## Sircon Producer Manager User Guide



### A Guide to Setting Up and Using Education Credentials

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### Introduction

Many states' regulations require producers representing certain types of products, such as annuities or long-term care insurance, to take product-specific education courses. Insurers are obligated under these regulations to be able to provide proof that producers representing their products have completed the required education.

Insurers, too, may have internal producer training requirements not mandated by any regulatory body, but that they themselves may require producers to take as part of their job function or in order to represent a particular product line.

In Producer Manager, a combination of verified education coursework and active, relevant LOA can fulfill the requirements of a **credential program** and earn a producer an **education credential**. An active education credential can serve as visual or systemic verification that a producer currently fulfills basic education requirements necessary to be eligible to represent a particular line of business in a given state.

A credential program that forms the nucleus of an education credential may originate from two sources:

- **Custom credential programs**, created manually and often reflective of internal producer training that your company may require, such as CSR/Account Management, HIPAA, or Do Not Call coursework.
- **Template or pre-defined credential programs**, included in Producer Manager, based on Vertafore's interpretation of the statutory education and license requirements for certain product lines in certain states.

In this guide we'll take a look at how to configure education credentials in Producer Manager and then at ways you can verify producers' ongoing compliance with mandatory training requirements.

Before we go any further, please be aware that neither education credentials nor any of the information in this document has anything to do directly with a producer's *license education* – the state-required coursework necessary for the producer to renew his or her license on a regular basis. In spite of the name "education credentials," it might be helpful to think of them as having to do strictly with "training," rather than license education.

The procedures described in this document focus on education credentials that are based on user-created, custom credential programs. However, you may easily interpolate the same procedures as using template or pre-defined credential programs.

Finally, please note that additional information on education credentials and related topics is available. Please review "Appendix A: Other Resources" on page 26 for more information.

**Note**: Producer Manager uses a producer's state license LOA as a mechanism for determining the relevance of a credential program to the actual products the producer represents for your company. Eligibility to earn an education credential does not authorize a producer to sell a product. The licenses and LOAs required to sell a particular product should be verified independently by a user or an automated authorization system.

### **Configuring Education Credentials**

Producer Manager can make it easy to track on a running basis a producer's compliance with training requirements, either those mandated by the federal or state government, a self-regulating industry authority (such as FINRA), or your company's corporate policies.

An active "**education credential**" on a producer's record in Producer Manager can signify at a glance that a licensed producer is fully up-to-date with required training mandates. Producer Manager can also export a producer's education credential status to your company's internal systems through the Outbound Data Feed.

The first step in making any of this happen, however, is to set up a **credential program** in Producer Manager, with requirements that will be satisfied by specific training courses as they start to become recorded for the producer.

Let's see how this is accomplished...

### Set Up a Credential Program

From the **Administration** menu in Producer Manager, select **Education Credentialing**.

Then, from the submenu, select **Credential Programs**.

The **Credential Programs** page will open.

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A credential program defines the education requirements that a producer is required to meet in order to attain or maintain an education credential. A credential program specifies the following:

- The types of producers that are eligible to fulfill the credential program
- The types of education courses that are applicable to the credential program
- The number of required course hours in the credential program
- The frequency with which the requirements of the credential program must be met

• The coverage period during which a producer's satisfaction of the requirements remains effective.

A credential program must be applied to an education credential in order to use an "education credential" to track the eligibility of a producer to represent certain lines of business or product types.

For the purposes of our example, let's say we want to add a new anti-money laundering credential program. We want a way to track that producers have fulfilled federally mandated AML training requirements

On the **Credential Programs** page, click the **Add a Credential Program** link at the upper right. The **Add Credential Program** page will open.

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From the **Program Template** dropdown menu, select Custom Program.

Then, in the **Name** field, enter a name for the new AML credential program.

Click the **Save** button. The **View Credential Program** page will open.

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Name	AML Training Credential Program	
		Save Return
	Home   Help   Contact Us	

At this point, we have a credential program, but we don't yet have any requirements defined for it.

In the **Requirements** section of the **View Credential Program** page, click the **Add a Requirement** link.

The **Add a Requirement** page will open.

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No pre-requisite courses are necessary for a producer to take and fulfill an initial AML training course, so click the **Next** button to continue.

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In the **Step 2** section, we need to set up the requirement for initial AML training.

We also want to specify that when AML course completions stream in through AML integration, they will be recognized by their course category rather than by their specific course information, such as course name, course ID, provider ID, etc.

We do not have to worry at all about AML course specifics, because as long as we have the right course categories configured, Producer Manager will automatically add all specific course information to producer records.

records.	
Click the Course Completions	

(by Category) radio button, and then in the Category multi-select box, you have some options:

- If your company is using LIMRA AML Integration, click to select Anti-Money Laundering
- If your company is using Carrier AML Integration, click to select AML Certification
- If your company is using both, press and hold the CTRL key while clicking to select both Anti-Money Laundering and AML Certification

**Note**: If Anti-Money Laundering or AML Certification are not available as options, their codes may not be active in the system. Check the CRS\_CTGRY\_CD code group on the **Maintain Codes** page. For more information, consult the Producer Manager online help.

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#### From the Sub Category

dropdown menu, select Initial. This particular requirement is for producers' initial AML training; we'll set a requirement for ongoing or "refresher" AML training a bit later.

From the **Regulatory Body** dropdown menu, select Internal.

Leave the **Hours to meet** field blank.

When you are finished, click the **Add Criteria** button.

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The page will reload to show you your selected credential program requirements so far.

Click the **Next** button to continue.

In the **Step 3** section, you can tell the system the frequency with which the specified coursework must be taken to fulfill the requirement.

Since this requirement governs an initial AML training course, click to select the **Once** radio button.

Then, click the **Next** button.

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**Step 4** asks you to set a coverage period for the requirement (i.e., the period of time that a producer, after having met the requirement, maintains good standing before coverage will expire or before needing to meet a subsequent requirement).

This setting is based largely on a company's interpretation of federal anti-money laundering training requirements. Generally, most companies interpret the law to mean that a producer is required to take an initial AML training course and then a refresher course every year. However, some companies have fixed dates by which their producers must have completed their initial or ongoing training.

In this example, we will configure the requirement so that an initial AML training covers producers for one full year. Then, we will configure each annual refresher AML training to cover producers for one calendar year. Using this model, the record of a compliant producer should reflect a training completion date in each year of compliance.

In the **Step 4** section, click to select the **Course Completion Date** radio button. This will enable the **Period** field.

In the **Period** field, enter "1". This will set producers' coverage period under the requirement to expire one year after an initial AML course is completed.

Click the **Next** button.

The last step in setting up the requirement for initial AML training is to give the requirement a name.

In the **Name** field, enter "AML Training – Initial".

Then, click the **Finish** button. The **View Credential Programs** page will open again, this time showing the AML Training Credential Program with its initial training requirement configured.

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Next, we will need to set up the requirement for producers' ongoing AML training, so that they can stay in compliance and maintain an AML education credential. We will set up the ongoing requirement so that it "dovetails" with the initial requirement and prevents any gaps in coverage tracking.

As before when we set up the initial requirement, the procedure begins by clicking the Add a Requirement link on the View Credential Program page.

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In the Step 1 section, we need to set the initial training as a prerequisite to ongoing AML training. Click to checkmark the checkbox, and then click the Next button.

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As before, we need to set up course criteria for the requirement.

Again choose **Course Completions (by Category)**, and then select the same course categories you chose when setting up the initial training requirement. (See page 7 for a reminder.)

From the **Sub Category** dropdown menu, this time select "Ongoing".

Select "Internal" from the **Regulatory Body** dropdown menu.

Again, leave the **Hours to meet** field blank.

Click the **Add Criteria** button to save your choices and move on.

Click the **Next** button.

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0	Course Completions (from the Course List)	
۲	Course Completions (by Category)	
0	Third Party Certifications	
	All Lines Annuty Training - Initial Annuty Training - Ongoing Anti-Money - Launderinn Automobile Insurance Business -	
Su	b Category: Ongoing	
Re	gulatory Body: Internal	
Ho	urs to meet	
	Cancel Add Criteria	
STEP 3: How	many times may this requirement be met?	
STEP 3: How	many times may this requirement be met?	

Vertafore <sup>®</sup>	Producer Manager™	UAT for
nsing - Companies -	Inquiries 🔹 Express Services 🔹 Administra	ition *
	Add a Requir Requirement being applied to program: AM	r <b>ement</b> ML Training Credential Program
STEP 1: Are there any	equirements that must be met first?	
The requirement AML	Training - Initial must be met before this requirement can t	be met.
STEP 2: How will this re	equirement be met?	Add New Criteria
<ul> <li>Any course complet</li> <li>AML Certific</li> <li>Anti-Money L</li> <li>and Ongoing subcat</li> </ul>	ion in the following course categories: ttion aundering egory and with a regulatory body of Internal	×
STEP 3: How many time	es may this requirement be met?	
STEP 4: How will this re	equirement's expiration date be determined?	
	Cancel	Next
	Home   Help   Cor	nfact IIs

For producers to stay compliant, they will need AML training on an ongoing basis. So, in **Step 3**, click to select the **Multiple Times** radio button.

Then, click the **Next** button.

		UAI for
vertaiore	Producer Manager M	Logged in as Valued User
sing - Companie	s 🔹 Inquiries 🔹 Express Services 👻 Administration 👻	🐼 🎽 🔍 Producer Quick Search
	Add a Deguirement	
	Add a Requirement being applied to program: AML Training Credent	tial Drogram
CTED 4: Are there	requirement be motified to program. Ame maining creater	aarriogram
STEP 1: Are there	any requirements that must be met first?	
The requirement	t AML Training - Initial must be met before this requirement can be met.	
STEP 2: How will	this requirement be met?	
	and the first first of the state of the stat	
Any course c	mpletion in the following course categories:	
<ul> <li>Any course c</li> <li>AML C</li> <li>Anti-M</li> </ul>	mpletion in the following course categories: ertification oney Laundering	
<ul> <li>Any course c</li> <li>AML C</li> <li>Anti-M</li> <li>and Ongoing</li> </ul>	ompletion in the following course categories: ertification oney Laundering ubcategory and with a regulatory body of Internal	
<ul> <li>Any course c</li> <li>AML C</li> <li>Anti-M</li> <li>and Ongoing</li> </ul>	ompletion in the following course categories: ertification oney Laundering uubcategory and with a regulatory body of Internal	
Any course c     Anu course c     Anu c	mpletion in the following course calegories: ertification noey Laundering uubcalegory and with a regulatory body of Internal y times may this requirement be met?	
Any course c     AnL C     Anti-M     and Ongoing     STEP 3: How mar     Onc	ompletion in the following course categories: ertification once Laundering subcategory and with a regulatory body of Internal y times may this requirement be met? e	
Any course c     AnL C     Anti-M     and Ongoing  STEP 3: How mar     Onc     Mul	ompletion in the following course categories: ertification oney Laundering ubcategory and with a regulatory body of Internal y times may this requirement be met? e e	
Any course c     AML C     AntLM     and Ongoing     STEP 3: How mar     Onc     Mult	In the following course categories: ertification nore / Laundering subcategory and with a regulatory body of Internal y times may this requirement be met? e pipe Times	
Any course c     AML Course c     AML C     AML M     and Ongoing     STEP 3: How mar     Onc     Mul     STEP 4: How will	mpletion in the following course categories: ertification oney Laundering subcategory and with a regulatory body of Internal y times may this requirement be met? e lple Times this requirement's expiration date be determined?	
Any course c     AML course c     A	ompletion in the following course categories: ertification oney Laundering subcategory and with a regulatory body of Internal y times may this requirement be met? e lple Times this requirement's expiration date be determined?	



For the recurring training requirement, we want to set it up so that producers are compelled to complete an ongoing AML training course each calendar year.

In the Step 4 section, click to select the **Fixed Review Date** radio button.

Select December 31 from the **Review Date** fields.

Then, enter "1" in the **Period** field. This will make ongoing training an annual requirement that must be met by December 31 each year.

Click the **Next** button.

The final step is to give the ongoing AML training requirement a name, similar to the initial requirement.

Click the **Finish** button when you're done.

Vertafore Producer Manager™	UAT for
sing * Companies * Inquiries * Express Services * Administration *	🍪 🎽 🔍 Producer Quick Search
Add a Requirement	
Requirement being applied to program: AML Training Credent	ial Program
STEP 1: Are there any requirements that must be met first?	
The requirement AML Training - Initial must be met before this requirement can be met.	
STEP 2: How will this requirement be met?	
Any course completion in the following course categories:	
AML Certification	
Anti-Money Laundering	
and Ongoing subcategory and with a regulatory body of Internal	
<ul> <li>This requirement may be met multiple times.</li> </ul>	
STEP 4: When will earned coverage expire?	
Select a type of review period:	
Fixed Review Date	
Course Completion Date	
Please specify the following attributes:	
Review Date: December 💌 31 💌	
Period: 1 year(s)	
Cancel	Next
	hà
Home I Help I Contact Us	

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	Logged in as Valued User Logout
Licensing * Companies * Induines * Express Services * Administration *	- Producer Quick Search
Add a Requirement Requirement being applied to program. AML Training Credential Program	
STEP 1: Are there any requirements that must be met first?	
The requirement AML Training - Initial must be met before this requirement can be met.	
STEP 2: How will this requirement be met?	
Any course completion in the following course categories:     ANL Certification     Ant.Honey Laundering     and Ongoing subcategory and with a regulatory body of Internal	
STEP 3: How many times may this requirement be met?	
This requirement may be met multiple times.	
STEP 4: When will earned coverage expire?	
The coverage earned by meeting this requirement will have a review period of one year, expiring on December 31	
Confirmation	
Please confirm the requirement information entered above. If everything looks correct, please provide a name and press the finish but to create the requirement.	utton below
Name AML Training - Ongoing	
Cancel Finish	
Home   Help   Contact Us	

Now you have successfully added initial and ongoing AML training requirements to the AML credential program. When course completion records for producers' initial AML training flood in through AML integration, producers will automatically get credit for them, and they will apply toward producers' fulfillment of the AML credential program.

Next, our very last configuration step is to hook up the AML credential program to an AML education credential.

nsing - Comp	panies 👻 Inquiries 👻 Express Services 👻 Administration 👻	Producer Quick Search
	View Credential Progra	m
Program Details	S	Edit Credential Program
Name :	AML Training Credential Program	
Historical:	No	
Requirements	(Click each requirement to see details)	Add a Requirement
AML Training - Ini	itial	×
AML Training - Or	ngoing	×
Key: 🗙 = Remove	e Requirement	

# **Create an Education Credential and Tie it to the Credential Program**

After you have successfully configured an AML training credential program, you will need create an AML education credential in Producer Manager and tie it to the credential program. That way, as producers fulfill the requirements of the credential program, their attainment of the AML education credential – their "badge of compliance" – will be reflected automatically on their records and Producer Manager and passed to downstream systems through other integration services.

From the **Administration** menu in Producer Manager, select **Education Credentialing**.

Then, from the submenu, select **Education Credentials**.

The **Education Credentials** page will open.

Vertafore Producer Manager™			UAT for Logged in as Valued User Logou
Licensing • Companies • Inquiries • Express Services •	Administration 👻		🔍 Producer Quick Search
	Online Help		
Find existing producers with Review/Update Producer or Advanced Producer S		oducers	
Add a Producer	Configure My Profile 💛	V RAY	04-23-2013
Add a new Individual Licensee or a new Firm	Configure System >		
Quick Load Producers from a batch file using PDB	Education Credentialing >	Course List	Show A
Indate Producer Information	Data Reconciliation >	Education Credentials	
Add/Activate Licenses/Qualifications	Notifications	Credential Programs	
Correct License Data	Sales Authorization $\rightarrow$		
Manage Appointments			
Add Appointments Terminate Appointments Approve/Deny Appointments Review Rejected Appointments		-	
Hor	ne   Help   Contact Us		

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as Valued User

Reference Code

Save Return

AMI

To add a new AML education credential, click the **Add a Credential** link. The **Add Credential** page will open.

Veri	tafore	Producer	Manager™		_	U	AT for
Licensing • C	Companies 🔹	Inquiries ×	Express Services *	Administration 👻	Ø * 0	ogged in as V Producer Qu	alued User Logo uick Search
			Educa	ation Credentials			
Used for tracking whether a producer has met requirements that are not covered by regular licensing education. Examples include AML, LTC/LTCP, and Food requirements.							
1.11-11-1	De sulate su	- De du		Deferrer Code		A - 41	Add a Credent
Nothing found to disp	play.	BOUY		Reference Code		Actions	0
No credentials found.							
Related Links: All Ed	ucation Credentials	s   All Credent	ial Programs				
			Ho	ome   Help   Contact Us			

Add Credential

Home | Help | Contact Us

### From the **Regulatory Body** dropdown menu, select Internal.

In the **Name** field, enter "Anti-Money Laundering," and in the **Reference Code** field, enter "AML".

Click the Save button. The View

Education Credential page will open, showing your newly configured education credential.

•

Vertafore

Regulatory Body

Internal

Producer Manager™

Name

Anti-Money Laundering

Inquiries - Express Services

The thing is, the education credential doesn't do anything yet, because you haven't yet tied it to your AML credential program. Let's do it...

#### On the View Education Credential page, click the Activate a new program for this credential link.

The page will reload, offering you some choices.

Verta	afore	Producer	Manager™			UAT for Logged in as Valued User Logout
Licensing - Co	ompanies 👻	Inquiries 👻	Express Services 👻	Administration 👻		🐼 🔍 Producer Quick Search
			View Ec	lucation Crede	ntial	
Credential Details						Edit Credential Details
Name :	Anti-Money	Laundering				
Regulatory Body :	Internal					
Reference Code :	AML					
Current Program						
No program is current	y activated.					Activate a new program for this credential
Program History						0
No programs have e	ver been activa	ted for this creder	ntial.			
Related Links: All Edu	cation Credenti	als   All Credent	ial Programs			
			Ho	ome   Help   Contact Us		

In the **Current Program** section, click the radio button to the left of the AML credential program you created in the "Configuring Education Credential" chapter beginning on page 5.

This will enable the **Begin Date** field.

The **Begin Date** field is kind of a big deal. This is the date that the education credential becomes associated with the specific requirements of its active credential program. So, this is the benchmark date that the system will use to calculate producers' historical and ongoing attainment and maintenance of the education credential.

From the date of a producer's first eligibility for an education credential until the day before the education credential's **Begin Date**, a producer's record will display "N/A" for the education

Verta	fore Producer Manager™	UAT for
Licensing - Cor	npanies * Inquiries * Express Services * Administration *	Cogged in as valued user Logot
	View Education Credential	
Credential Details		Edit Credential Details
Name :	Anti-Money Laundering	
Regulatory Body :	Internal	
Reference Code :	AML	
Current Program		
Activate a new program	hy antarian the arthustion havin data and ealacting one of the configured programs:	
Activate a new program	by chicking the detardation begin date and detecting one of the configured programs.	
Selected Program:	AML Training Credential Program	
begin Date:	01-01-2007	
Program Name		
AML Training Creating	dential Program	
California L	IC Program (Unavailable - regulatory body does not match)	
Pennsylvani	a LTC Program (Unavailable - regulatory body does not match)	
3 programs found, disple	ying all programs.	
Can't find the program yo	u want? View all credential programs.	
		Activate Cancel Activation
Program History		145
No programs have ov	ar been activated for this credential	
no programa nave ev		
Related Links: All Educa	tion Credentials   All Credential Programs	
	Home   Help   Contact Us	

credential. Up to that point, there simply was no education credential in place for the producer to attain.

But from the **Begin Date** onward, and for as long as the current credential program is associated with the education credential, the producer's record will display "Active" for the duration that the producer is meeting all requirements of the credential program. It will display "Inactive" for the duration that the producer is *not* meeting the requirements.

The **Begin Date** will default to today's date. However, you may likely choose to backdate it, if retroactive AML course completions will be feeding into your system and updating producer records. This will show a richer history of producers holding the AML education credential and could provide better audit information. If you have questions or concerns, please ask your Vertafore representative.

To enter a date in the **Begin Date** field, use the *mm-dd-yyyy* date format.

Then, click the **Activate** button.

The new AML education credential is successfully configured. Beginning tonight, the system will calculate each night your producers' eligibility for the education credential as of the **Begin Date**.

On nights when the system calculates they are in complete fulfillment of the requirements of the credential program, producers' records in Producer Manager will reflect an active Anti-Money

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mpanies - Ind	juiries – Exp	oress Services 🔻	Administration +		Producer Quick Search
		View Ed	lucation Credent	ial	
					Edit Credential Detai
Anti-Money Laun	dering				
Internal					
AML					
					Inactivate Progra
AML Training	Credential Prog	Iram			
01-01-2007					
					Activate a new program for this credenti
				Begin Date	End Date
	fore: Pro- mpanies * Inc Anti-Money Laun- Internal AltL AML Training ( 01-01-2007	fore: Producer Ma mpanies Inquiries Exp Anti-Money Laundering Internal Anti- Anti- Anti- Money Laundering Internal Anti- Anti	fore Producer Manager™ mpanies Inquiries Express Services Clieve Ec Anti-Money Laundering Internal AllL AML Training Credential Program 01-01-2007	fore       Producer Manager™         mpanies < Inquiries < Express Services < Administration *	Ingranies ▼       Inquiries ▼       Express Services ▼       Administration ▼         View Education Credential         Induiries ▼       Express Services ▼       Administration ▼         View Education Credential         Induiries ▼       Express Services ▼       Administration ▼         View Education Credential         Induiries ▼         Administration ▼         Administration Credential         Credential Program         Of Colspan

Laundering education credential. On nights when the system detects they are no longer in compliance with the requirements of the credential program, because of a loss of license or recurring AML training classes not taken, their AML education credential will become inactive.

#### On the Education Credentials

page, you now can see the Anti-Money Laundering education credential displayed.

Over time, your company may choose to establish additional training "badges" that producers may attain: Long-Term Care, Annuities, Supplemental Disability, Privacy, or any internal

Vertafore	Producer Manager <sup>TM</sup>		UAT for					
Ver talore	Floucer manager		Logged in as Valued User Logout					
Licensing Companies	Inquiries   Express Services  Administration	n • 🔞	Producer Quick Search					
Education Credentials Used for tracking whether a producer has met requirements that are not covered by regular licensing education. Examples include Allu, LTOLTCP, and Plood requirements.								
↓Name	Regulatory Body	Reference Code	Add a Credential Actions					
Anti-Money Laundering	Internal	AML	Ø					
Key: 🖉 = Edit Education Credential								
ine credential found.								
	Home   Help   Contac	:t Us						

or product training initiative of your company's choosing.

### **Verifying Education Credentials**

With an education credential set up, as producers begin to take the relevant training courses, course information will be added to their records in Producer Manager. Based on course information (as well the active/inactive status of a producer's related license LOA), Producer Manager will calculate on a nightly basis whether a producer has become eligible for the education credential, attained the education credential, or lost the education credential.

Training course information may be added to a producer record in the following ways:

- Manual data input, using the **Course Completions** page in Producer Manager (For more information, please see the Producer Manager online help.)
- Automatically, through integration between an external source of producer training course completion information (Note that a separate subscription may be required for automated course completion import services. Please consult your Vertafore representative for more information.)

For the purposes of illustration in this chapter, we will look at producer records that have been updated with anti-money laundering training course information imported from LIMRA, the leading provider of AML training.

Producer Manager makes it easy to tell if one or multiple producers have attained or lost an education credential. You can check for compliance of a single producer directly on his or her record. Or, you can run a report to show a filtered list of producers who are in compliance.

In this section, we'll discuss how these compliance checks are performed.

To get started, log in to Producer Manager. The Producer Manager **Home** page will open. The **Home** page is the launching point for performing any activity in Producer Manager.

### **Check a Producer's Record**

Telling whether or not a producer is compliant with anti-money laundering training requirements is as easy as opening the producer's record in Producer Manager.

Vertafore Producer Manager™	L	Test for 10795 ogged in as Sircon Demouser Logout
Licensing × Companies × Inquiries × Express Services × Admin Find existing producers with Review/Update Producer or Advanced Producer Search Add a Producer	Recently Viewed Producers	Producer Quick Search 37 minutes ago 56 minutes ago
Add a new Individual Licensee or a new Firm Quick Add Producer from PDB data Quick Load Producers from a batch file using PDB Review new work requests using Producer Express	<ul> <li>Anen, Danger</li> <li>askldjflaksdjf, asldkjfaslkdjf M</li> <li>The Firm of Doom</li> <li>ROBB, JACOB C</li> </ul>	about 2 hours ago about 7 hours ago about 8 hours ago
Update Producer Information Add/Activate Licenses/Qualifications Correct License Data Maintain Contact Information	Recent Subscriber Notices No new notices since 02-21-2013.	Show All
Manage Appointments Add Appointments Terminate Appointments Approve/Deny Appointments Review Rejected Appointments		
Home   Help Copyright © 2003-2	o   Contact Us 2013 Vertafore, Inc.	

From the Producer Manager **Home** page, search for the record of a producer whose AML compliance you want to check. (For more information about searching for records, review the "Searching for Records" topic in the Producer Manager online help.)

Vertafore	Producer Ma	nager™			Test for 10795 Logged in as Sircon Demouser Logout			
Licensing • Companies •	Inquiries - Exp	oress Services 👻 Ad	ministration 👻		🐼 🎽 🔍 Producer Quick Search			
Advanced Producer Search								
	Producer Type Last Name SSN External ID	Individual Licensee	Business Units	00001 00002 00003 00004 123TEST AAA	(E)			
Search								
		Home   F Copyright © 201	leip   Contact Us 13-2013 Vertafore, Inc.					

Search for the producer whose record you want to check. Use any of the search criteria you like, such as name, SSN, NPN, or others.

**Note**: In the **External ID** field, you could enter a producer's unique carrier ID that may have been copied

to the producer's record along with his or her AML training course completion information.

Vertafore Licensing + Companies +	Producer Ma	nager™ press Services ▼ Adm	inistration 👻	Logg	Test for 10795 ed in as Sircon Demouser Logout
		Advanced Pr	oducer Search	I	
	Producer Type Last Name SSN CAPIS ID	Individual Licensee  producer	Business Units earch	00001 (00002 (00003) 00004 (123TEST AAA +	
	Sort B	y: <u>† Name</u>	SSN	CAPIS ID	
Producer		Statu	Is Latest Reconc	iliation Latest PX Txr	n. Missing Info
SSN: ***** 1130 BU: BU2		Pen	ding 🔗 2012-01-17		9
Producer, Angelas (FL)     SSN: ***_**-5699   Ext. D: 0000000748	BU: 00002	Pen	ding 🖋 2012-01-14	<u>À</u> 2010-04-	21
SSN: ***-**-1233 BU: BU2		Pen	ding 🔗 🖋 2012-01-20	l.	9
PRODUCER, BILL (GA)           SSN: ***_**-0654         BU: BU2		Inac	tive 🖋 2012-01-19	L. C.	4
SSN: ***-**-1127 BU: BU2		Pen	ding 🔗 🖋 2012-01-17		4
SSN: ***-**-1120   BU: BU2		Pen	ding 🛛 🖋 2012-01-17		4
SSN: ***-**-1133 BU: BUS		Activ	e 🖋 <u>2012-01-14</u>	Q 2008-03-	12
SSN: ***-**-0123   BU: IIT S3		Inac	ive 🖋 2012-01-21		4

In this example, we'll search by name. Enter the producer's last name in the **Last** field. You need enter only as few as two characters in name search fields.

Then click the **Search** button.

If only one producer record met your search criteria, the record would open directly. But if there were multiple records meeting your search criteria, you will need to select the one you want to work with, as illustrated

here.

Click the name of producer whose record you want to open. The name is a link to the record.

Vertafor	e	Producer Manager™			Logged in as Sircon Demouser Logo
Licensing 👻 Compan	nies 👻	Inquiries 👻 Express Service	s 🔻 Admi	nistration 👻	🐼 🎽 🔍 Producer Quick Search
		Rev	iew/Upd	ate Individual	
Sector Producer, Joe Unrated	i				Search Produce
SSN	License	e State/#	Active BU	NPN	Resident States
111-22-1133	⊞ MI	100356	BUS	2043	⊞ Michigan
<sup>⊞</sup> Expand All					
Individual Details		Licenses/Qualifications		Education/Prof. Design.	Course Completions
Comments		Appointments		FINRA Information	CE Requirements
<b>Producer Business Rules</b>		Agreements		Required Items	CE Courses
Resident States		Firm Associations		Background Investigations	Third Party Certifications
External Sys IDs		Employment History		Business Units	License Applications
Contact Information		Aliases		Locations and Departments	Product Certifications
Address History		Data Reconciliation		Costs	Transaction History
Email Messages		State Producer Numbers		Education Credentials	
		Quick Sync Producer	New PX R	equest Verify Sales Authoriz	ation
<sup>⊐</sup> Individual Details					Т
Indv ID 181028	1	Status Active - Eff	Date 06	-25-2001 Term Date	Licensee
	0.0.0		0.0.0		

The record of the selected producer opens up for review.

The section at the top of the producer's record is called the **Quick Links** box. It gives you handy hyperlink access to all of the data sections on the record.

Find **Education Credentials** in the **Quick Links** box, and click it. This action will zoom you directly down to the producer's education credentials.

<sup>3</sup> Education Credentials									
Active Credentials									
Regulatory Body		Credential Name			Status	Start Date		End Da	ite
Nothing found to display.									
nactive Credentials									
Regulatory Body	Credentia	al Name			Status	Start Dat	e	End Da	te
					Inactive	01-01-2	009		
7. Jata and	And Man				Active	02-21-2	007	12-31-	2008
	Anti-Mone	ey Laundering			Inactive	02-01-2	007	02-20-	2007
					N/A	08-20-2	002	01-31-	2007
Course Completions									
Course Name	Provider Name	Provider Subscriber ID	Provider Course ID	Category	Subcatego	Regulatory <sup>TY</sup> Body	Credit Hours	Completion Date	Document Reference
Anti-Money Laundering for Insurance Producers	LIMRA			Anti-Money Laundering	Initial			02-21-2007	
One course completion found.									
			Add/Delete	e Course Comp	letions				

Here you can see the selected producer's history with the Anti-Money Laundering education credential. All education credentials that are in Active status display in the **Active Credentials** sub-section. All those that are currently in Inactive status display in the **Inactive Credentials** sub-section.

Below the **Education Credentials** data section is the **Course Completions** data section. Click the node or "plus box" (🗄) to the left of it to expand its contents. In it, you can view all of the education course completions that have been recorded either automatically through third-party integration services (such as AML integration) or manually by a staff member.

Note that this producer completed his initial AML training course on 02-21-2007.

Now take a look again at the **Education Credentials** data section, and read the values of the **Status**, **Start Date**, and **End Date** field from the bottom up. Notice that from 08-20-2002 until 01-31-2007, the producer's status with the AML education credential was "N/A" – not applicable.

This interval reflects the period of time when the producer first became eligible for an education credential of any kind – probably beginning with the original issue date of the producer's residence state license – but before there was an active AML education credential in the system.

Next, notice that between 02-01-2007 until 02-20-2007, the producer's compliance status with the AML education credential changed to "Inactive."

This interval reflects the period of time between the date that the Anti-Money Laundering education credential was associated with a credential program's requirements (the education credential's **Begin Date**) and the date just prior to the producer receiving credit for his initial AML training course. Technically speaking, for this period the producer would have been out of federal AML training compliance to sell cash-value products, such as life insurance or annuities.

Next, notice that from 02-21-2007 (the day the producer completed the initial AML course) and 12-31-2008, the producer's status for the AML education credential was "Active."

This interval reflects the producer's education credential coverage period, a period when he was deemed to be in compliance with federal AML training regulations. The producer was covered by his initial AML training for one full year – 02-21-2007 to 02-20-2008. Further, under the requirements of the ongoing AML requirement, the producer had until the first day of the following year (01-01-2009) to complete his first "refresher" AML training course. The system kept his AML education credential in Active status for the entire calendar year of 2008.

But then, at last, when the producer failed to take his first ongoing AML course, the system changed his education credential status to "Inactive," on the first day that his coverage period expired. If the producer took another AML course sometime in 2009, his active status could be restored for the term of the ongoing training requirement.

### **Check a Group of Producers**

You can easily check to see the status of an entire group of producers' AML education credentials. It's as easy as

running a simple report.

From the Inquiries menu, select Producer Management, and then select the Credential Status Inquiry submenu option.

The **Credential Status Inquiry** page will open.



There are a number of different ways that you can view this report.

You could, for example, simply pull together a list of every producer with an active Anti-Money Laundering education credential. To do this, simply click the **Active Credentials** radio button in the **Filter Criteria** section of the page, and run the inquiry.

Or, you could find out which producers' AML education credentials have lapsed. To do so, just click the **Inactive Credentials** radio button.

Or – as in this example – you could find out which producers' AML education credentials expire on a

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Licensing - Companies - Inquiries - Express S	iervices 👻 Administration 👻	Cogged in as valued user Cogou
All Reports Recent Reports Credential Status Inquiry	(	
	Credential Status Inquiry	
Generate lists of p	producers holding active, inactive, and expiring education credentials	ş.
Filter Criteria		
<ul> <li>Active Credentials</li> </ul>		
Expiration Date		
Begin Date 12312013 🔝 End Date 12312013	3	
C Inactive Credentials		
Credentials	Producer Status	
Indiana: IN - LTC Partnership Training	Active	
Indiana: NAIC General Suitability Internal: Anti-Money Laundering	Pending	
Internal: Kristin's Test Credential Internal: LTC CE	•	
Display Configuration		
External System Type		
<u> </u>		
		Submit Offline View/Refresh Report Cancel
		Submit Office
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	Home   Help   Contact Us	

certain date. For this inquiry, put an identical date in the **Begin Date** and **End Date** fields. (You could also put in a date range, if desired, to find out which education credentials expire on some date within the range.)

From the **Credentials** multi-select box, select "Internal – Anti-Money Laundering" or whatever name you gave to your AML education credential when you configured it. Note that the education credentials are sorted in the box by **Regulatory Body** name (also set as "Internal" when you configured the education credential).

If desired, you can filter the report by a selected **External System Type**, such as the code representing a certain system that may be integrated with Producer Manager (e.g., ERP, new business, policy application, payroll/commissions, etc.)

When you are finished, click the **Submit Offline** button. This will send the inquiry job to a background queue to process. You will be able to track its progress on the **Recent Reports** tab.

Click the **Refresh** button while the inquiry is running to get updated processing status.

When the Status is Succeeded,

click the Microsoft Excel icon (<sup>1</sup>) to open the report in a spreadsheet application.

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	Inquiries will be retained fi	or a period of 30 days before bein	g purged.	Refres	sh Cance			
Delete <u>Name</u>	<u> </u>	Completion Time	Submitted By	<u>Status</u>	Downlo			
Credential Status Inquiry	04-22-2013 8:40 AM	04-22-2013 8:40 AM	User, Valued	Succeeded	7. 🖏			
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There is your list of producers that met your inquiry criteria. You can view and manipulate the report as you would any other spreadsheet output.

1 1	A B	C D E	F	G	H		J	K	L	M N	0	P	Q	Ē
1	5/1/2013			Creder	ntial Status	s Inquiry				Pa	ge 1 of 4			ſ
2	Exp	ration Date: 12-31-20	13 to 12-31-2013											
3	c	redential(s): Internal	Anti-Money Laund	ering										
4	Prod	ucer Status: Active (i	C) Pending (PM)											
5	Individual Name	External Syste	m Regulatory Body	Credential Name	Expiration	Mailing Address Line1	Mailing Address Line 2	City	State	Postal Code	E-mail			
6	PRODUCER, JOE	12345	Wisconsin	Internal - Anti-Money Laundering	12-31-2013	1234 Springtime Lane		MADISON	W	537192 108				
7	PRODUCER, JOE	12346	Pennsylvania	Internal - Anti-Money Laundering	12-31-2013	1235 Springtime Lane		DOWMINOTO WN	PA.	193352 724				
8	PRODUCER, JOE	12347	Arizona	Internal - Anti-Money Laundering	12-31-2013	1236 Springtime Lane		STATE	PA.	168018 308				
9	PRODUCER, JOE	12348	Ohio	Internal - Anti-Money Laundering	12-31-2013	1237 Springtime Lane		STATE COLLEGE	PA.	168018 308				
10	PRODUCER, JOE	12349	Kansas	Internal - Anti-Money Laundering	12-31-2013	1238 Springtime Lane		LENEXA	KS	662152 827				
11	PRODUCER, JOE	12350	Ohio	Internal - Anti-Money Laundering	12-31-2013	1239 Springtime Lane		KANSAS CITY	MO	641143 312				
12	PRODUCER, JOE	12351	lowa	Internal - Anti-Money Laundering	12-31-2013	1240 Springtime Lane		CHESTERFIE	CM	63017				
13	PRODUCER, JOE	12352	lowa	Internal - Anti-Money Laundering	12-31-2013	1241 Springtime Lane		BLARSTOWN	NJ	078253 032		-		
4	PRODUCER, JOE	12353	Pennsylvania	Internal - Anti-Money Laundering	12-31-2013	1242 Springtime Lane		BLARSTOWN	NJ	078253 032				,
5	PRODUCER, JOE	12354	Maryland	Internal - Anti-Money Laundering	12-31-2013	1243 Springtime Lane		CYPRESS	TK	774294 374				
16	PRODUCER, JOE	12355	Pennsylvania	Internal - Anti-Money Laundering	12-31-2013	1244 Springtime Lane		CYPRESS	TX	774294 374				
17	PRODUCER, JOE	12356	North Carolina	Internal - Anti-Money Laundering	12-31-2013	1245 Springtime Lane		CHARLOTTE	NC	28210				
	PRODUCER, JOE	12357	South Carolina	Internal - Anti-Money	12-31-2013	1246 Springtime Lane		CHARLOTTE	NC	28210				
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Click the **Cancel** button to close the **Recent Reports** page and return to the Producer Manager **Home** page.

# Check Education Credentials through Internal Systems

Using information obtained from the Outbound Data Feed (OBDF), carriers also can track producers' education credential status through their internal systems, such as new business or compensation. Producer Manager can transmit producer compliance data that can be viewed from within your company's enterprise systems. This means that, for example, when a producer has business in hand, you can check through your new business system to ensure that the producer is compliant.

### **Education Credentials and Status**

The latest status of a producer's education credential populates the CourseRequirements node in an OBDF export file.

The following fields are included for a single CourseRequirement (i.e., education credential) nested in the CourseRequirements node:

<courserequirement> Child Element</courserequirement>	Definition
Type - Code (attribute of CourseRequirement)	Value of <b>Reference Code</b> field (configured on the <b>Add</b> <b>Credential</b> page)
<b>Type - Value</b> (attribute of CourseRequirement)	Values of <b>Regulatory Body:Education Credential Name</b> (configured on the <b>Add Credential</b> page)
InsertUserId	User ID audit field for user who inserted the education credential
InsertDateTime	Date and timestamp audit field for when the education credential was inserted
UpdateUserId	User ID audit field for user who most recently updated the education credential
UpdateDateTime	Date and timestamp audit field when the education credential was most recently updated
State	Value of <b>Regulatory Body</b> field
Status	See below *
StatusDate	Current Status Start Date field
AssignedReviewDate	Current Status End Date field
RequiredHours	Not used with education credentials
AppliedHours	Not used with education credentials

\* Education credential status in the OBDF and Credential Status Inquiry is not quite the same as that displayed in the Education Credentials data section on a producer's record in Producer Manager.

Furthermore, the status in the OBDF and Credential Status Inquiry can be modified based on customer requirements by the setting of a system business rule: (ec.credStatus.recordLatest.includeNotApplicableStatus). If the business rule is disabled (set to "N"), the following status codes apply:

• NC (Not Compliant): Value if status on producer record is IN (Inactive) or N/A (Not currently applicable)

• **CM** (Compliant): Value if status on producer record is AC (Active)

If the business rule is enabled (set to "Y"), the following status codes apply:

- NC (Not Compliant): Value if status on producer record is IN (Inactive)
- CM (Compliant): Value if status on producer record is AC (Active)
- NR (No Longer Required): Value if status on producer record is N/A (Not currently applicable)

### **Course Completions**

Course completions populate the Courses node in an OBDF export file.

The following fields are included for a single Course nested in the Courses node:

<course> Child Element</course>	Definition		
InsertUserId	User ID audit field for user who inserted the course completion		
InsertDateTime	Date and timestamp audit field for when the course completion was inserted		
UpdateUserId	User ID audit field for user who most recently updated the course completion		
UpdateDateTime	Date and timestamp audit field when the course completion was most recently updated		
Number	Optional. Value of the course ID of the course in the Producer Manager database. (Value of "0" for manually entered course completions.		
CompletionDate	Value of the course's Completion Date field		
Name	Value of course Name field		
Hours	Value of course <b>Hours</b> field		
Category	Value of Course Category field		
Subcategory	Value of Sub Category field		
RegulatoryBody	Value of <b>Regulatory Body</b> field		
DocumentReference	Value of <b>Document Reference</b> field		
ProviderName	Value of <b>Provider Name</b> field		
ProviderId	Value of <b>Provider ID</b> field		
ProviderSubscriberId	Value of provider's Vertafore subscriber ID		
Status	Value will always be CMPLT (complete) for course completions		

### **Appendix A: Other Resources**

For more information on education credentials and related topics, we recommend that you review the following user guides. All are available for download from the Producer Manager online help. Just type the title of a guide in the **Search** bar at the top of the online help frameset.

- Setting Up and Checking Producer Sales Authorization: Once you have an education credential configured, you can set up Producer Manager to factor a producer's education credentials along with other key regulatory credentials into a producer sales authorization check. The system can tell you with the click of a button if a producer is fully authorized to sell a particular product in a particular state, and if not, what credentials the producer is missing.
- Education Credential Programs by State and Product Line User Guide: Quick reference for the education and LOA requirements for a producer to be eligible to meet the requirements of a pre-defined education credential program.
- Anti-Money Laundering Training Integration and Tracking: Setting up and using automated AML training course completions feeds from LIMRA and other sources for tracking producers' ongoing compliance with federal AML training.
- Outbound Data Feed File Layout and Data Definition Guide: A detailed and technical description of the Producer Manager Outbound Data Feed (OBDF), including business definitions of each included node and element and their critical data characteristics, including those related to education credentials.

### **Appendix B: Document Change History**

Version Number	Date	Version Information	Notes
7.6	07/13/2016	Baseline version, cut from existing "Producer Manager AML Integration and Tracking User Guide."	DOC-1113
7.7	09/13/2016	Fixed formatting problem with page footer.	