PLM Producer Manager User Guide



A Guide to Mass Updating Producer Records After a State Regulatory Change

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Introduction

From time to time, a state will change its available insurance producer license types, license lines, and/or appointment types and the underlying codes that support them. For example, as part of a streamlining of regulatory oversight, a state might decide to adopt a national standard of available license types. Or, as part of the rollout of a new insurance regulatory management system, a state might need to update its system codes representing licenses, license LOA, and appointments.

Such changes can affect your recordkeeping of producer data in Producer Manager and Producer Express. For example, a producer tracked in Producer Manager may hold a "Non-Resident Surplus Lines Agent" in a given state. The state might then decide to change the necessary license type to "Non-Resident Producer," supported with a "Surplus Lines" LOA.

Unless you know about the state's regulatory change and then update the producer's record to reflect it, the producer's record may fall out of synch with the state's records and become noncompliant. Also, if other systems in your company are integrated with PLM, outdated data can also flow into them.

Vertafore assists you in keeping your producer records current with state regulatory changes in the following ways:

- By keeping you informed proactively of state changes
- By advising you specifically of the steps your company will need to take to keep up-todate with the changes
- By making it easy to mass update producer records in PLM Producer Manager to stay in step with the states

This guide is intended to walk you through the entire process of becoming aware of state regulatory changes and updating the system to support them, finding producers in your system that are affected by the changes, performing a mass update of affected records in PLM Producer Manager, and then reviewing the changed data on an updated producer record.



Finding Out About a State Regulatory Change

Vertafore's regulatory and compliance analysts have their ears to the ground continuously to learn when a state is making a change to its insurance regulations that will affect Vertafore customers.

For example, when a state changes a license, LOA, or appointment type, Vertafore gathers all the necessary details and updates the PLM applications to accommodate the changes.

Vertafore also issues customers an email alert, similar to the example shown in the figure on the right.

In this example, you can see that the South Carolina insurance department changed its basic resident and non-resident producer license types for individual agents. The Resident Producer and Non-Resident Producer license types – codes 296 and 430, respectively – were eliminated. South Carolina converted all active individual producers holding a license of that type to a new license type: Producer (code 065).



Notice of Code Change for Producer Manager™

Jurisdiction: South Carolina

We are updating electronic processing capabilities in Producer Manager to support regulatory changes and electronic processing standards. The updates will assist you in your compliance efforts. If you would like to use the updated services, please contact us so that we can give you access to the codes that support them. Details are listed in the tables below.

Summary and Customer Action

| Type of Change | When cha eff | anges take ect: | Customer Action | Request changes by: | | | |
|-----------------------------------|-----------------|--------------------|--|----------------------------|----------------------------|--|--|
| Change | UAT | Production | | UAT | Production | | |
| Updating license type codes | 05/24/2013 | 05/31/2013 | Request access to new codes you plan to use through the self-service portal. | 05/22/2013 5:00 p.m. ET | 05/26/2013 5:00 p.m. ET | | |

To see if you've ever used codes previously, go to the View Use Indicators page in the Administration menu. See the online help for more information about using this page.
 For all changes requested, please include the state, the code number, the short description and code type. For license type code changes, also include whether it is for an individual or business entity.

License Type Code Changes

| Jurisdiction | License Type and Outbound Data Feed Code | Code Status | Long Description | Short Description | Business Entity (BE) or Individual (IL) | | Newly supported |
|--|---|--|---|---|--|-----|--|
| SC | 065 | Added | Producer | Producer | IL | | state license type |
| Accident Automob Casualty Credit (0 Crop and Life (147) Marine (1 Mortgagy Personal Pre-Neec Property Surety (2 Title (30) Variable | License Type and Outbound Data Feed Code Code Status Long Description Short Description Bis Bis Bis Bis Bis Bis Bis Bis Bis Bis | | | | Manager | | |
| SC | 296 | Historical | Resident Producer | Resident Producer | IL | | (made historical) state license types |
| SC | 430 | Historical | Non-Resident Producer | Producer | IL. | | in Producer |
| Life (147) Marine (1 Mortgage Personal Pre-Neec Property Surety (2 Title (300 Variable |) 188) e Guaranty (200) Lines (231) d (238) (245) (245) 48)) Contracts (324) | | | | | | |
| Sales Auth | norization | - A - 11 | | | 2042 | | |
| For custome been used fo letermine wh lownstream /ertafore cu | es will apply to Sale ers using Producer A or any other state in lat action, if any, is i systems. ustomer support i ou have regarding | Manager's Producer M necessary is availab g this not | outbound data : Manager. Please to accommoda le to assist w lification. | feed, these cod e review the new te the changes t ith any questi | es have never codes and o your ons or | | |
| | This ema | ail was sent | to: | | | | |
| | This em | ail was sent | by: Vertafore 117 | 24 NE 195th Stree | t Bothell, WA, 98011, | USA | |
| | | | | | | | |

We respect your right to privacy - view our policy

Updating the System to Support the Change

When your company receives the state regulatory change notification, what you must do first is determine whether the change impacts your company's producer recordkeeping. For the purposes of our example, if your company does not do business with in South Carolina, then you may safely ignore the notification illustrated on page 4.

But if your company has a sales channel operating in South Carolina, it is likely that the state's regulatory change would affect your recordkeeping. You will want to have the new Producer license type (code 065) turned on in your company's instance of Producer Manager.

There was a time where you would have to open a Vertafore customer support case using the **Customer Self-Service Portal** to request to have the license turned on. But no more: Now you can turn on the license and its code yourself!

Here's what to do:

From the Administration menu, select Configure System. Then, select View Code Use Indicators.

| icensing Companies Inquiries Express Services | Administration 👻 | 🐼 🎽 🔍 Produ | cer Quick Search |
|--|---------------------------|------------------------------------|--------------------------|
| | Online Help | | |
| Find existing producers with Review/Update Producer or Advanced Producer S | | oducers | |
| Add a Producer | Configure My Profile > | T THOMAS | 07-01-2013 |
| Add a new Individual Licensee or a new Firm | Configure System | Maintain Codes | 07-01-2013 07-01-2013 |
| Quick Load Producers from a batch file using PDB | Education Credentialing > | Maintain Business Unit | 07-01-2013 |
| Indate Droducer Information | Data Reconciliation > | Maintain Business Unit Cost Center | 06-11-2013 |
| Add/Activate Licenses/Qualifications | Notifications | Add Hierarchy Templates | Snov |
| Correct License Data | View Regulatory Mappings | Maintain Hierarchy Templates | |
| Maintain Contact Information | Contact Us | Maintain Hierarchy Levels | |
| Nanage Appointments | Logout | Administer Producer Business Rules | |
| Add Appointments Terminate Appointments | | View Code Use Indicators | |
| Approve/Deny Appointments Review Rejected Appointments | | Maintain Locations and Departments | |



The **Code Use Indicators** page will open. Here you can check the availability of state-specific license types, LOA, appointment types, and other codes in your company's deployment of Producer Manager. From among the entirety of those in the system, you can determine which

are configured to be either enabled or disabled in your company's specific deployment of PLM.

You can use the selection and filter criteria at the top of the page to zero in on the specific codes you are looking for.

In our example, we will select South Carolina from the **State** dropdown menu.

From the **Type** menu, we can select the particular code type we are looking for. In this case, since we are looking for license types for individual producers, we will select System Individual License Type.

We want to see codes for license types that Vertafore has made historical, so over on the right side of the filter options, we will click to checkmark the **Include Historical Codes** checkbox.

Click **Search**, and Producer Manager will display all codes that met our search criteria. You can see the Resident Producer and Non-Resident

| Code Use Indicator South Carolina Image: South Carolina | earch |
|--|-------------|
| Check De Indicators State: South Carolina YPP: System individual License Type Code Non-Resident Paulser Only show codes available for activation: Beith Type Code Non-Resident Paulser Only show codes available for activation: Code Ventoring Code Code Ventoring Code Non-Resident Paulser Non show codes available for activation: Code Ventoring Code Non-Resident Adjuster On Non show codes available for activation: Code Ventoring Code Code Ventoring Code On Non-Resident Adjuster On Non-Resident Data State Type Code Ventoring Code On Non-Resident Adjuster On Non-Resident Data State Individual License Type Code 31 Broker On On Non-Resident Data State Individual License Type Code 31 Non-Resident Adjuster On On Non-Resident Data State Individual License Type Code 31 Non-Resident Adjuster On On On Non-Resident Data State Individual License Type Code 31 Non-Residen | |
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| 3 code use indicators found, displaying all code use indicators. | |
| Activating use indicators should be performed with extreme caution Once activations are saved, they become a permanent part of your configuration You will NOT have the option to turn them off, once they have been activated Changes will be take offect will be following of write the same of | |

Producer license types in South Carolina are indeed historical.

Note: Old state code(s) are still visible in the system but have a status of "Historical," meaning they are still in the system for data integrity purposes but no longer will actively be used.

You also can see that the new Producer license type is now available in your system.

Note that the value of the **Code Use Indicator Status** for all license types is On, except for the new Producer license type (code 065). Its **Code Use Indicator Status** is Off.

Any code that is non-historical with a **Code Use Indicator Status** of Off is available to be activated in your system. And activating such a code is easy to do. You simply checkmark its



corresponding checkbox in the **Activate** column and click the **Save** button at the bottom of the page.

| Status Begin Date | End Date State Type | Code Description | Code Use Indicator Status | Activate |
|------------------------|--|---|---------------------------|----------|
| 10-17-2013 | Confirm Changes | | | |
| 10-17-2013 | commin changes | | ^ | |
| 10-21-2013 | | | | |
| 10-18-2013 | Activating use indica | tors should be performed with extreme soution | | |
| 05-22-2013 | Activating use indica | tors should be performed with extreme caution | | |
| 10-18-2013 | Once activations Xou will NOT have | are saved, they become a permanent part of your configuration | | |
| 10-21-2013 | Changes will not | take effect until the following day | | |
| 10-21-2013 | | Activation co | unt: 1 | |
| 10-17-2013 | | Activation co | | |
| 10-17-2013 | | Activate | Cancol | |
| 10-17-2013 | | Activate | Calicel | |
| 10-17-2013 | AK System Individual L | icense Type Code 617 Travel insurance Limited Producer | OTT | |
| 12 code use indicators | found, displaying all code use indicators. | | | |
| | | | | Save |

But you must use extreme caution! Activating a code on the **Code Use Indicators** page is an irreversible action. To preserve data integrity in producer records, once activated a code cannot be inactivated. Therefore do not activate a code unless you are absolutely sure doing so meets your company's business purposes.

You will have a chance to back out of your decision to activate a code use indicator on the **Confirm Changes** dialog box. Click the **Cancel** button to change your mind. Or, to proceed, click the **Activate** button.

It takes a day before the license and its code will be reflected as being "On" in system. Until then, the license and its code will have a **Code Use Indicator Status** of Pending.

Note: We strongly recommend reviewing the Producer Manager online help for details. Click the **Help** link at the bottom of the **Code Use Indicators** page.

Finding Out Which Producer Records Need Updating

After the code supporting the new license is active in the system, the next task is to determine which producers in the system hold the old, historical license types whose records will need updating to reflect the new state license type.

Producer Manager offers a built-in report that lets you draw this information together easily: the **Producer Licenses Inquiry**. Following our example, we will run the **Producer Licenses Inquiry** to identify all individual producers





in our system that hold the changed Resident Producer or Non-Resident Producer license types in South Carolina.

To run the report, from the **Inquiries** menu, select **Producer Management**. Then, select **Producer Licenses Inquiry**.

The Producer Licenses Inquiry page will open.

On the **Producer Licenses Inquiry** page, select by state the individuals or firms with licenses that you want to update.

For our example, we want to report only individual licensees, so we will select Individual from the **Producer Type** dropdown menu.

From the **State** dropdown menu, we will select South Carolina.

Note that the count widget at the bottom of the page will show how many licenses total – not producers – are in your system that will be returned by the inquiry.

From the **Status** dropdown menu, select Active to search for producers whose licenses are in active status.

Leave the **Date** fields and **Business Unit** list box blank or unselected.

| 📈 Vertafo | ore Producer M | lanager™ | | UAT for 50 Logged in as Valued User Logged |
|------------------------------|--|--|--|--|
| Licensing - Comp | anies – Inquiries – E | xpress Services 👻 Administration 👻 | | Roducer Quick Search |
| | | | | |
| All Reports Recen | t Reports Producer Licen | ses Inquiry | | |
| | | Producer Licenses Inc | quiry | |
| Generate lists of producers, | either individuals or agencies, who display produce | are active or inactive in a given state. Filter the report ers in a specific business unit or that are residents or | to show only those agents asso non-residents of the selected st | ociated with a specific agency. Or, narrow the li- ate. |
| Producer Type | Individual 💌 | Business Unit | GENAPPT | |
| State | All States Select | a State | GENEIC | |
| | Massachusetts | | | |
| Status Regin Date | Michigan | License Types | | |
| End Date | Mississippi | Show Historical | | |
| | Missouri Montana | | | |
| | Nebraska | | | Search Specific F |
| IN | New Hampshire | Active BU | NPN | Resident States |
| | New Jersey New Mexico | | | |
| ne criteria you have selecte | New York | 002 licenses. | | |
| ne online version of the Pro | duc North Dakota | 10 licenses or fewer. | | |
| | Oklahoma | | Submi | t Omine View/Refresh Report Cano |
| | Oregon Pennsylvania | | | |
| | Puerto Rico | Home Help Contact Us | | |
| | South Carolina | Copyright © 2003-2013 Vertafore, I | inc. | |
| | South Dakota | | | |
| | Texas | | | |
| | U.S. Virgin Islands Utah | | | |
| | Vermont | | | |
| | Washington | | | |
| | West Virginia 🔹 | | | |



In the License Types list box, we want to do two things:

- We want to enable the display of license types that are no longer supported by the selected state. In our example, we want to see historical license types in South Carolina, so we will click to checkmark the Show Historical checkbox
- 2. Then, we want choose the license types that were changed by the state to a different type. In our case, we want to select both Resident Producer and

| | panies - Inquiries - Expre | ss Services × Administration × | | Producer Quick Search |
|-----------------------------|--|---|--|--|
| All Reports Rece | nt Reports Producer Licenses In | nquiry | | |
| | | Producer Licenses Inqui | ry | |
| enerate lists of producers | , either individuals or agencies, who are ad display producers in a | tive or inactive in a given state. Filter the report to sh a specific business unit or that are residents or non-r | ow only those agents assoc esidents of the selected state | iated with a specific agency. Or, narrow the lis e. |
| Producer Type | Individual 💌 | Business Unit | GENAPPT | |
| State | O All States O Select a St South Carolina | ate | GENLIC | |
| Status | • | License Types | Resident Agent | * |
| Begin Date End Date | | Show Historical | Resident Bail Bond Resident Broker Resident Ltd Lines Resident Producer | sman/Runner (III) Producer (III) |
| | | | | Search Specific Fi |
| IN | License State/# | Active BU | NPN | Resident States |
| ne criteria you have select | ted will result in a report containing 20 licen | ses. | | |
| | | | Submit | Offline View/Refresh Report Canc |
| | | Home I Hole I Contact IIa | | |

Non-Resident Producer license types. To make multiple selections from the list box, press and hold the CTRL key on your keyboard while you click selections.

Now we are ready to submit our inquiry to the system. Click the **Submit Offline** button. That will send the inquiry request to generate our results in the background. It will also open the **Recent Reports** page where we can track the status of our inquiry request. (Other requested or generated offline inquiries from the past month will display here as well.)

| Vertafore | Producer Manager™ | | | UAT fo Logged in as Valued U | or 5001: Iser Logout | | | | | | |
|---|----------------------------------|--|-----------------------|---------------------------------|-------------------------|--|--|--|--|--|--|
| Licensing - Companies - | Inquiries 👻 Express Services 👻 A | (| Rroducer Quick Search | | | | | | | | |
| All Reports Recent Reports | | | | | | | | | | | |
| Inquiries will be retained for a period of 30 days before being purged. | | | | | | | | | | | |
| Delete <u>Name</u> | ↑ <u>Start Time</u> | Completion Time | Submitted By | <u>/ Status</u> | Download | | | | | | |
| Abort Producer Licenses Inquiry | 07-02-2013 12:22 PM | - | User, Valueo | Running | | | | | | | |
| Delete | | | | Refresh | Cancel | | | | | | |
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| | Home Convright @ 2 | Help Contact Us 2003-2013 Vertafore, Inc. | | | | | | | | | |
| | copyright @ 2 | | | | | | | | | | |

Click the **Refresh** button as often as needed until the **Status** of the inquiry changes from Running to Succeeded.

After the inquiry generates, click its name to open the results.

| Jompanico | Inquiries Express Services A | Administration 👻 | Q, P | roducer Quick Search | - 1 | | | | |
|---|----------------------------------|---------------------|--------------|----------------------|--------|--|--|--|--|
| All Reports Recent Reports | | | | | | | | | |
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The report will open in a new HTML viewer window. It will contain all the results of our inquiry request: South Carolina individual producers whose records show that they hold the historical license types Resident Producer and Non-Resident Producer.

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| | 07-02-20 | 13 | | | Proc | ducer Lice | nses In | quiry | | Pag | ge 1 of 4 | |
| I | License S | Status Dat | e: Any D | ate | | | | | | | | |
| | | Statu | is: All Sta | tuses | | Pro | ducer Type | Individual Lic | ensee (| IL) | | |
| | | Stat | e: South | Carolina | | Busi | ness Unit(s) | All Business | Units | | | |
| | 1 | Licenses(| s): Reside | ent Produce | r (296), | Non-Resident P | roducer (430 |)) | | | | |
| | Assoc | ciated Fire | m: All Firr | ns | | | - | - | | | | |
| F | Producer | Name | | | | | SSN | Produce | er Id | Business Units | State | |
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| | License Neg De | e Type | ducar | License # | | Orig Issue Date | Status | Eff. Date | Expir. | Date Inactivation | Reason | |
| | NOT-RE | esident Pro | ducer | 201014 | | 08-24-2010 | Active | 08-24-2010 | | | | |
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| | A | ccident and | d Health | | | 08-24-2010 | Active | 08-24-2010 | | | | |
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| F | Producer | Name KEITH | | | | | SSN -43 | Produce 15: 743152 | er Id | Business Units GENLIC | State SC | |
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| | Non-Re | esident Pro | ducer | 211302 | | 11-12-1998 | Active | 11-12-1998 | LADII. | bute muchivation | Reason | • |
| | Q | ualification | n Type | | | Orig. Issue Date | e Status | Eff. Date | Expir. | Date Inactivation | Reason | |
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| F | Producer BAKER, R | Name OBERT J | | | | | SSN -06 | Produce 43 897087 | er Id | Business Units GENLIC | State SC | |
| | Licens | e Type | | License # | | Orig Issue Date | Status | Eff. Date | Expir. | Date Inactivation | Reason | |
| | Non-Re | esident Pro | ducer | 627041 | | 06-30-2011 | Active | 06-30-2011 | | | | |
| | Q | ualificatio | n Type | | | Orig. Issue Date | e Status | Eff. Date | Expir. | Date Inactivation | Reason | |
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| | P | roperty | | | | 06-30-2011 | Active | 06-30-2011 | | | | |
| F | Producer BOSTICK. | Name JOSEPH | | | | | SSN -05 | Produce 77 760643 | er Id | Business Units GENLIC | State SC | |
| | Licono | Type | | License # | | Orig Issue Date | Status | Eff Date | Expir | Date Inactivation | Reason | |
| p | t:myVoid() | ident Pro | ducer | 249271 | | 05-27-2004 | Active | 05-27-2004 | Copili | Late macaration | | |



Preparing a Mass Update File

Besides simply finding out which producers in the system are affected by the state regulatory

change, we can also use this information as the basis for a file that we can then use to mass update the records of all of the listed producers.

The results of our **Producer Licenses Inquiry** contain a lot of data. Fortunately, for our purposes, we only need a few data pieces.

At this point let's take a look at the requirements of the mass update process. To perform the mass update, we are going to use Producer Manager's **Quick Load Producers** feature.

On the Producer Manager Home page, click the Quick Load Producers link. (Or, from the Licensing menu, select Producer, and then select Quick Load Producers.)

The **Quick Load Producers** page will open. On this page, we can find out exactly what data we need to perform the mass update, and also in what format the data needs to be.

In the **Step 2** section, you can find out this information. It will tell you the data elements needed for a "sync," as well as how the data needs to be formatted in the "Quick Load file."

Click the **file format requirements** link in Step 2 to display the cloaked or hidden formatting information.

Here, you can see that we need the following data elements for the mass update file:

• Producer Type







- Last Name
- Social Security Number

Armed with this information, we are ready to convert the results of our **Producer Licenses Inquiry** into the mass update file.

Turn your attention again to the separate HTML window the opened after we clicked the generated **Producer Licenses Inquiry** on the **Recent Reports** page. To build our mass update file, we need to isolate the Producer Name and TIN (SSN) fields in the report

In the page toolbar, click **Search**. A new panel will open on the left side of the inquiry results window.

Click the value of any Producer Name field that appears in the content panel. Do not click the field label of Producer Name. When you do this, Producer Name will display as a selected data field in the panel on the left side of the window.

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| | Liconso | Statue Da | te: Any D | ata | | | | | | | | | | | | |
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| | | Sta | te: South | Carolina | | | Busin | ess Unit(s) | : All Busines | s Units | () | | | | | |
| | | Licenses | (s): Reside | ent Produce | er (296). | Non-Resi | dent Pr | oducer (430 |) | | | | | | | |
| | Asso | ciated Fir | m: All Fin | ms | | | | | · | | | | | | | |
| | Producer | Name | | | | | | SSN | Produc | er Id | Busi | ness Units | State | , | | |
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| | Producer BAKER, F | r Name ROBERT J | | | | | | SSN -06 | Produc 43 897087 | er Id | Busi GEN | ness Units LIC | State SC | | | |
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Then, click the value of any SSN field that appears in the content. Again – do not click the field label itself; click the displayed value.

Now, TIN will display as a selected data field in the panel on the left side of the window.

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Then, click the **Search Now** button.

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The selected data from the inquiry results will display in the panel on the left side of the page. Again, these are two key pieces of the data elements we need to create our mass update file.

What you must do no is select a file format for the mass update file. The **Quick Load Producers** page told us that we must prepare a "comma-separated value" file, or CSV.

However, before we do our final file formatting into the CSV format, we have some manipulations of the data to do. These manipulations are best accomplished on a Microsoft Excel spreadsheet. So we want to convert our **Producer Licenses Inquiry** results into an Excel file.

At the bottom of the panel on the left side of the inquiry results window, from the **Download search results** dropdown menu, select MS Excel File.

A message prompt will display at the bottom of the page, asking if you want to open or save the results in a spreadsheet. Click **Open**.

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| | | | | | | | Lice | ense Type | | License # | Oria | Issue Date | Status | Eff. Date | Expir. | Date |
| MCM/ | AHON, J | ENNIFER | GRACE | | | | Nor | -Resident Pi | roducer | 353914 | 08- | 24-2010 | Active | 08-24-2010 | | |
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| | | | | | | | | Property | | | 08- | 24-2010 | Active | 08-24-2010 | | _ |
| MOY | VIHAN, J | BRIAN J | R | | | | Produ | cer Name | | | | | SSN | Produce | r Id | Bus |
| | | | | - | | | BACH | AEL, KEITH | | | 0-1-1 | | -43 | 515. 74315Z | E un la | GEI |
| NICH | OLS, PA | TTY SIX | | +++ | | | Nor | -Resident Pi | roducer | 211302 | 11- | 12-1998 | Active | 11-12-1998 | Expir. | Date |
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| STIN | EHOUR, | TERRANO | <u>EPD</u> | 100 | | | | Life Variable C | ontracts | | | | Active | 11-12-1998 | | |
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| WILL | IAMS, T | ERRANCE | Р | | | | | Qualificati | on Type | | Orig. | Issue Date | Status | Eff. Date | Expir. | Date |
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| | | | | | | | Produ | cer Name | | | | | SSN | Produce | r Id | Bus |
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| New Search Search Now | | Help | x | 07-02-2013 | | F | Producer Li | censes In | quiry | | * |
| DEARTH, TIMOTHY CHARLES DILLARD, KARLE EDWARD LARGE, ALAN LEWIS | | | * | License Status D Sta St License Associated Fi | ate: Any Da tus: All Stat ate: South (s(s): Reside irm: All Firn | ate :uses Carolina nt Producer (2 ns | l B 296), Non-Resider | Producer Type susiness Unit(s) at Producer (430 | : Individual Lice : All Business I) | ensee (IL Units | _) |
| MACGREGOR, GREGORY K | - | | | Producer Name ARGO, MICHAEL | | | | S SN -80 | Produce 71 898071 | r Id | Bus GEI |
| MCMAHON, JENNIFER GRACE | 11.1 | | | License Type Non-Resident Pr | roducer | License # 353914 | Orig Issue [08-24-201 | 0ate Status 10 Active | Eff. Date 08-24-2010 | Expir. (|)ate |
| MELTZER, JOHN F | 11 | | | Qualificati Accident a Casualty | on Type nd Health | | Orig. Issue I 08-24-201 08-24-201 | 0 Active | Eff. Date 08-24-2010 08-24-2010 | Expir. [|)ate |
| MORRIS, PATTY SIX | +14 | | | Life Property | | | 08-24-201 08-24-201 | 0 Active | 08-24-2010 08-24-2010 | | = |
| MOYNIHAN, J BRIAN JR | | | | Producer Name BACHAEL, KEITH | | | | SSN -43 | Produce 15: 743152 | r Id | Bus GEI |
| NICHOLS, PATTY SIX | | | | License Type Non-Resident Pr | roducer | License # 211302 | Orig Issue [11-12-199 | Date Status 18 Active | Eff. Date 11-12-1998 | Expir. [|)ate |
| SMITH, ANDRIA J | | | | Qualificati Accident a | ion Type nd Health | | Orig. Issue [| Date Status Active | Eff. Date 11-12-1998 | Expir. (|)ate |
| STINEHOUR, TERRANCE P D | | | | Life Variable C | ontracts | | | Active Active | 11-12-1998 11-12-1998 | | |
| TRESSLER, DAVID MARLON | | | = | Producer Name BAKER, ROBERT | J | | | SSN -06 | Produce 43 897087 | er Id | Bus GEI |
| VAN EPPS, MICHELLE KATHLEE | N | | | License Type Non-Resident Pr | roducer | License # 605771 | Orig Issue E 06-30-201 | 1 Active | Eff. Date 06-30-2011 | Expir. [|)ate |
| WILLIAMS, TERRANCE P | | | | Qualificati Casualty Property | on Type | | Orig. Issue I 06-30-201 06-30-201 | Date Status 1 Active 1 Active | Eff. Date 06-30-2011 06-30-2011 | Expir. [|)ate |
| Results 1 - 20 | | | | Producer Name BOSTICK, JOSEPH | 4 | | | S SN -05 | Produce 77 760643 | r Id | Bus GEI |
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Next, you will see the data elements you selected to pull out of the inquiry results formatted nicely in columns in a spreadsheet open in Microsoft Excel.

However, recalling our file requirements that we learned about on the Quick Load Producers page, we need to add a column into which we can enter the Entity Type code.

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| 1 Producer Name | TIN | | | | | | | |
| 2 ARGO, MICHAEL | 87181888 | | | | | | | |
| 3 BACHAEL, KEITH | -881-7-1898 | | | | | | | |
| 4 BAKER, ROBERT J | -991(B)(288) | | | | | | | |
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| 10 LARGE, ALLEN LEWIS | | | | | | | | |
| 11 MACGREGOR, GREGORY K | -201011003 | | | | | | | |
| 12 MCMAHON, JENNIFER GRACE | 10.7 100 1000 | | | | | | | |
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| 16 NICHOLS, PATTY SIX | | | | | | | | |
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| 19 TRESSLER, DAVID MARLON | Contraction of the second | | | | | | | |
| 20 VAN EPPS, MICHELLE KATHLEEN | | | | | | | | |
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Note: If you see the following message, just click the Enable Editing button.

Microsoft Excel × This command is not available in Protected View. You should only enable editing if you trust the contents of the file. Enable Editing Cancel With your cursor on the Producer Name column, right-🗶 | 🛃 🧐 🔻 (🗎 🗸 | 🛨 click your mouse, and select **Insert**. A new, b lank Insert Page Layout Data Home Formulas column will be inserted to the left of Producer Name. 👗 Cut ≡ - 10 · A A Arial In this new column, we will add values for all listed Copy 🔻 Paste B I U - A -≣ I Format Painter producers to identify them as individual licensees. Font Clipboard You may add a header in the first cell of the new - () f_x N35 column to identify what it is, such as Entity Type. А В C Producer Name TIN

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In the second row of the new column, enter IL. That's the Producer Manager system code for individual producers. (AGY is the code for firm producers.)

You can easily duplicate the new code down the entire list. Click the bottom right corner of the cell to form a thick-bordered box. Drag the bottom right corner vertically downward to encompass all rows for which you have data. All cells in the column should be filled with "IL," as shown.

Next, the Producer Name field needs to be constrained to just each producer's last name. We can do this using a handy tool – **Text to Columns** – onboard Excel.

First, insert a new column between Producer Name and TIN.

| - 21 | А | В | С | D |
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| 1 | Entity Type | Producer Name | TIN | |
| 2 | IL | ARGO, MICHAEL | 1017 / 100 1 (D104) | |
| 3 | IL | BACHAEL, KEITH | | |
| 4 | IL | BAKER, ROBERT J | -30 / BL - 2 & 4 | |
| 5 | IL | BOSTICK, JOSEPH | BH-18-18-3 | |
| 6 | IL | BRANDT, JEROME | 3-0 | |
| 7 | IL | COWAN, HOWARD B | 101-11-100/ | |
| 8 | IL | DEARTH, TIMOTHY CHARLES | 88710811877 | |
| 9 | IL | DILLARD, KARLE EDWARD | 201-911000 | |
| 10 | IL | LARGE, ALLEN LEWIS | 881811138 | |
| 11 | IL | MACGREGOR, GREGORY K | | |
| 12 | IL | MCMAHON, JENNIFER GRACE | 417 118 118 HT | |
| 13 | IL | MELTZER, JOHN E | 104-10110-12 | |
| 14 | IL | MORRIS, PATTY SIX | 87-81819- | |
| 15 | IL | Moynihan, J Brian Jr. | 1941-41-734 | |
| 16 | IL | NICHOLS, PATTY SIX | 881811938 | |
| 17 | IL | SMITH, ANDRIA J | | |
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| 2 | L | ARGO, MICHA | EL | | | 5 | 80 | Cur | | | | - | | + |
| 3 | IL II | BACHAEL, KE | IH | | | 2 | 93 | Copy | / | | _ | | | + |
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| 7 | | COMAN HOW | | | | 1 | | Death | | | | - | | + |
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| 0 | IL | | | | 5 | 2 | | Inse | rt | | | | | + |
| 10 | п II | LARGE ALLEN | | NIND. | | 0 | | Arele | te | | | - | | + |
| 11 | IL | MACGREGOR | GREGO | RY K | | 2 | | Class | Con | tanta | | | | + |
| 12 | " | MCMAHON JF | NNIFFR (| GRAC | CF | 0 | | Clea | r co <u>n</u> | tents | | | | + |
| 13 | L | MELTZER, JOH | NE | | _ | 0 | 1 | <u>F</u> orm | nat Ce | lls | | | | $^{+}$ |
| 14 | L | MORRIS, PATT | Y SIX | | | 0 | | <u>C</u> olu | mn W | /idth | | | | t |
| 15 | IL | MOYNIHAN, J I | BRIAN JR | _ | | 0 | | Hida | | | | | | t |
| 16 | IL | NICHOLS, PAT | TY SIX | | | 4 | | nue | | | | | | Ť |
| 17 | IL | SMITH, ANDRIA | ٩J | | | 0. | | Unh | ide | | | | | |



Then, from Excel's **Data** ribbon, click the **Text to Columns** button. The **Convert Text to Columns Wizard** will open.

This is the utility we can use to remove the comma and first name values from the Producer Name column.

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| 3 1 | | BACHAEL KEITH | | | dance white | | | | | | | | | | |
| 4 1 | | BAKER ROBERT J | | | 49-40-244 | | | | | | | | | | |
| 5 1 | | BOSTICK JOSEPH | | | distant days | | | | | | | | | | |
| 6 IL | | BRANDT, JEROME | | | 10.0100 | | | | | | | | | | |
| 7 IL | | COWAN, HOWARD B | | | 10-0-001 | | | | | | | | | | |
| 8 IL | | DEARTH, TIMOTHY CHARLES | | | 071001071 | | | | | | | | | | |
| 9 IL | | DILLARD, KARLE EDWARD | | | 221,710068 | | | | | | | | | | |
| 10 IL | | LARGE, ALLEN LEWIS | | | 081001738 | | | | | | | | | | |
| 11 IL | | MACGREGOR, GREGORY K | | | | | | | | | | | | | |
| 12 IL | | MCMAHON, JENNIFER GRACE | | | 1071081000 | | | | | | | | | | |
| 13 IL | | MELTZER, JOHN E | | | 100-10-10-10 | | | | | | | | | | |
| 14 IL | | MORRIS, PATTY SIX | | | | | | | | | | | | | |
| 15 IL | | MOYNIHAN, J BRIAN JR. | | | 1041-001-728 | | | | | | | | | | |
| 16 IL | | NICHOLS, PATTY SIX | | | | | | | | | | | | | |
| 17 IL | | SMITH, ANDRIA J | | | 107-10-17-10 | | | | | | | | | | |
| 18 IL | | STINEHOUR, TERRANCE P D | | | | | | | | | | | | | |
| 19 IL | | TRESSLER, DAVID MARLON | | | | | | | | | | | | | |
| 20 IL | | VAN EPPS, MICHELLE KATHLEEN | | | | | | | | | | | | | |
| 21 IL | | WILLIAMS, TERRANCE P | | | 101110011100 | | | | | | | | | | |

Where it asks you to choose a file type, click to select the **Delimited** radio button.

Click the Next button to proceed.

| Convert Text to Columns Wizard - Step 1 of 3 | ? × |
|---|------------|
| The Text Wizard has determined that your data is Delimited. | |
| If this is correct, choose Next, or choose the data type that best describes your data. | |
| Original data type | |
| Choose the file type that best describes your data: • Delimited • Characters such as commas or tabs separate each field. • Fixed width • Fields are aligned in columns with spaces between each field. | |
| Preview of selected data: 1 Producer Name 2 ARGO, MICHAEL 3 BACHAEL | • |
| A BAKER, ROBERT J S BOSTICK, JOSEPH | ~ |
| 4 | • |
| Cancel < Back Next > | Einish |

Then, click to checkmark the **Comma** checkbox.

Click the **Next** button to proceed.

| Convert Text to Colu | umns Wizard - Step 2 of 3 |
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| This screen lets you so the preview below. | et the delimiters your data contains. You can see how your text is affected in |
| Delimiters Tab Semicolon Comma Space Other: Data preview | Treat consecutive delimiters as one Text gualifier: |
| Producer Name ARGO BACHAEL BAKER BOSTICK | MICHAEL KEITH ROBERT J JOSEPH Cancel < Back Next > Finish |



On the last screen of the wizard, you can preview what the converted data will look like. You

can see that the tool will eliminate the comma in the Producer Name field and isolate first name and middle initial or name in the new column we created. This will make it easy to remove this extraneous data before will load the mass update file to the system.

Click the Finish button.

| | d - Step 3 of 3 |
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| This screen lets you select each co | lumn and set the Data Format. |
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| General General | |
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Now, on the spreadsheet, rightclick in the new column, and select **Delete**.

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| 22 | | | | | | | | | | | | | |



Our data is formatted almost perfectly for the mass upload. All that remains is to delete the header row in the spreadsheet.

Select the first row in the spreadsheet, right-click, and then select **Delete**.

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Finally, we are ready to save the spreadsheet into the CSV file format that Producer Manager **Quick Load Producers** requires.



From the Excel **File** ribbon, select Save As Type.

In the **File name** field of the **Save As** dialog box, give the file a name.

Then, from the **Save as type** dropdown menu, select CSV (Comma delimited) (*.csv).

Finally, choose a location on your system to which to save the mass update file.



If a message displays asking you to confirm that you do indeed wish to save the file outside of Excel's native format, click Yes.

| Microsoft | Excel |
|-----------|--|
| 1 | SC Mass Producer Update.csv may contain features that are not compatible with CSV (Comma delimited). Do you want to keep the workbook in this format? • To keep this format, which leaves out any incompatible features, click Yes. • To preserve the features, click No. Then save a copy in the latest Excel format. • To see what might be lost, click Help. |
| | Yes No Help |

It took a lot of steps, but the mass update file is ready to go, and you are just a few additional steps away from quickly updating all of the affected producer records in your system to reflect the new state license type.



Updating Affected Producer Records

Now, we must go back to the **Quick Load Producers** page in PLM Producer Manager. Remember that we visited it before to find out the file layout and format requirements for our mass update file. Only this time we will be visiting it to actually upload our mass update file into Producer Manager and begin the process of updating all of the producer records affected by the state change.

In Producer Manager, from the Licensing menu, select Producer, and then select Quick Load Producers.



In the **Step 1** section, click the **Add or Sync** radio button.

Then, in the **Step 2** section, click the **Browse** button to open the **Choose File to Upload** dialog box.

Browse for the mass update file in the CSV format that you just created, and the click the **Open** button on the dialog box.

The file path to the mass update file will display in the field to the left of the **Browse** button.

Click the **Continue** button. The **Quick Load Producers** page will redraw to ask you to confirm your file upload.





| Producer Manager validated your | Vertafore Producer Manager™ UAT for 5001 Licensing × Companies × Inquiries × Express Services × Administration × | 15 11 |
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| mass update process. | Quick Load Producers | |
| Click the Upload Producers button. | ✓ 20 producers were found in SC Mass Producer Update.csv and will be loaded from PDB. Licensing and appointment data will be loaded from all states. Go Back Upload Producers Cancel | |
| | Home Help Contact Us | |

The Quick Load Producers page will redraw once more to confirm the start of processing.

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|-------------|------------------|-----------------|---------------------------|------------------------|----|--------------------------|--------|
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| | | | Quick | Load Produce | rs | | |
| v | The file SC Mass | s Producer Upd | ate.csv was loaded into o | our system. | | | |
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You can view the processing of the file in progress. Click the **View current processing status** link. The **Processing Results** page will open.

Note: If the system displays the following error message: "Reconciliation Error - There was a problem processing this reconciliation. It did not complete successfully - Cannot merge producer without a default merge profile selected. No merge profile for the producer entity type has been configured as the default merge profile," a default merge profile for automated data reconciliations of individual producer records must be selected on the **Maintain Data Reconciliation Profiles** page. You might need to get your system administrator involved, who will go to **Administration>Configure System>Maintain Data Reconciliation Profiles** to fix the problem.



On the **Processing Results**

page, you can see the status of the updates of the records of all of the producers in the mass update file. In our example to the right, you can see initially that the processing **Status** is Running.

| ver tar | | | | Logged in as Valued User |
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| censing - Com | panies – Inquiries | Express Services * | Administration * | Producer Quick Search |
| | | 10.1 | | |
| All Reports Rece | ent Reports Quick Loa | ad Producers | | |
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| ocessing results for | the selected producer d | ata source: | | |
| lename | | Source Sta | us Run Date Staff Member | |
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| While the data source | e is processing, the results dis | splayed may be incomplete. | | |
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| ilter Criteria | | | | |
| roducer Type | Last Name/Firm Name | SSN/EIN | Status | |
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| lame | TIN | Producer Type | Status Processing Messages | Actions |
| IBROSE | 1000 | Individual | Running | 9 |
| RGO | 1468 | Individual | Running | 9. |
| KER | 1000 | Individual | Running | <u>s</u> . |
| OSTICK | 1853 | Individual | Running | <u>A</u> |
| RANDT | 1000 | Individual | Running | 9. |
| NAWC | 1887 | Individual | Running | <u>_</u> |
| EARTH | 19771 | Individual | Running | <u>_</u> |
| LLARD | 10.041 | Individual | Running | <u>A</u> |
| ARGE | | Individual | Running | 9. |
| ACGREGOR | 1897 | Individual | Pending | <u>_</u> |
| CMAHON | 16631 | Individual | Pending | 9. |
| ELTZER | 10.10 | Individual | Pending | <u>s</u> . |
| ORRIS | 107.01 | Individual | Pending | 9. |
| OYNIHAN | 17238 | Individual | Pending | <u>_</u> |
| CHOLS | 10.001 | Individual | Pending | <u>_</u> |
| ЛТН | 10000 | Individual | Pending | <u>A</u> |
| INEHOUR | 17881 | Individual | Pending | 9. |
| ESSLER | 1000 | Individual | Pending | 9 |
| AN EPPS | 19881 | Individual | Pending | 9. |
| ILLIAMS | 11100 | Individual | Pending | <u>s</u> . |
| Dur n v | ation Dataile | | | |

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The status will refresh each time you click the **View** button to refresh the processing status.

In our example, you can see that many producer records have been updated, will some are still processing. Some that are finished have processing messages to review, which could include information about errors that the system encountered. Some of these errors will require manual follow-up, but many the system was able to handle using complex processing logic.

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| IBROSE | | Individual | Processed | | |
| lGO | 1000 | Individual | Processed | 12 messages | <u> </u> |
| KER | 1000 | Individual | Processed | | T 🛆 🕰 |
| OSTICK | 1833 | Individual | Processed | | T 🛆 🕰 |
| ANDT | 1000 | Individual | Processed | 17 messages | T 🛆 🕰 |
| OWAN | 1897 | Individual | Processed | 17 messages | T 🔺 🕰 |
| ARTH | 1071 | Individual | Processed | | The second secon |
| LLARD | 10.04 | Individual | Processed | | The second se |
| RGE | 10.00 | Individual | Processed | 49 messages | 🔁 📤 🖳 |
| ACGREGOR | 1897 | Individual | Processed | | 🔁 📥 🕰 |
| MAHON | 16631 | Individual | Processed | 8 messages | The second se |
| LTZER | 10.00 | Individual | Running | | n 🔁 📥 🕰 |
| ORRIS | 187.91 | Individual | Running | | n 🔁 📥 💁 |
| OYNIHAN | 1728 | Individual | Running | | The second se |
| CHOLS | 10.00 | Individual | Running | | 📲 📥 💁 |
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| INEHOUR | 17881 | Individual | Running | | |
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Let's look at the record of one update that completed successfully, without any processing messages.



Click the value of the Name field to open the producer's record.

With the producer record open, we can take a look at what happens to the data after the updates are made by the

update process.

In the **Quick Links** box at the top of the producer record, click the **Licenses/Qualifications** link.

This will zoom you directly to the

Licenses/Qualifications data section of the producer record.

Click to expand the producer's South Carolina license information.

Here you can see that the system successfully updated the producer's South Carolina license information. It did so by adding the new license type (Producer) and inactivating the historical license type (Non-Resident Producer).

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Unless the system encountered irreconcilable errors, the other producer records in your mass update file should be similarly updated.

Note: After a state appointment type change do not update your producer records until you have added the new appointment type to your appointing company records in Producer Manager (*Companies menu>Company>Review/Update Company>select company record>State Appointment Details data section*). Otherwise, historical appointment information will be inactivated and new appointment information will not update producer records.



Other Things to Consider

Depending on your company's configuration of PLM, there might be other considerations following a state-initiated regulatory code update. This section describes other activities you might need to undertake to keep your producer data and systems in compliance with complicated state rules and regulations.

Update Appointment Profiles

If your business uses Appointment Profiles in Producer Manager, and Vertafore alerts you to new or updated appointment codes, then you will need to determine if your appointment profiles need to be updated to support the new appointment type.

If your appointment profiles include the jurisdiction and appointment type referenced in the notification, then you can modify the appointment profiles in Producer Manager (*Companies>Appointment Profile Maintenance>Maintain Appointment Profiles*). For more information, consult the Producer Manager online help.

Enhanced Appointment Profiles used in PLM Producer Express, however, are different. They must be modified by Vertafore Client Support.

If you need assistance with this, or if you are unsure if you are using Enhanced Appointment Profiles, open a case in the Customer Self-Service Portal. For more information on the Customer Self-Service Portal, see the printable help guide in the Producer Manager online help.

Update Systems Downstream from Producer Manager

If your company uses a Vertafore integration service, such as the PLM Producer Manager Outbound Data Feed (OBDF), to keep other back-office systems synchronized with the data in PLM Producer Manager, you will want to make sure that your company's IT staff remaps data in the other systems to work with the new regulatory code.

You have the opportunity to test the new codes and related changes in your company's PLM UAT (user acceptance testing) environment before having the code activated in your company's production account.

Deal with Regulatory Codes Not Tracked on the National Producer Database

When Producer Manager processes the **Quick Load Producers** file containing the producers whose records need updating (see page 21), the system obtains state data from the national Producer Database (PDB), a third-party data source that acts as a clearinghouse of insurance producer regulatory data.

In some rare instances, a license type, qualification, or appointment code is added to Producer Manager that does not exist on the PDB. In those cases, you can manually add the new code to a producer record, but it will be important to "lock" the code, so that the manually entered value



is not inactivated when the producer record is later synchronized against the PDB during automated data reconciliation.

The recommended method for locking the data is to apply the **Locked from Data Reconciliation Updates** functionality to the specific license, qualification, or code (*Licensing menu>Data Fix>Correct License Data OR Correct Qualification Dates OR Correct Appointment Dates*). Please consult the Producer Manager online help for more information.