Sircon Producer Express User Guide

A Guide to
Sircon for Carriers™
Bulk Processing
Capabilities

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Contents

Bulk Processing

The **Bulk Processing** module consists of a suite of add-on utilities for Producer Lifecycle Management (PLM) Producer Manager, including the following:

- Bulk Appointments: Allows you to submit a batch of appointment requests to the states.

- Bulk Appointment Terminations: Allows you to submit a batch of appointment termination requests to the states.

- Bulk Business Data Updates: Allows you to perform bulk updates of varying types to existing producer records in Producer Manager. Each **Bulk Business Data Updates** utility is available separately.

You can initiate any **Bulk Processing** utility by populating a data file with batch request data. The data file must conform to file layout specifications particular to each utility. Then, you upload the data file to the **Bulk Processing** utility, which then validates the file and generates a separate dependent request record for each individual or firm producer listed in it.

When **Bulk Processing** is completed successfully, the records of each affected producer are updated accordingly in Producer Manager. Also, if **Bulk Appointments** or **Bulk Appointment Terminations** are used, requested compliance transactions are submitted to states for processing. Further, if the **Bulk Background Investigation Requests** utility is used, requested background checks are submitted to your company's chosen background investigation vendor.

Notes

The **Bulk Processing** module is available only to customers using Producer Manager.

The appearance and behavior of any utility in the **Bulk Processing** module are largely configurable per customer. If you do not see or cannot access a field or control documented in this help topic, it may not be configured to be enabled, either in your company's deployment of PLM or for your security role in the system. Similarly, specific fields or controls documented in this help topic may be configured with different names or different data characteristics (such as minimum or maximum length) in your company's instance of the application. For more information, contact your system administrator or your Vertafore representative.

You may not include more than 10,000 record rows in a single **Bulk Processing** data file. If you attempt to upload a data file that exceeds the limit, the system will route the request to the **Error Queue**. To proceed, you must upload an updated data file with 10,000 record rows or fewer.

Vertafore also can implement any **Bulk Processing** utility after your company's production deployment of PLM through a separate engagement with Vertafore Managed Services. Also, if

your company already is using a basic version of a **Bulk Processing** utility, Vertafore can configure any of its additional options through a separate Managed Services engagement.

Bulk Appointments

Using the **Bulk Appointments** utility, you can submit in a single action a batch of producer appointment requests to one or multiple states for processing.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Appointments** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Entity Type: IL (Individual) OR AGY (Firm)	Yes
B (Second)	Taxpayer Identification Number: Social Security Number (Individual) OR Federal Employer Identification Number (Firm)	Yes
C (Third)	Last Name (Individual) OR Firm Name (Firm)	Yes
D (Fourth)	First Name (Individual ONLY)	No
E (Fifth)	Email Address	No
F (Sixth)	Appointment Profile Code(s)	No
G (Seventh)	State(s) Code	Yes
H (Eighth)	Appointing Company NAIC ID(s)	No

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Appointments** operation:

- A producer to appoint
- A state(s) to which to submit an appointment request
- An appointment profile to apply to the operation
- An appointing company

- An email address to which to transmit an Appointment Letter (if the option to send Appointment Letters is user-enabled at run time)

Use the following steps to perform a **Bulk Appointments** operation:

Preparing the Data File

For processing in the **Bulk Appointments** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Appointments** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

Re-format cells with numeric strings to preserve leading zeroes.

Delete header row before saving data file.

	A	B	C	D	E	F	G	H
1	Entity Type	TIN	Last Name	First Name	Email Address	Appointment Profile Code	State	Appointing Company NAIC ID
2	IL	*****0544	CORDOVA			5001234	AL	12345
3	IL	*****1806	CROSBY			5001234	AL	12345
4	IL	*****9552	ESSARY			5001234	AL	12345
5	IL	*****9813	FREDERICK			5001234	AL	12345
6	IL	*****9676	GASKINS			5001234	AL	12345
7	IL	*****0756	GLASS			5001234	AL	12345
8	IL	*****3724	JUND			5001234	AL	12345
9	IL	*****3573	MOSLEY			5001234	AL	12345
10	IL	*****5963	PIPKIN			5001234	AL	12345
11	IL	*****2913	STARNES			5001234	AL	12345
12	IL	*****4417	TAYLOR			5001234	AL	12345
13	IL	*****6061	WHISLER			5001234	AL	12345
14	IL	*****9384	WILGUS			5001234	AL	12345
15	IL	*****7056	BISHOP			5001234	AL	12345
16	IL	*****5131	FESTE			5001234	AL	12345
17	IL	*****3232	GATTI			5001234	AL	12345
18	IL	*****1775	GONZALEZ			5001234	AL	12345
19	IL	*****2231	KRUM			5001234	AL	12345
20	IL	*****5818	LEFTWICH			5001234	AL	12345
21	IL	*****0173	MEYER			5001234	AL	12345
22	IL	*****8828	ROVELLO			5001234	AL	12345
23	IL	*****9730	SANDLIN			5001234	AL	12345
24	IL	*****5113	SILEO			5001234	AL	12345
25	IL	*****5983	SOUTHERLAND			5001234	AL	12345
26	IL	*****3404	SPEEGLE			5001234	AL	12345
27	IL	*****3704	CRIBB			5001234	AR	12345
28	IL	*****5953	DAVIS			5001234	AR	12345
29	IL	*****8604	DIMEO			5001234	AR	12345
30	IL	*****8549	GERMAN			5001234	AR	12345
31	IL	*****8081	GOLDMAN			5001234	AR	12345
32	IL	*****8646	JACKSON			5001234	AR	12345
33	IL	*****0173	MEYER			5001234	AR	12345
34	IL	*****8057	PAPE			5001234	AR	12345

For more information on data file requirements, see File Layout Requirements.

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column I** (the first cell through the ninth cell in row 1), enter the following in sequence: **Entity Type**, **TIN**, **Last Name**, **First Name**, **Email Address**, **Appointment Profile Code**, **State**, **Appointing Company NAIC**

ID, **Effective Date**. You must delete the header row before uploading the data file to the system. (See step 16.)

3. *Required*. In **Column A**, or the first column in the spreadsheet, enter an entity type of the producer. For individual licensees, enter "IL" (ignore the quotes); for agencies or other firm producers, enter "AGY" (ignore the quotes).

4. *Required*. In **Column B**, or the second column in the spreadsheet, enter a producer's tax ID. For individual licensees, enter a Social Security Number (SSN); for agencies or other firm producers, enter a Federal Employer Identification Number (FEIN). Limit 9 characters; remove hyphens.

5. *Required*. In **Column C** or the third column in the spreadsheet, enter a producer's name. For individual licensees, enter a producer's last name; for agencies or other firm producers, enter a firm's legal name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

6. *Optional; individual producers only*. In **Column D** or the fourth column in the spreadsheet, enter a producer's first name.

7. *Optional*. **Column E** or the fifth column in the spreadsheet specifies an email address to which to send an email attached with a producer's **Appointment Letter**. Use the following guidelines:

   - To generate an **Appointment Letter** and attach it to an email, enter a valid email address. In most cases the email address you enter will be a producer's email address; however, instead it may be an affiliated agency's email address, a carrier-internal email address, etc.
   - To accommodate postal mail delivery of a hard-copy **Appointment Letter** instead of an electronic copy delivered via email, enter "donotsend@customer.com" (ignore the quotes). The system will generate the **Appointment Letter** but not an email, allowing you to retrieve the **Appointment Letter** from the Transaction Image Web Service for printing and mailing. (For more information, consult the Transaction Image Web Service user documentation.)
   - To bypass altogether the generation of an **Appointment Letter** and email for a specific request, do not enter an email address. No **Appointment Letter** or email will be generated.

8. *Optional*. In **Column F** or the sixth column in the spreadsheet, enter an **Appointment Profile** code. Separate multiple **Appointment Profile** codes in a cell by commas. (If you are entering data directly into a CSV file, enclose multiple entries with double quotation marks.) If you do not enter an **Appointment Profile** code, the system is configured to use the code associated with your company's default **Appointment Profile**. If you are not sure of a code, ask your project lead or contact your Vertafore representative.

9. *Required*. In **Column G** or the seventh column in the spreadsheet, enter a two-character code representing a state(s) to which you want to submit the appointment request. Separate multiple state codes in a cell by commas. (If you are entering data directly into a CSV file, enclose multiple entries with double quotation marks.) For a request submitted to a non-appointment

filing state, the producer's record in Producer Manager will be updated with a "record-only" appointment; the system will not actually submit the request for state processing.

10. *Optional.* In **Column H** or the eighth column in the spreadsheet, enter a five-digit NAIC ID code of an appointing company. If no NAIC ID code is entered, the system will submit appointment requests for each appointing company included in the **Appointment Profile**. Separate multiple NAIC ID codes in a cell by commas. (If you are entering data directly into a CSV file, enclose multiple entries with double quotation marks.)

11. Repeat steps 3 through 10 for each record row in the spreadsheet file.

12. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

13. If the tax ID values in **Column B** or effective date values in **Column I** include hyphens, you must remove the hyphens. Click to select **Column B**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

14. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Appointments** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

15. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

16. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

17. Close the data file.

The data file is ready for uploading to the **Bulk Appointments** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.
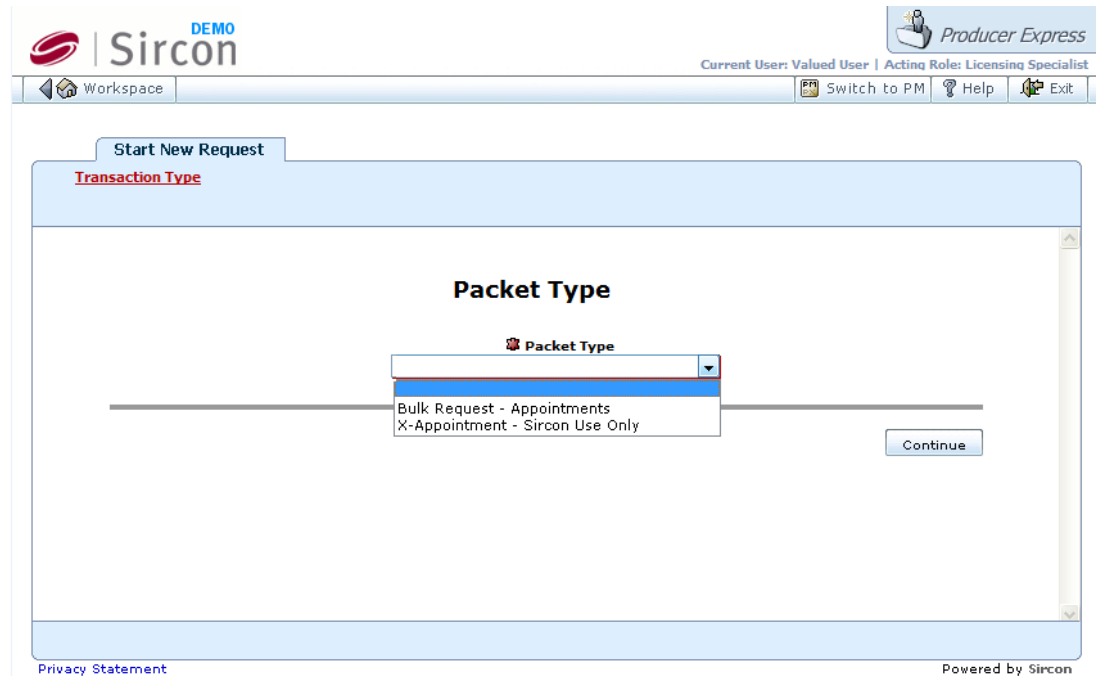
3. From the **Packet Type** dropdown menu, select **Bulk Request - Bulk Appointments**.

4. Click the **Continue** button. The **Bulk Appointments Options** page will open, allowing you to set one or more run-time options to apply to the **Bulk Appointments** operation.

Choosing Run-Time Options

Use the **Bulk Appointments Options** page to set one or more run-time options to apply to each **Bulk Appointments** operation. The options you select will apply globally to the operation.

Note that you may use the **Load Preset** button at the top right of the page to apply preset run-time options to the bulk operation, which could save data entry. For more information about the **Load Preset** and **Save Preset** buttons, please consult the Producer Express online help.

1. In the **Send Appointment Letters?** field, click to select the **Yes** radio button to set the system to generate an **Appointment Letter** for each appointment request in the data file and attach the letter to an email transmitted to the email address specified in **Column E** of the data file. (Note that the global setting for this option can be configured differently per request. See Preparing the Data File.) Or, click to select the **No** radio button to bypass generation of an **Appointment Letter**.

2. In the **Create new producer if not found in PM?** field, click to select the **Yes** radio button to set the system to automatically attempt to create a new record in Producer Manager for any producer included in the data file but whose record is missing in Producer Manager. Prior to submitting an appointment request for the producer, the system automatically will attempt to populate the new producer record with active regulatory data obtained from the PDB. Then, if the new producer record supports the **Bulk Appointments** appointment request, the system will proceed with submitting the request to the state. Or, click to select the **No** radio button to bypass creation of a new record for any producer included in the **Bulk Appointments** data file but whose record is not found in Producer Manager.

3. In the **Run background investigation before processing appointments?** field, click to select the **Yes** radio button to set the system to automatically submit a background investigation request to your company's chosen background check vendor on each producer in the data file, prior to submitting a state appointment request. (Integration with the background check vendor must be pre-configured for use prior to using the **Bulk Appointments** utility.) Or, click to select the **No** radio button to bypass

submission of a background investigation request for all producers in the **Bulk Appointments** data file.

4. In the **Sync producer data with PDB before processing appointments?** field, click to select the **Yes** radio button to set the system to check the record of each producer included in the data file against data in the PDB and update the producer's record in Producer Manager, if necessary, prior to submitting an appointment request for the producer. Or, click to select the **No** radio button to bypass the PDB check for all producers in the data file.

5. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Appointments** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Appointments** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Appointments** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate appointment request record for each producer in the **Bulk Appointments** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Appointments** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Appointments** request record (containing the data file) to Processed.

3. If the **Create new producer if not found in PM?** option is enabled, create a new producer record for any producer included in the **Bulk Appointments** data file who does not have an existing record in Producer Manager and supplement the new record with PDB data.

4. If the **Sync producer data with PDB before processing appointments?** option is enabled, update with PDB data the Producer Manager record of any producer included in the **Bulk Appointments** data file, where necessary.

5. If the **Run background investigations before processing appointments?** option is enabled, submit a background and/or credit check request to your

company's chosen background check vendor for every producer included in the **Bulk Appointments** data file, based on the applicable **BI Profile**. (For more information, see Bulk Background Investigation Requests.) The **Status** of a dependent request is Pending while the system awaits a response from the background check vendor.

6. The background check vendor processes each request and returns a result to the system. The system responds in one of the following ways:

   - If the result of a producer background check for a dependent request is "Pass," the system resumes automated processing, and the **Status** changes to Processed, and the related producer record in Producer Manager is updated with background investigation information.
   - If the result for a dependent request is "Fail" or "Needs Review," the request is routed to the **Error Queue** for manual follow-up by an authorized user. Once manual follow-up is completed, the user determines whether or not to proceed with the appointment request. If the user chooses to proceed, the user resubmits the request to automated processing. If the user decides to abort the appointment request, the user manually stops the dependent request to change its **Status** to Closed.

7. For each dependent appointment request, check if requested combination of state(s), appointing companies, and appointment types (as specified in the **Bulk Appointments** data file and as allowed by the specified **Appointment Profile**(s)) is permissible, based on data stored in producer and company records in Producer Manager.

8. Submit valid and permissible appointment requests to each state, using the state-specific processing method specified in the **Appointment Profile**, as follows:

   - To states that allow electronic requests, appointment requests will be submitted electronically. Until the state acts on a request, the dependent request record in Producer Express and the **Appointment** section of the producer's record in Producer Manager will display a **Status** of Pending.
   - To states that require paper requests or have proprietary appointment processing systems, appointment requests will display a **Status** of Open. If your company has a Vertafore Outsourcing Services agreement, appointment requests to these states will be processed by Vertafore Outsourcing Services. If your company does not have a Vertafore Outsourcing Services agreement, you must manually submit appointment requests to these states in Producer Manager. In either case, until the state acts on a request, the dependent request record in Producer Express and the **Appointment** section of the producer's record in Producer Manager will display a **Status** of Pending.

9. Once a state processes and approves an electronic or outsourced appointment, the dependent request record will reflect a **Status** of Processed for that state, and the **Appointment** section of the producer's record in Producer Manager will display with a **Status** of Active.

10. If the **Send Appointment Letters?** option is enabled, generate an email to the email address included in the **Bulk Appointments** data file and/or an **Appointment Letter** attachment in PDF format notifying the producer of each new state appointment. (Note that the global setting for this option can be configured differently per request. See Preparing the Data File.)

11. Once all state appointment requests on a dependent request record are processed and approved, change overall **Status** of record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or that encounters state transaction rejections or errors.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Appointments** data file and begin processing of original **Bulk Appointments** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk Appointments** request • Close Erred Requests • Stop request
Cannot find producer to appoint	When processing a dependent request generated from the original **Bulk Appointments** request. When verifying existence of a producer record in Producer Manager.	Record of producer for which appointment request was made does not exist in Producer Manager.	• Add producer record to Producer Manager and resubmit dependent request to automated processing. • Have the **Bulk Appointments** utility configured to automatically add new records for producers missing

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			from **Bulk Appointments** data file. • Stop request
PDB report not found	When processing a dependent request generated from the original **Bulk Appointments** request. When attempting to synchronize a producer's data in Producer Manager against state data.	System cannot find record of producer for which appointment request was made on the PDB.	• Review producer record in Producer Manager, update regulatory data, and resubmit dependent request to automated processing. • Stop request
Active license to support appointment not found	When processing a dependent request generated from the original **Bulk Appointments** request. When verifying a producer's regulatory data on record in Producer Manager.	Producer's state licensing data does not support state appointment request.	• Add or obtain proper state license and lines of authority to support requested appointment. • Update regulatory data on producer's record in Producer Manager. • Stop request
State rejected appointment request	After processing a dependent request generated from the original **Bulk Appointments** request. After system submits an appointment request to state.	State to which producer appointment request was made has rejected the request.	• Open **Appointment** tab in request record, check the reason for the state rejection, resolve the issue, and resubmit request to automated processing. • Stop request

Notes

Vertafore will configure in the system a set of pre-defined, client-specific rules, called an "**Appointment Profile**" (or, sometimes, "enhanced appointment profile"). An **Appointment Profile** consists of combinations of states, the appointing companies in your carrier group that are admitted in those states, the appointment types available to each company in each state, and the submission method (electronic, paper, or record-only) used by each state. During a **Bulk Appointments** operation, the **Appointment Profile** enforces the valid combinations of

states, appointing companies, and appointment types against each appointment request included in the data file. By allowing the appointment process to be driven by a template of pre-configured rules instead of by manual data entry, the **Appointment Profile** can make **Bulk Appointments** processing automated and fast. Also, with the **Appointment Profile** in place and governing the universe of allowable appointments, you then are free to tailor any appointment request in the batch, narrowing it, for example, to include only specific states or appointing companies. One Vertafore-configured or "default" **Appointment Profile** is included as core functionality. However, if you require more control over appointment types (e.g., variable annuity lines only, surety lines only, etc.), as an additional option, Vertafore can configure multiple **Appointment Profiles**. Then you could input the code for one, another, or all **Appointment Profiles** in the **Bulk Appointments** data file. For more information, contact your Vertafore representative.

If your company is using Vertafore Outsourcing Services, an **Appointment Profile** used in **Bulk Appointments** must include valid appointment information to support individual appointments in Florida, firm appointments in Arkansas, or individual and firm appointments in Massachusetts with a submission method of "Paper." For more information about Vertafore Outsourcing Services, contact your Vertafore representative.

In addition to applicable state and Sircon appointment transaction fees, your company may incur a PDB fee for every **Bulk Appointments** request that results in the creation of a new producer record or updates to an existing producer record in Producer Manager. Should the **Bulk Appointments** operation discover that a producer record is fully synchronized with PDB data, then the producer record in Producer Manager will not be updated and your company will not incur a PDB fee.

Some **Bulk Appointments** configuration options may require additional investment. For more information, please contact your Vertafore representative.

Tips

If your company's instance of Producer Manager contains updated records of newly-licensed producers that need appointments, you can run the **Producer Licenses Inquiry** and use the report output in a spreadsheet or comma-delimited format as the basis for your **Bulk Appointments** data file. When selecting report criteria, filter the output by individual or firm entity type, by state if desired, and by a range of dates during which the producers' licenses became active. Use the **Search** function in the report window to specify the data fields from the report output needed for the **Bulk Appointments** data file (i.e., Last Name or Firm Name, Social Security Number or Federal Employer Identification Number, and Appointment State Code), and then download the search results as an MS Excel File. Then, supplement the data file with the other required data elements specified in the File Layout Requirements. For more information, see **Inquiries** in the Producer Manager online help.

Bulk Appointments can be configured to support appointments in "just-in-time" states. A just-in-time appointment state allows a producer to solicit or quote business for a carrier without having to be appointed. Only at the point at which the producer sells a policy is the carrier

obligated to appoint the producer in a just-in-time state, thereby sparing the expense of an appointment until such time as the state requires it. Support for just-in-time appointments is accomplished by configuring in the system a list of restricted (or "pre-appoint") states -- states in which a carrier must request an appointment before an agent can solicit, negotiate, or sell a policy application on the carrier's behalf. (The definition of a restricted state can vary from carrier to carrier, based on their legal departments' interpretations of state regulations.) With "just-in-time" appointment support configured, in a **Bulk Appointments** operation the system will hold open an appointment request to a state that is not on the restricted state list, allowing you to release the appointment request "just in time" for the producer to complete the policy application. **Bulk Appointments** requests to restricted states will be submitted right away. For more information, please contact your Vertafore representative.

Bulk Appointment Terminations

Using the **Bulk Appointment Terminations** utility, you can submit in a single action a batch of producer appointment termination requests to one or multiple states for processing. For non-appointment filing states, you can use the **Bulk Appointment Terminations** utility also to terminate "record-only" appointments in the records of a batch of producers in Producer Manager.

By default, for each producer listed in the **Bulk Appointment Terminations** data file, all active appointments in all states and for all appointing companies will be terminated. However, you may narrow any request in the batch to terminate in only specific states or for only specific appointing companies.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Appointment Terminations** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Entity Type: IL (Individual) OR AGY (Firm)	Yes
B (Second)	Taxpayer Identification Number: Social Security Number (Individual) OR Federal Employer Identification Number (Firm)	Yes
C (Third)	Last Name (Individual) OR Firm Name (Firm)	Yes
D (Fourth)	First Name (Individual ONLY)	No
E (Fifth)	Email Address	No
F (Sixth)	State(s) Code	Yes
G (Seventh)	Appointing Company NAIC ID(s)	No

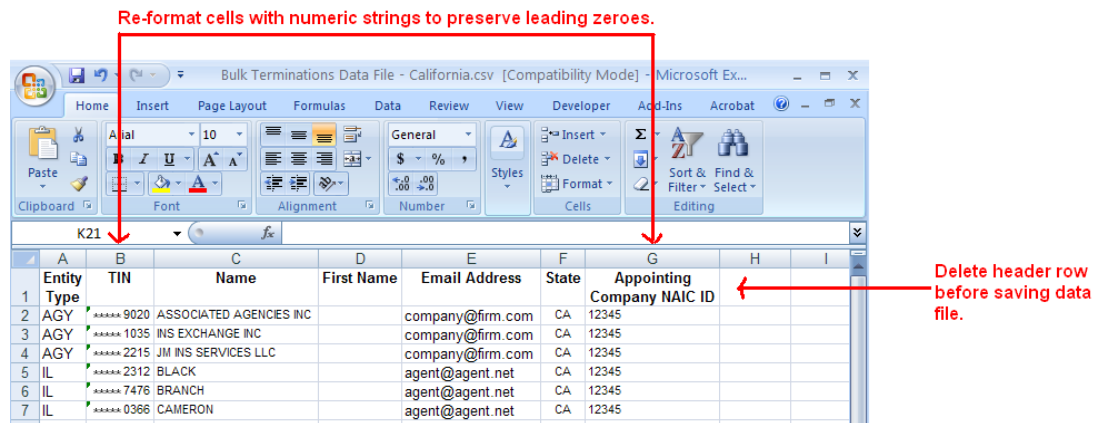## *Step-by-Step Instructions*

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Appointment Terminations** operation:

- A producer with an appointment to terminate

- A state(s) to which to submit an appointment termination request or record an appointment termination (for non-appointment filing states)

- An appointing company that has issued an appointment to terminate

- An email address to which to transmit an **Advance Notification Letter** and/or **Termination Letter** (if the options to send **Advance Notification Letter** and/or **Termination Letter** are user-enabled at run time)

Use the following steps to perform a **Bulk Appointment Terminations** operation:

Preparing the Data File

For processing in the **Bulk Appointment Terminations** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Appointment Terminations** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

For more information on data file requirements, see [File Layout Requirements](#).

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column G** (the first cell through the seventh cell in row 1), enter the following in sequence: **Entity Type**, **TIN**, **Last Name**, **First Name**, **Email Address**, **State**, **Appointing Company NAIC ID**. You must delete the header row before uploading the data file to the system. (See step 14.)

3. *Required*. In **Column A**, or the first column in the spreadsheet, enter an entity type of the producer. For individual licensees, enter "IL" (ignore the quotes); for agencies or other firm producers, enter "AGY" (ignore the quotes).

4. *Required*. In **Column B**, or the second column in the spreadsheet, enter a producer's tax ID. For individual licensees, enter a Social Security Number

(SSN); for agencies or other firm producers, enter a Federal Employer Identification Number (FEIN). Limit 9 characters; remove hyphens.

5. *Required*. In **Column C** or the third column in the spreadsheet, enter a producer's name. For individual licensees, enter a producer's last name; for agencies or other firm producers, enter a firm's legal name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

6. *Optional; individual producers only*. In **Column D** or the fourth column in the spreadsheet, enter a producer's first name. Maximum 25 characters.

7. *Optional*. **Column E** or the fifth column in the spreadsheet specifies an email address to which to send an email attached with a producer's **Advance Termination Notification Letter** and/or **Termination Letter**. Use the following guidelines:

   - To generate an **Advance Termination Notification Letter** and/or **Termination Letter** and attach it to an email, enter a valid email address. In most cases the email address you enter will be a producer's email address; however, instead it may be an affiliated agency's email address, a carrier-internal email address, etc.
   - To accommodate postal mail delivery of a hard-copy **Advance Termination Notification Letter** and/or **Termination Letter** instead of an electronic copy delivered via email, enter "donotsend@customer.com" (ignore the quotes). The system will generate the **Advance Termination Notification Letter** and/or **Termination Letter** but not an email, allowing you to retrieve the **Advance Termination Notification Letter** and/or **Termination Letter** from the **Transaction Image Web Service** for printing and mailing. (For more information, consult the Transaction Image Web Service user documentation.)
   - To bypass altogether the generation of an **Advance Termination Notification Letter** and/or **Termination Letter** or email for a specific request, do not enter an email address. No **Advance Termination Notification Letter** and/or **Termination Letter** or email will be generated.

8. *Required*. In **Column F** or the sixth column in the spreadsheet, enter a two-character code representing a state(s) to which you want to submit an appointment termination request. Separate multiple state codes in a cell by a comma. (If you are entering data directly into a CSV file, enclose multiple entries with double quotation marks.) For a request submitted to a non-appointment filing state, the producer's record in Producer Manager will be updated to reflect the termination of a "record-only" appointment; the system will not actually submit the appointment termination request for state processing.

9. *Optional*. In **Column G** or the seventh column in the spreadsheet, enter a five-digit NAIC ID code of an appointing company whose appointment you want to terminate. If no NAIC ID code is entered, the system will submit appointment termination requests for each appointing company included in the **Appointment Profile**. Separate multiple NAIC ID codes in a cell by a
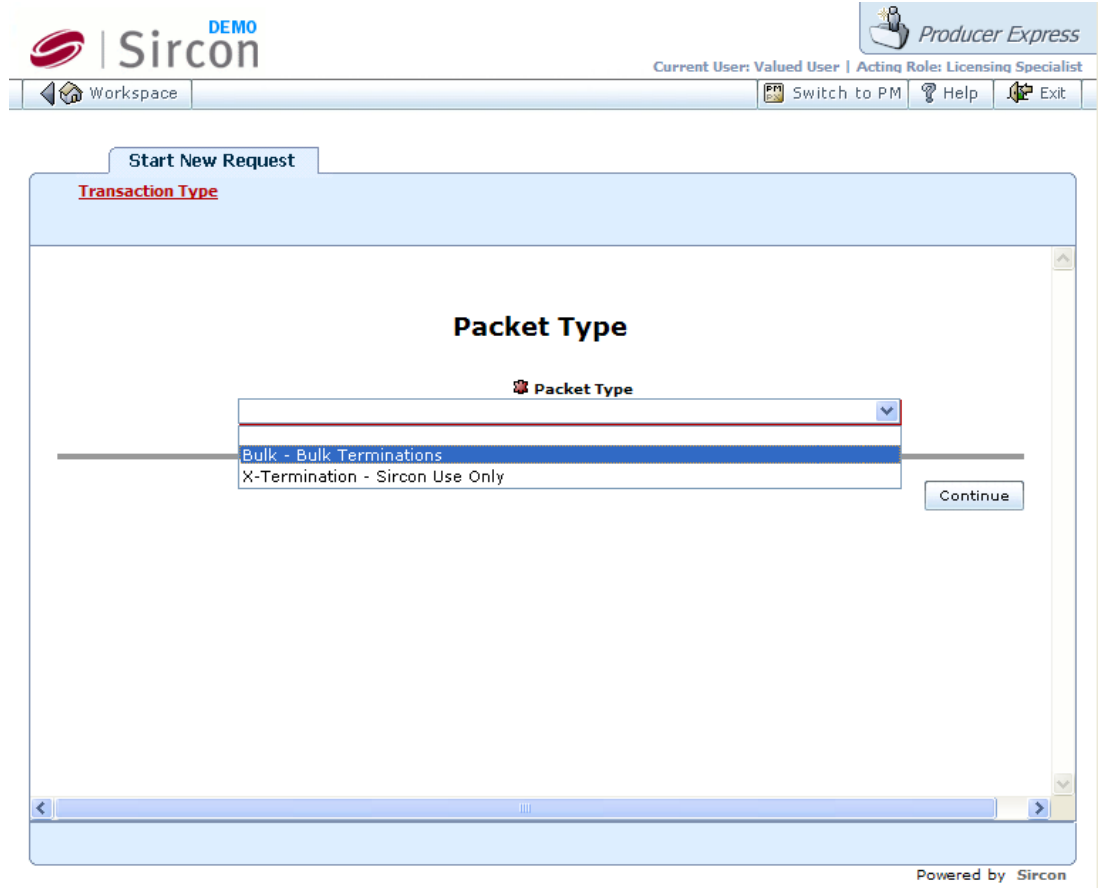
comma. (If you are entering data directly into a CSV file, enclose multiple entries with double quotation marks.)

10. Repeat steps 3 through 9 for each record row in the spreadsheet file.

11. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

12. If the tax ID values in **Column B** include hyphens, you must remove the hyphens. Click to select **Column B**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

13. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Appointment Terminations** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

14. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

15. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

16. Close the data file.

The data file is ready for uploading to the **Bulk Appointment Terminations** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.

3. From the **Packet Type** dropdown menu, select **Bulk Request - Bulk Terminations**.

4. Click the **Continue** button. The **Bulk Terminations Options** page will open, allowing you to set one or more run-time options to apply to the **Bulk Appointments** operation.

Choosing Run-Time Options

Use the **Bulk Appointment Terminations Options** page to set one or more run-time options to apply to each **Bulk Appointment Terminations** operation. The options you select will apply globally to the operation.

Note that you may use the **Load Preset** button at the top right of the page to apply preset run-time options to the bulk operation, which could save data entry. For more information about the **Load Preset** and **Save Preset** buttons, please consult the Producer Express online help.

1. In the **Pause the transactions prior to submitting the terminations?** field, click to select the **Yes** radio button to route all appointment termination requests in the data file to a holding queue to accommodate business rules requiring your company to notify a producer of impending termination 30, 60, or 90 days in advance of actual termination. The system will hold the termination requests in Open status. After the advance notice period has lapsed, you then can manually release a request to continue automated termination or stop processing the termination request. (For more information, see Stop Packet Tab.) Or, click to select the **No** radio button to bypass the routing of appointment termination requests to an advance notification holding queue.

2. In the **Send Advance Termination Notification?** field, click to select the **Yes** radio button to set the system to generate an **Advance Termination Notification Letter** for each appointment termination request in the data file and attach the letter to an email transmitted to the email address specified in **Column E** of the data file. (Note that the global setting for this option can be configured differently per request. See [Preparing the Data File](#).) Or, click to select the **No** radio button to bypass generation of an **Advance Termination Notification Letter**.

3. In the **Sync producer data with PDB before processing?** field, click to select the **Yes** radio button to set the system to check the record of each producer included in the data file against data in the PDB and update the producer's record in Producer Manager, if necessary, prior to submitting an appointment termination request for the producer. Or, click to select the **No** radio button to bypass the PDB check for all producers in the data file.

4. In the **Send Termination Letters?** field, click to select the **Yes** radio button to set the system to generate a **Termination Letter** for each appointment termination request in the data file and attach the letter to an email transmitted to the email address specified in **Column E** of the data file. (Note that the global setting for this option can be configured differently per request. See [Preparing the Data File](#).) Or, click to select the **No** radio button to bypass generation of a **Termination Letter**.

5. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Appointment Terminations** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Appointment Terminations** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Appointment Terminations** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate appointment termination request record for each producer in the **Bulk Appointment Terminations** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Appointment Terminations** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Appointment Terminations** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. If the **Send Advance Termination Notification?** option is enabled, generate an email to the email address included in the **Bulk Appointment Terminations** data file and/or an **Advance Termination Notification Letter** attachment in PDF format notifying the producer of impending termination. (Note that the global setting for this option can be configured differently per request. See Preparing the Data File.)

5. If the **Pause the transactions prior to submitting the terminations?** option is enabled, route each dependent request to a holding queue to await the end of a required advance notice period, at which point the request can be released to automated processing or stopped. Once a request is released, or if the run-time option is not enabled, processing proceeds to the next step.

6. If the **Sync producer data with PDB before processing appointments?** option is enabled, update with PDB data the Producer Manager record of

any producer included in the **Bulk Appointment Terminations** data file, where necessary.

7. For each dependent appointment termination request, check if appointment termination request is supported by active appointment data on producer's record in Producer Manager.

8. Submit valid appointment termination requests to each state, as follows:

    - To states that allow electronic requests, appointment termination requests will be submitted electronically. Until the state acts on a request, the dependent request record in Producer Express and the **Appointment** section of the producer's record in Producer Manager will display a **Status** of Pending.
    - To states that require paper requests or have proprietary appointment processing systems, appointment termination requests will display a **Status** of Open. If your company has a Vertafore Outsourcing Services agreement, appointment termination requests to these states will be processed by Vertafore Outsourcing Services. If your company does not have a Vertafore Outsourcing Services agreement, you must manually submit appointment termination requests to these states in Producer Manager. In either case, until the state acts on a request, the dependent request record in Producer Express and the **Appointment** section of the producer's record in Producer Manager will display a **Status** of Pending.
    - In non-appointment filing states, "record-only" appointments will be terminated in producer records in Producer Manager. The dependent request record in Producer Express will display a **Status** of Processed, and the **Appointment** section of the producer's record in Producer Manager will display a **Status** of Inactive.

9. Once a state processes and approves an electronic or outsourced appointment termination, the dependent request record will reflect a **Status** of Processed for that state, and the **Appointment** section of the producer's record in Producer Manager will display with a **Status** of Inactive.

10. If the **Send Termination Letters?** option is enabled, generate an email to the email address included in the **Bulk Appointment Terminations** data file and a **Termination Letter** attachment in PDF format notifying the producer of each appointment termination. (Note that the global setting for this option can be configured differently per request. See [Preparing the Data File](#).)

11. Once all state appointment termination requests on a dependent request record are processed and approved, change overall **Status** of record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or that encounters state transaction rejections or errors.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Appointment Terminations** data file and begin processing of original **Bulk Appointment Terminations** request.	Missing required values in data fields of data file. Invalid formatting of data file.	- To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. - Fix error and resubmit original **Bulk Appointment Terminations** request - Close Erred Requests - Stop request
Cannot find producer to terminate	When processing a dependent request generated from the original **Bulk Appointment Terminations** request. When verifying existence of a producer record in Producer Manager.	Record of producer for which appointment termination request was made does not exist in Producer Manager.	- Add producer record to Producer Manager and resubmit dependent request to automated processing. - Stop request
PDB report not found	When processing a dependent request generated from the original **Bulk Appointment Terminations** request. When attempting to synchronize a producer's data in Producer Manager against state data.	System cannot find record of producer for which appointment termination request was made on the PDB.	- Review producer record in Producer Manager, update regulatory data, and resubmit dependent request to automated processing. - Stop request
Active appointment to	When processing a dependent request	Producer's appointment data	Stop request

support termination not found	generated from the original **Bulk Appointment Terminations** request. When verifying a producer's regulatory data on record in Producer Manager.	does not support termination request.	
State rejected appointment termination request	When processing a dependent request generated from the original **Bulk Appointment Terminations** request. After system submits an appointment termination request to state.	State to which producer appointment termination request was made has rejected the request.	• Open **Appointment** tab in request record, check the reason for the state rejection, resolve the issue, and resubmit request to automated processing. • Stop request

Notes

Only producers with records in Producer Manager can be included for use with the **Bulk Appointment Terminations** utility.

The **Bulk Appointment Terminations** utility terminates only appointments. It does not terminate or inactivate any other business relationship artifacts, such as agreements, associations with a business unit, external system IDs, or firm affiliations.

By default, the system automatically will submit to a state or record a termination reason of "Canceled." Do not use the **Bulk Appointment Terminations** utility to process "for cause" terminations.

In addition to applicable state and Sircon transaction fees, your company may incur a PDB fee for every **Bulk Appointment Terminations** request that results in the creation of a new producer record or updates to an existing producer record in Producer Manager. Should the **Bulk Appointment Terminations** operation discover that a producer record is fully synchronized with PDB data, then the producer record in Producer Manager will not be updated and your company will not incur a PDB fee.

Vertafore also can configure the **Bulk Appointment Terminations** utility after your company's production deployment of PLM through a separate engagement with Vertafore Managed Services. Also, if your company already is using the **Bulk Appointment Terminations** utility, Vertafore can configure any of its additional options through a separate Managed Services engagement.

Some **Bulk Appointment Terminations** configuration options may require additional investment. For more information, please contact your Vertafore representative.

__Tips__

Use the **Bulk Appointment Terminations** utility during a state's appointment renewal period to terminate a set of producers for lack of production. With minimal effort, you can convert the state's producer appointment renewal list into a **Bulk Appointment Terminations** data file. Or, you can create a data file from the output of the Producer Manager **Individual Appointments Inquiry**, narrowing the report criteria by renewal state and then by business unit and appointing company, if desired.

Bulk Business Data Updates

The **Bulk Business Data Updates** utilities are separate and separately-configured self-service tools that, in a single action, can add or update business data to batches of producer records in Producer Manager. One **Bulk Business Data Updates** utility, Bulk Background Investigation Requests, can be used to request background checks for a batch of producers.

Bulk Business Data Updates utilities include the following:

- Bulk Address Updates

- Bulk Background Investigation Requests

- Bulk Business Unit Updates

- Bulk Email Address Updates

- Bulk External System ID Updates

- Bulk Locations and Departments Updates

Notes

Only producers with records in Producer Manager can be included for use in any **Bulk Business Data Updates** utility.

Vertafore also can configure any **Bulk Business Data Updates** utility after your company's production deployment of PLM through a separate engagement with Vertafore Managed Services. Also, if your company already is using one or more **Bulk Processing** utilities, Vertafore can configure additional utilities and any of their additional options through a separate Managed Services engagement.

Bulk Address Updates

Using the **Bulk Address Updates** utility, in a single action you can update or add address information for any existing address type in a batch of producer records in Producer Manager. Address types can include residential, mailing, business location, billing, or others.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Address Updates** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Entity Type: IL (Individual) OR AGY (Firm)	Yes
B (Second)	Taxpayer Identification Number: Social Security Number (Individual) OR Federal Employer Identification Number (Firm)	Yes
C (Third)	Last Name (Individual) OR Firm Name (Firm)	Yes
D (Fourth)	First Name (Individual ONLY)	No
E (Fifth)	Email Address	No
F (Sixth)	Address Type Code	Yes
G (Seventh)	Address Line One	Yes
H (Eighth)	Address Line Two	No
I (Ninth)	Address City	Yes
J (Tenth)	Address State Code	Yes
I (Eleventh)	Address ZIP Code	Yes

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Address Updates** operation:

- A producer whose address information you want to update
- The address type you want to add or update in a producer's record
- The specific address information you want to add or update in a producer's record

Use the following steps to perform a **Bulk Address Updates** operation:

Preparing the Data File

For processing in the **Bulk Address Updates** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Address Updates** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

Re-format cells with numeric strings to preserve leading zeroes.

Delete header row before saving data file.

	A	B	C	D	E	F	G	H	I	J	K
1	Entity Type	TIN	Name	First Name	Email Address	Address Type Code	Line One	Line Two	City	State Code	ZIP
2	AGY	000007654	Corptest			12	123 Cherry		Jackson	NV	89888
3	AGY	089854615	PennCORP			12	321 Walnut		Jefferson	TN	34344
4	AGY	033199915	testonecorp			12	789 Smith		Washington	AL	32220
5	IL	929192910	test			01	444 Pulaski		Carter	MI	43445

For more information on data file requirements, see File Layout Requirements.

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column K** (the first cell through the eleventh cell in row 1), enter the following in sequence: **Entity Type**, **TIN**, **Last Name**, **First Name**, **Email Address**, **Address Type Code**, **Address Line One**, **Address Line Two**, **Address City**, **Address State Code**, **Address ZIP Code**. You must delete the header row before uploading the data file to the system. (See step 18.)

3. *Required*. In **Column A,** or the first column in the spreadsheet, enter an entity type of the producer. For individual licensees, enter "IL" (ignore the quotes); for agencies or other firm producers, enter "AGY" (ignore the quotes).

4. *Required*. In **Column B**, or the second column in the spreadsheet, enter a producer's tax ID. For individual licensees, enter a Social Security Number (SSN); for agencies or other firm producers, enter a Federal Employer Identification Number (FEIN). Limit 9 characters; remove hyphens.

5. *Required*. In **Column C** or the third column in the spreadsheet, enter a producer's name. For individual licensees, enter a producer's last name; for agencies or other firm producers, enter a firm's legal name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

6. *Optional; individual producers only*. In **Column D** or the fourth column in the spreadsheet, enter a producer's first name. Maximum 25 characters.

7. *Optional*. **Column E** or the fifth column in the spreadsheet specifies an email address. Use the following guidelines:

   - If email notifications are configured in your company's instance of **Bulk Address Updates**, to generate an email notification, enter a valid email address. In most cases the email address you enter will be a producer's email address; however, instead it may be an affiliated agency's email address, a carrier-internal email address, etc.
   - If email notifications are not configured in your company's instance of **Bulk Address Updates**, or to bypass altogether the generation of an email for a specific request, do not enter an email address. No email will be generated.

8. *Required*. In **Column F** or the sixth column in the spreadsheet, enter the code of an address type that is active in your company's instance of Producer Manager (e.g., business location address, residential address, commission mailing address, etc.) and configured for use in Producer Express. Be sure to enter the address type code; do not enter a long name, description, or actual address information. For guidance, review the list of active address type codes and descriptions displaying on the **Upload Producer CSV File** page.

9. *Required*. In **Column G** or the seventh column in the spreadsheet, enter a first line or Line One of the address information you want to add to or update in a producer record.

10. *Optional*. In **Column H** or the eighth column in the spreadsheet, enter a second line or Line Two of the address information you want to add to or update in a producer record.

11. *Required*. In **Column I** or the ninth column in the spreadsheet, enter a City of the address information you want to add to or update in a producer record.

12. *Required*. In **Column J** or the tenth column in the spreadsheet, enter a two-digit state code of the address information you want to add to or update in a producer record.

13. *Required*. In **Column K** or the eleventh column in the spreadsheet, enter a five- or nine-digit ZIP code of the address information you want to add to or update in a producer record. Separate the fifth and sixth digits in a nine-digit ZIP code with a hyphen (e.g., 12345-6789).

14. Repeat steps 3 through 13 for each record row in the spreadsheet file.

15. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

16. If the tax ID values in **Column B** include hyphens, you must remove the hyphens. Click to select **Column B**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

17. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Address Updates** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

18. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

19. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

20. Close the data file.

The data file is ready for uploading to the **Bulk Address Updates** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.

3. From the **Packet Type** dropdown menu, select **Bulk Request - Address**.

4. Click the **Continue** button. The **Bulk Address Change Options** page will open, allowing you to set one or more run-time options to apply to the **Bulk Address Updates** operation.

Choosing Run-Time Options

Use the **Bulk Address Change Options** page to set one or more run-time options to apply to each **Bulk Address Updates** operation. The options you select will apply globally to the operation.

Note that you may use the **Load Preset** button at the top right of the page to apply preset run-time options to the bulk operation, which could save data entry. For more information about the **Load Preset** and **Save Preset** buttons, please consult the Producer Express online help.
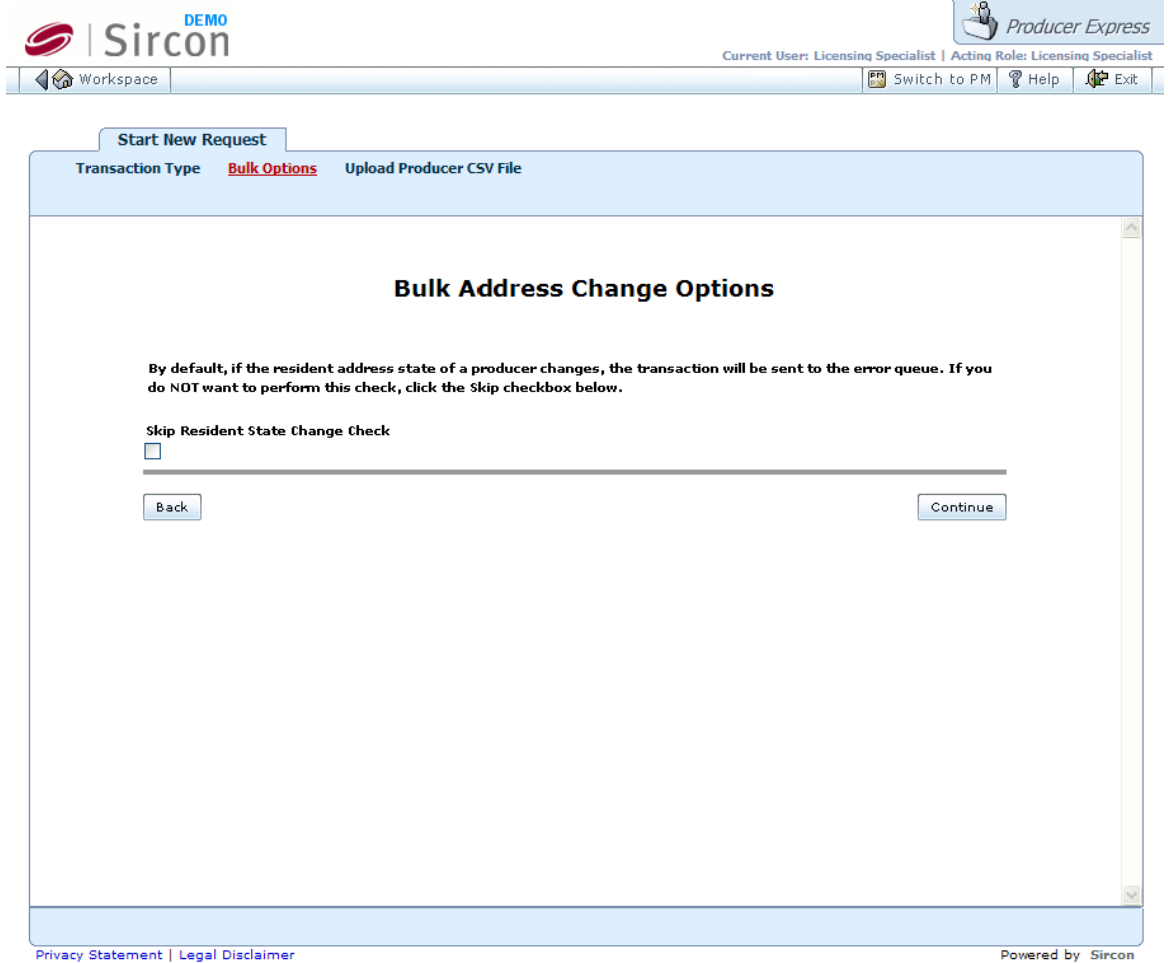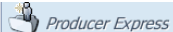
1. Click to checkmark the **Skip Resident State Change Check** checkbox to bypass system detection of a possible change in a producer's residency based on updated address information. Or, leave the checkbox uncheckmarked to trigger the system to detect differences between a requested address state update and existing resident state and license information in the producer's record in Producer Manager. The system will route to the **Error Queue** for manual follow-up any **Bulk Address Updates** request in which it detects a difference.

2. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Address Updates** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Address Updates** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Address Updates** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will

close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file. While the system validates the data file, the **Bulk Address Updates** request will have a **Status** of Pending.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate business data update request record for each producer in the **Bulk Address Updates** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Address Updates** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Address Updates** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. For each dependent **Bulk Address Updates** request, check if update is allowable based on system and business rules and run-time option settings.

5. For each valid and allowable dependent request, update each related producer record in Producer Manager with information entered in the data file.

6. Once the update is complete, change **Status** of dependent request record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or satisfy run-time option settings.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Address Updates** data file and begin processing of original **Bulk Address Updates** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk Address Updates** request. • Contact your Vertafore representative to check Producer Express configuration settings and change settings, if necessary. • Close Erred Requests • Stop request
No producer was found with the given criteria	When processing a dependent request generated from the original **Bulk Address Updates** request. When verifying	Record of producer for which request was made does not exist in Producer Manager.	• Add producer record to Producer Manager and resubmit dependent request to automated processing. • Confirm intended producer record by entering producer's

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	existence of a producer record in Producer Manager.		**Indv ID** or **Firm ID** into dependent request record and resubmitting request to automated processing. • Stop request
Producer's Resident State Changed - The producer record needs to be reviewed before continuing.	When processing a dependent request generated from the original **Bulk Address Updates** request. When system detects difference between a requested address state update and resident state information	Requested address update conflicts with resident state and license information in producer's record in Producer Manager.	• Open intended producer record in Producer Manager to investigate potential residency conflict. Perform an automated data reconciliation (**Quick Sync Producer**) to update record with latest state license information. • Bypass resident state conflict check. For more information, see [Choosing Run-Time Options](#). • Stop request
For the transaction on line *[x]*: - The value entered for Address Type was not a valid value	When processing a dependent request generated from the original **Bulk Address Updates** request. When verifying allowance of requested update of producer record in Producer Manager.	Address updates for requested address types cannot be made, because the address type is not set up in Producer Manager or configured for use in Producer Express.	• Verify accuracy of requested update in **Bulk Address Updates** data file, and correct, if necessary. • Contact your Vertafore representative to check Producer Express configuration settings and change settings, if necessary. • Stop request

Warnings

To avoid errors, the address type code specified in **Column F** of the data file must exist and be active in your company's instance of Producer Manager and must be configured for use in Producer Express. Review the list of valid address type codes and descriptions displaying on the **Upload Producer CSV File** page to guide your data input. If the address type code that you

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want to use is not displaying on the **Upload Producer CSV** page, any request to update address information for that address type will be routed to the **Error Queue**. Contact your Vertafore representative for assistance. For more information, see **Maintain Codes** and **Maintain Contact Information** in the Producer Manager online help.

Notes

The **Bulk Address Updates** utility may be used either to add or update address information to producer records in Producer Manager. Address information provided in a request will overwrite any existing address information of the same address type in Producer Manager. For more information, see **Maintain Contact Information** in the Producer Manager online help.

Email notifications of **Bulk Address Updates** based on email address data specified in **Column E** of the data file currently is not functional. The system will ignore email address information entered in the **Bulk Address Updates** data file.

Bulk Background Investigation Requests

Using the **Bulk Background Investigation Requests** utility, in a single action you can request background checks for a batch of individual producers.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Background Investigation Requests** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Taxpayer Identification Number: Social Security Number (Individual)	Yes
B (Second)	Last Name (Individual)	Yes
C (Third)	First Name (Individual)	Yes
D (Fourth)	Email Address	No
E (Fifth)	Background Investigation Profile Code	No

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Background Investigation Requests** operation:

- An individual producer for whom you want to request a background check
- The type(s) of background check you want to request on a producer from a pre-configured background investigation vendor

Use the following steps to perform a **Bulk Background Investigation Requests** operation:

Preparing the Data File

For processing in the **Bulk Background Investigation Requests** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet

application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Background Investigation Requests** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

Re-format cells with numeric strings to preserve leading zeroes.

	A	B	C	D	E
1	TIN	Name	First Name	Email Address	BI Profile Code
2	066555901	MacCloud	Conor		
3	698501222	Frost	Jack		
4	066555915	MacDonald	Old		
5	929192910	Test	Test		01
6	122212224	Jackety	Jinx		02

bulk BI request test.csv

Delete header row before saving data file.

For more information on data file requirements, see <u>File Layout Requirements</u>.

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column E** (the first cell through the fifth cell in row 1), enter the following in sequence: **TIN**, **Last Name**, **First Name**, **Email Address**, **BI Profile Code**. You must delete the header row before uploading the data file to the system. (See step 12.)

3. *Required*. In **Column A**, or the first column in the spreadsheet, enter an individual producer's Social Security Number (SSN). Limit 9 characters; remove hyphens.

4. *Required*. In **Column B** or the second column in the spreadsheet, enter an individual producer's last name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

5. *Required*. In **Column C** or the third column in the spreadsheet, enter an individual producer's first name. Maximum 25 characters.

6. *Optional*. **Column D** or the fourth column in the spreadsheet specifies an email address. Use the following guidelines:

   - If email notifications are configured in your company's instance of **Bulk Background Investigation Requests**, to generate an email notification, enter a valid email address (e.g., a carrier-internal email address, etc.)
   - If email notifications are not configured in your company's instance of **Bulk Background Investigation Requests**, or to bypass altogether the generation of an email for a specific request, do not enter an email address. No email will be generated.

7. *Required*. In **Column E** or the fifth column in the spreadsheet, enter a **BI Profile** code. Do not enter multiple **BI Profile** codes; if you want to request background checks for the same producer using multiple **BI Profiles**, create a separate row for each **BI Profile**. If you do not enter a **BI Profile** code, the system is configured to use the code associated with your company's default **BI Profile**. If you are not sure of a code, ask your project lead or contact

your Vertafore representative. For guidance, review the list of active **BI Profile** codes and descriptions displaying on the **Upload Producer CSV File** page.

8. Repeat steps 3 through 7 for each record row in the spreadsheet file.

9. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

10. If the tax ID values in **Column B** include hyphens, you must remove the hyphens. Click to select **Column B**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

11. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Background Investigation Requests** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

12. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

13. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

14. Close the data file.

The data file is ready for uploading to the **Bulk Background Investigation Requests** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.
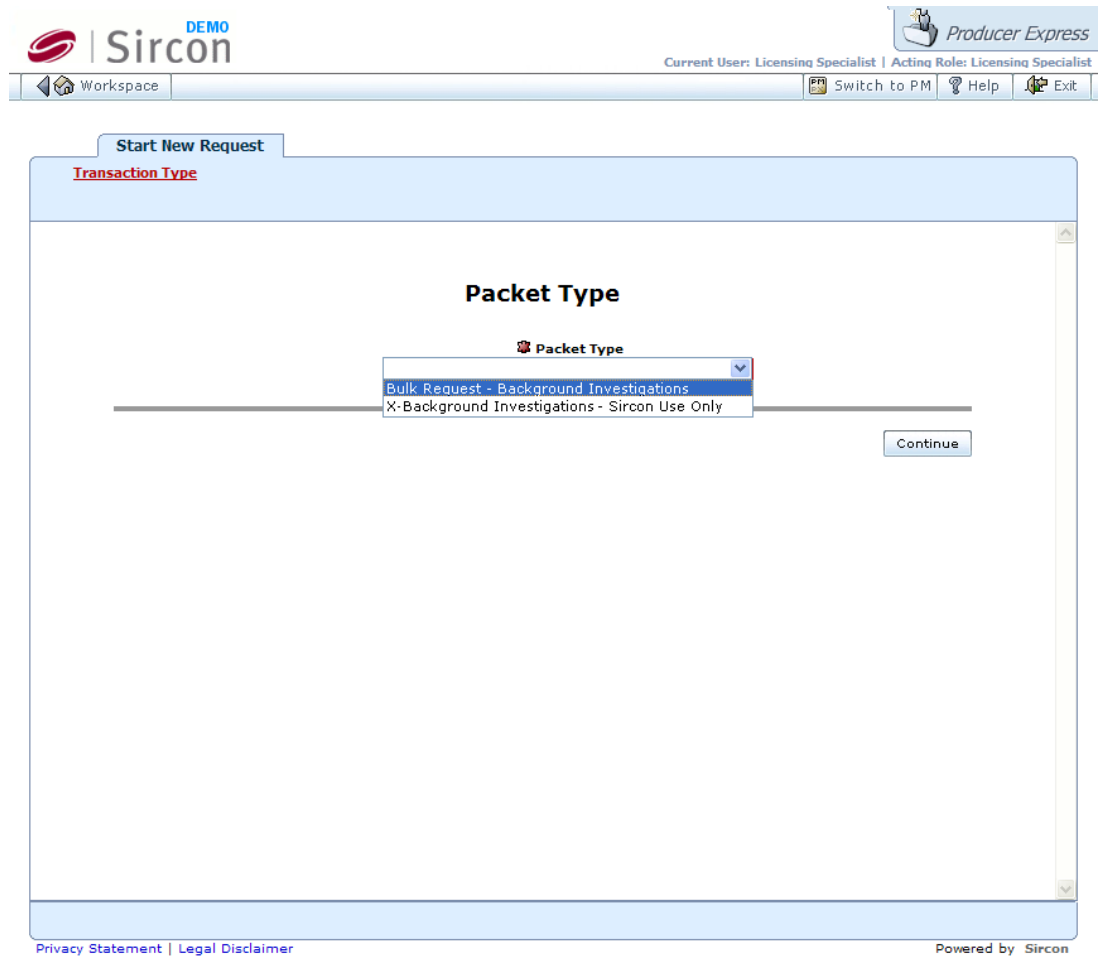
3. From the **Packet Type** dropdown menu, select **Bulk Request -
   Background Investigations**.

4. Click the **Continue** button. The **Upload Producer CSV File** page will open,
   allowing you to upload the **Bulk Background Investigations Requests**
   data file and submit the file for processing.

Choosing Run-Time Options

Use the **Bulk Background Investigations Options** page to set one or more run-
time options to apply to each **Background Investigation Requests** operation. The
options you select will apply globally to the operation.

Note that you may use the **Load Preset** button at the top right of the page to apply
preset run-time options to the bulk operation, which could save data entry. For more
information about the **Load Preset** and **Save Preset** buttons, please consult the
Producer Express online help.
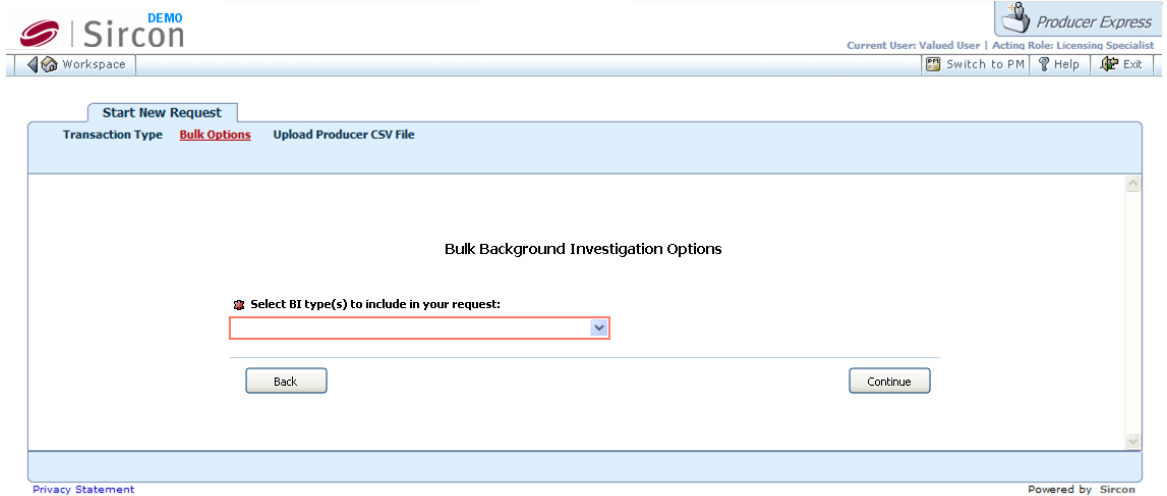
1. From the **Select BI type(s) to include in your request** dropdown menu, select a **BI Profile** (e.g., Criminal Federal, Criminal County, Credit Check, etc.) to apply to all background investigation requests included in the **Bulk Background Investigations** operation. Applicable only if your deployment of the **Bulk Business Investigation Requests** utility includes multiple **BI Profiles**.

2. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Background Investigation Requests** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Background Investigation Requests** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Background Investigation Requests** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation

options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file. While the system validates the data file, the **Bulk Background Investigation Requests** request will have a **Status** of Pending.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate business data update request record for each producer in the **Bulk Background Investigation Requests** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Background Investigation Requests** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Background Investigation Requests** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. For each dependent **Bulk Background Investigation Requests** request, check if update is allowable based on Producer Manager system and business rules.

5. For each valid and allowable dependent request, submit a background and/or credit check request to your company's chosen background check vendor, based on the applicable **BI Profile**.

6. The background check vendor processes the request and returns a result to the system. The system responds in one of the following ways:

   - If the result is "Pass," the **Status** of the dependent request changes to Processed, and the related producer record in Producer Manager is updated with background investigation information.
   - If the result is "Fail" or "Needs Review," the request is routed to the **Error Queue** for manual follow-up by an authorized user. Once manual follow-up is completed, the user manually stops the dependent request to change its **Status** to Closed.

7. The system applies the fee for the background check to the cost center selected in the **Choose a cost center to associate with background investigations** dropdown menu.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or satisfy run-time option settings.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Background Investigation Requests** data file and begin processing of original **Bulk Background Investigation Requests** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk Background Investigation Requests** request. • Contact your Vertafore representative to check Producer Express configuration settings and change settings, if necessary. • Close Erred Requests • Stop request
No producer was found with the given criteria	When processing a dependent request generated from the original **Bulk Background Investigation Requests** request. When verifying existence of a producer record in Producer Manager.	Record of producer for which request was made does not exist in Producer Manager.	• Add producer record to Producer Manager and resubmit dependent request to automated processing. • Confirm intended producer record by entering producer's **Indv ID** or **Firm ID**

			into dependent request record and resubmitting request to automated processing. • Stop request
Request does not conform with background investigation business rules	When processing a dependent request generated from the original **Bulk Background Investigation Requests** request. When verifying allowance of requested update of producer record based on system or business rules.	Not enough time has lapsed since the last prior background investigation for the same producer was processed.	• Review request and decide whether to override business rule and resubmit to automated processing. • Hold request until sufficient time has elapsed, after which resubmit to automated processing. • Stop request
Background investigation processing resulted in a non-pass result.	After processing a dependent request generated from the original **Bulk Background Investigation Requests** request. After system submits an background investigation request to background check vendor.	Background check vendor responded to background investigation request with a "Fail" or "Needs Review" result.	• Review request and make business determination. • Stop request

Notes

Prior to configuration of the **Bulk Background Investigation Requests** utility, your company must establish an account directly with one of the following background investigation vendors: Business Information Group (BIG), First Advantage, General Information Services (GIS), Interstate Background Research (IBR), or Applicant Insight. Vertafore can configure integration with <u>only one</u> vendor per client instance of PLM. Note that not all vendors offer the same background investigation types. For more information, see **Submit Background Investigation** in the Producer Manager online help or contact your Vertafore representative.

The **Bulk Background Investigation Requests** utility may be used only to request background checks for producers and update producer records in Producer Manager with information related to the requests. You cannot use the **Bulk Background Investigation Requests** utility to add information from already-processed background investigations to producer records. However, you may engage Vertafore Managed Services to perform a custom data load of pre-existing background investigation information to producer records. For more information, contact your Vertafore representative.

Vertafore will configure in the system a set of pre-defined, client-specific rules, called a "**BI Profile**." The **BI Profile** consists of one or multiple types of background checks that will be submitted to your company's chosen BI vendor with each background investigation request to which the **BI Profile** is applied. By allowing the background check process to be driven by a template of pre-configured rules instead of by manual selection, the **BI Profile** can make **Bulk Background Investigation Requests** processing more automated. One Vertafore-configured or "default" **BI Profile** is included as core functionality. However, if you require more control over background check types (e.g., a credit check only for producers requesting advanced commissions, etc.), as an additional option, Vertafore can configure multiple **BI Profiles**. Then you could input the code for one, another, or all **BI Profiles** in the **Bulk Background Investigation Requests** data file. For more information, contact your Vertafore representative.

Email notifications of **Bulk Background Investigation Requests** based on email address data specified in **Column D** of the data file currently is not functional. The system will ignore email address information entered in the **Bulk Background Investigation Requests** data file.

Tips

Vertafore can configure a global business rule to allow a background investigation request to go through only if the last prior BI request for a producer was a specified number of months or longer ago. The system will route to the **Error Queue** a request that does not satisfy the rule. For more information, contact your Vertafore representative.

Bulk Business Unit Updates

Using the **Bulk Business Unit Updates** utility, in a single action you can add new business unit information to a batch of producer records in Producer Manager.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Business Unit Updates** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Entity Type: IL (Individual) OR AGY (Firm)	Yes
B (Second)	Taxpayer Identification Number: Social Security Number (Individual) OR Federal Employer Identification Number (Firm)	Yes
C (Third)	Last Name (Individual) OR Firm Name (Firm)	Yes
D (Fourth)	First Name (Individual ONLY)	No
E (Fifth)	Email Address	No
F (Sixth)	Business Unit Short Name	Yes

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Business Unit Updates** operation:

- A producer whose business unit information you want to update
- The business unit information you want to add to a producer's record

Use the following steps to perform a **Bulk Business Unit Updates** operation:

Preparing the Data File

For processing in the **Bulk Business Unit Updates** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Business Unit Updates** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

For more information on data file requirements, see File Layout Requirements.

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column G** (the first cell through the seventh cell in row 1), enter the following in sequence: **Entity Type**, **TIN**, **Last Name**, **First Name**, **Email Address**, **Business Unit Short Name**. You must delete the header row before uploading the data file to the system. (See step 13.)

3. *Required.* In **Column A**, or the first column in the spreadsheet, enter an entity type of the producer. For individual licensees, enter "IL" (ignore the quotes); for agencies or other firm producers, enter "AGY" (ignore the quotes).

4. *Required.* In **Column B**, or the second column in the spreadsheet, enter a producer's tax ID. For individual licensees, enter a Social Security Number (SSN); for agencies or other firm producers, enter a Federal Employer Identification Number (FEIN). Limit 9 characters; remove hyphens.

5. *Required.* In **Column C** or the third column in the spreadsheet, enter a producer's name. For individual licensees, enter a producer's last name; for agencies or other firm producers, enter a firm's legal name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

6. *Optional; individual producers only.* In **Column D** or the fourth column in the spreadsheet, enter a producer's first name. Maximum 25 characters.

7. *Optional.* **Column E** or the fifth column in the spreadsheet specifies an email address. Use the following guidelines:

- If email notifications are configured in your company's instance of **Bulk Business Unit Updates**, to generate an email notification, enter a valid email address. In most cases the email address you enter will be a producer's email address; however, instead it may be an affiliated agency's email address, a carrier-internal email address, etc.
- If email notifications are not configured in your company's instance of **Bulk Business Unit Updates**, or to bypass altogether the generation of an email for a specific request, do not enter an email address. No email will be generated.

8. *Required*. In **Column F** or the sixth column in the spreadsheet, enter the short name of a business unit that is active in your company's instance of Producer Manager and configured for use in Producer Express. Be sure to enter the short name; do not enter a BU Name, long name, or description. For guidance, review the list of active business unit short names (called "short codes") and descriptions displaying on the **Upload Producer CSV File** page.

9. Repeat steps 3 through 8 for each record row in the spreadsheet file.

10. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

11. If the tax ID values in **Column B** include hyphens, you must remove the hyphens. Click to select **Column B**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

12. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Business Unit Updates** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

13. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

14. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

15. Close the data file.

The data file is ready for uploading to the **Bulk Business Unit Updates** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.
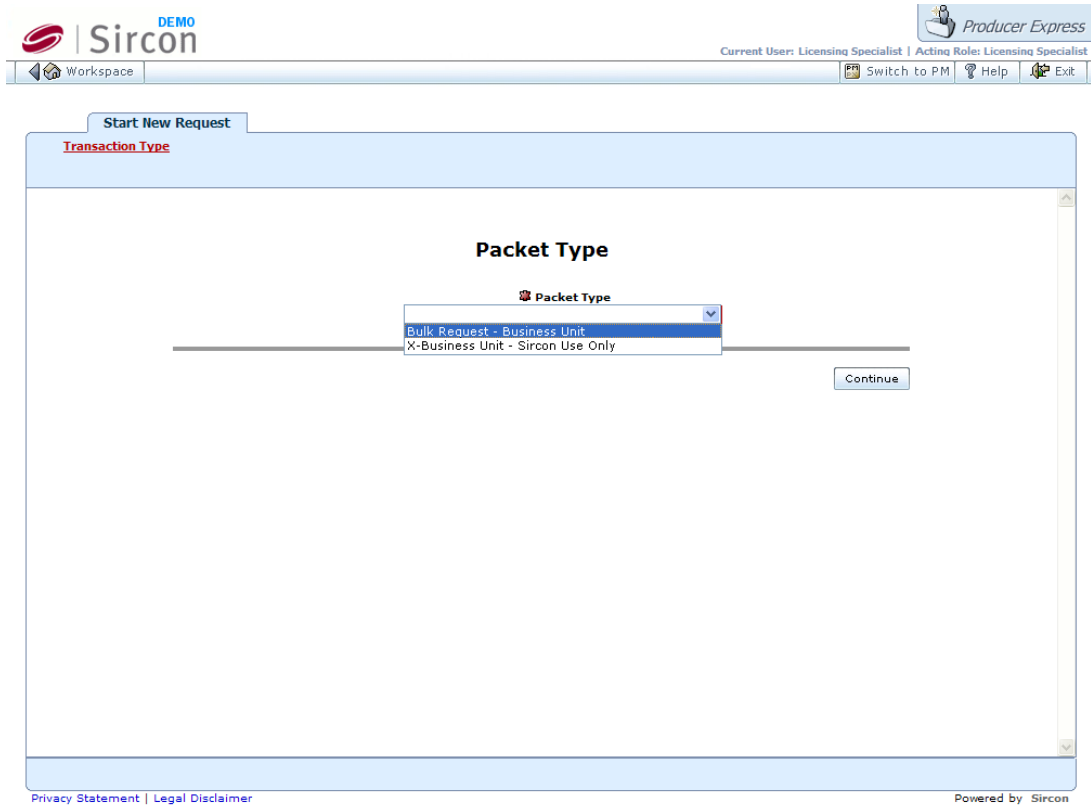
3. From the **Packet Type** dropdown menu, select **Bulk Request - Business Unit**.

4. Click the **Continue** button. The **Bulk Business Unit Options** page will open, allowing you to set one or more run-time options to apply to the **Bulk Business Unit Updates** operation.

Choosing Run-Time Options

Use the **Bulk Business Unit Options** page to set one or more run-time options to apply to each **Bulk Business Unit Updates** operation. The options you select will apply globally to the operation.

Note that you may use the **Load Preset** button at the top right of the page to apply preset run-time options to the bulk operation, which could save data entry. For more information about the **Load Preset** and **Save Preset** buttons, please consult the Producer Express online help.
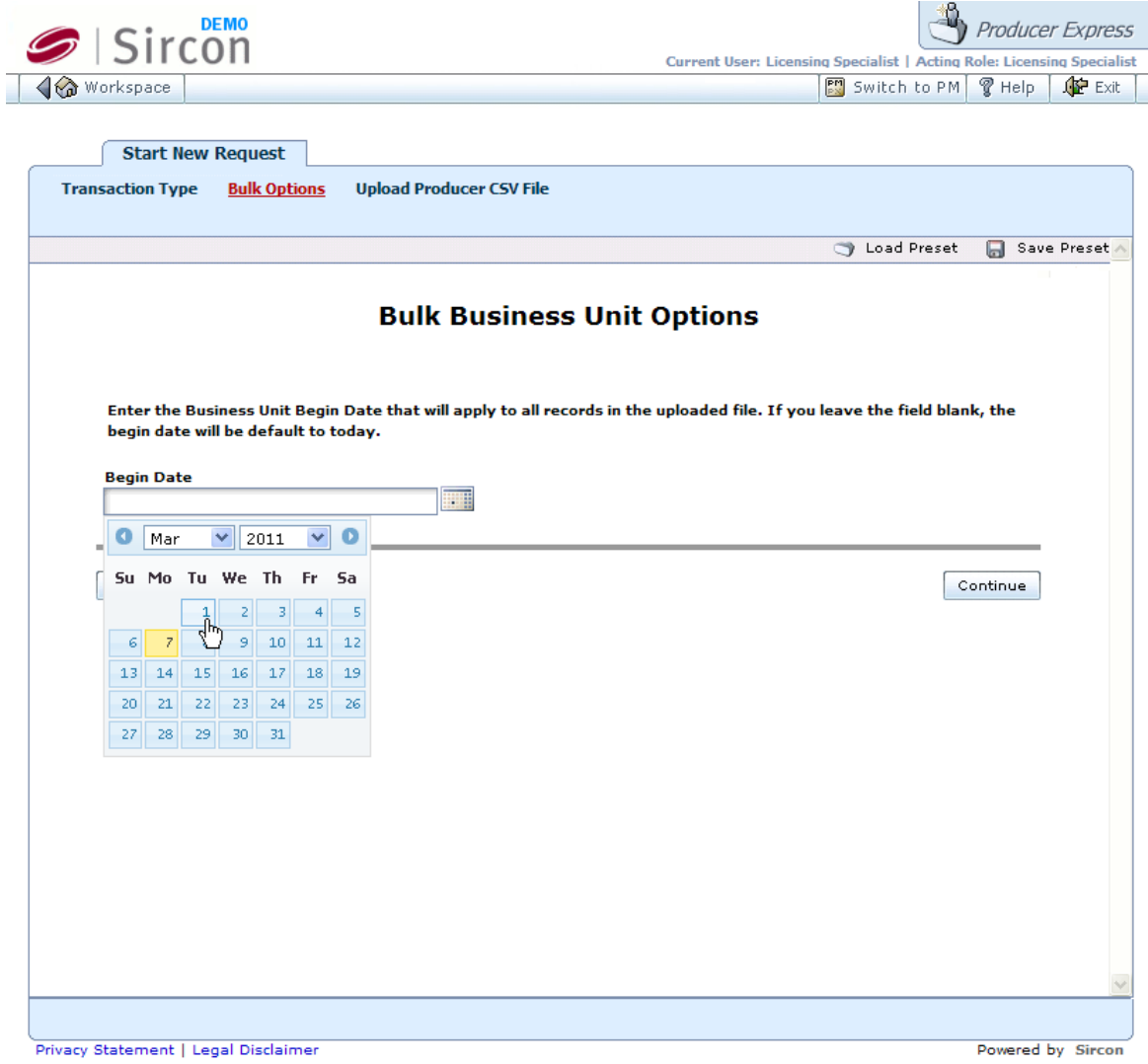
1. The **Begin Date** field specifies the date on which new business unit information will be recorded as becoming active in the records of all producers included in the **Bulk Business Unit Updates** data file. Use the following guidelines:

   - Enter a value in the date field prior to today's date. Use the *mmddyyyy* date format, or click the **Calendar** button ( ) to open a popup calendar from which you can click to select a date.
   - Leave the **Begin Date** field blank (null) to record the processing date of the **Bulk Business Unit Updates** operation as the **Begin Date**.

2. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Business Unit Updates** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Business Unit Updates** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Business Unit Updates** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file. While the system validates the data file, the **Bulk Business Unit Updates** request will have a **Status** of Pending.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate business data update request record for each producer in the **Bulk Business Unit Updates** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Business Unit Updates** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Business Unit Updates** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. For each dependent **Bulk Business Unit Updates** request, check if update is allowable based on Producer Manager system and business rules.

5. For each valid and allowable dependent request, update each related producer record in Producer Manager with information entered in the data file.

6. Once the update is complete, change **Status** of dependent request record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or satisfy run-time option settings.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Business Unit Updates** data file and begin processing of original **Bulk Business Unit Updates** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk Business Unit Updates** request. • Contact your Vertafore representative to check Producer Express configuration settings and change settings, if necessary. • Close Erred Requests • Stop request
No producer was found with the given criteria	When processing a dependent request generated from the original **Bulk Business Unit Updates** request. When verifying existence of a producer record in Producer Manager.	Record of producer for which request was made does not exist in Producer Manager.	• Add producer record to Producer Manager and resubmit dependent request to automated processing. • Confirm intended producer record by entering producer's **Indv ID** or **Firm ID** into dependent request record and resubmitting request to automated processing. • Stop request
The following requested business units are invalid: *[x]*	When processing a dependent request generated from the original **Bulk Business Unit Updates** request. When verifying	Requested business unit information already exists on producer record in Producer Manager.	• Verify accuracy of requested update in **Bulk Business Unit Updates** data file, and correct, if necessary. • Stop request

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	allowance of requested update of producer record in Producer Manager.		

Warnings

To avoid errors, the business unit **Short Name** specified in **Column F** of the data file must exist and be active in your company's instance of Producer Manager and must be configured for use in Producer Express. Review the list of valid business unit short names (short codes) and descriptions displaying on the **Upload Producer CSV File** page to guide your data input. If the business unit short name that you want to use is not displaying on the **Upload Producer CSV** page, any request to add business unit information using that business unit short name will be routed to the **Error Queue**. Contact your Vertafore representative for assistance. For more information, see **Maintain Business Unit** in the Producer Manager online help.

Notes

The **Bulk Business Unit Updates** utility may be used only to add business unit information to producer records. You cannot use the **Bulk Business Unit Updates** utility to modify existing business unit information. For more information, see **Maintain Producer Business Unit** in the Producer Manager online help.

Unless you override the default by entering a different date on the **Bulk Options** page, the **Begin Date** of any new business unit added to a producer record using the **Bulk Business Unit Updates** utility will be the date of processing. For more information, see **Maintain Producer Business Unit** in the Producer Manager online help.

Email notifications of **Bulk Business Unit Updates** based on email address data specified in **Column E** of the data file currently is not functional. The system will ignore email address information entered in the **Bulk Business Unit Updates** data file.

Tips

Even if a business unit is not active in or assigned to your user account in Producer Manager, you may use the **Bulk Business Unit Updates** utility to add a batch of producers to any business unit that is configured and active in your company's instance of Producer Manager. (For more information, see **Maintain Staff Member Business Unit** in Producer Manager online help.)

Bulk Email Address Updates

Using the **Bulk Email Address Updates** utility, in a single action you can add new or update existing email addresses to a batch of individual or firm producer records in Producer Manager.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Email Address Updates** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Entity Type: IL (Individual) OR AGY (Firm)	Yes
B (Second)	Taxpayer Identification Number: Social Security Number (Individual) OR Federal Employer Identification Number (Firm)	Yes
C (Third)	Last Name (Individual) OR Firm Name (Firm)	Yes
D (Fourth)	First Name (Individual ONLY)	No
E (Fifth)	Email Address	Yes
F (Sixth)	Email Address Type Code	Yes

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Email Address Updates** operation:

- A producer whose email address information you want to update
- The email address type you want to add or update in a producer's record
- The specific email address information you want to add or update in a producer's record

Use the following steps to perform a **Bulk Email Address Updates** operation:

Preparing the Data File

For processing in the **Bulk Email Address Updates** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Email Address Updates** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

For more information on data file requirements, see File Layout Requirements.

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column F** (the first cell through the sixth cell in row 1), enter the following in sequence: **Entity Type**, **TIN**, **Last Name**, **First Name**, **Email Address**, **Email Address Type Code**. You must delete the header row before uploading the data file to the system. (See step 18.)

3. *Required*. In **Column A**, or the first column in the spreadsheet, enter an entity type of the producer. For individual licensees, enter "IL" (ignore the quotes); for agencies or other firm producers, enter "AGY" (ignore the quotes).

4. *Required*. In **Column B**, or the second column in the spreadsheet, enter a producer's tax ID. For individual licensees, enter a Social Security Number (SSN); for agencies or other firm producers, enter a Federal Employer Identification Number (FEIN). Limit 9 characters; remove hyphens.

5. *Required*. In **Column C** or the third column in the spreadsheet, enter a producer's name. For individual licensees, enter a producer's last name; for agencies or other firm producers, enter a firm's legal name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

6. *Optional; individual producers only*. In **Column D** or the fourth column in the spreadsheet, enter a producer's first name. Maximum 25 characters.

7. *Required*. In **Column E** or the fifth column in the spreadsheet, enter a valid email address to add to or update in a producer's record.

8. *Required*. An individual producer record in Producer Manager contains only one email address field. However, in a firm producer record, you may associate a distinctive email address with each address type on the record (e.g., business location, mailing, billing, etc.). In **Column F** or the sixth column in the spreadsheet, use the following guidelines:

   - For an individual producer, enter "01" (ignore the quotes).
   - For a firm producer, enter the code of an address type that is active in your company's instance of Producer Manager and configured for use in Producer Express. Be sure to enter the address type code; do not enter a long name, description, or actual address information. For guidance, review the list of valid address type codes and descriptions displaying on the **Upload Producer CSV File** page.

9. Repeat steps 3 through 8 for each record row in the spreadsheet file.

10. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

11. If the tax ID values in **Column B** include hyphens, you must remove the hyphens. Click to select **Column B**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

12. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Email Address Updates** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

13. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

14. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

15. Close the data file.

The data file is ready for uploading to the **Bulk Email Address Updates** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.
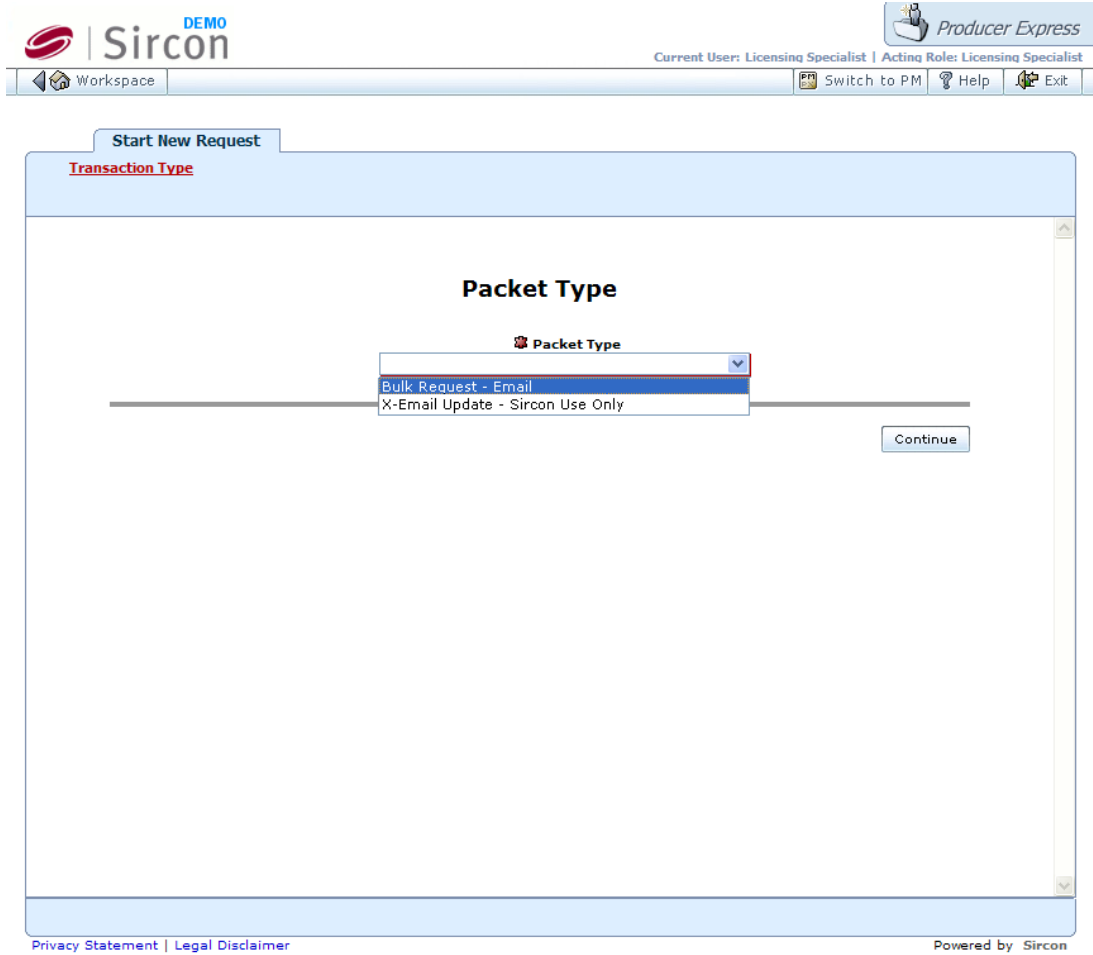
3. From the **Packet Type** dropdown menu, select **Bulk Request - Email**.

4. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Email Address Updates** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Email Address Updates** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Email Address Updates** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file. While the system validates the data file, the **Bulk Email Address Updates** request will have a **Status** of Pending.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate business data update request record for each producer in the **Bulk Email Address Updates** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Email Address Updates** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Email Address Updates** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. For each dependent **Bulk Email Address Updates** request, check if update is allowable based on system and business rules.

5. For each valid and allowable dependent request, update each related producer record in Producer Manager with information entered in the data file.

6. Once the update is complete, change **Status** of dependent request record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or satisfy run-time option settings.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Email Address Updates** data file and begin processing of original **Bulk Email Address Updates** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk Email Address Updates** request. • Contact your Vertafore representative to check Producer Express configuration settings and change settings, if necessary. • Close Erred Requests • Stop request
No producer was found with the given criteria	When processing a dependent request generated from the original **Bulk Email Address Updates** request. When verifying existence of a producer record in Producer Manager.	Record of producer for which request was made does not exist in Producer Manager.	• Add producer record to Producer Manager and resubmit dependent request to automated processing. • Confirm intended producer record by entering producer's **Indv ID** or **Firm ID** into dependent request record and resubmitting request to automated processing. • Stop request
Email address cannot be added/updated because an address of type "*[x]*" does not	When processing a dependent request for a firm producer generated	Requested email address update cannot be completed, because the email address	• Verify accuracy of requested update in **Bulk Email Address Updates** data file, and correct, if necessary. • Check if requested code type

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| exist or was not specified with this firm communication change. | from the original **Bulk Email Address Updates** request. When verifying allowance of requested update of firm producer record in Producer Manager. | type is not set up in Producer Manager or configured for use in Producer Express. | exists and is active in the ORG_ADDR_CNTCT_TYPE_CD code group on the **Maintain Codes** page in Producer Manager.

• Contact your Vertafore representative to check Producer Express configuration settings and change settings, if necessary.

• Stop request |

Warnings

To avoid errors in email address updates to firm producer records, the address type code specified in **Column F** of the data file must exist and be active in your company's instance of Producer Manager and must be configured for use in Producer Express. Review the list of valid address type codes and descriptions displaying on the **Upload Producer CSV File** page to guide your data input. If the address type code that you want to use is not displaying on the **Upload Producer CSV** page, any request to update email address information for that address type in firm producer records will be routed to the **Error Queue**. Contact your Vertafore representative for assistance. For more information, see **Maintain Codes** and **Maintain Contact Information** in the Producer Manager online help.

Notes

The **Bulk Email Address Updates** utility may be used either to add or update email address information to producer records in Producer Manager. Email address information provided in a request will overwrite any existing address information of the same address type in Producer Manager. For more information, see **Maintain Contact Information** in the Producer Manager online help.

Tips

If you are populating your Producer Manager database with producer data for the first time, or if you are onboarding a new distribution channel to an existing instance of Producer Manager following an acquisition, we recommend the following order of steps: 1. Create producer records and populate them with state regulatory data using **Quick Load Producers** in Producer Manager; 2. Populate new producer records with email address information using the **Bulk**

Email Address Updates utility (so that appointment letters may be generated and delivered to the producers); 3. Populate new producer records with other non-regulatory data using other Bulk Business Data Updates utilities (notably Bulk Background Investigation Requests), as needed, and 4. Submit appointment requests for the new producers using the Bulk Appointments utility. You may use the same data file for each step in the workflow, after making adjustments to accommodate each utility's specific file layout requirements.

Bulk External System ID Updates

Using the **Bulk External System ID Updates** utility, in a single action you can add new external system IDs to a batch of producer records in Producer Manager.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Appointment Terminations** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Entity Type: IL (Individual) OR AGY (Firm)	Yes
B (Second)	Taxpayer Identification Number: Social Security Number (Individual) OR Federal Employer Identification Number (Firm)	Yes
C (Third)	Last Name (Individual) OR Firm Name (Firm)	Yes
D (Fourth)	First Name (Individual ONLY)	No
E (Fifth)	Email Address	No
F (Sixth)	External System Type Code	Yes
G (Seventh)	External System ID	Yes

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk External System ID Updates** operation:

- A producer whose external system ID information you want to update

- The external system ID information you want to add to a producer's record

Use the following steps to perform a **Bulk External System ID Updates** operation:

Preparing the Data File

For processing in the **Bulk External System ID Updates** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk External System ID Updates** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

For more information on data file requirements, see [File Layout Requirements](#).

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column G** (the first cell through the seventh cell in row 1), enter the following in sequence: **Entity Type**, **TIN**, **Last Name**, **First Name**, **Email Address**, **External System Type Code**, **External System ID**. You must delete the header row before uploading the data file to the system. (See step 14.)

3. *Required.* In **Column A**, or the first column in the spreadsheet, enter an entity type of the producer. For individual licensees, enter "IL" (ignore the quotes); for agencies or other firm producers, enter "AGY" (ignore the quotes).

4. *Required.* In **Column B**, or the second column in the spreadsheet, enter a producer's tax ID. For individual licensees, enter a Social Security Number (SSN); for agencies or other firm producers, enter a Federal Employer Identification Number (FEIN). Limit 9 characters; remove hyphens.

5. *Required.* In **Column C** or the third column in the spreadsheet, enter a producer's name. For individual licensees, enter a producer's last name; for agencies or other firm producers, enter a firm's legal name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

6. *Optional; individual producers only.* In **Column D** or the fourth column in the spreadsheet, enter a producer's first name. Maximum 25 characters.

7. *Optional.* **Column E** or the fifth column in the spreadsheet specifies an email address. Use the following guidelines:

- If email notifications are configured in your company's instance of **Bulk External System ID Updates**, to generate an email notification, enter a valid email address. In most cases the email address you enter will be a producer's email address; however, instead it may be an affiliated agency's email address, a carrier-internal email address, etc.
- If email notifications are not configured in your company's instance of **Bulk External System ID Updates**, or to bypass altogether the generation of an email for a specific request, do not enter an email address. No email will be generated.

8. *Required.* In **Column F** or the sixth column in the spreadsheet, enter an external system type code that is active in your company's instance of Producer Manager and configured for use in Producer Express. Enter a <u>code</u> -- Do not enter an external system type <u>description</u>. For guidance, review the list of active external system type codes and descriptions displaying on the **Upload Producer CSV File** page.

9. *Required.* In **Column G** or the seventh column in the spreadsheet, enter an external system ID. Maximum 50 characters.

10. Repeat steps 3 through 9 for each record row in the spreadsheet file.

11. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

12. If the tax ID values in **Column B** include hyphens, you must remove the hyphens. Click to select **Column B**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

13. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk External System ID Updates** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

14. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

15. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

16. Close the data file.

The data file is ready for uploading to the **Bulk External System ID Updates** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.
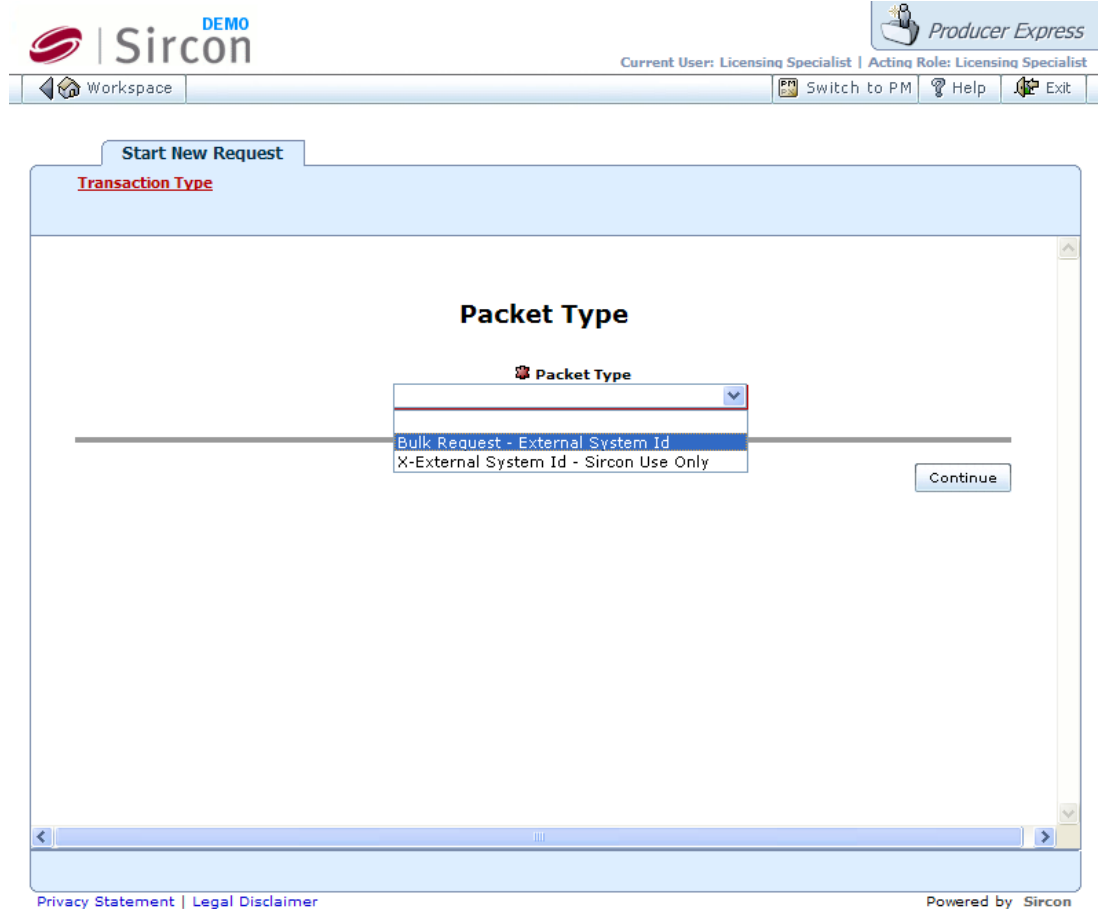
3. From the **Packet Type** dropdown menu, select **Bulk Request - External System ID**.

4. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk External System ID Updates** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk External System ID Updates** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk External System ID Updates** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file. While the system validates the data file, the **Bulk External System ID Updates** request will have a **Status** of Pending.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate business data update request record for each producer in the **Bulk External System ID Updates** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk External System ID Updates** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk External System ID Updates** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. For each dependent **Bulk External System ID Updates** request, check if update is allowable based on Producer Manager system and business rules.

5. For each valid and allowable dependent request, update each related producer record in Producer Manager with information entered in the data file.

6. Once the update is complete, change **Status** of dependent request record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or satisfy run-time option settings.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk External System ID Updates** data file and begin processing of original **Bulk External System ID Updates** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk External System ID Updates** request. • Contact your Vertafore representative to check Producer Express configuration settings and change settings, if necessary. • Close Erred Requests • Stop request
No producer was found with the given criteria	When processing a dependent request generated from the original **Bulk External System ID Updates** request. When verifying existence of a producer record in Producer Manager.	Record of producer for which request was made does not exist in Producer Manager.	• Add producer record to Producer Manager and resubmit dependent request to automated processing. • Confirm intended producer record by entering producer's **Indv ID** or **Firm ID** into dependent request record and resubmitting request to automated processing. • Stop request

Warnings

To avoid errors, the external system type code specified in **Column F** of the data file must exist and be active in your company's instance of Producer Manager and must be configured for use

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in Producer Express. Review the list of valid external system type codes and descriptions displaying on the **Upload Producer CSV File** page to guide your data input. If the external system type code that you want to use is not displaying on the **Upload Producer CSV** page, any request to update external system ID information for that external system type will be routed to the **Error Queue**. Contact your Vertafore representative for assistance. For more information, see **Maintain Codes** in the Producer Manager online help.

Notes

Only producers with records in Producer Manager can be included for use with the **Bulk External System ID Updates** utility.

The **Bulk External System ID Updates** utility is intended only for use in adding external system ID information to producer records. However, if your company's instance of Producer Manager is configured with the appropriate business rules, you can use the **Bulk External System ID Updates** utility to automatically inactivate an existing external system ID while adding and activating a new ID, provided the old and new IDs are of the same external system type and the changes are allowed under other business rules regarding associated business units. For more information, see **Maintain External System Identifiers** and **Maintain Producer Business Unit** in the Producer Manager online help.

Email notifications of **Bulk External System ID Updates** based on email address data specified in **Column E** of the data file currently is not functional. The system will ignore email address information entered in the **Bulk External System ID Updates** data file.

Bulk Locations and Departments Updates

Using the **Bulk Locations and Departments Updates** utility, in a single action you can add new locations and departments information to a batch of producer records in Producer Manager.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Locations and Departments Updates** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Last Name (Individual)	Yes
B (Second)	Taxpayer Identification Number: Social Security Number (Individual)	Yes
C (Third)	Location/Department Begin Date	Yes
D (Fourth)	Location Code	Yes
E (Fifth)	Department Code	Yes

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Locations and Departments Updates** operation:

- A producer for which you want to add location and department information
- The specific location and department information you want to add to a producer's record

Use the following steps to perform a **Bulk Locations and Departments Updates** operation:

Preparing the Data File

For processing in the **Bulk Locations and Departments Updates** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from

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another system for processing in the **Bulk Locations and Departments Updates** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

Re-format cells with numeric strings to preserve leading zeroes.

	A	B	C	D	E
1	Name	TIN	Begin Date	Location Code	Department Code
2	Holley	123786786	02-14-2005	OKE	DEV
3	Irwin	783456784	04-13-2010	OKE	DEV
4	Walker	123456783	12-21-2010	OKE	DEV

bulk location department request test.csv

Delete header row before saving data file.

For more information on data file requirements, see File Layout Requirements.

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column E** (the first cell through the fifth cell in row 1), enter the following in sequence: **Last Name**, **TIN**, **Begin Date**, **Location Code, Department Code**. You must delete the header row before uploading the data file to the system. (See step 12.)

3. *Required*. In **Column A**, or the first column in the spreadsheet, enter an individual producer's last name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

4. *Required*. In **Column B**, or the second column in the spreadsheet, enter an individual producer's Social Security Number (SSN). Limit 11 characters; hyphens optional.

5. *Required*. In **Column C** or the third column in the spreadsheet, enter the date on which a producer's association with a department and location began. Enter any date prior to and including today's date. Use the *mm-dd-yyyy* date format, including hyphens. Limit 10 characters.

6. *Required*. In **Column D** or the fourth column in the spreadsheet, enter the code of a location to which a producer reports.

7. *Required*. In **Column E** or the fifth column in the spreadsheet, enter the code of a department to which a producer reports.

8. Repeat steps 3 through 7 for each record row in the spreadsheet file.

9. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

10. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Locations and Departments Updates** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

11. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

12. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

13. Close the data file.

The data file is ready for uploading to the **Bulk Locations and Departments Updates** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.
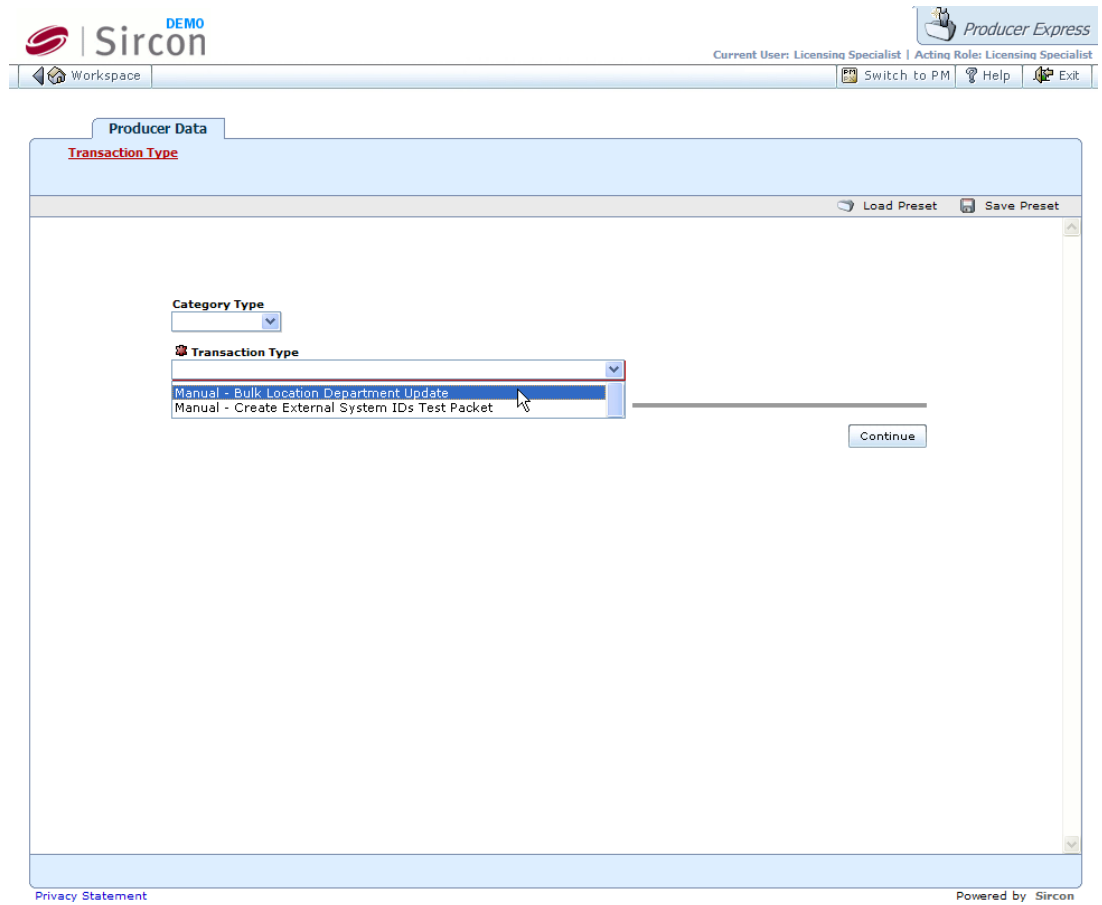
3. From the **Packet Type** dropdown menu, select **Bulk Request - Locations and Departments**.

4. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Locations and Departments Updates** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Locations and Departments Updates** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Locations and Departments Updates** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will

close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file. While the system validates the data file, the **Bulk Locations and Departments Updates** request will have a **Status** of Pending.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate business data update request record for each producer in the **Bulk Locations and Departments Updates** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Locations and Departments Updates** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Locations and Departments Updates** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. For each dependent **Bulk Locations and Departments Updates** request, check if update is allowable based on system and business rules.

5. For each valid and allowable dependent request, update each related producer record in Producer Manager with information entered in the data file.

6. Once the update is complete, change **Status** of dependent request record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or satisfy run-time option settings.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Locations and Departments Updates** data file and begin processing of original **Bulk Locations and Departments Updates** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk Locations and Departments Updates** request. • Contact your Vertafore representative to check Producer Express configuration settings and change settings, if necessary. • Close Erred Requests • Stop request

No producer was found with the given criteria	When processing a dependent request generated from the original **Bulk Locations and Departments Updates** request. When verifying existence of a producer record in Producer Manager.	Record of producer for which request was made does not exist in Producer Manager.	• Add producer record to Producer Manager and resubmit dependent request to automated processing. • Confirm intended producer record by entering producer's **Indv ID** or **Firm ID** into dependent request record and resubmitting request to automated processing. • Stop request
The following Location/Department combinations are invalid:-- "*[x]*" / "*[y]*"	When processing a dependent request generated from the original **Bulk Locations and Departments Updates** request. When verifying allowance of requested update of producer record based on system or business rules.	Request to add location and department information to producer record cannot completed, because the requested location is not connected to the requested department.	• Verify accuracy of requested update in **Bulk Locations and Departments Updates** data file, and correct, if necessary. • Check if connection between requested location and requested department exists on **Connect Locations and Departments** page in Producer Manager. If not, make connection, return to Producer Express, and resubmit request to automated processing. • Stop request

Warnings

To avoid errors, the codes for both location and department specified in **Column D** and **E** of the data file must exist, be active, and be connected in your company's instance of Producer Manager and must be configured for use in Producer Express. Any request to add location and department information that does not meet these criteria will be routed to the **Error Queue**. For more information, see **Locations and Departments** and **Connect Locations and Departments** in the Producer Manager online help.

Notes

The **Bulk Locations and Departments Updates** utility may be used only to add location and department information to producer records in Producer Manager. You cannot use the **Bulk Locations and Departments Updates** utility to modify existing location or department information. For more information, see **Locations and Departments** in the Producer Manager online help.

Bulk Record-Only Appointments

Using the **Bulk Record-Only Appointments** utility, you can to apply in a single action "record-only" appointments for non-appointment filing states to the records of a batch of producers in Producer Manager.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Record-Only Appointments** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Entity Type: IL (Individual) OR AGY (Firm)	Yes
B (Second)	Taxpayer Identification Number: Social Security Number (Individual) OR Federal Employer Identification Number (Firm)	Yes
C (Third)	Last Name (Individual) OR Firm Name (Firm)	Yes
D (Fourth)	First Name (Individual ONLY)	No
E (Fifth)	Email Address	No
F (Sixth)	Appointment Profile Code(s)	No
G (Seventh)	State(s) Code	Yes
H (Eighth)	Appointing Company NAIC ID(s)	No
I (Ninth)	Appointment Effective Date	Yes

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Record-Only Appointments** operation:

- A producer for which to record an appointment
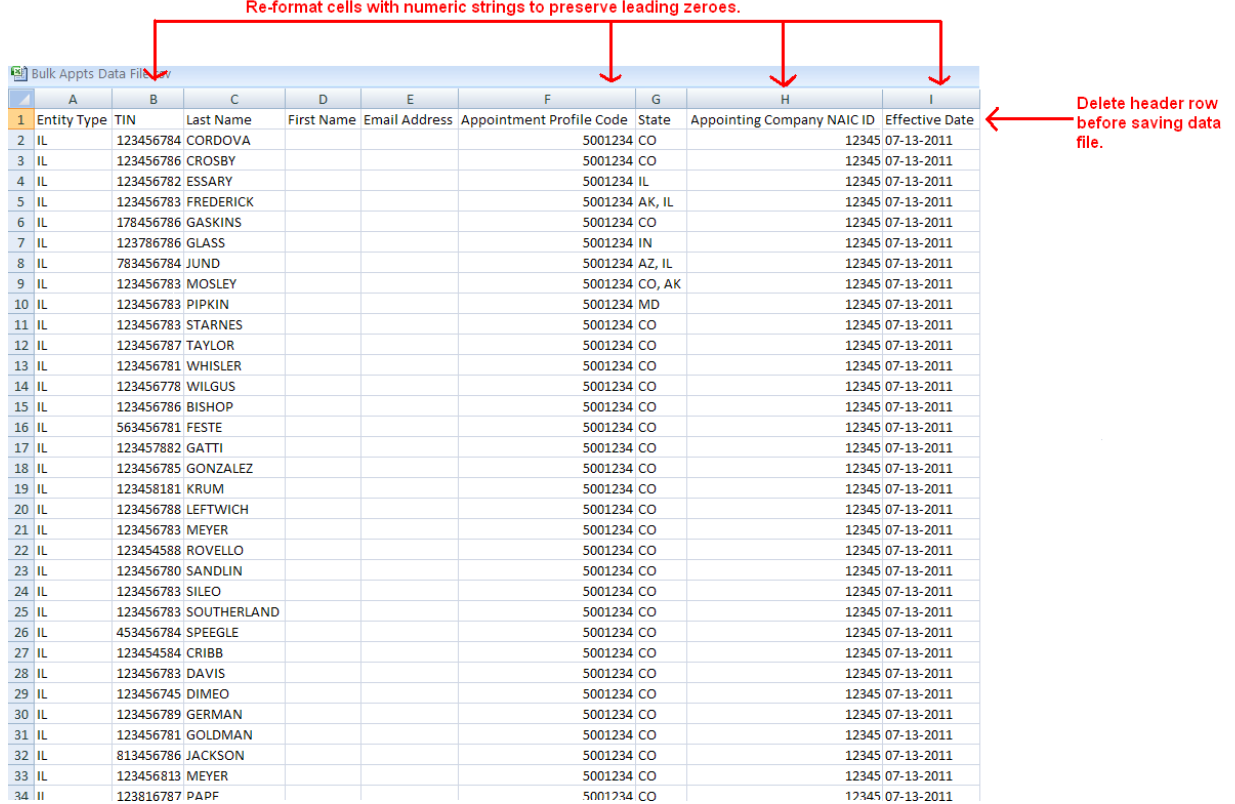
- A non-appointment filing state(s) for which to which to record an appointment

- An appointment profile to apply to the operation

- An appointing company

- An email address to which to transmit an **Appointment Letter** (if the option to send **Appointment Letters** is user-enabled at run time)

Use the following steps to perform a **Bulk Record-Only Appointments** operation:

Preparing the Data File

For processing in the **Bulk Record-Only Appointments** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Record-Only Appointments** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

For more information on data file requirements, see [File Layout Requirements](#).

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column I** (the first cell through the ninth cell in row 1), enter the

following in sequence: **Entity Type**, **TIN**, **Last Name**, **First Name**, **Email Address**, **Appointment Profile Code**, **State**, **Appointing Company NAIC ID**, **Effective Date**. You must delete the header row before uploading the data file to the system. (See step 16.)

3. *Required*. In **Column A**, or the first column in the spreadsheet, enter an entity type of the producer. For individual licensees, enter "IL" (ignore the quotes); for agencies or other firm producers, enter "AGY" (ignore the quotes).

4. *Required*. In **Column B**, or the second column in the spreadsheet, enter a producer's tax ID. For individual licensees, enter a Social Security Number (SSN); for agencies or other firm producers, enter a Federal Employer Identification Number (FEIN). Limit 9 characters; remove hyphens.

5. *Required*. In **Column C** or the third column in the spreadsheet, enter a producer's name. For individual licensees, enter a producer's last name; for agencies or other firm producers, enter a firm's legal name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

6. *Optional; individual producers only*. In **Column D** or the fourth column in the spreadsheet, enter a producer's first name.

7. *Optional*. **Column E** or the fifth column in the spreadsheet specifies an email address to which to send an email attached with a producer's **Appointment Letter**. Use the following guidelines:

   - To generate an **Appointment Letter** and attach it to an email, enter a valid email address. In most cases the email address you enter will be a producer's email address; however, instead it may be an affiliated agency's email address, a carrier-internal email address, etc.
   - To accommodate postal mail delivery of a hard-copy **Appointment Letter** instead of an electronic copy delivered via email, enter "donotsend@customer.com" (ignore the quotes). The system will generate the **Appointment Letter** but not an email, allowing you to retrieve the **Appointment Letter** from the Transaction Image Web Service for printing and mailing. (For more information, consult the Transaction Image Web Service user documentation.)
   - To bypass altogether the generation of an **Appointment Letter** and email for a specific request, do not enter an email address. No **Appointment Letter** or email will be generated.

8. *Optional*. In **Column F** or the sixth column in the spreadsheet, enter an **Appointment Profile** code. Separate multiple **Appointment Profile** codes in a cell by commas. (If you are entering data directly into a CSV text file rather than a spreadsheet application, enclose multiple entries with double quotation marks.) If you do not enter an **Appointment Profile** code, the system is configured to use the code associated with your company's default **Appointment Profile**. If you are not sure of a code, ask your project lead or contact your Vertafore representative.

9. *Required*. In **Column G** or the seventh column in the spreadsheet, enter a two-character code representing a state(s) for which you want to record the appointment. Separate multiple state codes in a cell by commas. (If you are

entering data directly into a CSV text file rather than a spreadsheet application, enclose multiple entries with double quotation marks.) The producer's record in Producer Manager will be updated with a "record-only" appointment; the system will not actually submit the request for state processing.

10. *Optional*. In **Column H** or the eighth column in the spreadsheet, enter a five-digit NAIC ID code of an appointing company. If no NAIC ID code is entered, the system will record appointments for each appointing company included in the **Appointment Profile**. Separate multiple NAIC ID codes in a cell by commas. (If you are entering data directly into a CSV text file rather than a spreadsheet application, enclose multiple entries with double quotation marks.)

11. *Required.* In **Column I** or the ninth column in the spreadsheet, enter a date on which you want to record that the appointment became active (the **Effective Date**). Use the *mm-dd-yyyy* date format, including hyphens. Limit 10 characters. The system will insert the date you enter as the **Effective Date** for the appointment on the producer's record in Producer Manager. If you do not enter a date, the system automatically will record the processing date as the **Effective Date**.

12. Repeat steps 3 through 11 for each record row in the spreadsheet file.

13. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

14. If the tax ID values in **Column B** include hyphens, you must remove the hyphens. Click to select **Column B**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

15. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Record-Only Appointments** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

16. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

17. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

18. Close the data file.

The data file is ready for uploading to the **Bulk Record-Only Appointments** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.
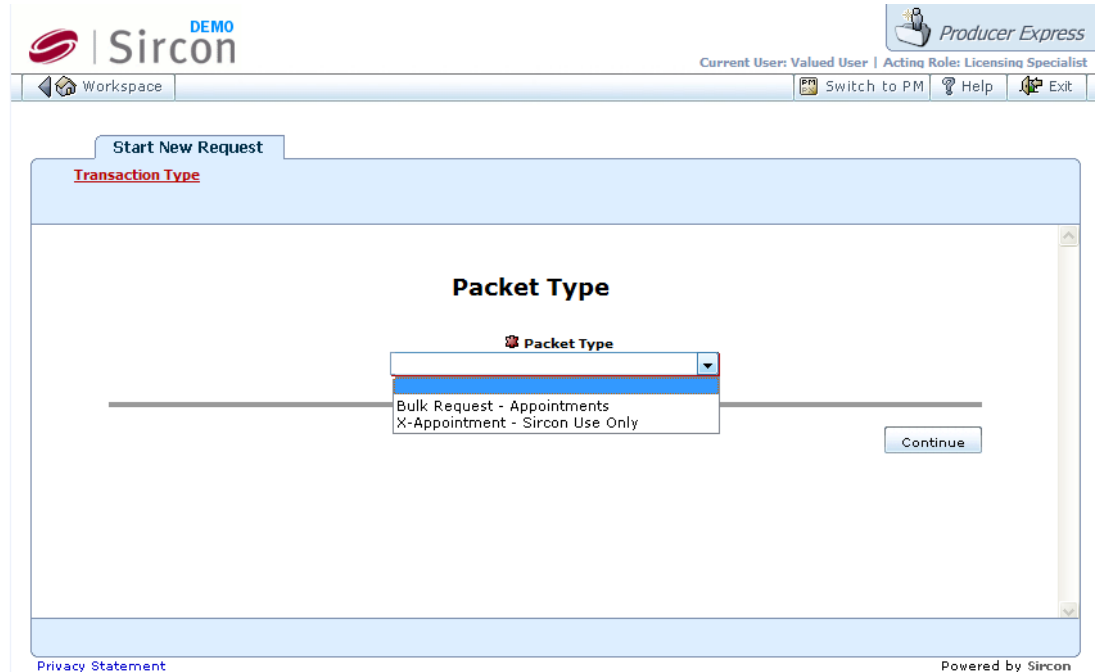
3. From the **Packet Type** dropdown menu, select **Bulk Request - Record-Only Appointments**.

4. Click the **Continue** button. The **Bulk Appointments Options** page will open, allowing you to set one or more run-time options to apply to the **Bulk Record-Only Appointments** operation.

Choosing Run-Time Options

Use the **Bulk Appointments Options** page to set one or more run-time options to apply to each **Bulk Record-Only Appointments** operation. The options you select will apply globally to the operation.

Note that you may use the **Load Preset** button at the top right of the page to apply preset run-time options to the bulk operation, which could save data entry. For more information about the **Load Preset** and **Save Preset** buttons, please consult the Producer Express online help.

1. In the **Send Appointment Letters?** field, click to select the **Yes** radio button to set the system to generate an **Appointment Letter** for each appointment request in the data file and attach the letter to an email transmitted to the email address specified in **Column E** of the data file. (Note that the global setting for this option can be configured differently per request. See Preparing the Data File.) Or, click to select the **No** radio button to bypass generation of an **Appointment Letter**.

2. In the **Create new producer if not found in PM?** field, click to select the **Yes** radio button to set the system to automatically attempt to create a new record in Producer Manager for any producer included in the data file but whose record is missing in Producer Manager. Prior to submitting an appointment request for the producer, the system automatically will attempt to populate the new producer record with active regulatory data obtained from the PDB. Then, if the new producer record supports the **Bulk Record-Only Appointments** appointment request, the system will proceed with submitting the request to the state. Or, click to select the **No** radio button to bypass creation of a new record for any producer included in the **Bulk Record-Only Appointments** data file but whose record is not found in Producer Manager.

3. In the **Run background investigation before processing appointments?** field, click to select the **Yes** radio button to set the system to automatically submit a background investigation request to your company's chosen background check vendor on each producer in the data file, prior to submitting a state appointment request. (Integration with the background check vendor must be pre-configured for use prior to using the **Bulk**

Record-Only Appointments utility.) Or, click to select the **No** radio button to bypass submission of a background investigation request for all producers in the **Bulk Record-Only Appointments** data file.

4. In the **Sync producer data with PDB before processing appointments?** field, click to select the **Yes** radio button to set the system to check the record of each producer included in the data file against data in the PDB and update the producer's record in Producer Manager, if necessary, prior to submitting an appointment request for the producer. Or, click to select the **No** radio button to bypass the PDB check for all producers in the data file.

5. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Record-Only Appointments** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Record-Only Appointments** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Record-Only Appointments** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will

close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate record-only appointment request record for each producer in the **Bulk Record-Only Appointments** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Record-Only Appointments** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Record-Only Appointments** request record (containing the data file) to Processed.

3. If the **Create new producer if not found in PM?** option is enabled, create a new producer record for any producer included in the **Bulk Record-Only**

Appointments data file who does not have an existing record in Producer Manager and supplement the new record with PDB data.

4. If the **Sync producer data with PDB before processing appointments?** option is enabled, update with PDB data the Producer Manager record of any producer included in the **Bulk Record-Only Appointments** data file, where necessary.

5. If the **Run background investigations before processing appointments?** option is enabled, submit a background and/or credit check request to your company's chosen background check vendor for every producer included in the **Bulk Record-Only Appointments** data file, based on the applicable **BI Profile**. (For more information, see Bulk Background Investigation Requests.) The **Status** of a dependent request is Pending while the system awaits a response from the background check vendor.

6. The background check vendor processes each request and returns a result to the system. The system responds in one of the following ways:

   • If the result of a producer background check for a dependent request is "Pass," the system resumes automated processing, and the **Status** changes to Processed, and the related producer record in Producer Manager is updated with background investigation information.
   • If the result for a dependent request is "Fail" or "Needs Review," the request is routed to the **Error Queue** for manual follow-up by an authorized user. Once manual follow-up is completed, the user determines whether or not to proceed with the appointment request. If the user chooses to proceed, the user resubmits the request to automated processing. If the user decides to abort the appointment request, the user manually stops the dependent request to change its **Status** to Closed.

7. For each dependent appointment request, check if requested combination of state(s), appointing companies, and appointment types (as specified in the **Bulk Record-Only Appointments** data file and as allowed by the specified **Appointment Profile**(s)) is permissible, based on data stored in producer and company records in Producer Manager.

8. Using the state-specific processing method specified in the **Appointment Profile**, in non-appointment filing states, appointments will be recorded as "record-only" in producer records in Producer Manager. The dependent request record in Producer Express will display a **Status** of Processed, and the **Appointment** section of the producer's record in Producer Manager will display a **Status** of Active.

10. If the **Send Appointment Letters?** option is enabled, generate an email to the email address included in the **Bulk Record-Only Appointments** data file and/or an **Appointment Letter** attachment in PDF format notifying the producer of each new state appointment. (Note that the global setting for this option can be configured differently per request. See Preparing the Data File.)

11. Once all state appointment requests on a dependent request record are processed, change overall **Status** of record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or that encounters state transaction rejections or errors.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Record-Only Appointments** data file and begin processing of original **Bulk Record-Only Appointments** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk Record-Only Appointments** request • Close Erred Requests • Stop request
Cannot find producer to appoint	When processing a dependent request generated from the original **Bulk Record-Only Appointments** request. When verifying existence of a producer record in Producer Manager.	Record of producer for which record-only appointment request was made does not exist in Producer Manager.	• Add producer record to Producer Manager and resubmit dependent request to automated processing. • Have the **Bulk Record-Only Appointments** utility configured to automatically add new records for producers missing from **Bulk Record-Only Appointments** data file. • Stop request
PDB report	When processing a	System cannot	• Review producer

| not found | dependent request generated from the original **Bulk Record-Only Appointments** request.

When attempting to synchronize a producer's data in Producer Manager against state data. | find record of producer for which appointment request was made on the PDB. | record in Producer Manager, update regulatory data, and resubmit dependent request to automated processing.

• Stop request |
| Active license to support appointment not found | When processing a dependent request generated from the original **Bulk Record-Only Appointments** request.

When verifying a producer's regulatory data on record in Producer Manager. | Producer's state licensing data does not support state appointment request. | • Add or obtain proper state license and lines of authority to support requested appointment.

• Update regulatory data on producer's record in Producer Manager.

• Stop request |

Notes

Vertafore will configure in the system a set of pre-defined, client-specific rules, called an "**Appointment Profile**" (or, sometimes, "enhanced appointment profile"). An **Appointment Profile** consists of combinations of states, the appointing companies in your carrier group that are admitted in those states, the appointment types available to each company in each state, and the submission method (electronic, paper, or record-only) used by each state. During a **Bulk Record-Only Appointments** operation, the **Appointment Profile** enforces the valid combinations of states, appointing companies, and appointment types against each appointment request included in the data file. With the **Appointment Profile** in place and governing the universe of allowable appointments, you then are free to tailor any appointment request in the batch, narrowing it, for example, to include only specific states or appointing companies. One Vertafore-configured or "default" **Appointment Profile** is included as core functionality. However, if you require more control over appointment types (e.g., variable annuity lines only, surety lines only, etc.), as an additional option, Vertafore can configure multiple **Appointment Profiles**. Then you could input the code for one, another, or all **Appointment Profiles** in the **Bulk Record-Only Appointments** data file. For more information, contact your Vertafore representative.

Tips

If your company's instance of Producer Manager contains updated records of newly-licensed producers for which you need to record appointments, you can run the **Producer Licenses**

Inquiry and use the report output in a spreadsheet or comma-delimited format as the basis for your **Bulk Record-Only Appointments** data file. When selecting report criteria, filter the output by individual or firm entity type, by state if desired, and by a range of dates during which the producers' licenses became active. Use the **Search** function in the report window to specify the data fields from the report output needed for the **Bulk Record-Only Appointments** data file (i.e., Last Name or Firm Name, Social Security Number or Federal Employer Identification Number, and Appointment State Code), and then download the search results as an MS Excel File. Then, supplement the data file with the other required data elements specified in the File Layout Requirements. For more information, see **Inquiries** in the Producer Manager online help.

Bulk Regulatory Course Completions

Using the **Bulk Regulatory Course Completions** utility, you can to apply in a single action continuing education (CE) course completion information to the records of a batch of individual producers in Producer Manager. Course completion information will be inserted in the **Course Completions** data section of affected producers' records in Producer Manager.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Regulatory Course Completions** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Social Security Number	Yes
B (Second)	Last Name	Yes
C (Third)	First Name	No
D (Fourth)	Email Address	No
E (Fifth)	Provider Name	Yes
F (Sixth)	Course Name	Yes
G (Seventh)	Regulatory Body Code*	Yes
H (Eighth)	Completion Date	Yes

I (Ninth)	Course Hours	No
J (Tenth)	Course Category Code**	Yes

* Regulatory Body Code must be configured in the RGLTRY_BDY_CD code group on the Maintain Codes page in Producer Manager.

** Course Category Code must be configured in the CRS_CTGRY_CD code group on the Maintain Codes page in Producer Manager.

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Regulatory Course Completions** operation:

- A producer for which to record a regulatory course completion
- Course information, including course name, education provider name, course hours, and completion date
- The applicable regulatory body

Use the following steps to perform a **Bulk Regulatory Course Completions** operation:

Preparing the Data File

For processing in the **Bulk Regulatory Course Completions** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Regulatory Course Completions** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

For more information on data file requirements, see [File Layout Requirements](#).

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending

with **Column J** (the first cell through the tenth cell in row 1), enter the following in sequence: **SSN, Last Name, First Name, Email Address, Education Provider Name, Course Name, Regulatory Body Code, Course Completion Date, Course Credit Hours, Course Category Code**. You must delete the header row before uploading the data file to the system. (See step 17.)

3. *Required*. In **Column A**, or the first column in the spreadsheet, enter a Social Security Number (SSN). Limit 9 characters; remove hyphens.

4. *Required*. In **Column B**, or the second column in the spreadsheet, enter a producer's last name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

5. *Optional*. In **Column C**, or the third column in the spreadsheet, enter a producer's first name. Maximum 35 characters.

6. *Optional*. In **Column D**, or the fourth column in the spreadsheet, enter a valid email address for a producer. The system will update the value of the Email Address field in the **Contact Information** data section on the producer's record in Producer Manager. Maximum 72 characters.

7. *Required*. In **Column E**, or the fifth column in the spreadsheet, enter the name of the education provider who offered the course. Maximum 255 characters.

8. *Required*. In **Column F**, or the sixth column in the spreadsheet, enter the the name of the education or training course. Maximum 255 characters.

9. *Required*. In **Column G**, or the seventh column in the spreadsheet, enter a code representing the regulatory or oversight entity that compels a producer to take and earn credit for the course. The code must be configured in the RGLTRY_BDY_CD code group on the **Maintain Codes** page in Producer Manager.

10. *Required*. In **Column H**, or the eighth column in the spreadsheet, enter a date on which on which the selected producer completed the course. Use the *mm-dd-yyyy* date format, including hyphens. Limit 10 characters.

11. *Optional.* In **Column I**, or the ninth column in the spreadsheet, enter the whole and/or partial hours for which the producer has earned credit for completing the course. Maximum 5 characters; may include a decimal point.

12. *Required*. In **Column J**, or the tenth column in the spreadsheet, enter a code representing the education type or grouping for the course. The code must be configured in the CRS_CTGRY_CD code group on the **Maintain Codes** page in Producer Manager.

13. Repeat steps 3 through 12 for each record row in the spreadsheet file.

14. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

15. If the tax ID values in **Column A** include hyphens, you must remove the hyphens. Click to select **Column A**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

16. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Regulatory Course Completions** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

17. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

18. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

19. Close the data file.

The data file is ready for uploading to the **Bulk Regulatory Course Completions** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.
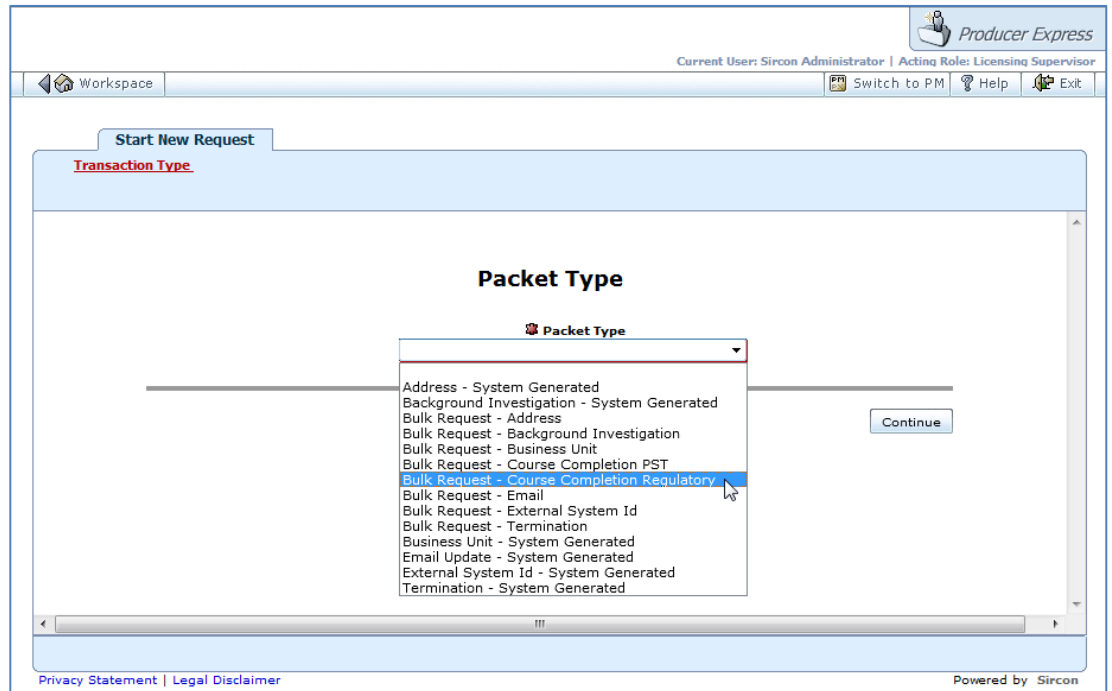
3. From the **Packet Type** dropdown menu, select Bulk Request – Course Completion Regulatory.

4. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Regulatory Course Completions** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Regulatory Course Completions** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Regulatory Course Completions** request. The name you enter will become

the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate regulatory course completion request record for each producer in the **Bulk Regulatory Course Completions** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Regulatory Course Completions** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Regulatory Course Completions** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. For each dependent **Bulk Regulatory Course Completions** request, check if update is allowable based on system and business rules.

5. For each valid and allowable dependent request, update each related producer record in Producer Manager with information entered in the data file.

6. Once the update is complete, change **Status** of dependent request record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or that encounters state transaction rejections or errors.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Regulatory Course Completions** data file and begin processing of original **Bulk Regulatory Course Completions** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk Regulatory Course Completions** request • Close Erred Requests • Stop request

Bulk Product-Specific Training Course Completions

Using the **Bulk Product-Specific Training Course Completions** utility, you can to apply in a single action product-specific training (PST) course completion information to the records of a batch of individual producers in Producer Manager. Course completion information will be inserted in the **Course Completions** data section of affected producers' records in Producer Manager.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Product-Specific Training Course Completions** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Social Security Number	Yes
B (Second)	Last Name	Yes
C (Third)	First Name	No
D (Fourth)	Email Address	No
E (Fifth)	Provider Subscriber ID	Yes
F (Sixth)	Provider Name	Yes
G (Seventh)	Provider Course ID	Yes
H (Eighth)	Course Name	Yes
I (Ninth)	Completion Date	Yes
J (Tenth)	Course Hours	No
K (Eleventh)	Course Category Code*	Yes

* Course Category Code must be configured in the CRS_CTGRY_CD code group on the Maintain Codes page in Producer Manager.

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Product-Specific Training Course Completions** operation:

- A producer for which to record a product-specific training course completion
- Course information, including course name and ID, education provider name and ID, course hours, and completion date

Use the following steps to perform a **Bulk Product-Specific Training Course Completions** operation:

Preparing the Data File

For processing in the **Bulk Product-Specific Training Course Completions** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Product-Specific Training Course Completions** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

For more information on data file requirements, see [File Layout Requirements](#).

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column J** (the first cell through the tenth cell in row 1), enter the following in sequence: **SSN, Last Name, First Name, Email Address, Provider Subscriber ID, Provider Name, Provider Course ID, Course Name, Course Completion Date, Course Credit Hours, Course Category Code**. You must delete the header row before uploading the data file to the system. (See step 18.)

3. *Required*. In **Column A**, or the first column in the spreadsheet, enter a Social Security Number (SSN). Limit 9 characters; remove hyphens.

4. *Required*. In **Column B**, or the second column in the spreadsheet, enter a producer's last name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

5. *Optional*. In **Column C**, or the third column in the spreadsheet, enter a producer's first name. Maximum 35 characters.

6. *Optional*. In **Column D**, or the fourth column in the spreadsheet, enter a valid email address for a producer. The system will update the value of the Email Address field in the **Contact Information** data section on the producer's record in Producer Manager. Maximum 72 characters.

7. *Required*. In **Column E**, or the fifth column in the spreadsheet, enter the education provider's Vertafore subscriber ID. Maximum 9 digits.

8. *Required*. In **Column F**, or the sixth column in the spreadsheet, enter the name of the education provider who offered the course. Maximum 255 characters.

9. *Required.* In **Column G**, or the seventh column in the spreadsheet, enter an identifier that the education provider has assigned to the course. Maximum 20 characters.

10. *Required.* In **Column H**, or the eighth column in the spreadsheet, enter the the name of the education or training course. Maximum 255 characters.

11. *Required.* In **Column I**, or the ninth column in the spreadsheet, enter a date on which on which the selected producer completed the course. Use the *mm-dd-yyyy* date format, <u>including hyphens</u>. Limit 10 characters.

12. *Optional.* In **Column J**, or the tenth column in the spreadsheet, enter the whole and/or partial hours for which the producer has earned credit for completing the course. Maximum 5 characters; may include a decimal point.

13. *Required.* In **Column K**, or the eleventh column in the spreadsheet, enter a code representing the education type or grouping for the course. The code must be configured in the CRS_CTGRY_CD code group on the **Maintain Codes** page in Producer Manager.

14. Repeat steps 3 through 13 for each record row in the spreadsheet file.

15. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

16. If the tax ID values in **Column A** include hyphens, you must remove the hyphens. Click to select **Column A**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

17. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Product-Specific Training Course Completions** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

18. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

19. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

20. Close the data file.

The data file is ready for uploading to the **Bulk Product-Specific Training Course Completions** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.

3. From the **Packet Type** dropdown menu, select Bulk Request – Course Completion PST.

4. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Product-Specific Training Course Completions** data file and submit the file for processing.

Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Product-Specific Training Course Completions** data file and submit the file for processing.

1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Product-Specific Training Course Completions** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate regulatory course completion request record for each producer in the **Bulk Product-Specific Training Course Completions** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Product-Specific Training Course Completions** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Product-Specific Training Course Completions** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. For each dependent **Bulk Product-Specific Training Course Completions** request, check if update is allowable based on system and business rules.

5. For each valid and allowable dependent request, update each related producer record in Producer Manager with information entered in the data file.

6. Once the update is complete, change **Status** of dependent request record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or that encounters state transaction rejections or errors.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Product-Specific Training Course Completions** data file and begin processing of original **Bulk Product-Specific Training Course Completions** request.	Missing required values in data fields of data file. Invalid formatting of data file.	• To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. • Fix error and resubmit original **Bulk Product-Specific Training Course Completions** request • Close Erred Requests • Stop request

Bulk Professional Liability Coverage Updates

Using the **Bulk Professional Liability** utility, you can to apply in a single action professional liability coverage information to the records of a batch of individual and/or firm producers in Producer Manager. Professional liability coverage information will be inserted in the **Professional Liability** data section of affected producers' records in Producer Manager.

Note: You can use the **Professional Liability Insufficient Coverage Inquiry** in Producer Manager to isolate producers whose records are missing professional liability coverage. Then, you can use the inquiry results as the basis for a **Bulk Professional Liability** data file to add coverage information to those records. For more information, see the Producer Manager online help.

File Layout Requirements

Use the information in the table below as quick reference for the layout requirements of the **Bulk Professional Liability** data file:

Spreadsheet Column Reference (Field Position)	Data Field	Required?
A (First)	Entity Type: IL (Individual) OR AGY (Firm)	Yes
B (Second)	TIN (Social Security Number or Federal Employer Identification Number) OR Producer Manager record ID	Yes
C (Third)	Last Name (individual producers) OR Firm Name (firm producers)	Yes
D (Fourth)	First Name (individual producers)	No
E (Fifth)	Coverage Type Code	Yes
F (Sixth)	Policy Number	Yes
G (Seventh)	Insuring Company Name	No
H (Eighth)	Effective Date	Yes
I (Ninth)	Expiration Date	No
J (Tenth)	Per Incident Amount	No
K (Eleventh)	Total Amount	No
L (Twelfth)	Exclusion Codes	No
* Coverage Type Code must be expressed as either BOND for a bond coverage type or POLICY for an errors & omissions insurance coverage type. ** Exclusion codes must be configured in the PROF_LIAB_EXCL_TYPE_CD code group on the Maintain Codes page in Producer Manager.		

Step-by-Step Instructions

The process begins with the creation and proper formatting of a data file that contains the following key information for each request included the **Bulk Professional Liability** operation:

- A producer for which to record professional liability coverage information

- Coverage information, including coverage type, coverage period, coverage underwriter, coverage per-incident and total amounts, and exclusions.

Use the following steps to perform a **Bulk Professional Liability** operation:

Preparing the Data File

For processing in the **Bulk Professional Liability** utility, the data file must be in a comma-separated value (*.csv) file format. To create the data file and save it in the CSV file format, we recommend the use of a spreadsheet application, such as Microsoft® Excel®. However, if you are exporting data from another system for processing in the **Bulk Professional Liability** utility, you may bypass the spreadsheet application and export the data directly in the CSV file format, making sure to delineate each field in the CSV file with commas.

For more information on data file requirements, see <u>File Layout Requirements</u>.

1. Launch a spreadsheet application. A new, blank spreadsheet file will open.

2. In first row of the spreadsheet file, create a header row to guide your data entry and help format the data file to meet the CSV layout requirements. (See the screen capture above.) In each cell beginning with **Column A** and ending with **Column L** (the first cell through the twelfth cell in row 1), enter the following in sequence: **Entity Type, TIN (Social Security Number or Federal Employer Identification Number) OR Producer Manager record ID, Last Name (individual producers) OR Firm Name (firm producers), First Name, Coverage Type Code, Policy Number, Insuring Company Name, Effective Date, Expiration Date, Per Incident Amount, Total Amount, Exclusions**. You must delete the header row before uploading the data file to the system. (See step 19.)

3. *Required*. In **Column A**, or the first column in the spreadsheet, enter an entity type of the producer. For individual licensees, enter "IL" (ignore the quotes); for agencies or other firm producers, enter "AGY" (ignore the quotes).

4. *Required*. In **Column B**, or the second column in the spreadsheet, enter a producer's tax ID. For individual licensees, enter a Social Security Number (SSN); for agencies or other firm producers, enter a Federal Employer Identification Number (FEIN). Limit 9 characters; remove hyphens

    OR

    Enter the unique ID of a producer's record in Producer Manager. For individual licensees, enter the value of Indv ID field in the Details data section of the producer's record; for agencies or other firm producers, enter the value of the Firm ID in the Details data section of the producer's record.

5. *Required*. In **Column C**, or the third column in the spreadsheet, enter a producer's name. For individual licensees, enter a producer's last name; for agencies or other firm producers, enter a firm's legal name. Replace apostrophes, ampersands, or other special characters with spaces. Maximum 75 characters.

6. *Optional; individual producers only*. In **Column D** or the fourth column in the spreadsheet, enter a producer's first name.

7. *Required*. In **Column E**, or the fifth column in the spreadsheet, enter the coverage type code representing the producer's professional liability coverage. For a bond, enter BOND; for errors & omissions liability insurance, enter POLICY. Maximum 6 characters.

8. *Required*. In **Column F**, or the sixth column in the spreadsheet, enter the policy number of the producer's professional liability coverage. Maximum 30 alphanumeric characters.

9. *Optional*. In **Column G**, or the seventh column in the spreadsheet, enter the name of the company issuing the producer's professional liability coverage. Maximum 30 alphanumeric characters.

10. *Required*. In **Column H**, or the eighth column in the spreadsheet, enter the beginning date of the effective period of the producer's professional liability coverage. Use the *mm-dd-yyyy* date format, including hyphens. Limit 10 characters.

11. *Optional*. In **Column I**, or the ninth column in the spreadsheet, enter the ending date of the effective period of the producer's professional liability coverage. Use the *mm-dd-yyyy* date format, including hyphens. Limit 10 characters.

12. *Optional*. In **Column J**, or the tenth column in the spreadsheet, enter the limit in dollars and cents payable per claim or incident under the producer's professional liability coverage. Maximum 18 fixed point decimal characters.

13. *Optional*. In **Column K**, or the eleventh column in the spreadsheet, enter anaggregate limit in dollars and cents payable during the effective period under the producer's professional liability coverage. Maximum 18 fixed point decimal characters.

14. *Optional*. In **Column L**, or the twelfth column in the spreadsheet, enter one or multiple codes representing types of claims specifically excluded under the terms of the producer's professional liability coverage. Separate multiple codes with commas. Codes must be configured in the PROF_LIAB_EXCL_TYPE_CD code group on the **Maintain Codes** page in Producer Manager.

15. Repeat steps 3 through 14 for each record row in the spreadsheet file.

16. Many spreadsheet applications by default will strip leading zeroes from numeric strings in data cells with "general" formatting applied. You will need to preserve the leading zeroes in all numeric strings in the data file. Change the cell formatting to protect leading zeroes. Select to highlight the column with numeric strings, and then right-click and select **Format Cells** to open the **Format Cells** dialog box. In the **Category** box, select **Text**. Click the **OK** button.

Note: Do not apply this formatting change to the **Per Incident Amount (Column J)** and **Total Amount (Column K)** columns.

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17. If the tax ID values in **Column B** include hyphens, you must remove the hyphens. Click to select **Column B**. Press Ctrl + H to open the **Find and Replace** dialog box. In the **Find What** field, enter a hyphen (-). In the **Replace With** field, do not enter anything (leave null). Click the **Replace All** button. The operation will remove all hyphens from all values in the column.

18. To save the file in the CSV format, from the **Office** button or **File** menu of the spreadsheet application, select **Save As**. The **Save As** dialog box will open. Choose a system location to which to save the data file. In the **File Name** field, enter a name for **Bulk Professional Liability** data file. From the **Save As Type** dropdown menu, select **CSV (Comma delimited) (*csv)**. Then, click the **Save** button. Click **Yes** on any message box asking to confirm your choice of CSV file format.

19. Delete the header row you created in step 2. Select the row, right-click, and then select **Delete**.

20. Re-save the data file. Click **Yes** on any message box asking to re-confirm your choice of CSV file format.

21. Close the data file.

The data file is ready for uploading to the **Bulk Professional Liability** utility for processing.

Launching the Application

1. Launch or open Producer Express. The **Workspace** page will open.

2. From the **Available Tasks** menu, select **Start a New Packet** or **Generic Packet**. The **Packet Type** page will open.
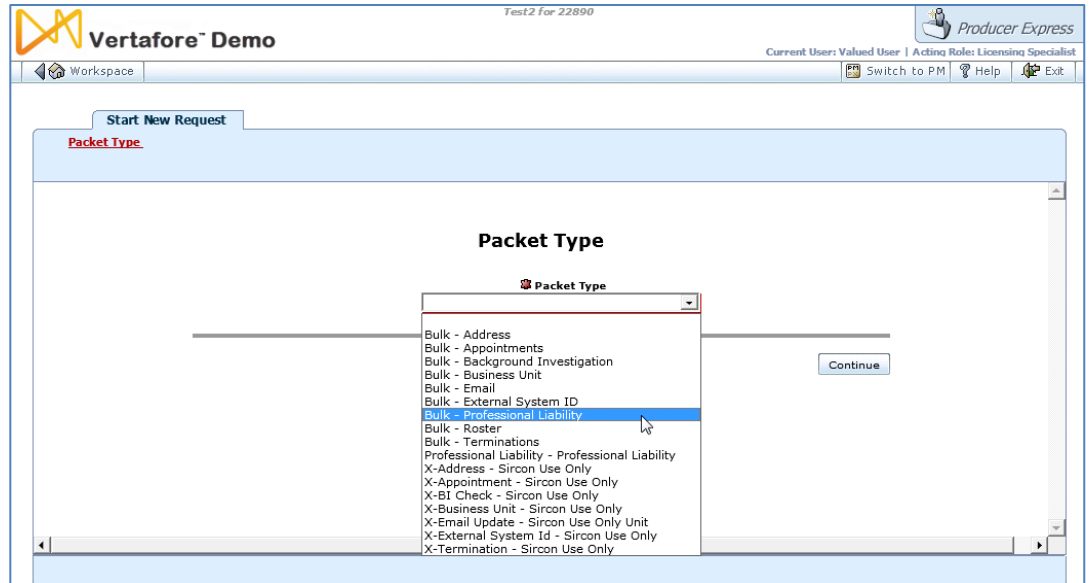
3. From the **Packet Type** dropdown menu, select Bulk – Professional Liability.

4. Click the **Continue** button. The **Bulk Options** page will open, allowing you to choose a key identifier for finding producer records in Producer Manager to update with professional liability coverage information.

Choosing a Record Identifier

Use the **Bulk Options** page to choose a key identifier for finding producer records in Producer Manager to update with professional liability coverage information. You may choose to locate producers based on their unique record identifier in Producer Manager (**Indv ID** for individual producers or **Firm ID** for firm producers) or by producers' tax ID information (Social Security Number for individual producers or Federal Employer Identification Number for firm producers).

Your choice will determine which data type values to include in Column B of the **Bulk Professional Liability** data file. (For more information, see Preparing the Data File.)

1. From the **Producer Record Identifier** dropdown menu, select PM Producer Id to locate producers based on their unique record identifier in Producer Manager or select TIN to locate producers based on their tax ID information.

2. Click the **Continue** button. The **Upload Producer CSV File** page will open, allowing you to upload the **Bulk Professional Liability** data file and submit the file for processing.
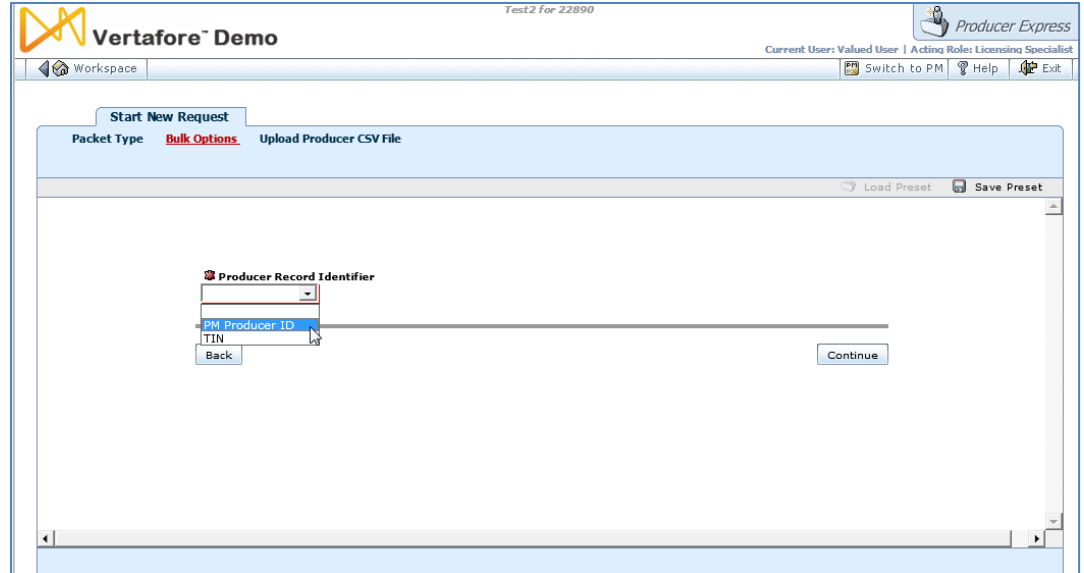
Uploading the Data File

Use the **Upload Producer CSV File** page to upload the **Bulk Professional Liability** data file and submit the file for processing.
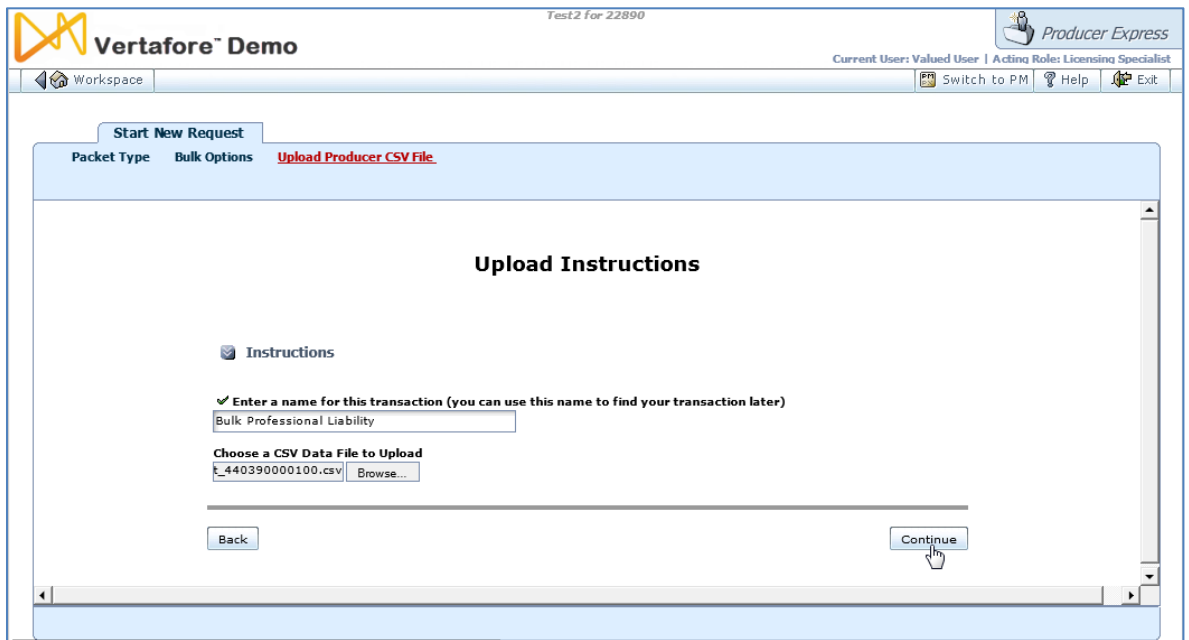
1. In the **Enter a name for this transaction** field, enter a name for the **Bulk Professional Liability** request. The name you enter will become the searchable value of the request file's **Name** field. Maximum 45 characters.

2. To the right of the **Choose a CSV Data File to Upload** field, click the **Browse** button. The **Choose File** dialog box will open. Use the navigation options on the **Choose File** dialog box to locate the course completions record file (*.csv) on your system. When the correct file name appears in the **File Name** field, click the **Open** button. The **Choose File** dialog box will

close, and the system path to the file will appear in the **Choose a CSV Data File to Upload** field.

3. Click the **Continue** button. The data file will be uploaded into the system, and the system will validate the data file.

Monitoring the Operation

Once the system has validated the data file for proper formatting and completeness, the system will perform the following automated steps:

1. Create a separate professional liability coverage request record for each producer in the **Bulk Professional Liability** data file. The dependent or "child" request record maintains a traceable relationship to the original **Bulk Professional Liability** request, but the system will apply all subsequent processing steps to each new dependent request. You can view the relationship between the original request record and any dependent request on the **Related Requests** tab.

2. Once all possible dependent requests records are created, change the **Status** of the original **Bulk Professional Liability** request record (containing the data file) to Processed.

3. Check Producer Manager for the existence of a producer record related to each dependent request.

4. For each dependent **Bulk Professional Liability** request, check if update is allowable based on system and business rules.

5. For each valid and allowable dependent request, update each related producer record in Producer Manager with information entered in the data file.

6. Once the update is complete, change **Status** of dependent request record to Processed.

Error and Exception Handling

Producer Express will route to the **Error Queue** any request that does not meet functional or business rule validation or that encounters state transaction rejections or errors.

The table below lists some common error messages, the pages or functions in the system upon which you may encounter them, a description of their meaning, and some troubleshooting guidance.

Error	Affected Pages or Functions	Error Condition	Resolution Options
Data file validation	When attempting to upload **Bulk Professional Liability** data file and begin processing of original **Bulk Professional Liability** request.	Missing required values in data fields of data file. Invalid formatting of data file.	- To help diagnose formatting errors, open CSV data file in a text editing application, such as WordPad or Notepad. - Fix error and resubmit original **Bulk Professional Liability** request - Close Erred Requests - Stop request

Appendix A: Closing Erred Requests

A Producer Express user in the Licensing Supervisor role can, in one action, close all dependent requests that have encountered an error.

This section describes this process. The procedure assumes you are logged into Producer Express with the Licensing Supervisor role.

First, in the Producer Express **Workspace**, locate the bulk parent request. Remember that bulk parent requests once they complete processing and spinning off dependent requests are given a status of "Processed."

Then, click the **Bulk Reassign** link above the **Search Results** panel of the **Workspace** page.

Re-assign the bulk parent request to the user who will be closing the erred dependent requests.

On the **Select Requests** page, click to checkmark the checkbox associated with the bulk parent request.

Then, click the **Next** button.

On the **Reassign Requests** page, click to select the radio button corresponding to the user who will be closing erred dependent requests. It can also be yourself.

Then, click the **Reassign** button.
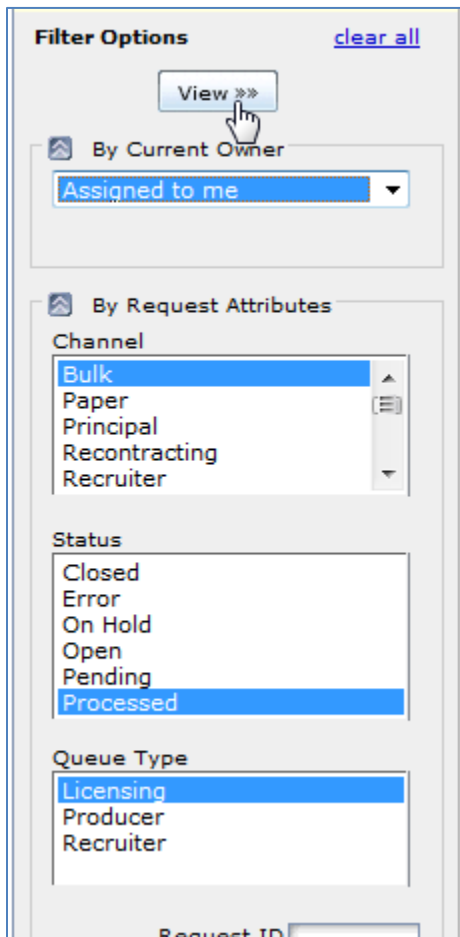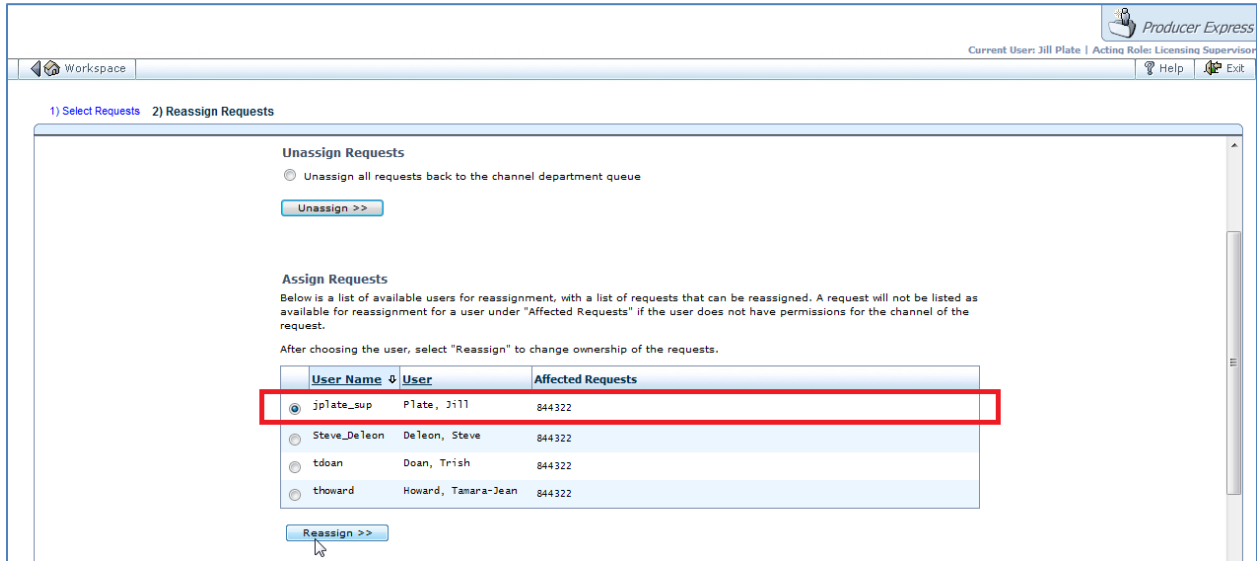
Now, the user can find the bulk parent request using the **Filter Options** on the left side of the **Workspace**. Remember that a bulk parent request will have a status of "Processed," and so you must search based on that Status.

Once you have found the bulk parent request, click the **View this Request** button to open it.
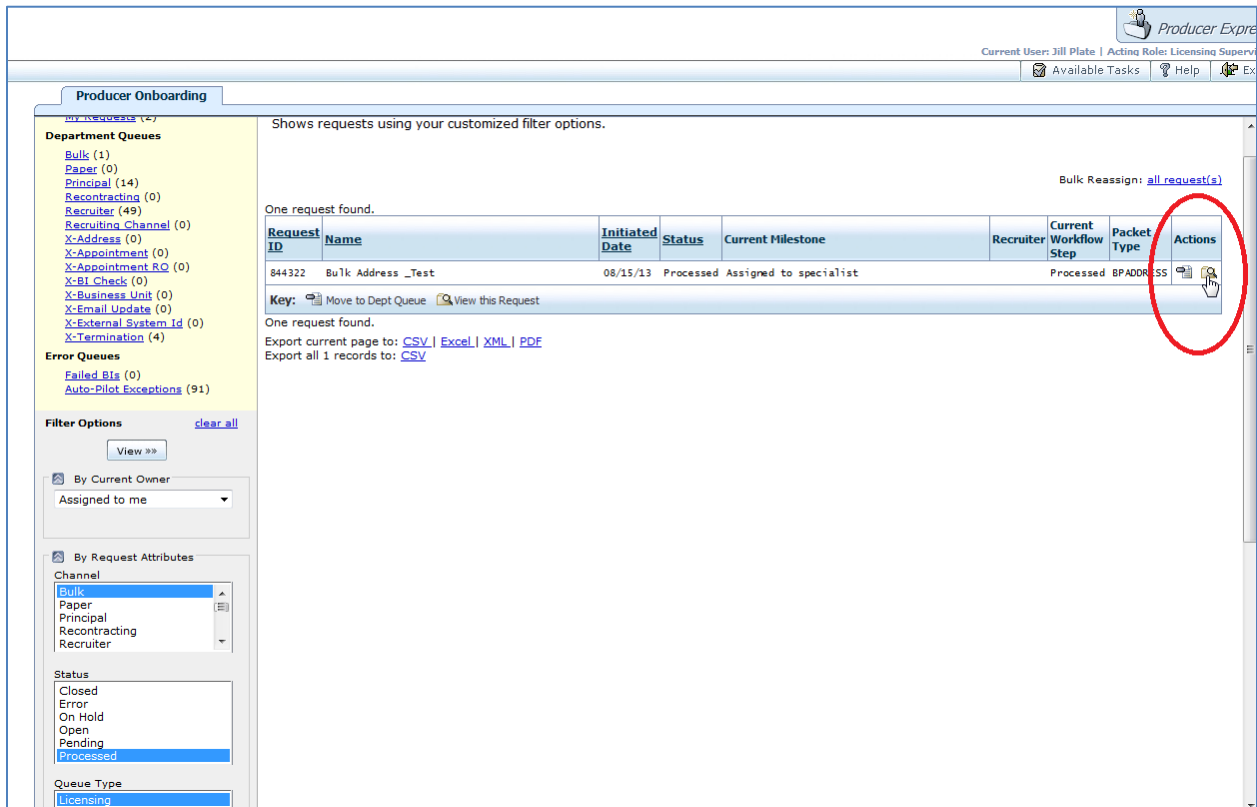
Navigate to the **Related Requests** tab.
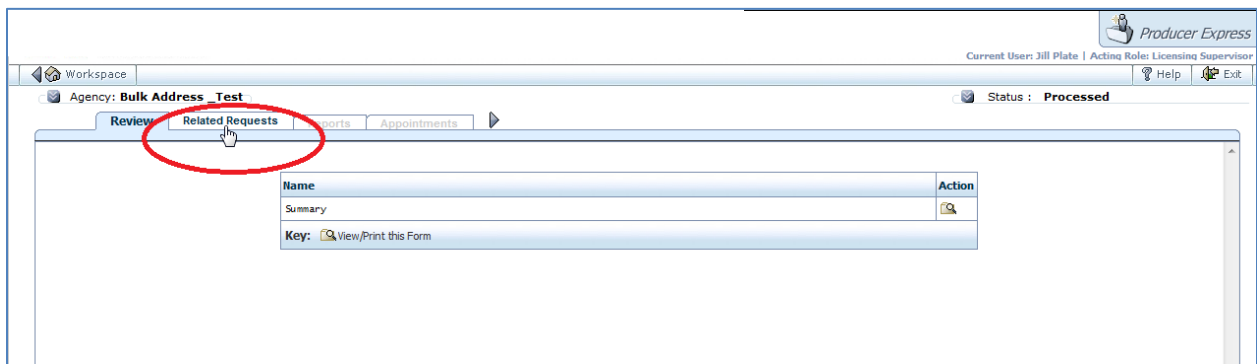
The **Related Requests** tab displays all dependent requests that were spun off by the bulk parent request, including those that encountered processing errors.

Click the **Close All Erred Requests** link. It will be available only if there are requests in Error status that can be stopped (closed).

The **Close Erred Requests** page will open.

In the **Reason** field, you must enter a reason for stopping (closing) the requests.

The **Related Requests** tab will redisplay, this time showing that the erred dependent requests are now closed.
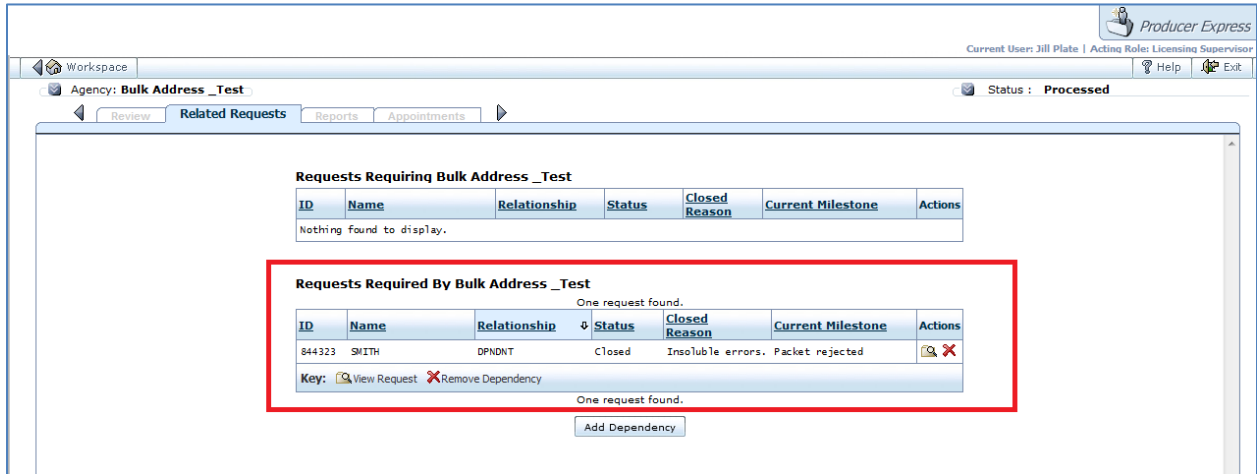
When you search for one of the stopped dependent requests in the **Workspace**, you can also see that it now shows a status of Closed.
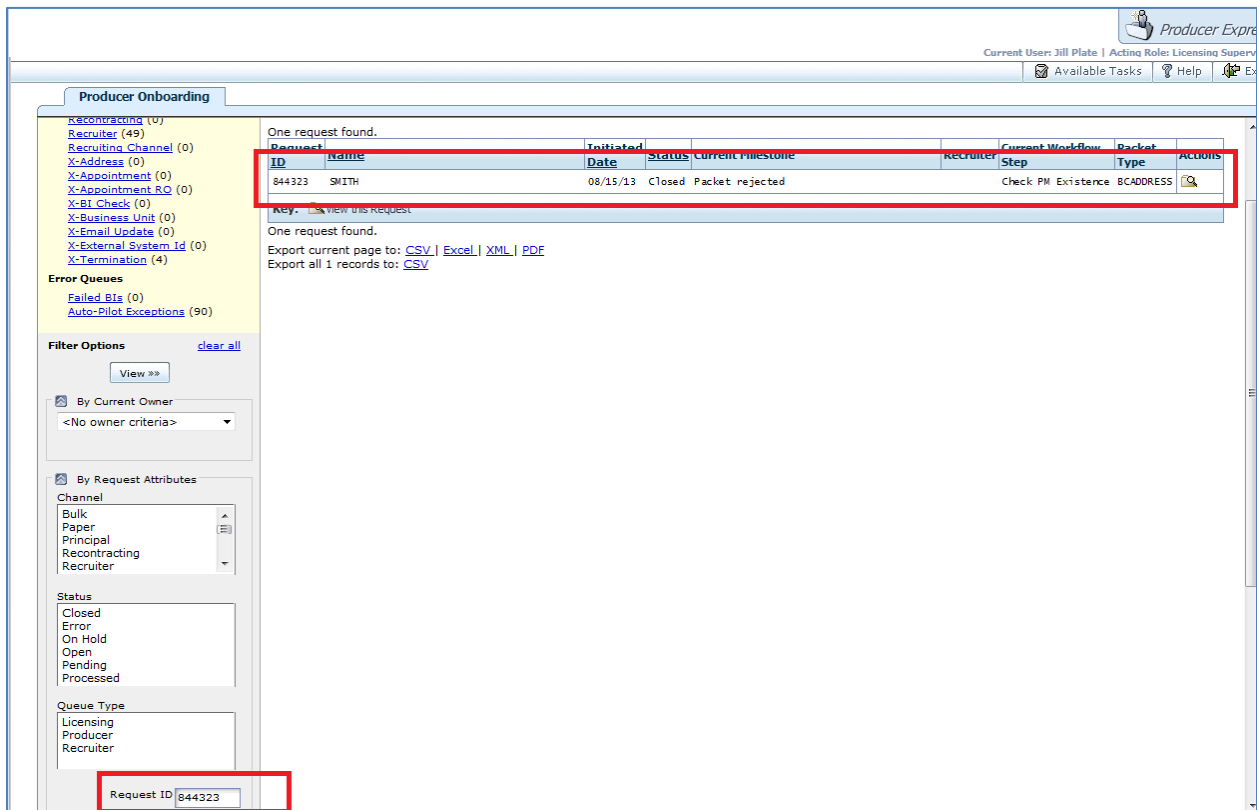
Document Change History

Document history maintains a log of changes for a maximum of three years.

Version Number	Date	Version Information	Notes
5.8	03/31/2011	Baseline draft	
5.9	08/29/2011	Added Bulk Record-Only Appointments section; updated screenshots based on PSO requirements for standard implementation	DOC-626
5.9.1	9/6/2011	Corrected screenshots of Excel file formatting for Record Only Appts and Loc/Dept sections; corrected screenshot for External System ID file upload; corrected Effective Date field constraint for R-O Appt to Required	Technical review of work based on DOC-626
5.10	01/03/2012	Minor textual corrections.	
5.11	1/5/2012	Align doc version number with PLM release version number	
5.12	1/5/2012	Update to Tip in Bulk BI about BI aging business rule; changed appropriate Sircon references to Vertafore references; changed references to Sircon for Carriers to PLM	
6.0	7/17/2012	Minor formatting corrections.	
6.4	7/19/2013	Added Bulk Regulatory Course Completion and Bulk Product-Specific Training Course Completion sections; added information about using presets.	DOC-841 DOC-774
6.4.1	8/23/2013	Added Appendix on Bulk Closing Dependent Requests that Error	DOC-959
6.7	2/24/2014	Added Bulk Professional Liability section	DOC-989
7.1	6/16/2015	Updated layout to comply with latest Vertafore branding Minor wordsmithing in "Bulk External System ID" section.	
7.4	11/12/2015	Miscellaneous updates	
7.6	7/12/2016	Added hyperlinks from Error and Exception Handling sections to Close Erred Requests appendix	