and General Instructions
- Creat/Draft and Submit SERFF
- Objection and Response Letters
- Using and Creating Templates Instructions
- Amendments, Post Submission Documents, Confidentiality
- Search, PDF Pipeline, and much more

Class schedule and tuition fees are available from the NAIC Education and Training website: http://education.naic.org.

QUESTIONS & FURTHER ASSISTANCE

Contact Frances Stuart for details at 816-783-8586 or fstuart@naic.org.

Further assistance is available by contacting the Education and Training Department:

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