

MORTALITY EXPERIENCE DATA COLLECTION SUBMISSION CHECK LIST

This check list is being provided in order to assist companies in avoiding common issues/mistakes that have been identified in previous data collections. It is recommended that companies use this check list when preparing and submitting their data. For more information regarding each of these items, please refer to the 2024 Kick Off Training Webinar or the corresponding slide deck.

PREPARATION AND SUBMISSION OF DATA FILE:

- Was the file prepared consistent with the specifications & field definitions found in VM-51 Appendix 4?
- Did I make sure that the file did not contain header records?
- Is each observation year in a separate file?
- Are the segment numbers consistent with the previous year's data file?
- Are all the fields coded consistently with the previous year's data file?
- Did I use the Paid-Up Addition (PUA) and One-Year Term (OYT) plan codes if applicable?
- Did I code the PUA's and/or OYT's with the same issue date, issue age, and underwriting type as the base coverage?
- Did I use the Death due to COVID-19 cause of termination where appropriate?
- Have I coded the preferred class structure fields correctly?
- Have I checked for duplicate records?
- Did I submit my data file using the Regulatory Data Collection (RDC) tool found on the NAIC's website?
- Have VM-51 Appendix 1 and 2 Questionnaires been prepared and submitted for the current year?
- If the company is using custom plan codes, has VM-51 Appendix 3 questionnaire been prepared and submitted for the current year?
- Has a control totals document been prepared and submitted for the current data submission?
- Has a reconciliation to the company's annual statement been prepared and submitted for the current data submission?

RESPONSE TO NAIC FEEDBACK:

- Have I downloaded and reviewed all feedback from the NAIC?
 - Six-year trend spreadsheet
 - Submission Summary spreadsheet
 - Actual to Expected spreadsheet
- Have I uploaded my responses to the SharePoint site?
- Do I need to submit a new data file to correct data issues?