Statistical Data Management Application Training Manual

Guide for AAIS Statistical Reporting Affiliates

www.AAISonline.com

American Association of Insurance Services
1745 S. Naperville Road | Wheaton, IL 60189
phone 630-681-8347 | 800-564-AAIS | fax 630-681-8356

AMERICAN ASSOCIATION OF INSURANCE SERVICES, INC.
STATISTICAL DATA MANAGEMENT APPLICATION TRAINING MANUAL

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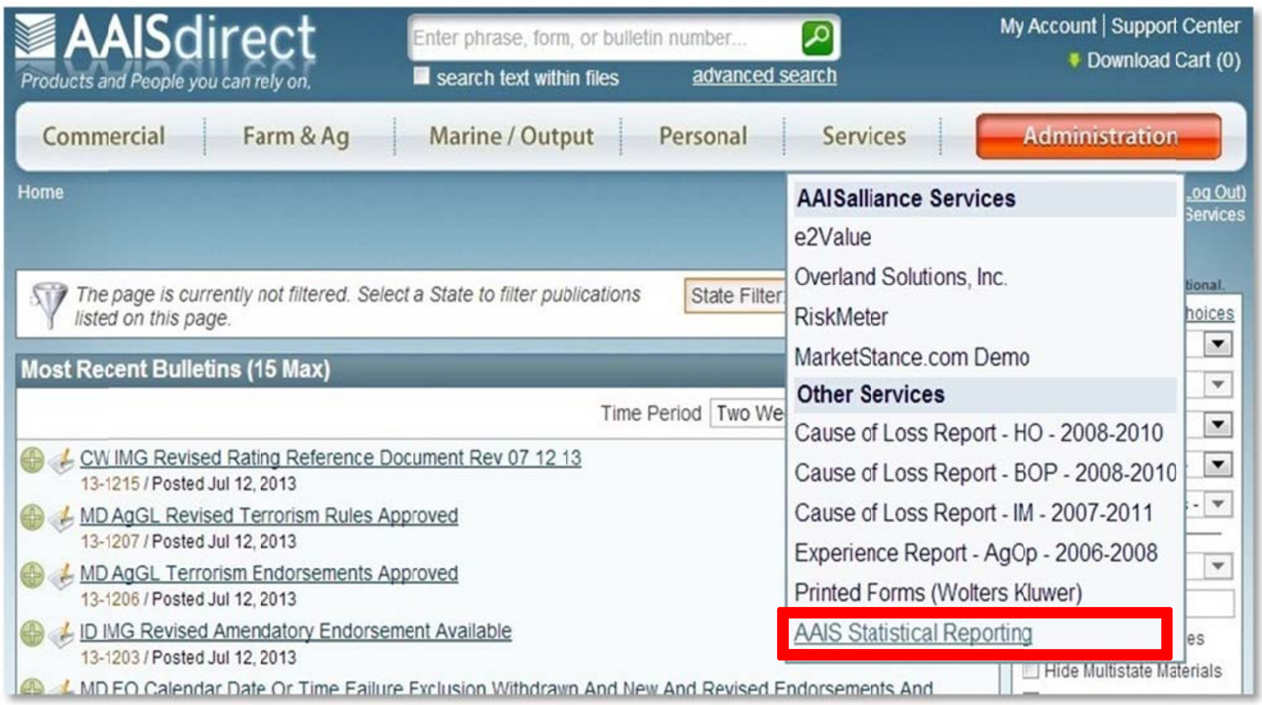
1.0 Introduction

As your statistical agent, AAIS collects your company's premium and loss experience so that we can report your data to the proper regulatory agencies on your behalf. AAIS has developed the Statistical Data Management Application (SDMA) which provides companies with a way to upload, validate, edit, and submit their statistical reporting submissions. The SDMA is a web-based system that is accessed through AAISdirect.com, AAIS' proprietary website. This manual is a training guide for AAIS statistical reporting customers on how to use the SDMA.

2.0 Logging into Application

To log on to the SDMA, go to AAISdirect (http://www.aaisdirect.com) and sign on with your AAISdirect username and password. If you do not have an AAISdirect username and password, contact either your company's AAISdirect administrator or the AAIS Data Analytics team.

Once in AAISdirect, click ***AAIS Statistical Reporting*** under the Services tab.

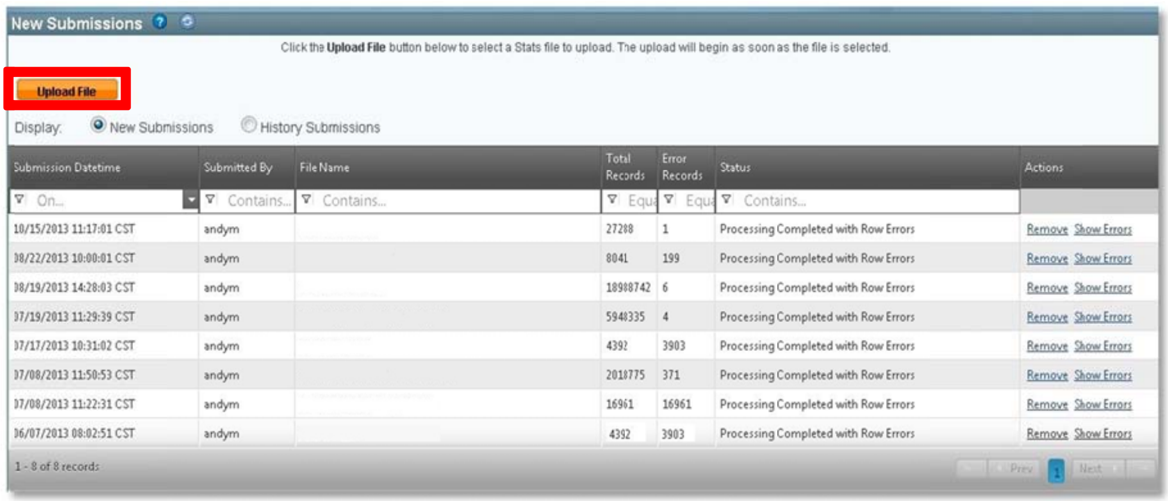


3.0 New Submissions

Once logged into the application you should see a table at the top titled "New Submissions". This section is where you will be able to upload a file to the system.

3.1 Uploading Data

To begin uploading a data file, click on the orange 'Upload File' button in the top section of the web page. This will bring up a window allowing you to browse locally to the file you wish to process. Select the file. A blue bar appears from left to right indicating the file is uploading. While the upload process is in progress, there is an 'X' at the end of the bar which will allow you to cancel the uploading process. When you see the checkmark, this means the file has finished uploading and will begin loading and verifying. At this point, you may choose to upload another file. If you would like to have more than one file uploading within one step, compress the files into a zipped file and upload the zipped file.



3.1.1 Valid/Invalid File Formats

File formats are accepted by the application:

- .txt files (assuming the file contains at least one line feed)
- .pgp files (files that have been encrypted)
- .zip files (files that have been zipped)

Known file formats that would not be accepted by the application:

- Any files that have been saved as a Word, Excel, or PDF file.
- Any file that has a .pgp or .zip extension that is not truly a .pgp or .zip file (i.e. the extension was changed)

3.1.2 Possible Submission Statuses

Each submission will receive an auto-generated status. Some of the status changes occur quickly from New Submissions to Existing Submissions and will not be visible to the user. However, in History Submissions the status assigned to any submission is viewable.

The possible statuses within New Submissions or History Submissions are:

- ***Uploading*** - File is in the uploading stage
- ***Received*** - File has been received
- ***Cancelled*** - Processing of file has been cancelled
- ***Received with Errors*** - There was an error during uploading such as a network issue.
- ***Received with Errors - Deleted***
- ***Processing Failure - Invalid File Format*** - Uploaded file is not in a format accepted by the system
- ***Processing Failure - Invalid File Format - Deleted***
- ***Processing Failure - Invalid Line Format*** - The file only had one line and the length was greater than 1000 characters
- ***Processing Failure - Invalid Line Format - Deleted***
- ***Expanding File*** - .zip file is being expanded
- ***Expansion Successful*** - .zip file was successfully expanded
- ***Decrypting File*** - .pgp file is being decrypted
- ***Decryption Successful*** - .pgp file was successfully decrypted
- ***Processing Failure - Expansion Failure*** - .zip file was unable to expand successfully
- ***Processing Failure - Expansion Failure - Deleted***
- ***Processing Failure - Encryption Keys Not Found*** - Encryption Keys to decrypt .pgp file were not found
- ***Processing Failure - Encryption Keys Not Found - Deleted***
- ***Processing Failure - Decryption Failure*** - .pgp file was unable to decrypt successfully
- ***Processing Failure - Decryption Failure - Deleted***
- ***Processing File*** - File is currently being processed
- ***Processing Completed Successfully*** - File has finished processing successfully
- ***Processing Completed with Row Errors*** - File has finished processing, but contains at least one Row Error
- ***Processing Completed with Row Errors*** - *Deleted*

Note: The distinction of being "Deleted" refers to removal from the New Submissions List.

3.1.3 New Submissions

Once the file uploading is completed, some basic information about the file is displayed while it is processing. This information includes:

- Submission Datetime (Date/Time the file began processing)
- Submitted By (This should always be your AAISdirect username as it only shows files that you have uploaded)
- Filename (name of the file you uploaded) (*Note: Showing blank in this manual to anonymize data).*
- Total Records (Total number of records that have been processed) *(Note: When processing is complete the amount should be the total number of records in the file).*
- Error Records (Total number of records that were in error). Examples include one or more of the following reasons:
    - ***Line of Business*** (Not one of the valid AAIS Lines of Business Codes)
    - ***Accounting Month*** (Not 01-12 or implies in the future in regards to the processing date)
    - ***Accounting Year*** (Year not numeric or implies in the future in regards to the processing date)
    - ***Company*** (Company number is not in the systems company table or company number is in the company table more than once)
    - ***Transaction Code*** (Reported transaction code is not one of the valid codes)
    - ***Premium / Loss Amount*** (Invalid Premium / Loss Amount due to formatting)
    - ***Exposure / Claim Count*** (Invalid Exposure / Claim Count due to formatting)
    - ***Subline Code*** (Auto only) (Reported Auto Subline Code is not one of the valid codes).
- Status (Status of the file you uploaded).
- Actions (Available actions to be done on a given submission).

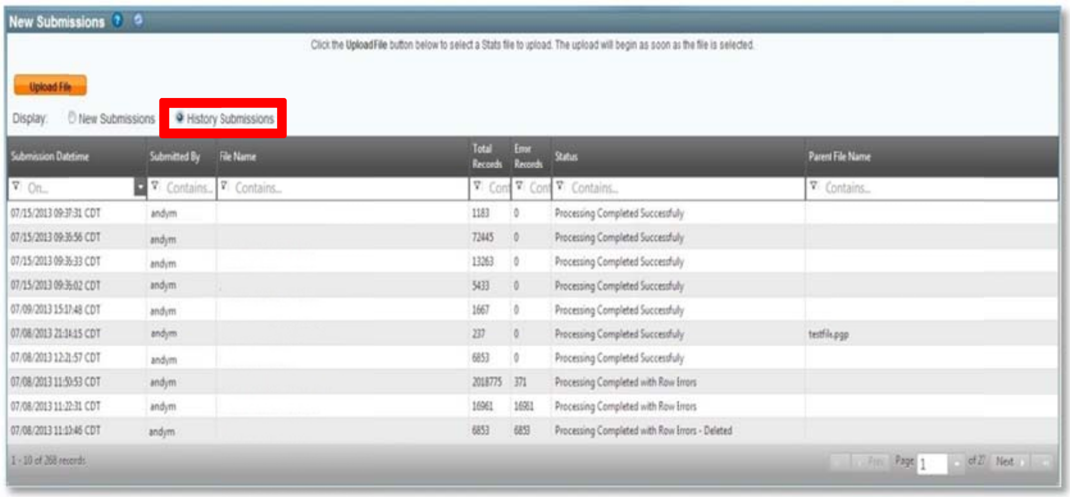
All of these fields have the ability to be filtered with the options of ‘starts with’, ‘ends with’, ‘contains’, ‘does not contain’, ‘equals’ and ‘does not equal’. An advanced filter is also available should a user want to filter based on more than one requirement within the same field.

Once a file has finished processing, the record will automatically disappear from the table under 'New Submissions' if it finished processing successfully. If, for whatever reason, a file did not finish processing successfully, it will remain on this list until the action 'Remove from List' is selected.

3.1.4 History Submissions

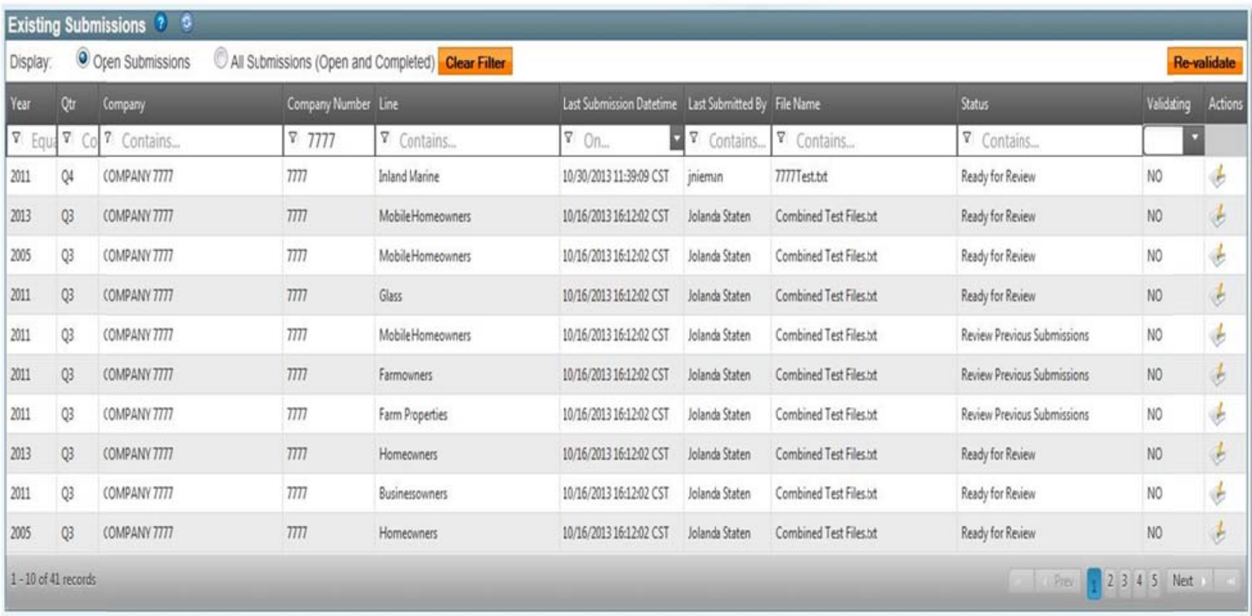
Under the display of 'History Submissions' all the information of previously finished submissions (successful or unsuccessful) will be shown. The information is all the same information that would have been displayed under the 'New Submissions' display except the added column of ‘Parent File Name’ which indicates the name of the .zip or .pgp file if the file was part of one of these file types.

Clicking on one of the rows within the 'History Submissions' will pull up all the transmittals within the selected file in the 'Existing Submissions' section of the page.



4.0 Existing Submissions

Once a file has finished uploading and contains at least one record without any ‘Row Errors’, a transmittal row is created under 'Existing Submissions'. This section is split up into 'Open Submissions' (those submissions needing attention by the company) and 'All Submissions' (which are all the submissions that are within the application).



Existing Submissions

Display: Open Submissions | All Submissions (Open and Completed) | Clear Filter | Re-validate

Year	Qtr	Company	Company Number	Line	Last Submission Datetime	Last Submitted By	File Name	Status	Validating	Actions
Equ	Co	Contains...	7777	Contains...	On...	Contains...	Contains...	Contains...		
2011	Q4	COMPANY 7777	7777	Inland Marine	10/30/2013 11:39:09 CST	jnieman	7777Test.txt	Ready for Review	NO	
2013	Q3	COMPANY 7777	7777	MobileHomeowners	10/16/2013 16:12:02 CST	Jolanda Staten	Combined Test Files.txt	Ready for Review	NO	
2005	Q3	COMPANY 7777	7777	MobileHomeowners	10/16/2013 16:12:02 CST	Jolanda Staten	Combined Test Files.txt	Ready for Review	NO	
2011	Q3	COMPANY 7777	7777	Glass	10/16/2013 16:12:02 CST	Jolanda Staten	Combined Test Files.txt	Ready for Review	NO	
2011	Q3	COMPANY 7777	7777	MobileHomeowners	10/16/2013 16:12:02 CST	Jolanda Staten	Combined Test Files.txt	Review Previous Submissions	NO	
2011	Q3	COMPANY 7777	7777	Farmowners	10/16/2013 16:12:02 CST	Jolanda Staten	Combined Test Files.txt	Review Previous Submissions	NO	
2011	Q3	COMPANY 7777	7777	Farm Properties	10/16/2013 16:12:02 CST	Jolanda Staten	Combined Test Files.txt	Review Previous Submissions	NO	
2013	Q3	COMPANY 7777	7777	Homeowners	10/16/2013 16:12:02 CST	Jolanda Staten	Combined Test Files.txt	Ready for Review	NO	
2011	Q3	COMPANY 7777	7777	Businessowners	10/16/2013 16:12:02 CST	Jolanda Staten	Combined Test Files.txt	Ready for Review	NO	
2005	Q3	COMPANY 7777	7777	Homeowners	10/16/2013 16:12:02 CST	Jolanda Staten	Combined Test Files.txt	Ready for Review	NO	

1 - 10 of 41 records Prev 1 2 3 4 5 Next

4.1 Open Submissions

After a file has finished parsing, verifying, and loading to the line table, there will be a row in 'Open Submissions' with a status. The first time a set of data (i.e. Year/Quarter/Company/Line) is submitted it will receive a status of ‘Ready for Review’. This means that the user must now verify the totals and sign off on the set of data. If additional data (or replacement data) has been submitted, a status of ‘Review Previous Submissions’ is shown.

Note: If separate files are submitted: 1) for either premium/losses and/or 2) from multiple systems, the ‘Review Previous Submissions’ status makes the user aware that data has been previously submitted for the Year/Quarter/Company/Line.

The available Actions at this stage are Reject Data, Submit Data, Edit Data, or Download Error Detail Report if the transmittal is in a ‘Ready for Review’ status. When in a ‘Review Previous Submissions’ status, the only options are to Reject Data, or Download Error Detail Report. Action must be taken on the "previous submission" before further action is available. The status will also automatically change when this happens.

When the action Submit Data is chosen, a window will open with an ‘Acknowledgement’ window that will require the user to enter a Name and Phone number so AAIS: 1) knows who submitted the set of data, and 2) is aware of who is verifying the accuracy of the data totals.

4.2 All Submissions

The ‘All Submissions’ display will show all the records in Open Submissions plus the submissions currently ‘Loading and Verifying’ or that have been Submitted, Accepted, Acknowledged, Rejected, Replaced, or Cancelled.

Once the set of data has been submitted to AAIS, the company will no longer have the ability to go in and edit the data as it is now in review by AAIS staff. If you determine that a change needs to be made at this time, please contact the AAIS data analytics staff and they will have the ability to either put the data back in your hands (i.e. Ready for Review) or make the change on your behalf.

4.3 Possible Transmittal Statuses

Most of the possible transmittal statuses have been described throughout the 'Existing Submissions' section of this manual, but below is a list of each with a brief description of its meaning.

- ***Created*** - This is a behind the scenes status that you would never see because it moves on to Loading and Verifying almost instantaneously.
- ***Loading and Verifying*** - This status will appear in All Submissions as a file is being parsed, validated against the rules engine, and loaded into the company table. (You can click on the transmittal, bringing up totals, to see the progress)
- ***Review Previous Submissions*** - Indicates there is already a submission that is awaiting review at the company level with the same Year/Quarter/Company/Line
- ***Contact AAIS*** - A submission for the same Year/Quarter/Company/Line has already been accepted by you (or another user from your company), AAIS, or both. The other reason for this message would be if you submitted data with a valid company number but one in which you are not permitted to submit data.
- ***Ready for Review*** - A submission for a given Year/Quarter/Company/Line is ready for your review. You must verify the transmittal totals and accept the submission if correct.
- ***Data Rejected*** - The set of data has been rejected by either you or an internal AAIS user and will not be used within a close of the data
- ***Data Replaced*** - Essentially the same as Data Rejected, just indicates how the data got to its status. Data Replaced is a result of a new set of data being submitted and the user choosing Replace Existing instead of Add to Existing.
- ***Cancelled*** - Submission was cancelled while in the processing state.
- ***AAIS Edit Review*** - You have verified transmittal totals and have submitted the data to AAIS to review, correct, and/or accept.
- ***AAIS Accepted*** - Submission has been reviewed by AAIS and any/all errors have been accepted.
- ***AAIS Acknowledged*** - Submission is at the final stage, however, data was not in a state to be officially accepted by AAIS.

4.4 Verifying Totals

Clicking on any row within Existing Submissions will bring up a table below titled Processing Results. At the top there will be record count totals. Total Record Count is the total number of records within the submission that did not have a row error. If there is data submitted for the given Year/Quarter/Company/Line (even if it is the row that was just clicked) there will be two tables below (one for Existing Data Totals and one for the data that was part of this submission).

The information in these tables is Written Premium, Written Exposure, Written Record Count, Paid Loss, Paid Claim Count, Paid Record Count, Outstanding Loss, Outstanding Claim Count, Outstanding Record Count, Total Money, and Total Record Count.

5.0 Validation Process

While a file is processing it is parsing out each record and if successful, validating it against our rules engine. If a record is not able to be successfully parsed it is considered a row error. If the record is successfully parsed it may then have a business logic error or be error free.

5.1 Row/Parsing Error

A row or parsing error indicates that the system is not able to perform one or more of the following tasks:

- properly assign record to a transmittal (Company/Line/Year/Quarter)
- aggregate the amount or count fields to produce transmittal totals
- identify what type of record was reported in order to parse correctly (i.e. premium vs. loss or subline for Auto)

These errors would be those errors mentioned under the 'New Submissions' section of this manual. While it is possible a record could have more than one of the "critical" fields in error, the system is currently designed to only flag the record for one reason.

5.2 Business Logic Errors

If a record does not contain a parsing error, the record would then populate a line-specific table and would be assigned to a transmittal based on the Company/Line/Year/Quarter combination. While being parsed, every record is validated to check for business logic errors. A business logic error is anything within a given record that does not follow defined business rules in the statistical plans or program manuals.

Each business rule is assigned an error code and an error message which are displayed in the Error Detail Report and the View Error Summary tab of the Edit Data feature.

5.3 Re-Validation

When a change is made to a record from the 'Edit Data' option the individual record will be re-validated against every rule in the rule-sets.

6.0 Error Correction

After choosing the action 'Edit Data', a table of all the records associated with the chosen transmittal is available to view, filter, delete, add, or modify. The filtering options within 'Edit Data' are the same as filtering on the transmittals. These options can be filtered on any of the fields on the record.

6.1 Individual Corrections

Each record visible within the table can be edited for any field (outside of ID, Transmittal_id, line, repyr, comp, and a few system fields at the end). To make a change/correction, click on the row and field you would like to correct. After making the correction, clicking 'Done' will allow you to either make more corrections or save any changes already made. When you decide to save the changes, the system will prompt you to enter notes to document the reason for the change.

6.2 Bulk Corrections

Bulk corrections can be made to all records within a table or only all those that are currently filtered. The bulk change option allows you to modify/clear any stat field on the record. This allows you to make changes on multiple records that are all being changed for the same reason. Before the records are actually updated the system will again ask for some notes to keep track of changes made.

6.3 Adding/Deleting Records

To add a record, click just below where the filtering options are available. At this point the system will auto fill in the Transmittal ID, Line, Report Month, Report Year and Company fields (and will only allow the user to change the Report Month field to one of the valid months within the quarter via a drop down box).

To delete a record, hover the mouse over the record you wish to delete. At the right hand side of the screen there will be a box with an 'X' in it that when clicked will delete the record from the view in the table. The record, however, is not actually deleted until the user clicks on the save changes button on the bottom left part of the screen. As with both changes and additions you will be prompted to enter some notes to be used for tracking purposes. If the wrong record was deleted by mistake there is also an Undo button that can be clicked up till the changes have been saved.

6.4 Load Deleted Data

This tab allows you to view any record that has been deleted from the data set.

6.5 View Error Summary

This tab allows you to interactively view the Error Detail Report and show either records that are in error for a specific error code or show all records that are in error for one or more business logic error. When clicking on one of the records another table will appear below that shows all errors that are associated with the selected record.

7.0 User Friendly Tips

7.1 Hide Field

The system allows you to hide any field that you do not wish to see by clicking on the gear looking symbol to the right side of the field and clicking hide. Note: Hiding the field does not delete the data and the field can be unhidden at any time.

7.2 Column Chooser

Another option above is 'Column Chooser', which allows you to quickly select all fields you would like to be displayed. All other fields will be automatically hidden. However, as before any hidden field can be unhidden at any time.

7.3 Filter

As mentioned throughout this manual all available tables have the ability to be filtered by any of the available columns. The filtering options are different based on what type of field is in the column.

If the column stores numerical data it can be filtered by:

- Equals / Not Equals
- Greater than / Less than
- Greater than or equal / Less than or equal

If the column is stored as text the data can be filtered by:

- Starts with / Ends with
- Contains / Does not contain
- Equals / Does not equal

An advanced filter is also available if you wish to filter a specific column by more than one criterion.

7.4 Recommended Browsers

While the Stats Editing Web Application is functional in most browsers, we suggest using either Firefox or Chrome as other browsers do have some known issues.