



# Release Notes

## Sircon for Carriers™/Sircon for Agencies and Brokerages™

**Version: 5.8**

**Production Release Date: June 4-5, 2011**

### Overview

Sircon for Carriers™ and Sircon for Agencies and Brokerages™ version 5.8 will be released to the production environment on Saturday, June 4 and Sunday, June 5, 2011. It will be available for use on Monday, June 6, 2011.

**Note:** Detailed instructions for using new Sircon for Carriers and Sircon for Agencies and Brokerages features and downloadable versions of product release notes are available in the online help .

The highlight of this release are new, automated methods of obtaining producers' CE or product-specific training course completion information from any regulatory jurisdiction.

### Training

On May 25, 2011, Vertafore presented a training webinar on many of the features of this release. Click the following link to view a recording of this webinar:

<https://sircon.webex.com/sircon/ldr.php?AT=pb&SP=MC&rID=59229232&rKey=0197f27952f403ba>

If you or your staff want custom training on Sircon for Carriers, Sircon for Agencies/Brokerages, or any Vertafore application, please ask your Vertafore sales representative about our training services.

### Enhancements

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

#### *Appointments & Terminations*

- **Auto-Appoint Based on Business Unit:** The Sircon for Carriers Auto-Appoint feature can appoint a producer automatically if an automated data reconciliation finds a new state license and/or line of authority for a producer. Now the feature has been enhanced to allow carriers to determine which producers will be auto-appointed based on business unit .

When a Scheduled Sync or other automated data reconciliation finds a producer belonging to one of the business units to be eligible for an additional state appointment, the system automatically will submit an appointment request. The system will bypass the auto-appoint

functionality for a producer who is otherwise eligible but not assigned to one of the configured business units. [MKT-7966]

- **Appointment Simulator:** Now in the Sircon for Carriers UAT environment, the system can be Vertafore-configured to simulate a state response to an appointment or termination request. During an implementation or testing cycle, simulated state responses can reduce the effort involved with user acceptance testing, training, and testing end-to-end processing among systems integrated with Sircon for Carriers. [MKT-4935, MKT-8301]

### **Automated Data Reconciliation**

- **Scheduled Sync Merge Profile:** Now, when adding or updating a Scheduled Sync in Sircon Producer Manager™, you can select a specific merge profile to apply to every automated data reconciliation performed by the Scheduled Sync. Formerly Scheduled Sync used only a default merge profile(s). (*Administration menu>Data Reconciliation>Scheduled Syncs*)

For example, when setting up a Scheduled Sync, now you can select a merge profile that syncs only course completion information. (See Education & Training, below.) [MKT-8326]

### **Business System Integration**

- **Elements Added to Outbound Data Feed:** New education fields have been added to Sircon Producer Manager as part of this release (See Education & Training below for more details). To allow carriers to obtain all course completion information from Sircon Producer Manager for use in downstream systems, the following elements have been added to the Outbound Data Feed: Subcategory, RegulatoryBody, DocumentReference, ProviderCourseID, and ProviderSubscriberID.

Note: For a more comprehensive description of this update, see the Sircon Producer Manager Technical Release Notes for Version 5.8, issued separately. [MKT-7980]

- **New Education Credential Code:** A new code, NR, now is system-required in the Continuing Education Requirement Status (CE\_RQMT\_STS\_CD) code domain. The NR code description is “No Longer Required” and will differentiate a producer who does not need to hold an education credential from one who is eligible for the credential but has not yet attained it. The new code is visible on the Maintain Codes page in Sircon Producer Manager. (*Administration menu>Configure System>Maintain Codes*) [MKT-8186]

### **DTCC Integration**

- **DTCC LNA PR:** When a broker/dealer submits a DTCC LNA PR (Periodic Reconciliation) request to a carrier partner via Sircon Producer Express™, the response now can include a producer who is carrier-authorized in a “just-in-time” (JIT) appointment state but not yet appointed there. [MKT-7865]

### **Education & Training**

- **Producer Education Tracking and Product Authorization:** Already, Sircon Producer Manager customers can track and verify producers’ fulfillment of annuity suitability education requirements automatically -- but only in a limited number of states. With this release, customers now can automatically obtain a producer’s annuity suitability or product-specific training course completion information from any regulatory jurisdiction, directly from a new, national repository of course completion information. The repository is populated with data from the Vertafore Authorized Provider Network, an exclusive network of leading education providers.

Customers preferring an offline method to obtain producer education information can submit a web service request to the repository and retrieve state CE or product-specific training course completion information for any producer of interest.

Equipped with this valuable new source of compliance data, carriers can track -- completely hands-free -- their agents' progress on annuity suitability education. Also, carriers can get a snapshot of whether a producer is properly authorized to sell annuities products in any jurisdiction. Contact your Vertafore representative about this new, subscription service. [MKT-8180]

The following, specific enhancements make this possible:

- **Update Sircon Producer Manager with Any State's CE or Product-Specific Training Course Completions:** Now you can update a producer record automatically with annuity suitability or product-specific training course completion information relating to any regulatory jurisdiction by performing an automated data reconciliation, such as Quick Sync Producer or Scheduled Sync.

Afterward, the Course Completions data section of the producer record will contain retrieved course completion information, and the producer's Education Credentials data section also will be updated with any new credential information. *(Search for a producer record>Education Credentials and Course Completions data sections)*

Note: To automatically update producer records with course completion information, the Course Completions Merge Data merge strategy must be enabled for the data reconciliation profile used with the automated data reconciliation. [MKT-8210, MKT-8211]

Note: If an automated data reconciliation is performed on a producer record using a merge profile that syncs course completions data only, no PDB report will be retrieved nor PDB transaction fee incurred. (There is no per-transaction charge for an automated data reconciliation that syncs only course completions.) Also, the Last Sync Date field on the record will not be updated. [MKT-8325]

- **Education Report:** After an automated data reconciliation operation that retrieves a producer's course completion information, a new Education Report is attached to the Data Reconciliation section of the producer's record in Sircon Producer Manager. Similar to a PDB Report that also may be attached to a producer record, the Education Report displays state CE and product-specific training course information, including information not merged to the record. *(Search for a producer record>Data Reconciliation data section)*

The Education Report also is available on the Data Reconciliation Details page related to the automated data reconciliation operation that obtained it. *(Licensing menu>Data Reconciliation Requests>click the View Data Reconciliation Details button)*

Note: The Education Report will contain all course completion information obtained from any source. The Sircon States report that formerly contained course completion information will no longer be generated, although existing Sircon States reports generated prior to this change will remain in the system. [MKT-8226]

- **Provider Subscriber ID and Provider Course ID Fields:** To support the retrieval of product-specific training course completion information from the network of education providers (including carrier-providers) and the calculation of education credentials, new fields have been added to Sircon Producer Manager.

Use the Provider Subscriber ID field to identify a course with its carrier-provider when setting up a product-specific training course on the Course List page. Use the Provider Course ID field on the same page to track the course's unique identifier. The values of both fields can be viewed when reviewing education courses, course completions, or credential program requirements in Sircon Producer Manager. Contact your Vertafore representative for help in determining the provider subscriber ID for your education provider. *(Search for a producer record>Course Completions data section>click the Add/Delete Course Completions link>click the Add Course Completion link)* [MKT-8297]

- **Credential Program Templates:** In Sircon Producer Manager, a producer earns an education credential to sell a certain product type in a state by maintaining state licensure and fulfilling a carrier-approved credential program. A credential program consists of state general annuity and product-specific training courses that a producer is compelled to complete.

Now you can build a custom credential program from a template. A program template consists of coursework that satisfies the general suitability requirements of states that have adopted the NAIC Model Act for Annuity Suitability. You can customize a credential program by adding one or multiple other course or course categories to the coursework defined by the template. *(Administration menu>Education Credentialing>Credential Programs>click the Add a Credential Program link)* [MKT-8141, MKT-8365]

- **Reciprocal State Annuities Education Credential:** Now Sircon Producer Manager automatically can apply an active education credential to the record of an individual producer in one state following the individual's completion of a qualifying annuities training course in a "reciprocal state." Reciprocal states are considered to be those that have adopted producers' general suitability requirements under the NAIC Model Act for Annuity Suitability.

For example, a producer with an active, non-resident license and 4-hour annuities education requirement in Wisconsin may complete a 4-hour training course in her resident state of Oregon and thereby earn a Wisconsin education credential in Sircon Producer Manager. A Vertafore-configured interface business rule (states.naic.model.annuity) controls the state reciprocity logic. *(Search for a producer record>Education Credentials data sections)* [MKT-8298]

- **Education Data Access Web Service:** Customers who are not Producer Manager subscribers but who wish to retrieve producer CE or product-specific training data now can call the new Education Data Access Web Service. The web service response contains producers' continuing education (CE) or product-specific training course completion information from any regulatory jurisdiction, which can be used to feed internal systems.

Note: Complete integration documentation on the Education Data Access Web Service is available from Vertafore. [MCX-3078, MCX-3109]

- **Annuities Course Code Mapping:** Often, education providers will submit annuities course completion information without an associated course category. To help customers determine if a course applies toward annuities suitability education requirements, any course completion retrieved from the new education repository with the words "annuity" or "annuities" in the course name automatically will be assigned a course category code of "ANNSIRC." [MCX-3256]

## Reports & Inquiries

- **Credential Status Inquiry:** Formerly, using the Credential Expiration Inquiry page, you could pull a report of producers whose education credentials were due to expire during a selected period of

time. Now, on the newly renamed Credential Status Inquiry page, you also can generate a report of producers with inactive credentials or who are eligible for a credential but do not yet have it. (*Inquiries menu>Producer Management>Credential Status Inquiry*) [MKT-8186]

## Miscellaneous

- **MySQL to Oracle Conversion:** To improve performance, the Sircon Producer Express database platform has been converted from MySQL to Oracle. [MKT-7999]
- **Maintain Locations and Departments:** The former Locations and Departments page in Sircon Producer Manager has been renamed Maintain Locations And Departments. References to the page throughout the application have been updated accordingly. (*Administration menu>Maintain Locations and Departments*) [MKT-7924]
- **Express Services Home link:** Now when you click the Home link in the footer of any page in Express Services, the system will navigate to the Sircon Producer Manager home page. Formerly it navigated to the Sircon/Vertafore corporate website home page. (*Express Services menu*) [MCX-2741]

## Bug Fixes

The following is a log of bugs that have been fixed in production since the last Sircon for Carriers/Sircon for Agencies and Brokerages release notes:

- A blank page was appearing after a Sircon Producer Manager Express Services user selected to submit a non-resident license application for a producer when the system could not find the producer's resident license number. [MCX-2709]
- Automated data reconciliation requests in Sircon Producer Manager with processing messages to review were not being filtered by the All Requests Needing Review browse on the Data Reconciliation Requests page. [MKT-8076]
- An attempt to save a firm record in Sircon Producer Manager with the Name field empty resulted in an unknown exception. [MKT-8069]
- The Contact Information section on a carrier or company record in Sircon Producer Manager would not expand to display address information. [MKT-8061]
- When using the Sircon Producer Express Candidate Management (Leads) module in the marketing coordinator role, clicking the View Request button would not open a selected request for review. [MKT-8042]
- The output of the Sircon Producer Manager Carrier Requests inquiry was not displaying a carrier request recorded for a carrier group without an appointing company. [MKT-8034]
- Deleting a carrier request for a carrier group without an appointing company on the Sircon Producer Manager Carrier Requests page resulted in an error. [MKT-8034]
- A search performed on the Use Indicators page in Sircon Producer Manager would return results even if the search query was invalid. [MKT-8027]
- Spaces within fields containing multiple values in a data file uploaded to the Sircon Producer Express Bulk Processing module would cause an error. [MKT-7998]
- The Related Request tab in Sircon Producer Express was not displaying correctly firm names that included symbol characters. [MKT-7977]

- As triggered by a Sircon Producer Express bulk appointment request, a record-only appointment with an effective date later than its related license LOA effective date was causing an error. [MKT-7960]
- Report criteria filters in the Production Activity Report in Sircon Producer Express were causing unexpected data to be returned in the report output. [MKT-7931]
- It was not possible to put focus on the Request ID field on the Search page in Sircon Producer Express by use of a mouse click. [MKT-7918]
- Users with uppercase letters in their user names in Sircon Producer Manager were unable to change their own passwords. [MKT-7890]
- In the Recruiting module of Sircon Producer Express, it was not possible to open a new lead or a new onboarding request following an attempted search using invalid search criteria. [MKT-7793]
- In the Selection Panel of Sircon Producer Express, the Status Filter Option was not displaying with all Status criteria selected when a search was run of all requests in the system. [MKT-7767]
- Customer-configured minimum length field requirements were not being supported in the Sircon Producer Express Bulk Processing module. [MKT-8203]
- When an automated data reconciliation request on a producer record does not find any state licensing information for the producer on the PDB, now the request will display an External Source Error on the Data Reconciliation Details page in Sircon Producer Manager with the following processing message: "This Producer Has No License Information." Formerly a request that encountered this situation would hang in processing, ultimately displaying a misleading error message. [MKT-7713]
- Required item mappings in DTCC PR (Period Reconciliation) transactions in Sircon Producer Express were not checking correctly for writing company support. [MKT-8311]
- The Outbound Data Feed was not properly generating an error message when the value of a Comment field in a producer record exceeded 2000 characters or contained non-ASCII characters. [MKT-8260]
- The All Reports and License Renewals Due Inquiry pages in Sircon Producer Manager had erroneous inline text. [MKT-8229]
- The Costs data section on a producer record in Sircon Producer Manager was not displaying transaction cost information. [MKT-8123, MCX-3023, MCX-2931]
- The Use Indicators page in Sircon Producer Manager was not properly validating date search criteria. [MKT-8027]
- Mousing over a table row displaying data in Sircon Producer Manager was not highlighting the row. [MKT-7987]
- Returning to Sircon Producer Express after reviewing the Sircon Compliance Express™ Appointment Activity Inquiry would cause the user session to time out. [MKT-7950]
- Deleting a cost center associated with an inactive business unit was causing data anomalies on producer records. [MKT-7617]
- The Background Investigations data section on a producer record was not expanding when the plus-box node was clicked. [MKT-8056]

- On the Assign Leads page for the Marketing Coordinator role in the Candidate Management (Leads) module of Sircon Producer Express, the Assign Selected Leads button was not working. [MKT-8263]
- A notification sent to a candidate when a lead is stopped in the Candidate Management (Leads) module of Sircon Producer Express was not including the reason for stopping. [MKT-8185]
- Attempting to submit a license application from a producer record in Producer Manager would result in an error. [MKT-8472]
- Navigating from the first to the second page in the wizard when manually adding an individual or firm record in Producer Manager was resulting in an error. [MKT-8413]
- Notifications menu options in Producer Manager were not displaying consistently across all subscribers. [MKT-7990]