iConnect 127725 Post Issue Phase 1 Design Approach

Project Overview

Ability to complete and submit post issue servicing of contract forms. Using the existing SSO launch option, a user may launch into Firelight with data that will pre-fill onto the service form. Based on the info included in the post-over, the user will either launch directly into the requested transaction type or into the main FireLight home page where they will select the Post-Issue Service forms transaction type.

Out of Scope for Phase 1:

- For phase 1, we are not implementing the DTCC cede data calls for the Values Inquiry and Policy Administration messages.
- For phase 1, Non-authenticated users will need to addressed in a future enhancement or a client WO.
    - In the future, we do envision assigning a generic admin user and assigning that agent during the app creation. This will allow an admin to have access to the order in the queue. We would need some unique data point to identify the session.
- Cancellations: Only supported during same market day. No prior cancellations are supported.
- Use cases for a link to be placed behind form on website is out of scope (iConnect 136009)
- Consumer Initiated: not in scope for day 1

Project Assumptions:

- This project assumes the Client Fill and Sign (116245) enhancement is complete.
- This project assumes the Delayed 103 (135628) enhancement is complete.

Features/Requirements

- The allowable transaction types for each product can be set in products tab within the Admin tool.
- The allowable transaction types can also be set by role code in the Group tab within the Admin tool.
- Admin users will be able to add a package containing post issue transaction forms, such as any contract maintenance forms for beneficiary updates, address change, etc., to the sales agreement for a product
- Users will be able to create post issue/ service transactions using a drop-down option under Application in the App Portal.
- Users will be able to view all transactions, including new business applications, subsequent payments, and post issue transactions, by using the ‘All Applications option in the App Portal. An transaction filter will allow users to view applications, sub-pay, and post issue transaction separately if more than one transaction type has been approved at the organization level.
- If an incoming SSO request contains the transaction type 113 (`OLI_TRANS_POLICYADMIN`), the subtransaction type (OLI_TRANS_POLICYADMIN, OLI_TRANS_WITHDR, or OLI_TRANS_UPDARR) and the jurisdiction, and the product type (cusipid), FireLight will launch the user directly into the requested transaction option and will pre-fill any client information contained in the post-over in the same manner as the 103 transactions.

- If the incoming SSO request contains the transaction type of 113 (OLI_TRANS_POLICYADMIN) and the subtransaction type (OLI_TRANS_POLICYADMIN, OLI_TRANS_WITHDR, or OLI_TRANS_UPDARR), but does not contain the jurisdiction and product type (cusipid), the user will be directed to the FireLight home page where they may select the post issue transaction type and the desired jurisdiction and product. The client information can then be pre-filled if the option to use the current session's data is selected.
- Global dataitems `FLI_TRANSTYPE` and `FLI_TRANSSUBTYPE` will allow rules to be added to the service forms to enable/disable forms and create validation rules based on the transaction and subtransaction types sent in the SSO request.
- The global dataitems `FLI_TRANSTYPE` and `FLI_TRANSSUBTYPE` will also be available in the provider to allow for the creation of ACORD messages for completed transactions.
- The following transaction subtype will be used:
  - Administrative Transactions:
    - Contract change request – ACORD 113 (name changes, address, email, phone, owner change, etc.) OLI_TRANS_POLICYADMIN
    - Change of Beneficiary – ACORD 113 transaction OLI_TRANS_POLICYADMIN
  - Financial Transactions:
    - Withdrawal Request – ACORD #105 transaction OLI_TRANS_WITHDR
    - Program add/change (automatic withdrawal services, rebalancing, DCA) – ACORD #107 transaction OLI_TRANS_UPDARR
- FireLight will NOT require clients to use new outbound feeds. Clients that want to use the new outbound ACORD files need to contact their PM to request the Provider code changes.

Use Cases / Workflow Changes

User will enter FireLight through either a direct login or one of the external services – SSO, New Business, or Alt New Business.

If through direct login, user will select the Post-Issue Transaction option under the Application option. They will select the jurisdiction and the product type to create the post issue transaction. They will then be able to enter the needed information within the maintenance form and follow the normal work-flow used for applications (i.e. client fill/sign requests, review, submission).

If the external login is used, FireLight will either launch into the edit transaction screen or the FireLight home screen. The post-over would need to contain the transaction type 113 (`OLI_TRANS_POLICYADMIN`), the subtransaction type (OLI_TRANS_POLICYADMIN, OLI_TRANS_WITHDR, or OLI_TRANS_UPDARR), the jurisdiction, and the product type (cusipid) in order to post-over into the edit process of a post issue package.

Sample xml insert for transaction subtype #107- Update Arrangement:

<TransType tc="113">OLI_TRANS_POLICYADMIN</TransType>
<TransSubType tc="107">OLI_TRANS_UPDARR</TransSubType>

The transaction type OLI_TRANS_POLICYADMIN should be used for all post issue transactions. The TransSubType node will be used to indicate the type of maintenance transaction. Options for TransSubType include:

<TransSubType tc="113"> OLI_TRANS_POLICYADMIN </TransSubType>
<TransSubType tc="105"> OLI_TRANS_WITHDR </TransSubType>
<TransSubType tc="107">OLI_TRANS_UPDARR</TransSubType>

If the post-over does not contain the jurisdiction, and the product type (cusipid), FireLight will launch into the Home screen where the user will be able to select the post issue transaction type and will be able to make use of the post-over client data for the transaction in the same way as the delayed 103 for the duration of that session.

The rest of the workflow would follow the same as the new application workflow, allowing use of the client fill/sign, review, and submission process.

Admin Changes

- Ability to approve transaction types for each product with the following options: Application, SubPay, and Post Issue.
- Ability to enable/disable transaction type by role code on the Groups tab in the Admin tool. The option to 'Disable Create Applications' already exists on the group options, but new options will be added for 'Enable Create Subsequent Payment' and 'Enable Create Post Issue'.
- If the post issue transaction type is not selected on the products tab for a particular product type, the product type will not be included in the product type drop-down in the 'Create a post-issue transaction' in the App Portal
- If the group the user belongs to does not have the transaction type enabled, the transaction type will not be included in the available types in the 'New Application' drop-down menu.
- Post issue transactions can be added to an existing product by including the maintenance forms in the selling agreement as part of a specific maintenance type package. It can also be used more generically by creating a Post Issue Only product
- Admin ad-hoc reports—Agent Report and Agent Activity Report—will be modified to list transaction type to allow for tracking of application, sub-pay, and post issue transactions
- Activity report modifications/additions
  - Product Line Submission Summary report now contains counts for only new business applications
  - Detailed Submission Report by Channel now contains transaction specific counts
  - An additional transaction column has been added to the detail reports- Detail Submission, DTI Detail Submission, Detail Decline Sign, Detail Submission by Channel, Detail Submission by Carrier, Pending Orders, Pending Deletion, Pending Purge, and Purged Applications.
  - Additional submission summary report listing submission counts by transaction type added

App Changes

- Drop-down option under Application added to allow user to select Post Issue/ Service transaction type. It will only be enabled if more than one transaction type is allowed for the user's group in the Admin tool
- A new filter will allow users to view All Transactions by transaction type—Application, Sub-Pay, Post Issue. The transaction filter will also only be enabled if more than one transaction type is allowed for the user's group.
- Additional global dataitems for `FLI_TRANSTYPE` and `FLI_TRANSSUBTYPE` will be added for transaction type and sub-transaction type to allow organizations to create rules based on the transaction type and the specific type of maintenance request. This will allow control over what forms are available in the maintenance package and aid in input data validation.
- Option to use client data from post-over in the transaction even if the post-over does not contain the type of maintenance to be performed, the jurisdiction, and the product type (cusipid).

Integration Changes

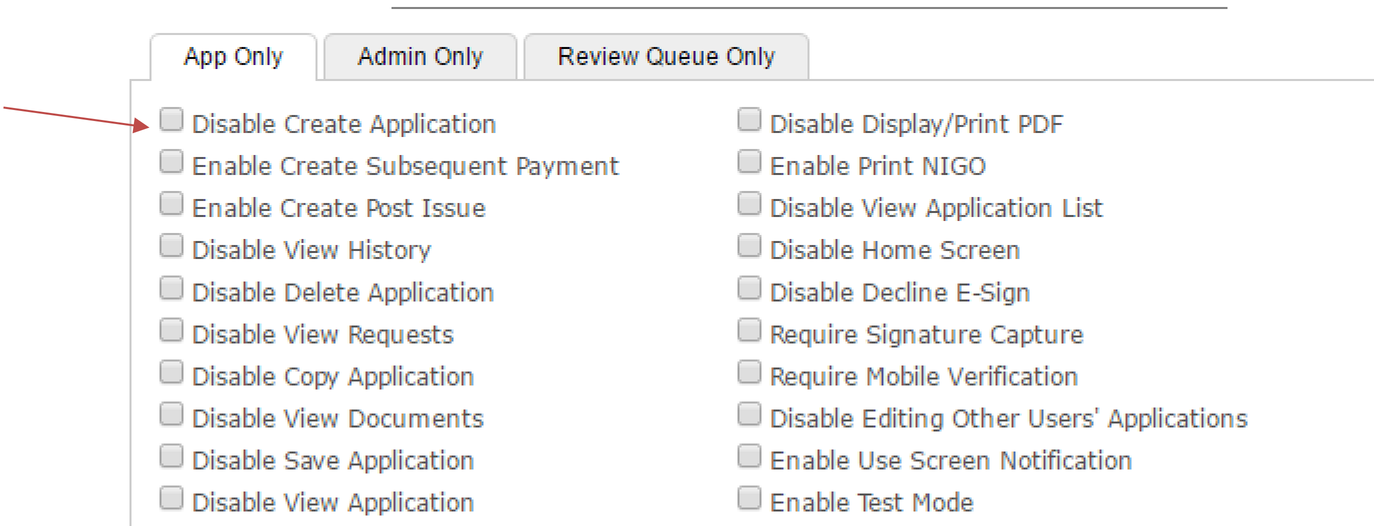
Per the client provider code, we may need to send the new ACORD messages for completed transactions. Clients will need to submit a WO for the provider changes.

- Admin Changes – ACORD 113 (name changes, address, email, phone, owner change, Bene Change, etc.)
- Withdrawal Request – ACORD #105 transaction
- Program add/change (automatic withdrawal services, rebalancing, DCA) – ACORD #107 transaction

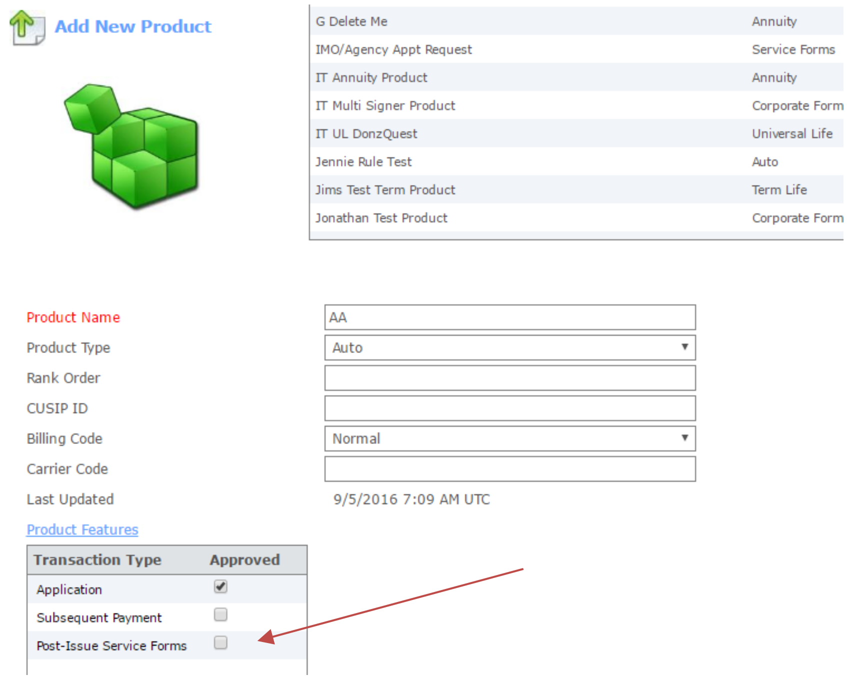
UI Mock Ups

Admin

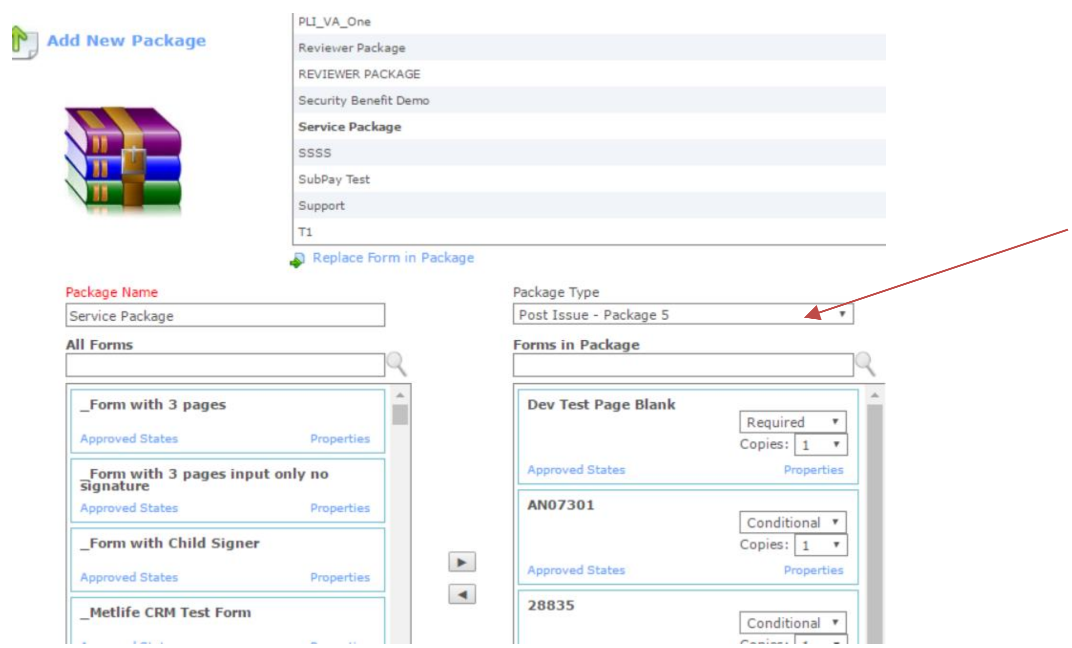
The creation of transaction types can be enabled/disabled by group role code in the Groups tab of the Admin tool. Previous option ‘Disable Create Application’, and new options for ‘Enable Create Subsequent Payment’ and ‘Enable Create Post Issue’ gives organizations the flexibility to limit the application type allowed.



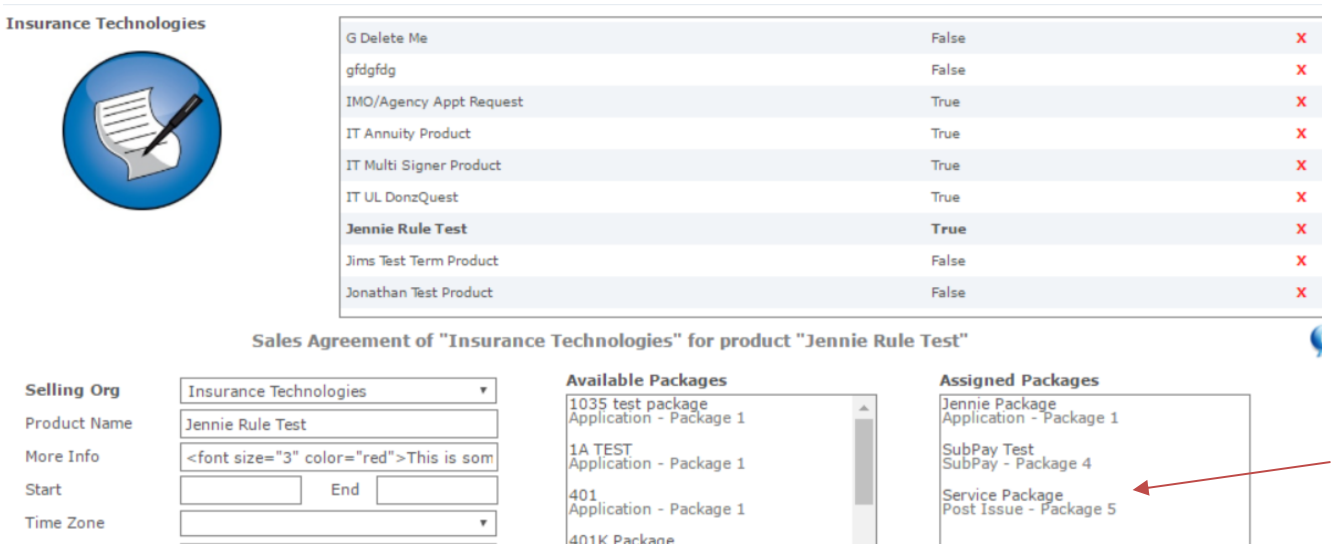
Product transaction type approvals for new application, sub-pay, and post issue



Service package created with the package type of Post Issue- Package 5

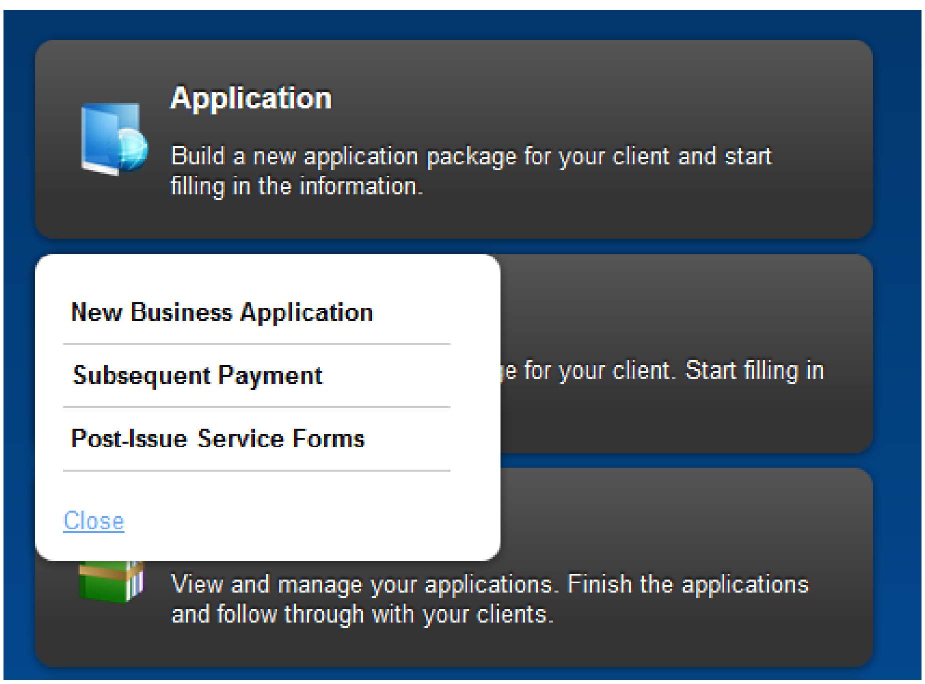


Service package added to the product sales agreement. The post issue package can be added to each selected product or can be added to a generic service product.

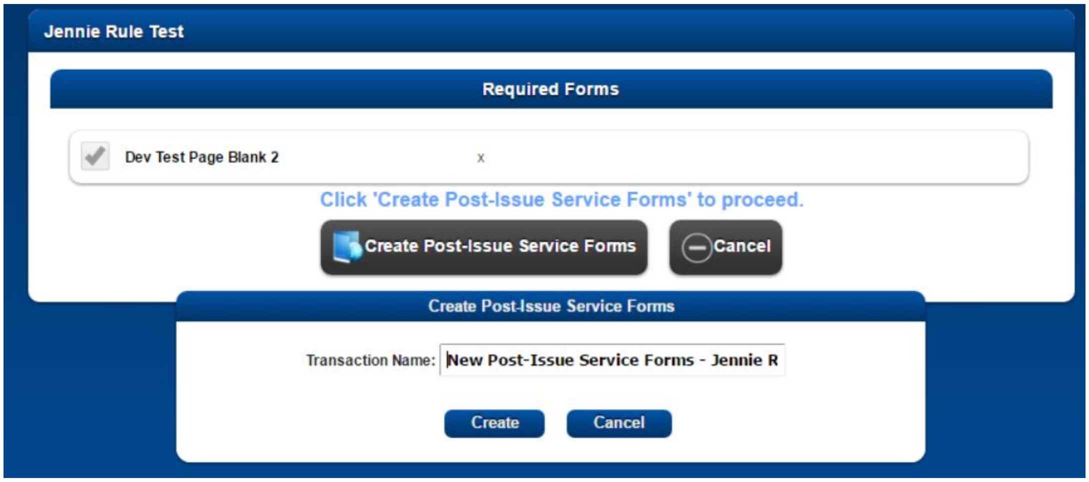


App Portal

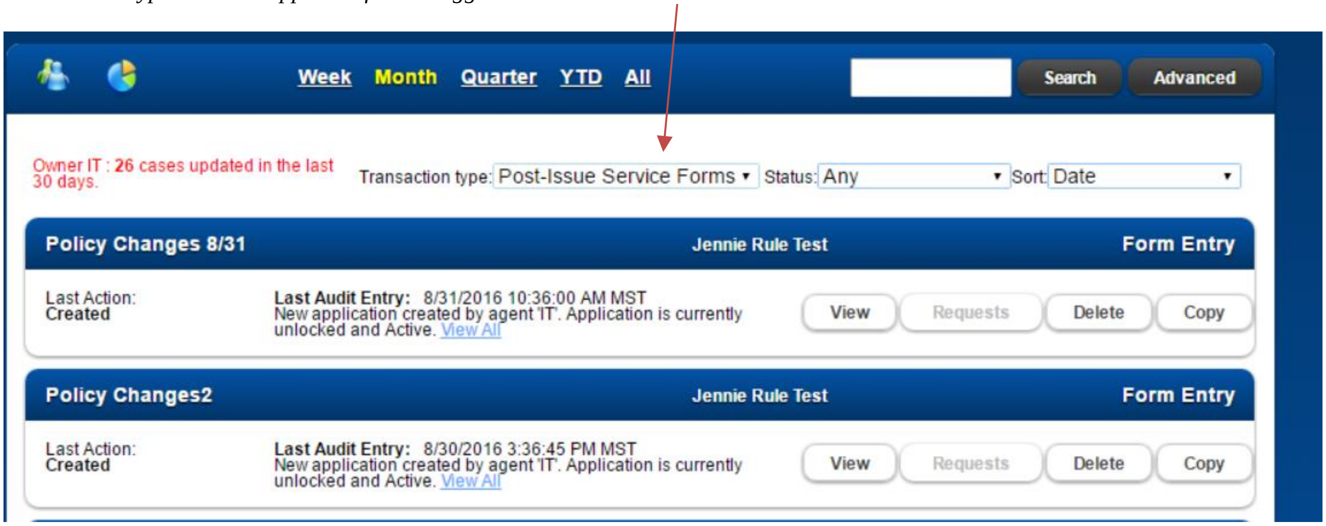
New sub-menu for transaction types will be enabled when multiple transaction types are approved for the logged in user



Create post issue service transaction follows the same work-flow process as create application



The All Applications screen will show all transactions or can be filtered to show each transaction type separately if more than one transaction type has been approved for the logged in user



How to Enable and Use This Feature

Enable the post issue transaction type for the user group in the Group tab of the Admin tool.

On the Products tab either add a generic Post Issue Only product and approve the Post-Issue Service Forms transaction type or select an existing product and check the Post-Issue Service Forms option.

Add a new maintenance service package in the Packages tab and select Package Type of 'Post Issue – Package 5'. Add the needed service forms to the form in package box.

Add the created service package to the sales agreement for the desired product on the Sales Agreements tab.

If post-over is used (SSO, New Business, or Alt New Business), add the transaction type and the transactionSubtype to the xml request. If using a direct login, select 'Post-Issue Service Forms' in the Application drop-down menu.

Once application has been created, if rules have been added to enable/disable forms based on transaction and/or sub-transaction type, verify the appropriate forms have enabled.

There is an additional license fee for post issue support. Existing clients will need an addendum to their contract to support this new feature.

Areas Impacted

System Area	Yes	Comment
Admin Tool		
- **Form Library**		
- **Design Forms**		
- **Profile Administration**		Option for post issue transactions on the group tab and product screens, post issue transaction package type added to packages
- **Reports**		Agent activity and agent report are modified to list transaction type
- **Deployment**		
FireLight App		All Application view filter for transaction type
- **New Application**		Option to create post issue transaction
- **Edit Application**		Delayed use of post-over client data, global `FLI_TRANSTYPE` and `FLI_TRANSSUBTYPE` dataitems for transaction type and sub-type for use in rules
- **Signature Process**		

- **Review Queue**		
- **Manual Review**		
- **User Preferences**		
- **Inbound Integration**		Ability to SSO into edit application for maintenance
- **Outbound Integration**		Global `FLI_TRANSTYPE` and `FLI_TRANSSUBTYPE` dataitems for transaction type and sub-type of maintenance for use in outbound messages
- **PDF Generation**		
- **Email System**		
FireLight Console		
- **Windows**		
- **iOS**		
Other Systems		
- **DTCC Integration**		
- **Commission Netting**		
- **Activity Reporting**		Additional column added for transaction type, new submission by transaction type report added, Product Line Submission Summary report now contains counts for only new business applications, Detailed Submission Report by Channel now contains transaction specific counts

