PLM Producer Manager User Guide

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

March 2014 | Version 6.7.1

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Contents

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 non-compliant. Also, if other systems in your company are integrated with PLM, outdated data can also flow into them.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-to-date 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.

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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).

To view this email as a web page, go here.

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05/20/2013

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 changes take effect:		Customer Action	Request changes by:	
	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)
SC	065	Added	Producer	Producer	IL

This license is supported by the following qualifications:
- Accident and Health (057)
- Auto Physical Damage (005)
- Automobile Liability (012)
- Casualty (025)
- Credit (044)
- Crop and Hail (086)
- Industrial Fire (129)
- Life (147)
- Marine (188)
- Mortgage Guaranty (200)
- Personal Lines (231)
- Pre-Need (238)
- Property (245)
- Surety (248)
- Title (300)
- Variable Contracts (324)

Jurisdiction	License Type and Outbound Data Feed Code	Code Status	Long Description	Short Description	Business Entity (BE) or Individual (IL)
SC	296	Historical	Resident Producer	Resident Producer	IL
SC	430	Historical	Non-Resident Producer	Non-Resident Producer	IL

These licenses are no longer supported by the following qualifications:
- Accident and Health (057)
- Auto Physical Damage (005)
- Automobile Liability (012)
- Casualty (025)
- Credit (044)
- Crop and Hail (086)
- Industrial Fire (129)
- Life (147)
- Marine (188)
- Mortgage Guaranty (200)
- Personal Lines (231)
- Pre-Need (238)
- Property (245)
- Surety (248)
- Title (300)
- Variable Contracts (324)

Sales Authorization

These changes will apply to Sales Authorization mappings effective 05/31/2013.

*For customers using Producer Manager's outbound data feed, these codes have never been used for any other state in Producer Manager. Please review the new codes and determine what action, if any, is necessary to accommodate the changes to your downstream systems.

Vertafore customer support is available to assist with any questions or concerns you have regarding this notification.

This email was sent to:

This email was sent by: Vertafore 11724 NE 195th Street Bothell, WA, 98011, USA

We respect your right to privacy - view our policy

Annotations:
← Newly supported state license type in Producer Manager

← Newly unsupported (made historical) state license types in Producer Manager

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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**.

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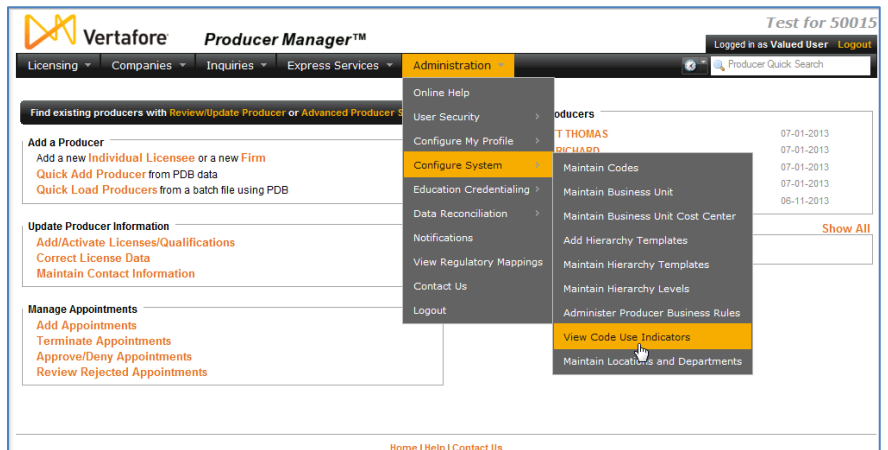
The **Code Use Indicators** page will open. Here you can check the availability of state-specific license types, LOA, appointment types, and other codes in your company's deployment of Producer Manager. From among the entirety of those in the system, you can determine which are configured to be either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

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corresponding checkbox in the **Activate** column and click the **Save** button at the bottom of the page.
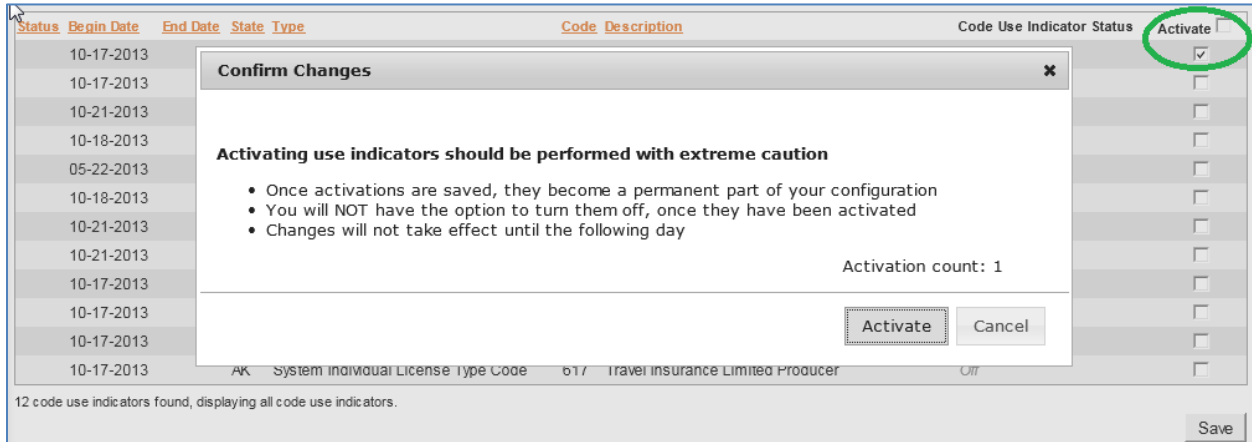
But you must use extreme caution! Activating a code on the **Code Use Indicators** page is an irreversible action. To preserve data integrity in producer records, once activated a code cannot be inactivated. Therefore do not activate a code unless you are absolutely sure doing so meets your company's 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

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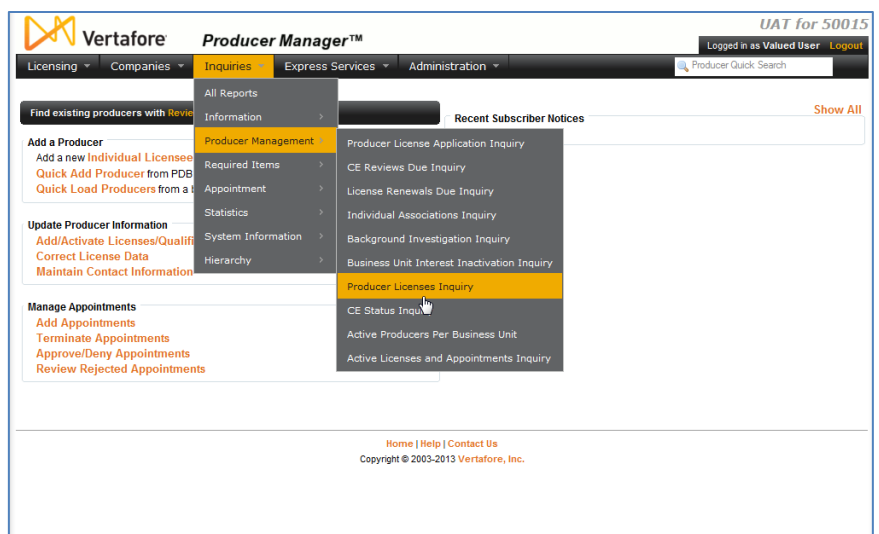
in our system that hold the changed Resident Producer or Non-Resident Producer license types in South Carolina.

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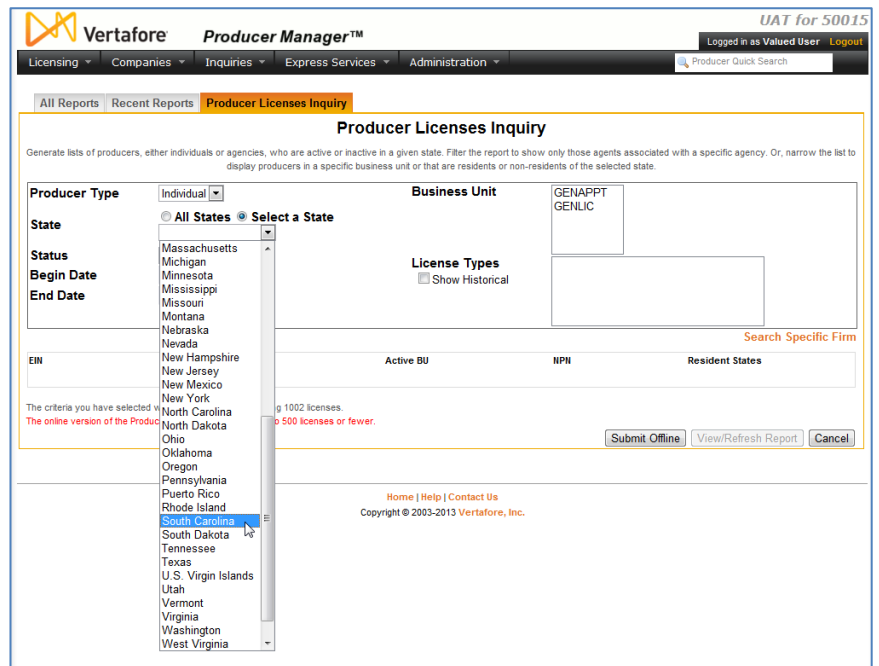
In the **License Types** list box, we want to do two things:

1. 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

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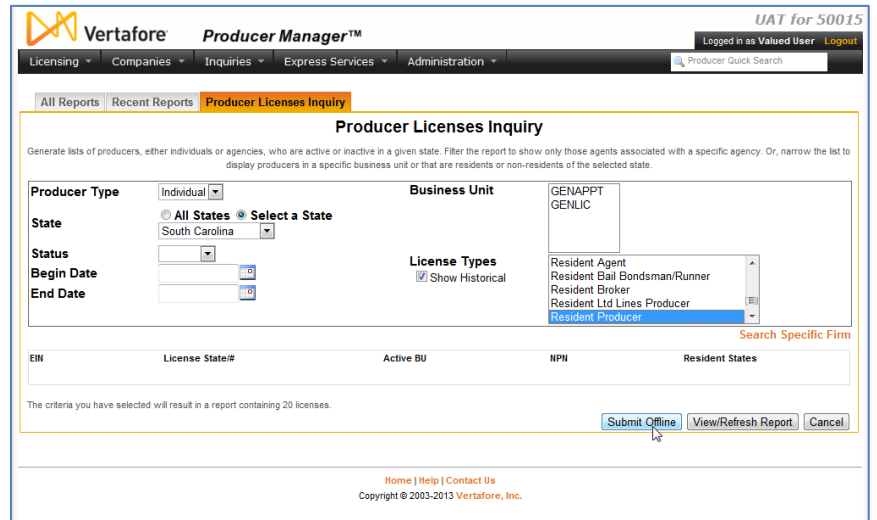
Now we are ready to submit our inquiry to the system. Click the **Submit Offline** button. That will send the inquiry request to generate our results in the background. It will also open the **Recent Reports** page where we can track the status of our inquiry request. (Other requested or generated offline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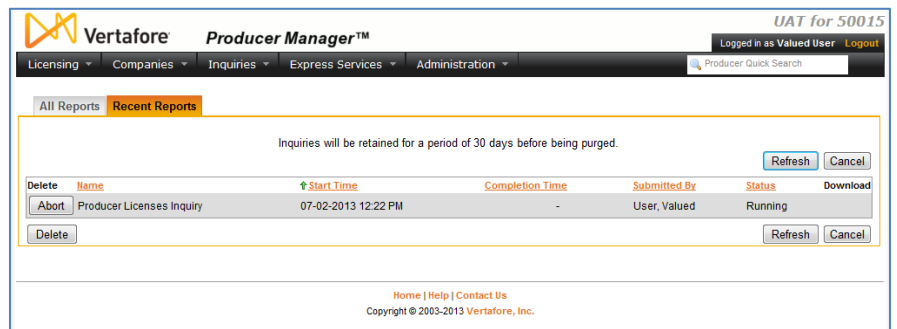
Click the **Refresh** button as often as needed until the **Status** of the inquiry changes from Running to Succeeded.

After the inquiry generates, click its name to open the results.
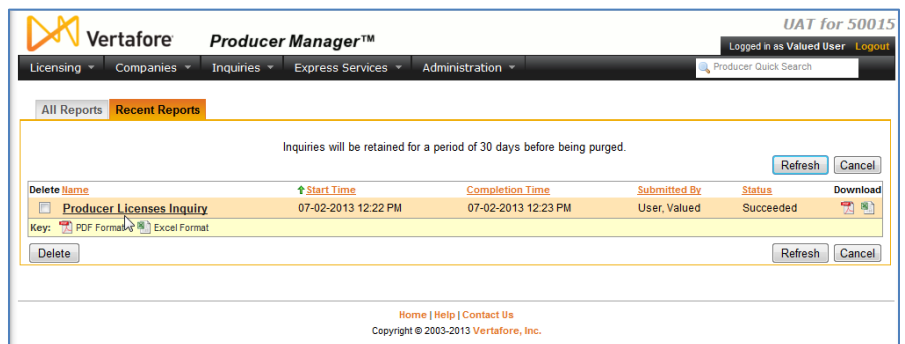
The report will open in a new HTML viewer window. It will contain all the results of our inquiry request: South Carolina individual producers whose records show that they hold the historical license types Resident Producer and Non-Resident Producer.

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
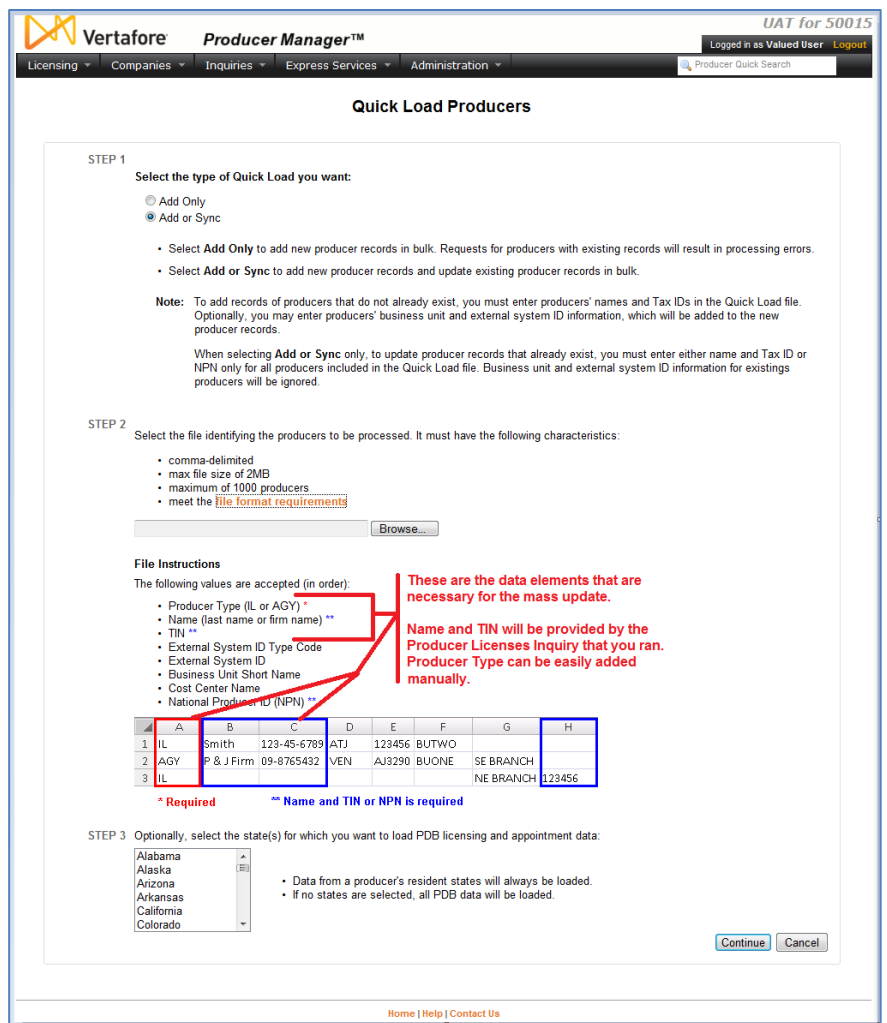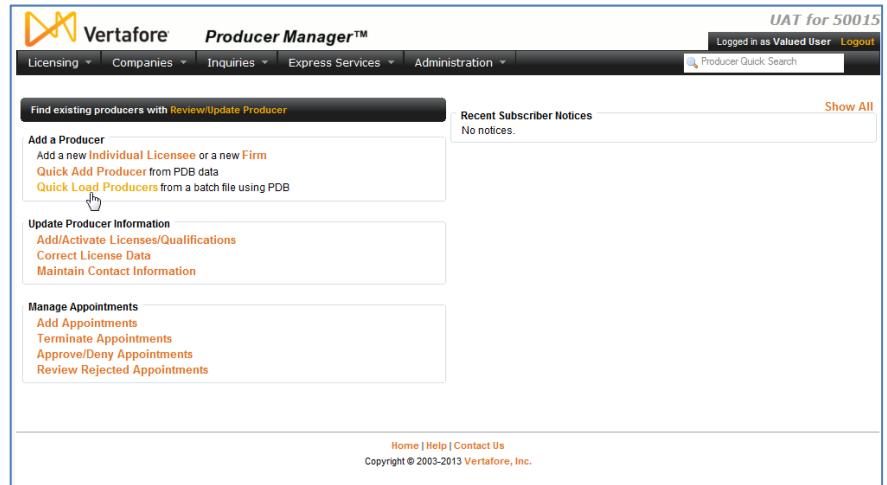
- Last Name

- 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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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.

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.
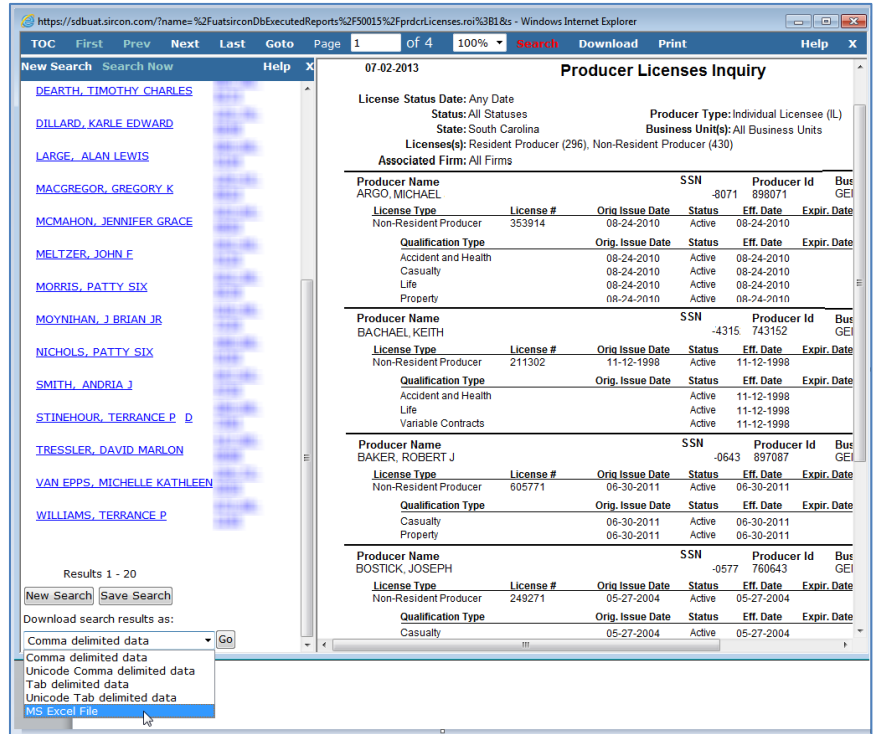
A message prompt will display at the bottom of the page, asking if you want to open or save the results in a spreadsheet. Click **Open**.
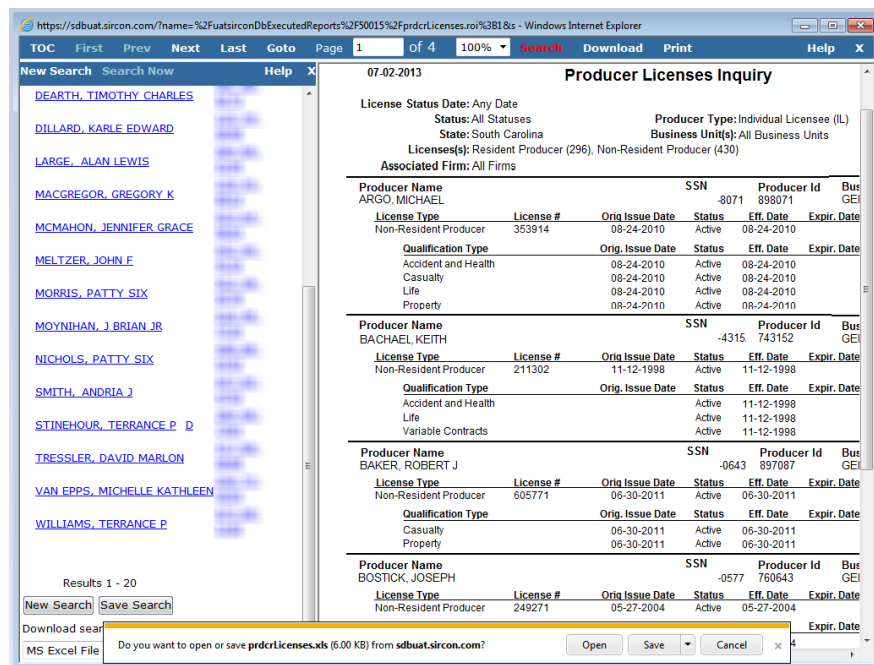
Next, you will see the data elements you selected to pull out of the inquiry results formatted nicely in columns in a spreadsheet open in Microsoft Excel.

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.

Note: If you see the following message, just click the **Enable Editing** button.
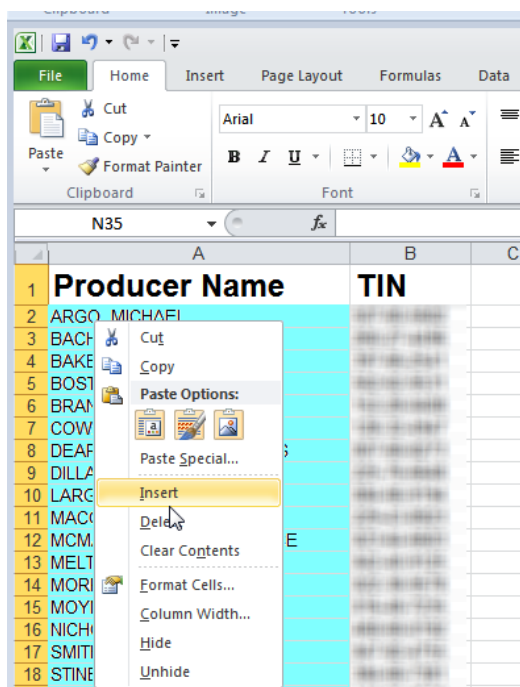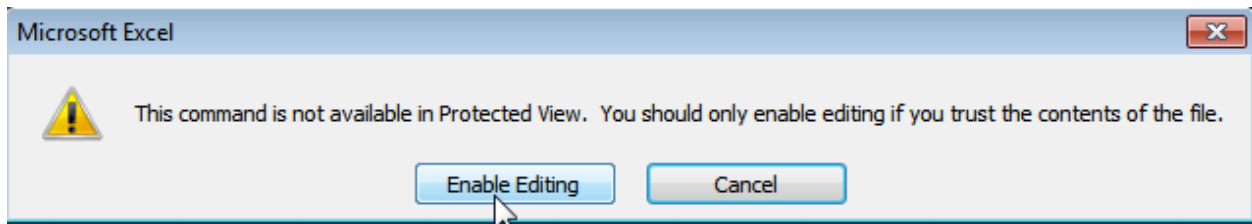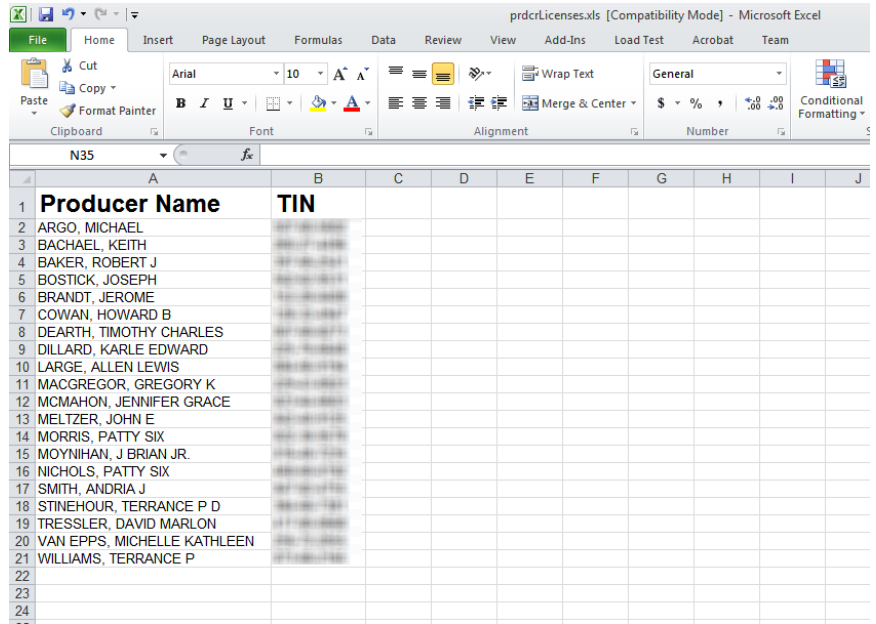
With your cursor on the Producer Name column, right-click your mouse, and select **Insert**. A new, b lank column will be inserted to the left of Producer Name.

In this new column, we will add values for all listed producers to identify them as individual licensees.

You may add a header in the first cell of the new column to identify what it is, such as Entity Type.

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.

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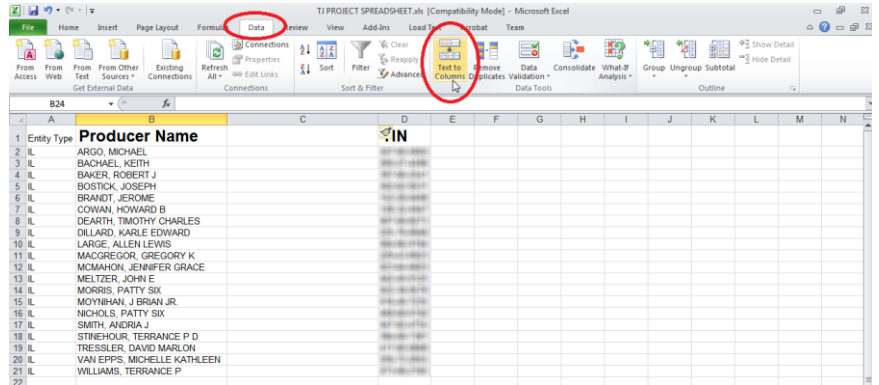
Where it asks you to choose a file type, click to select the **Delimited** radio button.

Click the **Next** button to proceed.
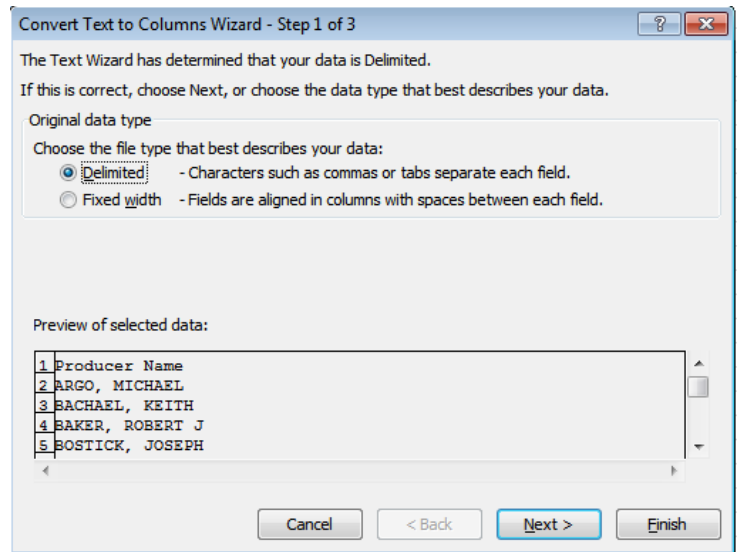
Then, click to checkmark the **Comma** checkbox.

Click the **Next** button to proceed.

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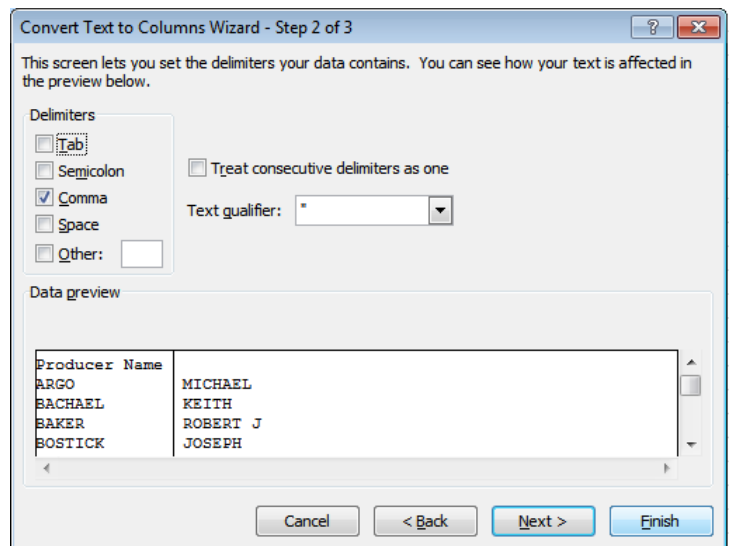
On the last screen of the wizard, you can preview what the converted data will look like. You can see that the tool will eliminate the comma in the Producer Name field and isolate first name and middle initial or name in the new column we created. This will make it easy to remove this extraneous data before will load the mass update file to the system.

Click the **Finish** button.
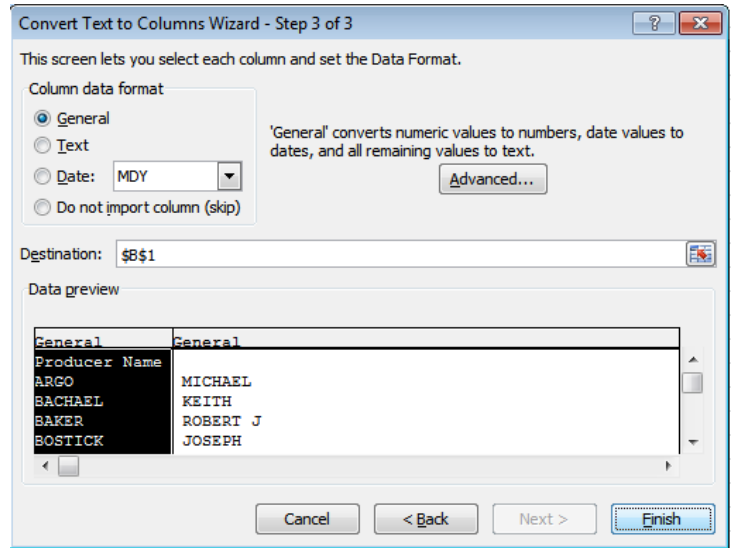
Now, on the spreadsheet, right-click in the new column, and select **Delete**.
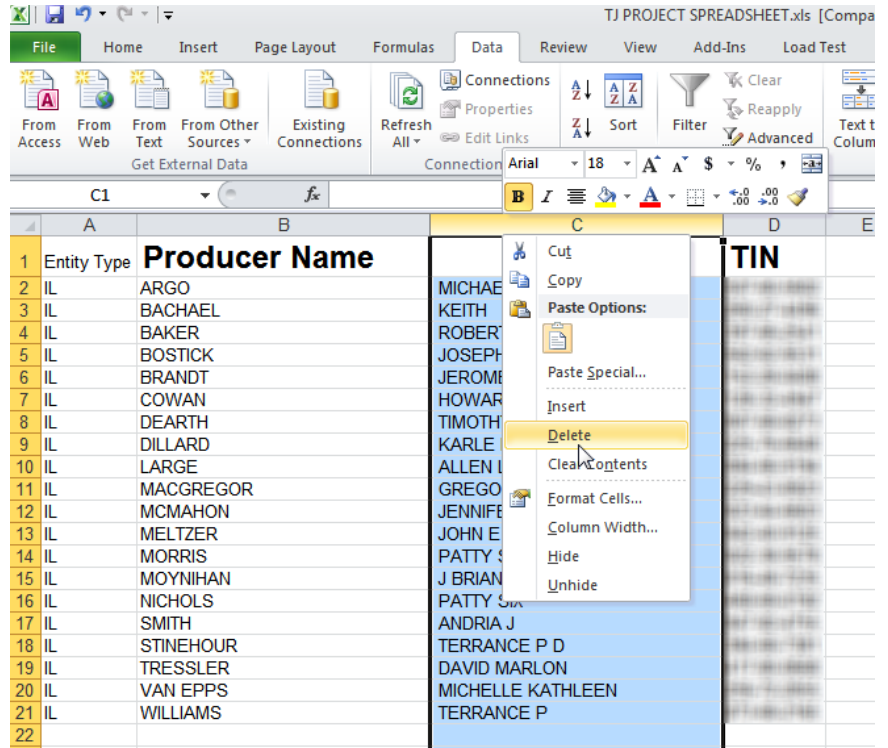
Our data is formatted almost perfectly for the mass upload. All that remains is to delete the header row in the spreadsheet.

Select the first row in the spreadsheet, right-click, and then select **Delete**.
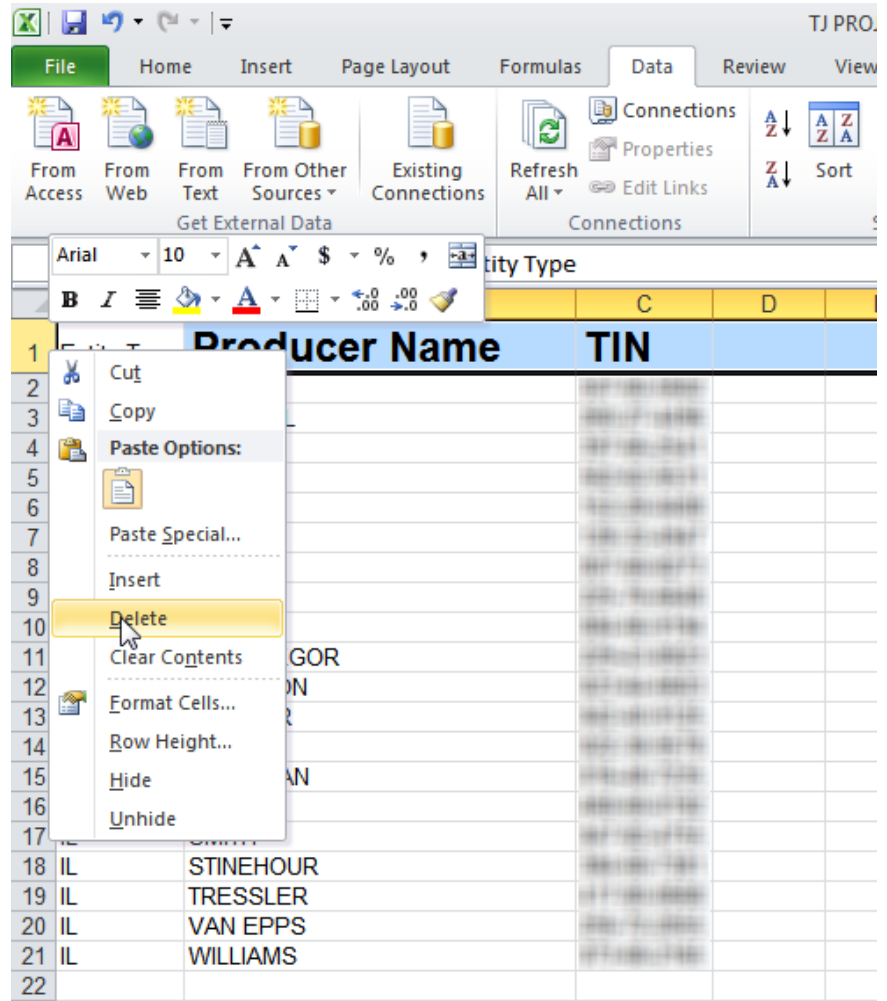
Finally, we are ready to save the spreadsheet into the CSV file format that Producer Manager **Quick Load Producers** requires.

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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.
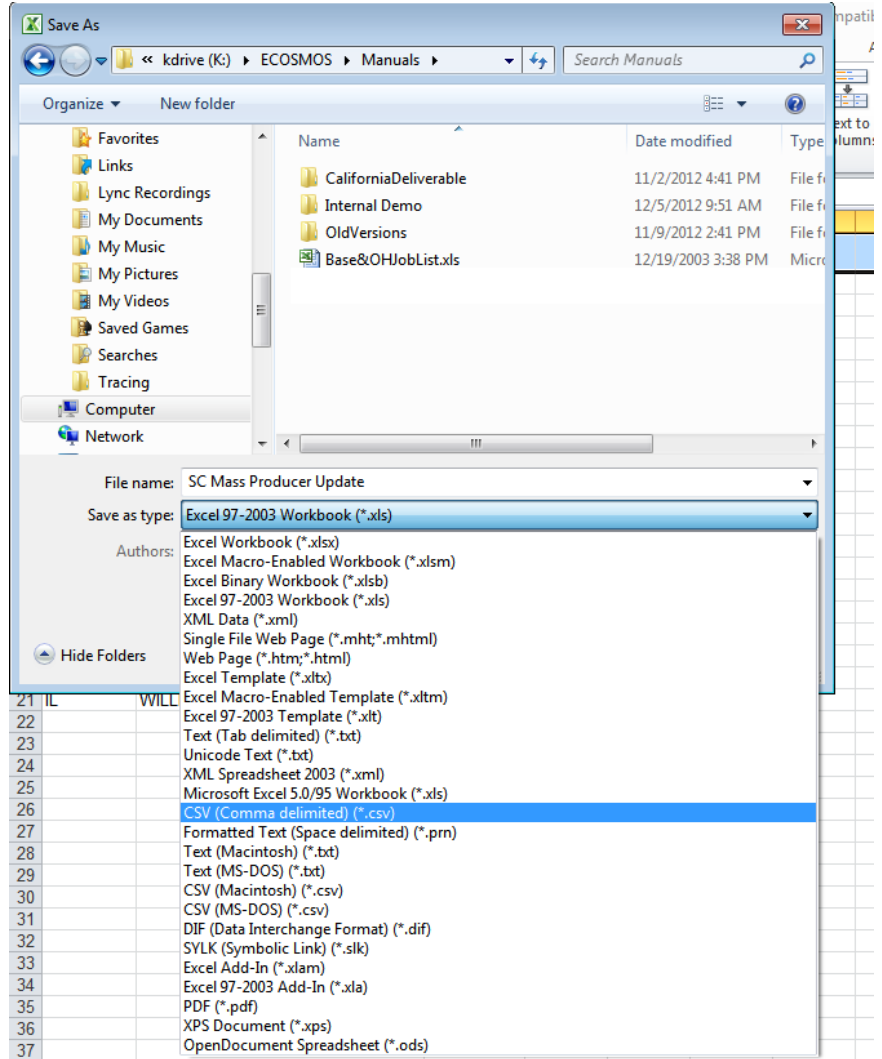
If a message displays asking you to confirm that you do indeed wish to save the file outside of Excel's native format, click Yes.
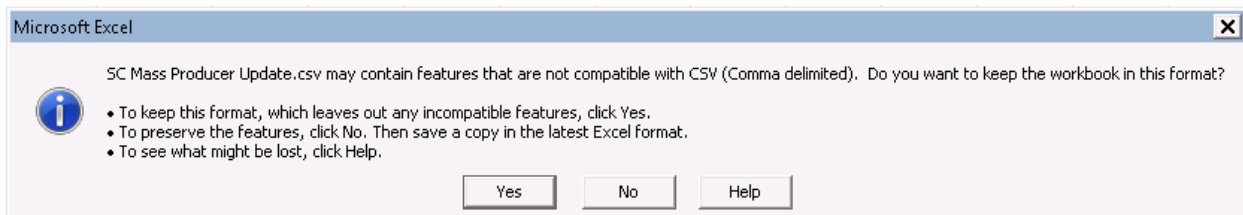
It took a lot of steps, but the mass update file is ready to go, and you are just a few additional steps away from quickly updating all of the affected producer records in your system to reflect the new state license type.

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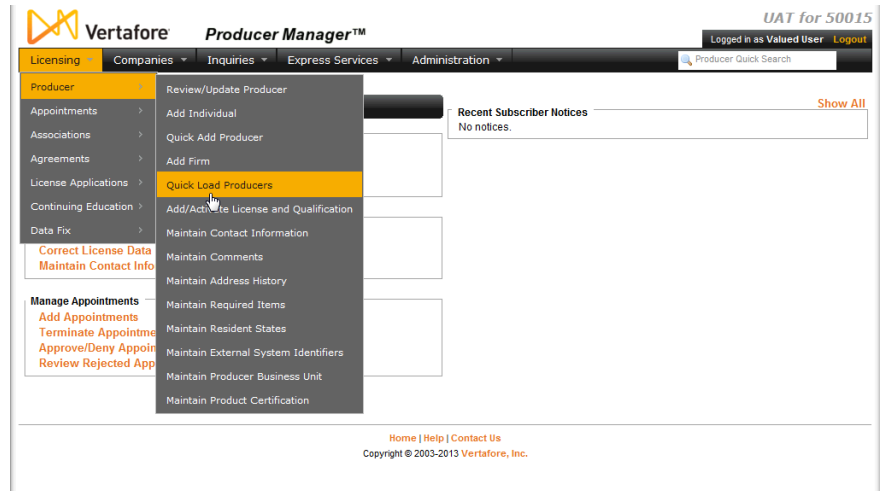
In the **Step 1** section, click the **Add or Sync** radio button.

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.
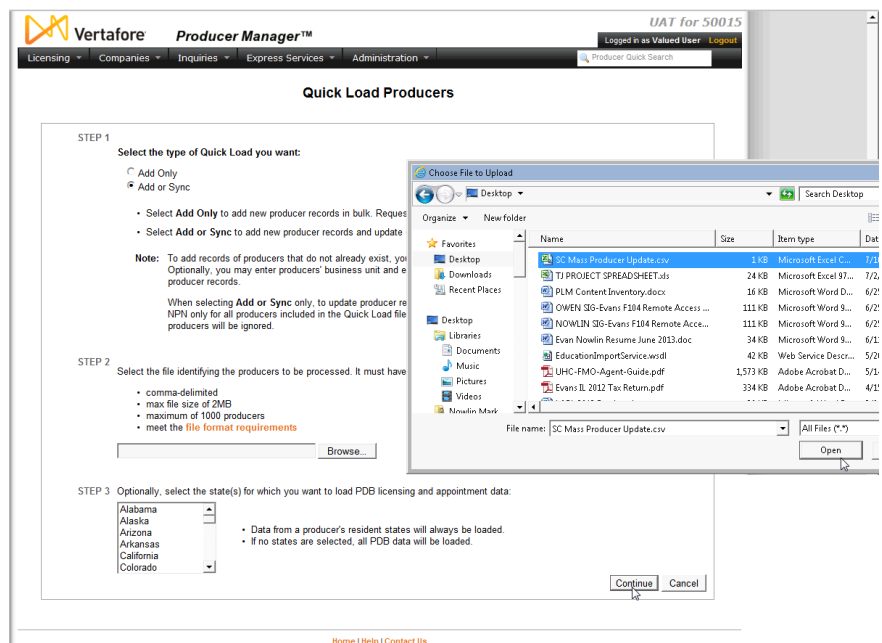
Producer Manager validated your file and is poised to begin the mass update process.

Click the **Upload Producers** button.
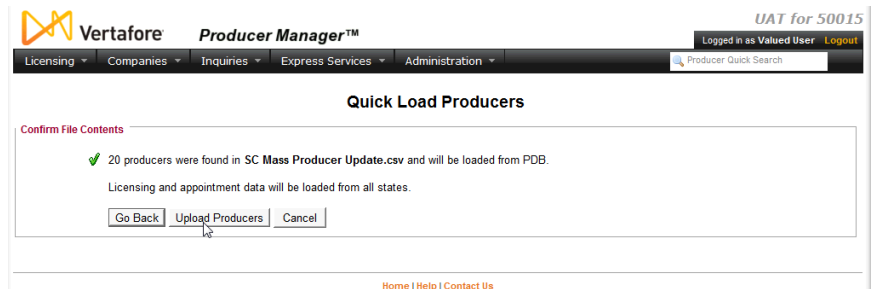
The **Quick Load Producers** page will redraw once more to confirm the start of processing.
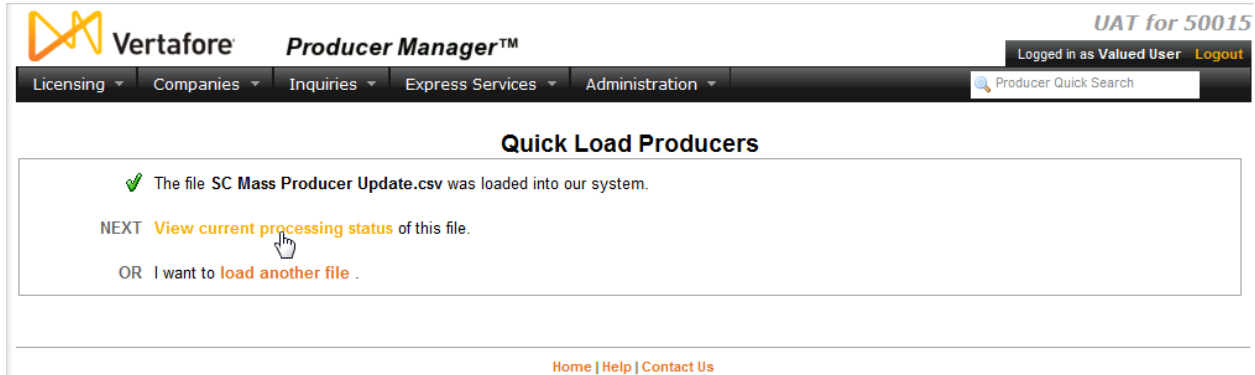
You can view the processing of the file in progress. Click the **View current processing status** link. The **Processing Results** page will open.

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.

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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.

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.

Let's look at the record of one update that completed successfully, without any processing messages.
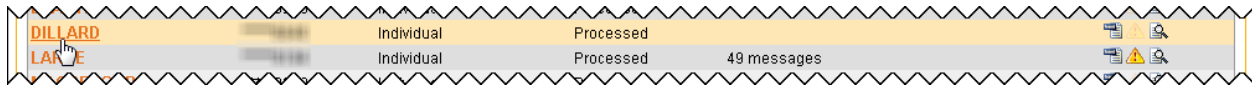
Click the value of the **Name** field to open the producer's record.

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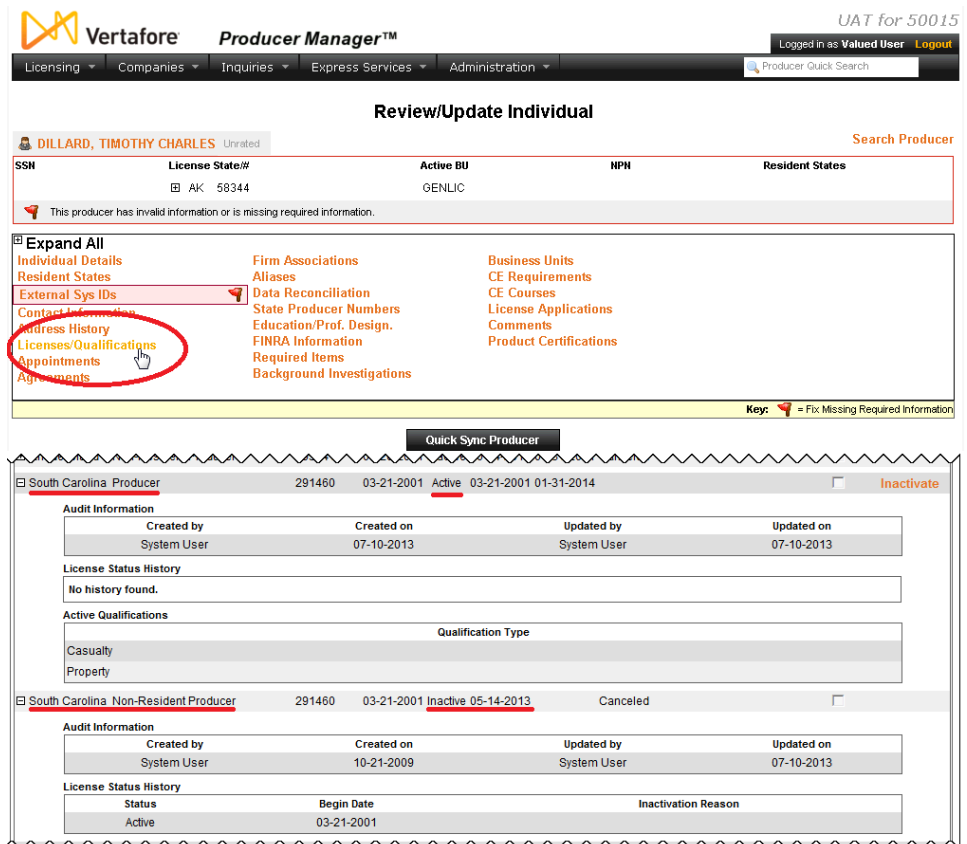
Unless the system encountered irreconcilable errors, the other producer records in your mass update file should be similarly updated.

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

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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.