Sircon Producer Lifecycle Management™ (Producer Manager™/Producer Express™)

Version: 5.10

Production Release Date: October 1, 2011

Overview

Sircon Producer Lifecycle Management™ (PLM) version 5.10 will be released to the production environment on October 1, 2011.

The following are highlights of the changes in this UAT release:

- Enhanced support for education credentials, as follows:

    - New "Sircon Example" long-term care education credential programs for Pennsylvania and California

    - Education credentials now can include third-party certifications from ClearCert

    - New education credential program templates are available for annuity suitability

- The new Advanced Producer Search page allows you to find the records of key producers more easily

- The new CE Deficiency Inquiry lets you find producers who are nearing the end of their resident license review period that have not yet fulfilled their CE requirements

Training

On Thursday, September 29, 2011, Vertafore presented a training webinar on many of the features of this release. Click the following hyperlink to view a recording of the training webinar: https://vertafore.webex.com/vertafore/ldr.php?AT=pb&SP=MC&rID=44189207&rKey=beadeeb0bede6850.

If you want training on any component of Sircon Producer Lifecycle Management™, please ask your Vertafore representative about our training services.

Enhancements

The following are detailed descriptions of the specific enhancements in this production release:

Appointments & Terminations

- **"Internal Use Only" Appointment Type**: Some states do not require an appointment for an individual or a firm producer holding a certain type of license. Therefore, it was not necessary or possible to submit or record appointments under those licenses in Producer Manager or Producer Express. However, some customer systems integrated with Producer Manager or Producer Express require the existence of an appointment on the producer's record in order to authorize the producer to sell a related product type.

  To assist these customers, a special "Internal Use Only" appointment type is now available. This appointment type will always be considered record-only. The new "Internal Use Only" appointment type can be added to a producer's record manually using Producer Manager, via AutoPilot using Producer Express, and through the use of Bulk Record-Only Appointments. As with any other appointment type, if the related license expires or is canceled, the "Internal Use Only" appointment will terminate automatically.

  Note: Please consult your Vertafore representative for more information about the "Internal Use Only" appointment type as it pertains to your company's configuration of Producer Express and/or Producer Manager. [MKT-8381, MKT-8879]

Correspondence & Notifications

- **Firm Notifications**: Producer Manager already supports sending an automated notification email to an individual producer (and/or selected licensing staff members) when the producer's license is due to expire or already has expired. Now you can configure the same notification email types for a firm license.

  If you have administrator permissions in Producer Manager, you can use the same configuration options on the Notifications Configuration page to set up firm notifications as you use for individual producer notifications. However, firm notifications may be sent only to internal staff members , so that licensing staff can keep these firm licenses up to date or be alerted to the need for corrective action.

  Note: Unlike individual producer notifications, firm notification emails are not viewable in the Emails data section of a firm record in the Review/Update Producer page. [MKT-6434]

Education & Training

- **New "Sircon Example" Long-Term Care Education Credential Programs**: To be eligible to sell long-term care (LTC) products, certain states require producers to take LTC education coursework. Producer Manager now offers "Sircon Example" LTC education credential programs that allow you to track these training requirements for your producers in certain states.

- The "Sircon Example" LTC education credential is available in Pennsylvania and California.

  - **Pennsylvania:** An individual producer will obtain a "Sircon Example" Pennsylvania LTC education credential if he or she:
    - Holds an active resident or non-resident Pennsylvania producer license with the Accident & Health qualification
    - Has earned eight credit hours of coursework in the long-term care course category

To maintain the education credential, a producer must take four hours of ongoing long-term care training during each license renewal period. [MKT-8585]

- **California:** An individual producer will obtain a "Sircon Example" California LTC education credential if he or she:
    - Holds an active resident or non-resident California producer license with the Accident and Health qualification
    - Has earned eight credit hours of coursework in the long-term care course category

To maintain the education credential, a resident producer must take eight hours of ongoing long-term care training every year for the first four years and eight hours in each successive license renewal period. A non-resident producer must take eight hours of ongoing long-term care training each license renewal period. [MKT-8019]

- **Third-Party Certified Long-Term Care Credential Programs**: "Sircon Example" long-term care (LTC) education credential programs in Producer Manager now can include third-party certifications from ClearCert, a clearinghouse of insurance producer LTC education credentials.

  To meet a state's long-term care training requirements, a producer can complete LTC coursework and earn a certificate from ClearCert. Producer Manager then will retrieve the certificate from ClearCert as part of an automated data reconciliation and save it to the producer's record. The certification translates to fulfillment of a credential program and earns the producer an education credential.

  The initial and ongoing training and license requirements of third-party certified "Sircon Example" credential programs vary by state. They are configured in Producer Manager based on calculations by ClearCert. As there currently is no national model for LTC suitability, Producer Manager does not accommodate LTC reciprocity among states.

  Note: ClearCert certifications are available to only customers who are ClearCert subscribers.[MKT-8558, MKT-8446]

- **New Annuity Education Credential Program Templates**: To be eligible to sell annuity products, certain states require producers to take special annuity education coursework. Producer Manager offers annuity education credential program templates to make it easy for customers to create education credential programs to track compliance with state-specific annuity education requirements.

- A credential program template is similar to a "Sircon Example" credential program, but a template allows you to customize a credential program to include additional courses or course categories (such as product-specific training) to template-defined coursework.

- New annuity education credential templates now are available for Indiana, New York, Maryland, and West Virginia.

    - **Indiana**: An individual producer will obtain an Indiana annuity education credential if he or she:
        - Holds an active resident or non-resident Indiana license with a Variable Life & Annuity or Life qualification

- Has taken four hours of product-specific training coursework within the "Annuity Training - Initial" course category with a regulatory body of any state that has adopted the NAIC Model Act for Annuity Suitability

A producer's compliance in another Model Act state is reciprocal in Indiana.

Note: The Indiana annuities training requirement begins January 1, 2012, with a six-month grace period ending July 1, 2012. [MKT-8449]

- **New York**: An individual producer will obtain a New York annuity education credential if he or she:
  - Holds an active resident or non-resident New York license with a Variable Life/Variable Annuities, Broker Life, Broker Variable Life/Variable Annuities , or Life qualification
  - Has taken four hours of product-specific training coursework within the "Annuity Training - Initial" course category with a regulatory body of New York

Currently New York has not adopted the NAIC Model Act for Annuity Suitability, and so a producer's compliance in another Model Act state is not reciprocal in New York. [MKT-8009]

- **Maryland**: An individual producer will obtain a Maryland annuity education credential if he or she:
  - Holds an active resident or non-resident Maryland license with a Variable Life and Variable Annuity Products or Life qualification
  - Has taken four hours of product-specific training coursework within the "Annuity Training - Initial" course category with a regulatory body of any state that has adopted the NAIC Model Act for Annuity Suitability

A producer's compliance in another Model Act state is reciprocal in Maryland.

Note: The Maryland annuities training requirement begins November 1, 2011, with a six-month grace period ending May 1, 2012. [MKT-8544]

- **West Virginia**: An individual producer will obtain a West Virginia annuity education credential if he or she:
  - Holds an active resident or non-resident West Virginia license with a Variable Life and Variable Annuity or Life qualification
  - Has taken four hours of product-specific training coursework within the "Annuity Training - Initial" course category with a regulatory body of any state that has adopted the NAIC Model Act for Annuity Suitability

A producer's compliance in another Model Act state is reciprocal in West Virginia.

Note: The West Virginia annuities training requirement began July 1, 2011, with a six-month grace period ending December 31, 2011. [MKT-8580]

In New York, Maryland, West Virginia, or Indiana, an individual producer is required to complete required annuities training coursework only once. Once earned, annuity education credentials will remain active as long as the producer's associated license remains active.

- **Grace Period for Education Credentials**: States that are implementing the NAIC Annuity Model Act for Annuity Suitability can include a six-month grace period for existing producers to comply with the new law. "Sircon Example" education credentials in Producer Manager now will detect automatically if a producer is in the six-month grace period. During the grace period, the status of a producer's education credential in that state will be Active. [MKT-8448]

Producer Data Management

- **Advanced Producer Search**: In version 5.9, Vertafore added additional fields (a.k.a., "producer badge") to producers listed on the Data Reconciliation Requests, Producers With Missing Information, and Administer Producer Business Rules/View Producers With Custom Values pages in Producer Manager. But the added fields -- Social Security Number/Federal Employer Identification Number, external system ID, and business unit -- were "display only."

  Now, each value in these new fields is a link to the new Advanced Producer Search page, which contains a list of producers that is sortable and filterable by basic producer information and allows you to find important producers more easily.

  For example, you can click the name of a business unit displaying in the "producer badge." The Advanced Producer Search page will open, listing all producers who are associated with the selected business unit. For each producer listed, the page displays the following information:

  – Current status of the producer's record (Pending, Active, Inactive)

  – The date and processing status of the producer's most recent automated data reconciliation, including a link to the Data Reconciliation Results page

  – The date and processing status of the most recent Producer Express request involving the producer, including a link to the Request Details page in Producer Express.

  – An indicator of whether the producer's record is missing required information

  You can choose to sort the producer list by producer name, SSN/EIN, or external system ID. Also, you can initiate a new search by selecting the following search criteria:

  – Producer Type

  – Producer Name

  – SSN/EIN

  – External System ID

  – Default Business Unit

  Note: The Advanced Producer Search page must be enabled by permission per security role. Also, a user whose user account is assigned to a security role for which the Mask Social Security Number permission is enabled cannot sort or filter by SSN. [MKT-8772, MKT-8774]

- **Third Party Certifications**: A new data section, Third Party Certifications, has been added to individual producer records in the Review/Update Producer page in Producer Manager, where you can review a producer's third-party education or training certification

information. You can review any changes made to a certification by an automated data reconciliation or when an active certification is due to expire.

Notes: The Third Party Certifications data section must be enabled by permission per security role. Certifications from ClearCert currently are the only third-party certifications supported. ClearCert certifications are only available to users who are ClearCert subscribers. [MKT-8549]

• **Maintain Address History**: The Maintain Address History page in Producer Manager has been restyled for improved usability and appearance. [MKT-8556, MKT-8627]

Also, now you can update address information from the Maintain Address History page from a menu command. From the Licensing menu, select Producer and then select Maintain Address History. [MKT-8630]

• **Transfer Associated Individuals**: The warning message that displays upon saving changes on the Transfer Associated Individuals page in Producer Manager has been updated for consistency and clarity. [MKT-8623]

Product Authorization

• **Improved Carrier Request Tracking**: On the Carrier Requests page in Producer Manager, now you can set the value of the Follow-Up Date field to a future date. This allows you to generate a Carrier Requests inquiry to compile a list of requests that are due for follow up in the next week , the next month, or during a specified future date range.

Note: The Carrier Requests page is available only in agency installations of Producer Manager [MKT-7965]

Reports & Inquiries

• **CE Deficiency Inquiry**: Now you can run the new CE Deficiency Inquiry to quickly assemble a list of producers who are nearing the end of their resident license review period in certain state but who have not yet fulfilled their CE requirements.

To run the report, select a date range during which producers' licenses are due to expire -- 30, 60, 90, or 120 days from today. Then, filter the report, if desired, by one or multiple business units and/or states.

The report output is displayable directly on the CE Deficiency Inquiry page, or you may download the report as a CSV-formatted file, openable in a spreadsheet application. Output data includes basic producer data, resident license data, and contact information (including email address, if stored on the producer record), CE requirement, current CE status and required, applied, and remaining hours.

Note: The CE Deficiency Inquiry must be enabled by permission per security role. [MKT-8429, MCX-3579, MKT-8708]

Miscellaneous

• **Updated Browser and PDF Support:** Producer Manager and Producer Express now officially support Microsoft Internet Explorer 9, Mozilla Firefox 4, and Adobe Reader 10. [MKT-8631]

Bug Fixes

The following is a log of bugs that have been fixed in UAT since the last Producer Lifecycle Management™ production release notes:

- Billing data from the preceding month was delayed in populating the Costs data section in producer records in Producer Manager. [MCX-3477]

- A number of Help links in Producer Manager were broken, producing an Error 404 page. [MKT-8688, MKT-8795]

- Attempting to reassign request packets from one user to another was producing an error in Producer Pathway. [MKT-8706]

- In Producer Manager, sorting the Credential Programs page by the Sircon Example or Historical columns was causing paging to malfunction. [MKT-8690]

- A DTCC LNA PR (Periodic Reconciliation) transaction was incorrectly including producers with inactive licenses. [MKT-8656]

- DTCC LNA TU (Training Update) transactions were not processing correctly when the sender was a provider. [MKT-8677]

- The error-resolution workflow for a DTCC LNA TU (Training Update) was erroneously including an option to send a rejection. Rejections are not possible for TU transactions since the issuer is a provider, not a broker/dealer. The error-resolution workflow now will allow the user to stop the request only. [MKT-8682, MKT-8683]

- Producer Express was not routing to the error queue a DTCC LNA AI (Initial Appointment) or AA (Additional Appointment) request for a producer that lacks the necessary education credential in Producer Manager to support the appointment in the requested state. Now a licensing specialist then can open the request and stop it, if necessary. Other appointment transactions in the same request for which the producer holds the necessary credentials still will be submitted. [MKT-8469]

- The Outbound Data Feed was not transmitting all of the XML files generated in a run to a customer's secure FTP site if the feed generated more than 51 files. [MKT-8608]

- Electronic signatures on request packet forms in Producer Express were not working in Mozilla Firefox 4 with Adobe Reader 9. [MKT-8600]

- The Production Activity Report was not generating when using Producer Express in Microsoft Internet Explorer 9 and Adobe Reader 9 and X.[MKT-8599]

- The Calendar popup buttons in date fields on the Review/Update Producer page in Producer Manager were not displaying in Mozilla Firefox 4 or Internet Explorer 9. [MKT-8598]

- Formatting has been updated on the Disable Auto Pilot error page in Producer Express to center the error text on the page. [MKT-8574]

- A batch load file with a file name of 40 or more characters was not word-wrapping in the Filename column on the Producer Data Sources page in Producer Manager and obscuring the value of the Source column. [MKT-8424]

- In certain cases, appointments in Producer Manager and Producer Express were being submitted using an incorrect license to support the appointment. [MKT-4867, MKT-7707]

- When adding Agreements in Producer Manager, if the Highest Upline Producer had a very long name with no spaces, the table displaying the information was not word-wrapping correctly. [MKT-7510]

- The page title on the Add/Activate Licenses/Qualifications page in Producer Manager was sometimes obscured by the Recently Viewed Producers dropdown menu for states or territories with long names. [MKT-8784]

- Links to update unrelated information have been removed from the Submit Background Investigation page to avoid confusion. [MKT-7983]

- The Switch Module option has been removed from the Administration menu and the Maintain Security Role page. [MKT-5826]