

AIUA Voluntary Writings Submission Guide

v. 1.2

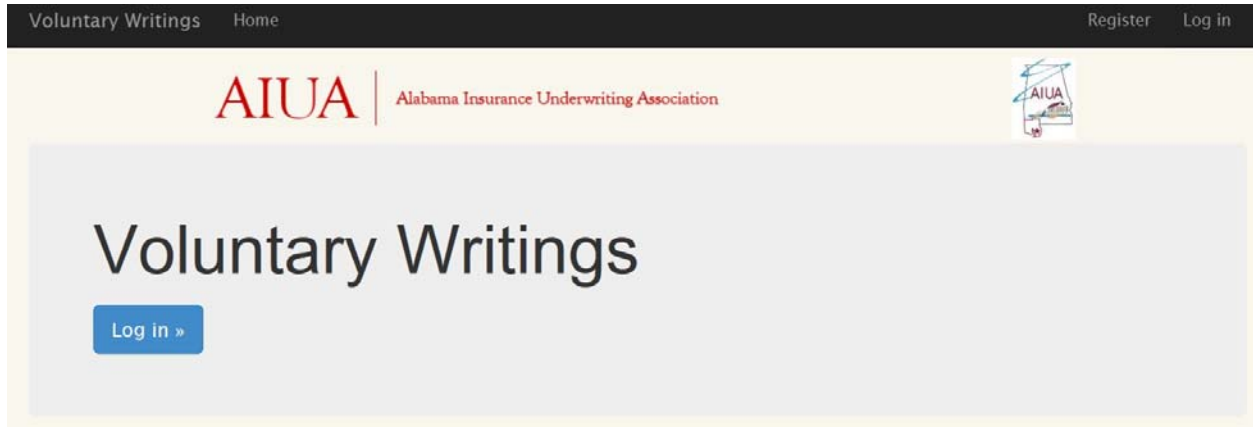
Table of Contents

Registering for an Account / Log in.....	2
Step 1: Set up Reporting Companies/Groups	3
Step 2 – Net Direct Premium Data Entry	8
Step 3 – Upload your Page 19 PDF File	12
Step 4 – Upload Voluntary Writing Data.....	14
Step 5 – Finalizing your submission	18
Step 6: Run Reports	21

AIUA Voluntary Writings Submission Guide

v. 1.2

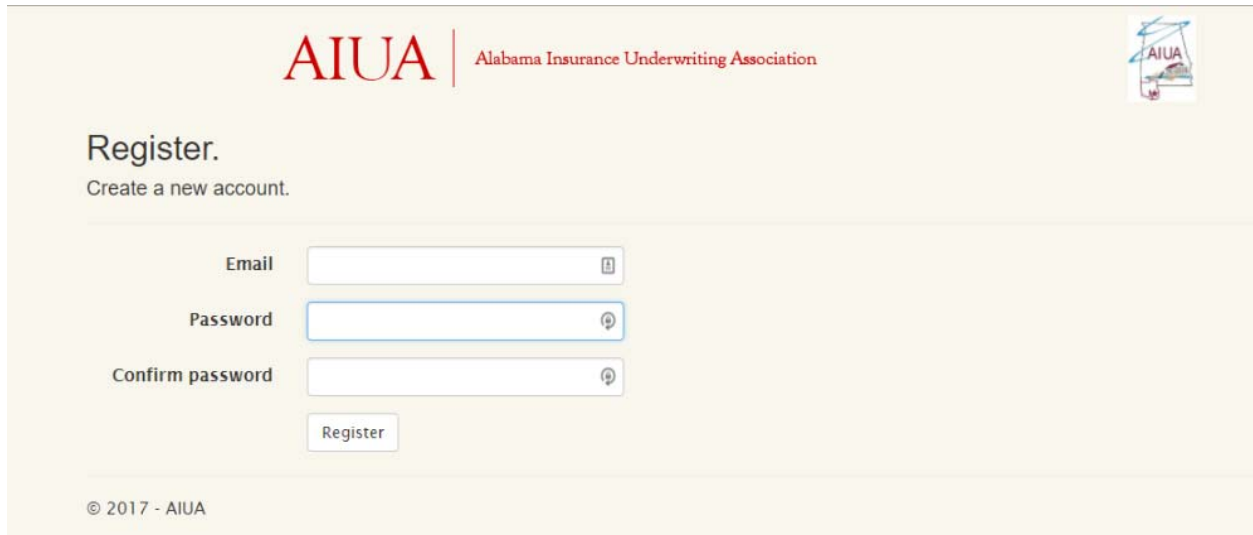
[Registering for an Account / Log in](#)



If you already have an account, click Login.

If not, click the register link in the top right corner of the page.

Registration requires an email address and a password, with instructions for the password listed.



AIUA Voluntary Writings Submission Guide

v. 1.2

Step 1: Set up Reporting Companies/Groups

Step 1:

Select which companies or groups for which you wish to report.

AIUA will have sent you a letter with any PIN numbers associated with the NAIC numbers you intend on reporting on.

In Step 1, you will enter any and all NAIC/PIN combinations to associate a company or group with your user account. If adding a company, use the Companies section, if adding a group use the Groups section.

Select Companies / Groups

Companies	Groups
NAIC: <input type="text"/>	NAIC: <input type="text"/>
PIN: <input type="text"/>	PIN: <input type="text"/>
<input type="button" value="Search"/>	<input type="button" value="Search"/>
Company Name	Group Name
NAIC	NAIC

Select Companies / Groups

Companies

NAIC:

PIN:

Company Name

NAIC

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v. 1.2

If the system finds a record of the company with the NAIC / PIN combination, the following screen will appear. Click the Add button to add the company to your account. If something appears incorrect, click Cancel and contact AIUA.

Is this the correct company?

Test Company	12345	<input type="button" value="Add"/>
--------------	-------	------------------------------------

Cancel

Groups work the same as companies:

Groups

NAIC:

123

PIN:

1234

Search

Group Name	NAIC
------------	------

AIUA Voluntary Writings Submission Guide

v. 1.2

Is this the correct group?

Test Group

123

Add

Cancel

Some Companies have been identified as a part of a Group with the Department of Insurance. If you try to add a company that is part of a group, the following screen will appear, giving you the opportunity to split this company from the group and report individually. Once you have separated a company from a group, you will need to contact AIUA if you would like the company to report as part of a group.

Is this the correct company?

Test Company in Group

1234

Company is part of a Group

Report Individually

Cancel

AIUA Voluntary Writings Submission Guide

v. 1.2

If you attempt to add a group or company that has already been assigned to a user, it will not allow you to add this group or company to your account. Please contact AIUA if you are trying to add a group or company that is already assigned to a user.

The screenshot shows a light blue header bar with the text "Is this the correct group?". Below this is a table with two columns: "Group Name" and "Status". The first row contains "Test Group" and "123". A red error message "Already assigned." is displayed to the right of the table. At the bottom right of the dialog is a red "Cancel" button.

Group Name	Status
Test Group	123

Already assigned.

Cancel

If you mistype the NAIC number or give an incorrect PIN you will receive the following error. If you feel you've typed the correct information, contact AIUA to confirm that the company or group you are trying to add isn't working. AIUA will confirm the company/group and PIN settings and help you register the company/group.

The screenshot shows a light blue header bar with the text "Is this the correct company?". Below this is a red error message "NAIC and PIN do not match any companies.". At the bottom right of the dialog is a red "Cancel" button.

Is this the correct company?

NAIC and PIN do not match any companies.

Cancel

AIUA Voluntary Writings Submission Guide

v. 1.2

Once you have completed adding a company/group, the screen will display which companies/groups are assigned to your user:

The screenshot displays a web interface titled "Select Companies / Groups". It is divided into two main sections: "Companies" and "Groups".

Companies Section:

- Search filters: "NAIC:" and "PIN:" with corresponding input fields. A blue "Search" button is located to the right of the "PIN" field.
- Table of assigned companies:

Company Name	NAIC	
Test Company	12345	<input type="checkbox"/>

Groups Section:

- Search filters: "NAIC:" and "PIN:" with corresponding input fields. A blue "Search" button is located to the right of the "PIN" field.
- Table of assigned groups:

Group Name	NAIC	
Test Group	123	<input type="checkbox"/>

AIUA Voluntary Writings Submission Guide

v. 1.2

Step 2 – Net Direct Premium Data Entry

Step 2:

Enter your Net Direct Premium data for all reported companies/groups.

Step 2 replaces the paper form that used to be required as part of your submission. This process will work by entering 1 column of data from this sheet at a time.

See the old paper form below:

	Fire Line 1	Allied Lines Line 2.1	Homeowners Line 4	Commercial Lines 5.1+5.2	Total
1. Direct 2008 Premiums Written - Column 1, Page 20, of AL Annual Statement					
2. Add Industrial Fire & Allied Lines Prems. (Weekly/Monthly Debit Business)					
3. SUBTOTAL (1 + 2)					
4. Less the Following if Included in Lines 1 and 2 above:					
A. Farm Property					
B. Time Element					
C. Premiums Other Than EXTENDED COVERAGE Reported as ALLIED LINES in Annual Statement - EXPLAIN IN DETAIL ON REVERSE SIDE.					
D. Unused or Unabsorbed Portion of Premium Deposits					
E. Automobile Premiums included in Homeowners and in Commercial Multiple Peril Policies, if any					
F. Dividends Paid or Credited to Policyholders on Direct Business					
G. Premiums for policies that exclude the peril of wind					
5. SUBTOTAL (A+B+C+D+E+F+G)					
6. SUBTOTAL (Line 3 Less Line 5)					
7. LESS					
25% of Homeowners - Line 6					
50% of Commercial Multiple Peril - Line 6					
8. TOTAL - Premium for Participation					

Click the Create New Button to begin entry (you need to do this for each report category you will be reporting):

Net Direct Premium

Create New

Calculated Net Direct Premiums

No Net Direct found for this user.

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v. 1.2

First select which company/group you'll be reporting the Net Direct Premiums for:

Create

Net Direct Premium Line Item (Total Dollar Amounts for Each Line Item)

Group

Company

Then select the Submission Period and Report Section you would like to enter the data for:

Submission Period	<input type="text" value="2015 Reporting Period"/>
Report Section	<input type="text" value="HO"/>
Direct Premiums Written	<input type="text" value="Fire"/>

Industrial & Fire Lines

In relation to the paper form displayed above:

- Fire = Fire Line 1
- Allied Lines = Allied Lines 2.1
- HO = Homeowners Line 4
- CMP = Commercial Line 5.1 + 5.2

AIUA Voluntary Writings Submission Guide

v. 1.2

Fill out the related dollar figures (as numbers only) as they related to the paper form and click Create:

Submission Period	<input type="text" value="2015 Reporting Period"/>
Report Section	<input type="text" value="HO"/>
Direct Premiums Written	<input type="text" value="0"/>
Industrial & Fire Lines	<input type="text" value="0"/>
Farm Property	<input type="text" value="0"/>
Time Element	<input type="text" value="0"/>
Premiums OTHER THAN EXTENDED COVERAGE	<input type="text" value="0"/>
Unused or Unabsorbed Portion	<input type="text" value="0"/>
Auto	<input type="text" value="0"/>
Dividends	<input type="text" value="0"/>
Policies that exclude Wind	<input type="text" value="0"/>
Comments	<input type="text"/>
	<input type="button" value="Create"/>

After you click create, it will take you back to the main Net Direct Premium page where it will display your calculated Net Direct Premium and list the entries that you have made. Click Create New again to enter the next Report Category.

AIUA Voluntary Writings Submission Guide

v. 1.2

The completed report, after the user has added all companies and groups desired, will look something like the image above. **NOTE: If your company/group has NO premiums to report, please fill it out with all 0's.**

NET DIRECT PREMIUM

Create New

Calculated Net Direct Premiums

Name	Net Direct Premium
Test Company	\$37,500.00
Test Group	\$38,750.00

Test Company

Submission Period	Report Section	Direct Premiums	Industrial Fire and Allied Lines Premium	Farm Property Premiums	Time Element Premiums	Auto Premiums	Wind Excluded Premiums	
2015 Reporting Period	Fire	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	Edit Delete
2015 Reporting Period	HO	\$50,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	Edit Delete

Test Group

Submission Period	Report Section	Direct Premiums	Industrial Fire and Allied Lines Premium	Farm Property Premiums	Time Element Premiums	Auto Premiums	Wind Excluded Premiums	
2015 Reporting Period	CMP	\$40,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	Edit Delete
2015 Reporting Period	HO	\$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	Edit Delete

AIUA Voluntary Writings Submission Guide

v. 1.2

Step 3 – Upload your Page 19 PDF File

Step 3:

Upload your Page 19 PDF file

This step is simple and only requires the user to upload their Page 19 file from their computer. The Page 19 file is required to be in PDF format. Click the Upload New button.

Page 19 Uploads

Upload New

Submission Period

Company

Group

After the upload new button is clicked, a new screen will pop up. It will have drop down menus for the group or company you are uploading the file for, as well as a drop down menu for the submission period the report is for. Click browse to find the file and then select the file the user wants to upload. Make sure that you do not have both a company and a group selected, or else an error message like in the image above will appear.

Upload

Page 19 Upload

Group

Test Group



You may only select a Company OR a Group, not both.

Company

Test Company



You may only select a Company OR a Group, not both.

Submission Period

2015 Reporting Period



File

Browse...

Upload

AIUA Voluntary Writings Submission Guide

v. 1.2

Page 19 Uploads

[Upload New](#)

Submission Period	Company	Group	
2015 Reporting Period		Test Group	Delete

After you have uploaded the files needed, a page like the one shown above will appear. If more files need to be uploaded, click on the “Upload New” button.

AIUA Voluntary Writings Submission Guide

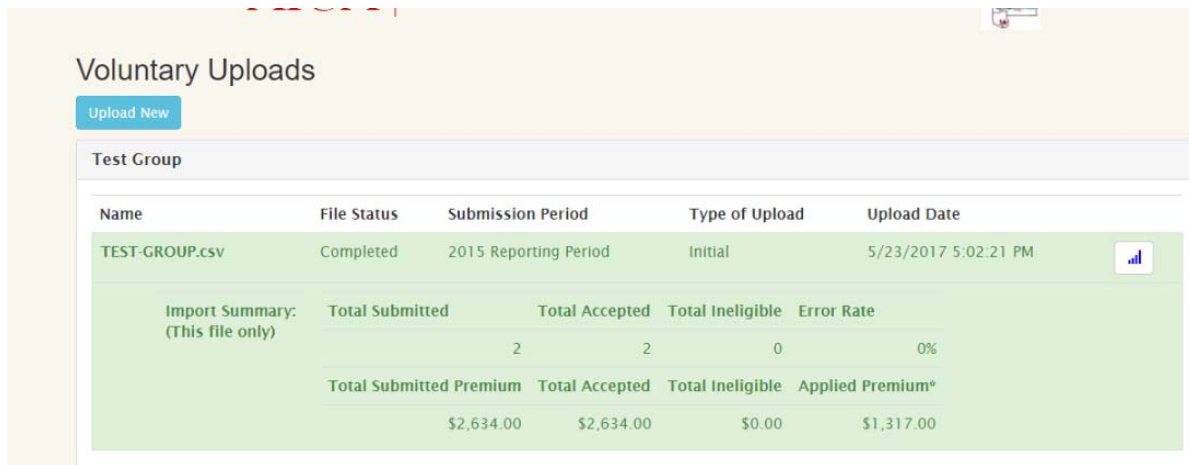
v. 1.2

Step 4 – Upload Voluntary Writing Data

Step 4:

Upload your voluntary writing data for all reported companies/groups.

Click the Upload New button to begin the process:



The screenshot displays the 'Voluntary Uploads' section of a web application. At the top left, there is a blue 'Upload New' button. Below it, a table lists the upload records. The first record is for 'TEST-GROUP.csv', which has a 'Completed' status, a '2015 Reporting Period' submission period, and an 'Initial' type of upload, completed on '5/23/2017 5:02:21 PM'. Below the table, an 'Import Summary' section provides a breakdown of the data for the 'TEST-GROUP.csv' file, showing 2 total submissions, 2 total acceptances, 0 total ineligible items, and a 0% error rate. It also shows a total submitted premium of \$2,634.00, a total accepted premium of \$2,634.00, a total ineligible premium of \$0.00, and an applied premium of \$1,317.00.

Name	File Status	Submission Period	Type of Upload	Upload Date
TEST-GROUP.csv	Completed	2015 Reporting Period	Initial	5/23/2017 5:02:21 PM

Import Summary: (This file only)	Total Submitted	Total Accepted	Total Ineligible	Error Rate
	2	2	0	0%

	Total Submitted Premium	Total Accepted	Total Ineligible	Applied Premium*
	\$2,634.00	\$2,634.00	\$0.00	\$1,317.00

AIUA Voluntary Writings Submission Guide

v. 1.2

You will select which company/group for which you'll be uploading. Please refer to the AIUA Voluntary Writings Bordereau Listing Technical Guide for file format and layout for this step.

Upload File

The screenshot shows a form titled "Upload File" with a light yellow background. It contains four main sections: "Group" with a dropdown menu showing "Test Group"; "Company" with an empty dropdown menu; "Submission Period" with a dropdown menu showing "2015 Reporting Period"; and "File" with a file input field and a "Browse..." button. Below the file input is an "Upload New File" button. At the bottom left of the form is a blue link that says "Back to List".

Once you've selected a Voluntary Writing file to upload, click the Upload New File Button. The following warning will appear:

Uploading a File

You have selected to upload this file.

If you have already uploaded a file for this submission period it will replace the previous file.

Your new file must contain all of the items you wish to submit.



You can re-upload at any time during the submission period but every upload will be a full replacement of the previous upload. Be sure to include all of the policies that you would like included in your submission in this file.

AIUA Voluntary Writings Submission Guide

v. 1.2

File processing can take upwards of a couple of hours if you're submitting a very large file. You will receive an e-mail when file processing begins and you'll receive a second e-mail when file processing has completed.

Log back in and go straight to Step 4 to see the results of your submitted file.

Voluntary Uploads

[Upload New](#)

Test Group

Name	File Status	Submission Period	Type of Upload	Upload Date	
TEST-GROUP.csv	Completed with Errors	2015 Reporting Period	Initial	5/23/2017 2:00:00 PM	 
Import Summary: (This file only)	Total Submitted	Total Accepted	Total Ineligible	Error Rate	
	2	0	2	100%	
	Total Submitted Premium	Total Accepted	Total Ineligible	Applied Premium*	
	\$2,634.00	\$0.00	\$2,634.00		

If the following button is present (as well as the items showing in red), there were errors present in your upload. Click it to download a detailed error report.



After clicking the red button, an excel spreadsheet with the company or group on it will appear. Column Q will show the ineligible reasons why the report was not accepted.

Q
Rejected Reason
This company is not part of the group for which you are reporting.
This company is not part of the group for which you are reporting.
Company is set to report individually and cannot be included in this group.

Make the necessary corrections to your original file and re-upload the file. It will replace the previous version and re-run the validation of the file. This can be done until you are comfortable with the error percentage.


If there are items that are considered not valid that you believe should be valid, contact AIUA and they will do a manual review of your file. In order to request a manual review, your error percentage must be below 10%.

AIUA Voluntary Writings Submission Guide

v. 1.2

If the file is error free, the screen will look like the one below (notice that it is green instead of red)

Test Company

Name	File Status	Submission Period	Type of Upload	Upload Date	Detailed Report
TEST-COMPANY.csv	Completed	2015 Reporting Period	Initial	5/23/2017 2:07:00 PM	
Import Summary: (This file only)	Total Submitted	Total Accepted	Total Ineligible	Error Rate	
	2	2	0	0%	
	Total Submitted Premium	Total Accepted	Total Ineligible	Applied Premium*	
	\$2,634.00	\$2,634.00	\$0.00	\$1,317.00	

AIUA Voluntary Writings Submission Guide

v. 1.2

Step 5 – Finalizing your submission

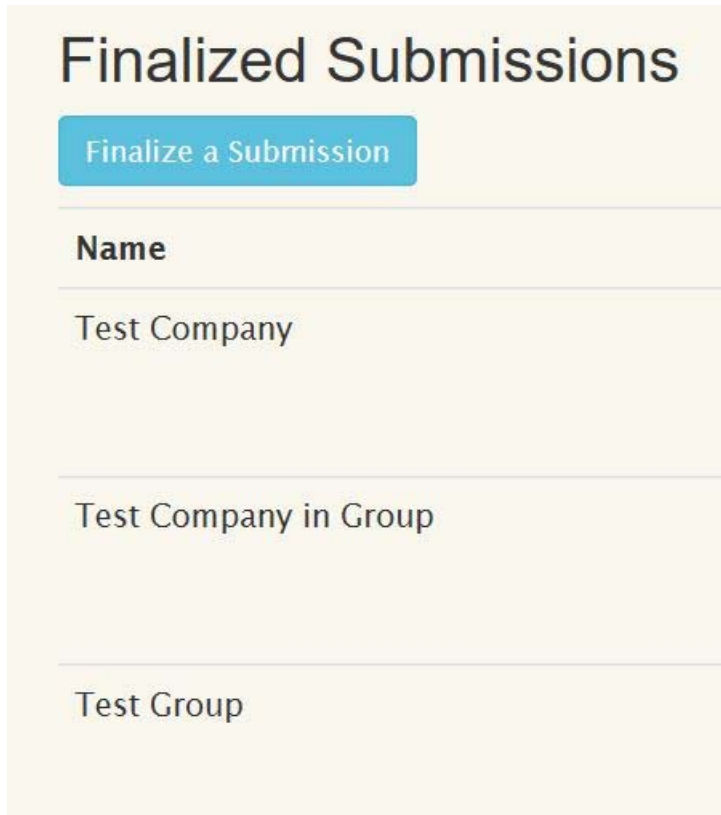
Step 5:

Finalize your submission for all reported companies/groups.

***Please note that your submission will not be considered submitted until it is finalized. The initial submission deadline is [REDACTED]

Your submission is not considered complete until it is finalized.

Click the Finalize a Submission button:



The screenshot shows a user interface for managing submissions. At the top, there is a large heading "Finalized Submissions". Below this heading is a blue button labeled "Finalize a Submission". Underneath the button is a table with four rows. The first row is a header row with the word "Name" in bold. The subsequent three rows are data rows, each with a single cell containing the text "Test Company", "Test Company in Group", and "Test Group" respectively. The table is styled with a light beige background and thin horizontal lines separating the rows.

AIUA Voluntary Writings Submission Guide

v. 1.2

Select which company/group you wish to finalize. If you have more than one, you'll need to do them one at a time.

Finalize a Company / Group

Please select which Company or Group you wish to finalize. Once finalized you will no longer be able to make any edits to your submission without contacting AIUA to unlock your submission.

Group

Company

Finalize

There are some final validations that will take place before you finalize. Those messages will make it clear if you have an issue with being able to complete the finalization step.

Test Group

Finalize

You must upload your Page 19 PDF to finalize. Please complete Step 3.

After one has been finalized, this page will appear showing what has been finalized and what hasn't. You can then click the finalize submission button to finalize another selection.

Type	Status
Company	Finalized
Company	Not Finalized
Group	Not Finalized

AIUA Voluntary Writings Submission Guide

v. 1.2

Once finalization has been completed, the data for that company/group will be locked and no edits will be allowed. If it is within the submission or correction period, you can request that AIUA unlock your submission to make edits.

Your submission has been finalized. If you need to make corrections please contact AIUA to unlock your Company/Group.

AIUA Voluntary Writings Submission Guide

v. 1.2

Step 6: Run Reports

Step 6:

Run Reports

This link will become available once all of the submissions are reviewed from every company.

Once all data has been collected from all companies and analyzed, the Step 6 link will become available.

All companies/groups that you have finalized will be available for reports:

Reports	
Companies	
Test Company	Participation Report
Groups	
Test Group	Participation Report

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Here's a sample of the Participation Report:

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v. 1.2



ALABAMA INSURANCE UNDERWRITING ASSOCIATION

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www.aiua.org

Robert W. Groves
Secretary/Manager

2015 Reporting Period

NAIC NO. 12345

NAME: Test Company

Following is computation of your company's (group's) percentage of participation in the Alabama Insurance Underwriting Association for the year.

1. Net Direct Premium Written by your company in the State*	\$37,500
2. Net Direct Premium Written by All Companies in the State*	\$1,697,870,342
3. Your Percentage of Total Net Direct Premiums Written in the State (Item No. 1 divided by Item No. 2)*	0.00221%
4. Total Premiums Written by Association – 2015 Reporting Period	\$44,620,492
5. Total Voluntary Premiums Written by All Companies**	\$208,063,372
6. Total Premiums Written by Association and Voluntary Premiums Written by all companies (Item 4 + Item 5)	\$252,683,864
7. Your company's maximum required share of premiums written (Item 3 x Item 6)	\$5,581
8. Voluntary fire premiums written by your Company**	\$0
9. Voluntary homeowner premiums written by your Company**	\$0
10. Voluntary commercial multi-peril premiums written by your company**	\$0
11. Voluntary premiums written by your company (Item 8+9+10)	\$0
12. Your maximum possible allocation from Association (Item 7 – Item 11)	\$5,581
13. Your Final Percentage of Participation (Item 12 for your company divided by Item 12 for all companies)	0.00250%