

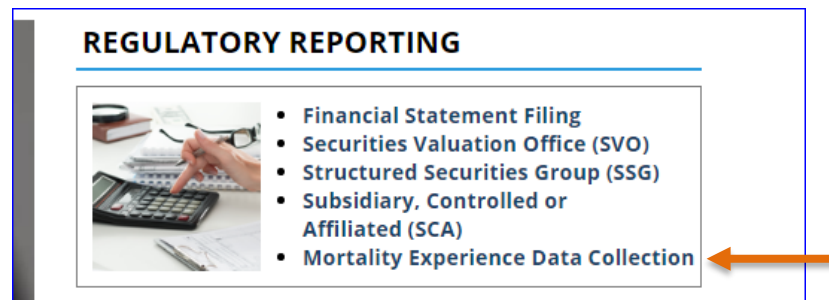
## Regulatory Data Collection (RDC) – User and File Requirements

1. **Have a NAIC Log On (Username) with the PBR\_USER\_PR role assigned**
  - a. For new users, contact the **NAIC Service Desk** via email [help@naic.org](mailto:help@naic.org) or phone **(816)783-8500** to request an NAIC Log On (Username) be created and assigned the PBR\_USER\_PR role.
  - b. If you have not logged in to any NAIC application for more than 90 days, you will need to have your password reset. Click on the “Forgot your password?” link in the log in window to initiate the process of having your password reset.
  - c. If you are unsure if you have the PBR\_USER\_PR role assigned to your account, please contact the NAIC Service Desk.
2. **Prepare your Mortality Experience Data File**
  - a. Ensure a single legal entity insurer’s data is in a single data file. This must be a Comma-Separated Values format (.CSV) text file.
  - b. Save the file with the filename ‘#####\_NAIC2018\_Mortality\_Data\_Experience.csv’, where ##### is your 5-digit NAIC Company Code.

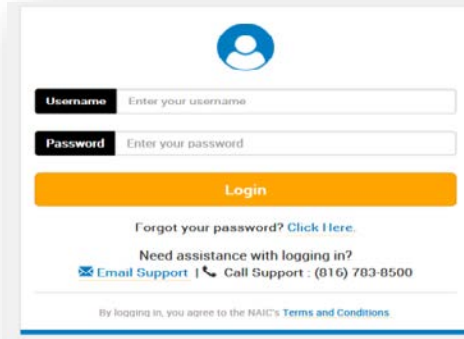
## Log In to RDC – Access the Mortality Experience Data Collection

From the NAIC Industry Tab ([https://content.naic.org/index\\_industry.htm](https://content.naic.org/index_industry.htm))

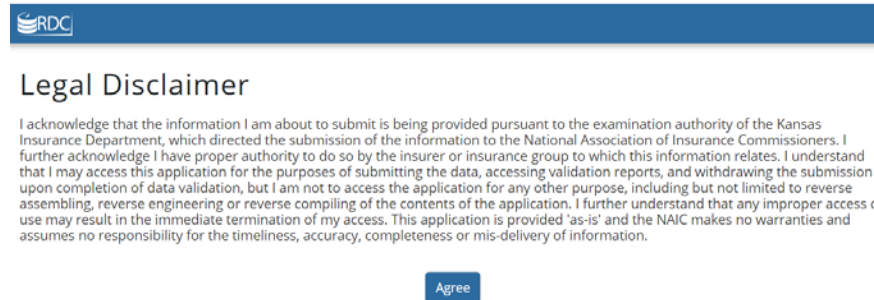
1. Select the **Mortality Experience Data Collection** hyperlink; <https://rdc.naic.org>



2. The login window displays.

A screenshot of a login form for the NAIC. At the top center is a blue circular icon with a white person silhouette. Below it are two input fields: the first is labeled 'Username' with a black background and the placeholder text 'Enter your username'; the second is labeled 'Password' with a black background and the placeholder text 'Enter your password'. Below these fields is a prominent orange button labeled 'Login'. Underneath the button, there is a link: 'Forgot your password? Click Here.' followed by another link: 'Need assistance with logging in?'. At the bottom of the form, there are two support options: 'Email Support' with an envelope icon and 'Call Support : (816) 783-8500' with a telephone icon. At the very bottom, a small line of text reads: 'By logging in, you agree to the NAIC's Terms and Conditions'.

3. Enter your NAIC Username and Password, select the **Login** button.
4. On an annual basis, the Regulatory Data Collection User Agreement will display. Read the contents and select the **Agree** button.

A screenshot of a 'Legal Disclaimer' screen. At the top left is the RDC logo, which consists of a stylized 'RDC' in white on a blue background. Below the logo is the title 'Legal Disclaimer' in a large, bold, black font. The main body of the screen contains a paragraph of text: 'I acknowledge that the information I am about to submit is being provided pursuant to the examination authority of the Kansas Insurance Department, which directed the submission of the information to the National Association of Insurance Commissioners. I further acknowledge I have proper authority to do so by the insurer or insurance group to which this information relates. I understand that I may access this application for the purposes of submitting the data, accessing validation reports, and withdrawing the submission upon completion of data validation, but I am not to access the application for any other purpose, including but not limited to reverse assembling, reverse engineering or reverse compiling of the contents of the application. I further understand that any improper access or use may result in the immediate termination of my access. This application is provided 'as-is' and the NAIC makes no warranties and assumes no responsibility for the timeliness, accuracy, completeness or mis-delivery of information.' At the bottom center of the screen is a blue button with the word 'Agree' in white text.

5. The Regulatory Data Collection system in the future will allow for easy access to multiple data calls. You may select the **datacall group** and **datacall** in the RDC Home tab. At this time select PBR from both dropdowns.

## Datacall Selection

→ Select datacall group:

Select datacall:

## RDC File Dashboard and Uploading a File

1. Select the **File Dashboard**



### Welcome to the Company Experience Data Collection System

Follow these steps to submit a file:

- 
1. Click [File Dashboard](#) on the navigation bar.
  2. Click on the boxed area in the center of the window to navigate to the file, or drag/drop the file to this area.
  3. Click Upload!

Your file submission and status will display underneath the upload button on the [File Dashboard](#) window. After the system validates the data file, if any exceptions occur, the exception count will display. Select the exception count link to view the exception details.

2. The Experience Data File Upload window displays.
3. To upload a file, select the '[Click to browse](#)', or drag/drop a file to the upload box.

# Company Experience Data File Upload

Click to browse or drag & drop to upload your file

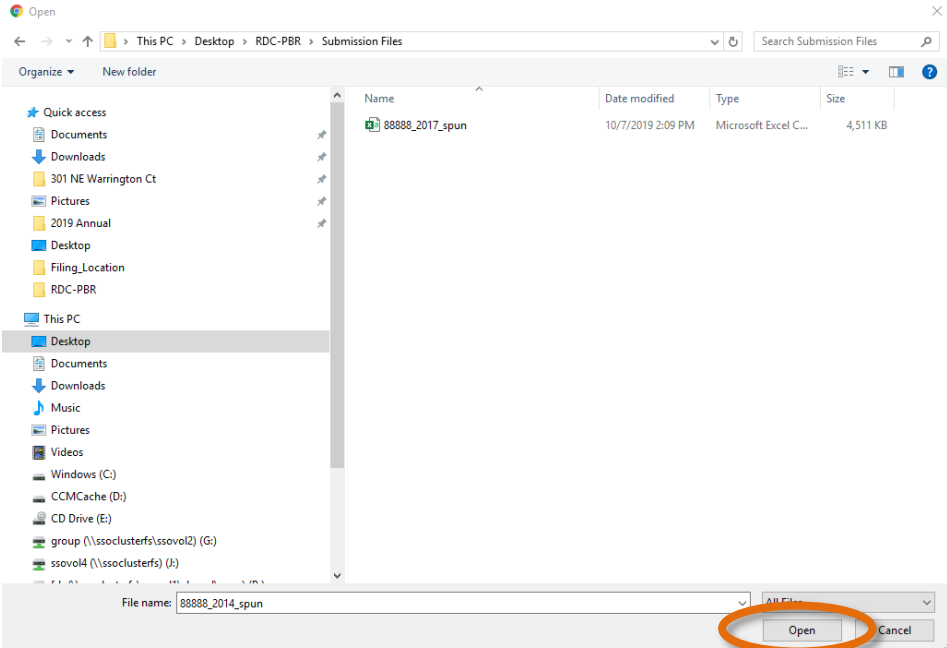
Upload Cancel

## Your Uploaded Files

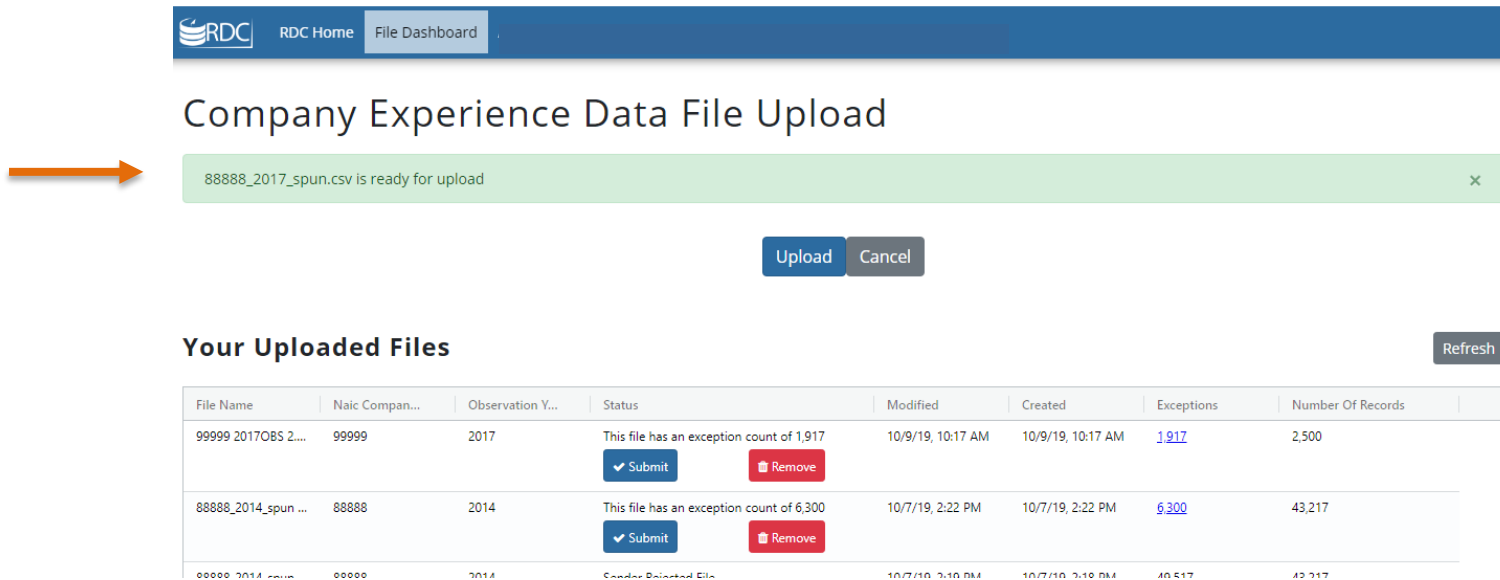
Refresh

File Name	Naic Compan...	Observation Y...	Status	Modified	Created	Exceptions	Number Of Records
99999 2017OBS 2...	99999	2017	This file has an exception count of 1,917 Submit Remove	10/9/19, 10:17 AM	10/9/19, 10:17 AM	1,917	2,500
88888_2014_spun ...	88888	2014	This file has an exception count of 6,300 Submit Remove	10/7/19, 2:22 PM	10/7/19, 2:22 PM	6,300	43,217

4. The File Upload window displays. Select the name of the file then select the **Open** button.



- The **File Dashboard** displays. The file name displays above the **Upload** button.



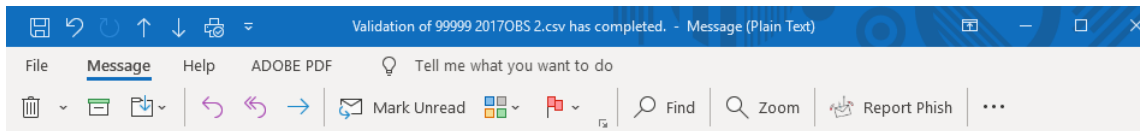
The screenshot shows the RDC File Dashboard interface. At the top, there is a navigation bar with the RDC logo and tabs for 'RDC Home' and 'File Dashboard'. Below the navigation bar, the title 'Company Experience Data File Upload' is displayed. A green notification bar indicates that the file '88888\_2017\_spun.csv' is ready for upload. Below the notification, there are 'Upload' and 'Cancel' buttons. Underneath, the section 'Your Uploaded Files' is shown with a 'Refresh' button. A table lists the uploaded files with columns for File Name, Naic Compan..., Observation Y..., Status, Modified, Created, Exceptions, and Number Of Records. The table contains three rows of data, with the first two rows having 'Submit' and 'Remove' buttons.

File Name	Naic Compan...	Observation Y...	Status	Modified	Created	Exceptions	Number Of Records
99999 2017OBS 2...	99999	2017	This file has an exception count of 1,917 <a href="#">Submit</a> <a href="#">Remove</a>	10/9/19, 10:17 AM	10/9/19, 10:17 AM	<a href="#">1,917</a>	2,500
88888_2014_spun ...	88888	2014	This file has an exception count of 6,300 <a href="#">Submit</a> <a href="#">Remove</a>	10/7/19, 2:22 PM	10/7/19, 2:22 PM	<a href="#">6,300</a>	43,217
88888_2014_spun ...	88888	2014	Sender Deleted File	10/7/19, 2:10 PM	10/7/19, 2:10 PM	43,517	43,217

- Select the **Upload** button.
- A progress bar depicts the percentage amount of the file that is uploaded. When the upload is complete the progress bar will depict 100%.

## Reviewing RDC File Validations

- After a file uploads successfully and validations are run, the file contents may or may not contain exceptions. Given the file size, validations may take some time to run after the upload completes. If a file contains exceptions, the sender is notified, via email to return to the application and submit, or remove the file.



Validation of 99999 2017OBS 2.csv has completed.



rdc\_notvalidaddress@naic.org  
To: Minnich, Matthew R.

Reply Reply All Forward

Wed 10/9/2019 10:17 AM

We removed extra line breaks from this message.

The validation of 99999 2017OBS 2.csv has completed. The submission contains: naic\_company\_code: 99999 observation\_year: 2017

Because of exceptions in your file - you need to return to view the exceptions and decide if you want to resubmit or accept the submission.

----- CONFIDENTIALITY NOTICE This message and any attachments are from the NAIC and are intended only for the addressee. Information contained herein is confidential, and may be privileged or exempt from disclosure pursuant to applicable federal or state law. This message is not intended as a waiver of the confidential, privileged or exempted status of the information transmitted. Unauthorized forwarding, printing, copying, distribution or use of such information is strictly prohibited and may be unlawful. If you are not the addressee, please promptly delete this message and notify the sender of the delivery error by e-mail or by forwarding it to the NAIC Service Desk at [help@naic.org](mailto:help@naic.org).

2. While validations are processing, under Year the word “Processing...” will display and under Exceptions “Checking for exceptions...” will display.
3. Data exceptions may be accessed on the **File Dashboard**. To view details about the exception records, select the hyperlink under the **Exceptions** heading.

99999 2017OBS 2.csv	99999	2017	This file has an exception count of 1,917	10/9/19, 10:17 AM	10/9/19, 10:17 AM	<a href="#">1,917</a>	2,500
			<input type="button" value="Submit"/>	<input type="button" value="Remove"/>			

4. The **File Exceptions** window displays. In this example, the *face\_amount\_at\_issue* and *birth\_date* fields contained nulls.

## File Exceptions

File Dashboard / 99999 2017OBS 2.csv Exceptions

face\_amount\_at\_issue

Exception Message

The value, null, is not a number.

Line Numbers

2322, 2324, 2325, 2327, 2328, 2330, 2333, 2334, 2335, 2336, 2338, 2340, 2341, 2345, 2346, 2347, 2349, 2350, 2352, 2353, 2357, 2361, 2362, 2364, 2365, 2367, 2368, 2370, 2373, 2376, 2378, 2380, 2381, 2384, 2386, 2388,



birth\_date

Exception Message

This value is required and cannot be null or empty.

Line Numbers

223, 692, 693

## Submitting or Removing an Uploaded File

1. For uploaded files with exceptions, the sender has the option to either **Submit**, or **Remove** the file.

### a. Submit File with Exceptions

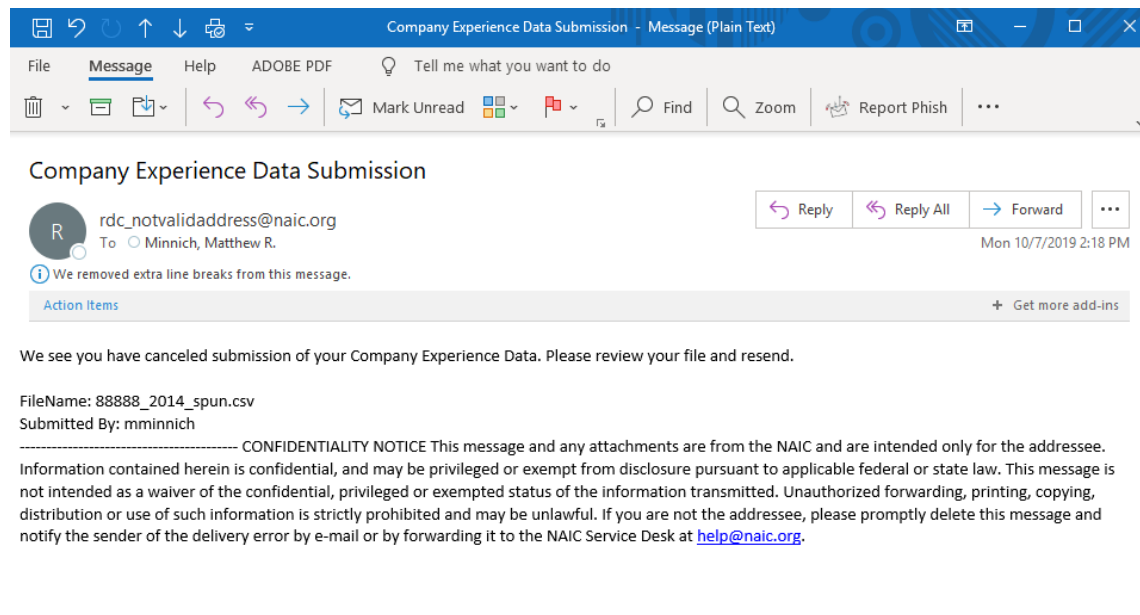
2017

This file has an exception count of 1,917

If the **Submit** button is selected the status of the file will change to File Pending NAIC Review. The file displays in the NAIC file administrator queue for further review. The NAIC administrator will review the file and decide to either process the file with exceptions or reject the file back to the sender.

## b. Remove File with Exceptions

If the **Remove** button is selected the status of the file will change to Sender Rejected File. An email, reminding the user to submit the removed file, if necessary, is also delivered.



**At this point the user will address data exceptions and restart the submission process.**

2. Until the sender responds to the Submit/Remove option, the file will display in File Administration with a status of Pending User Submission.