INSURANCE TECHNOLOGIES

Firm Management

FIRELIGHT BASE

FireLight®

Platform

FIRM MANAGEMENT

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Insurance Technologies, LLC

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Design Approach - Firm Management July 2.25

Firms have requested the ability for organizations to manage their own product availability. Organizations will be setup under the firm and managed by Insurance Technologies upon request. The product and state availability can be further refined by the organization after the initial setup without the need for admin users of the main firm to make the refinements, but would also have the ability to do so, if desired. This functionality will allow all organizations who SSO into a main firm organization to control their product availability as an admin user, by group role code.

Impacts:

"Firm Management" option under "Organization Configuration" for main firms only - will not be visible for all other users.

Groups - new "Firm Org" dropdown

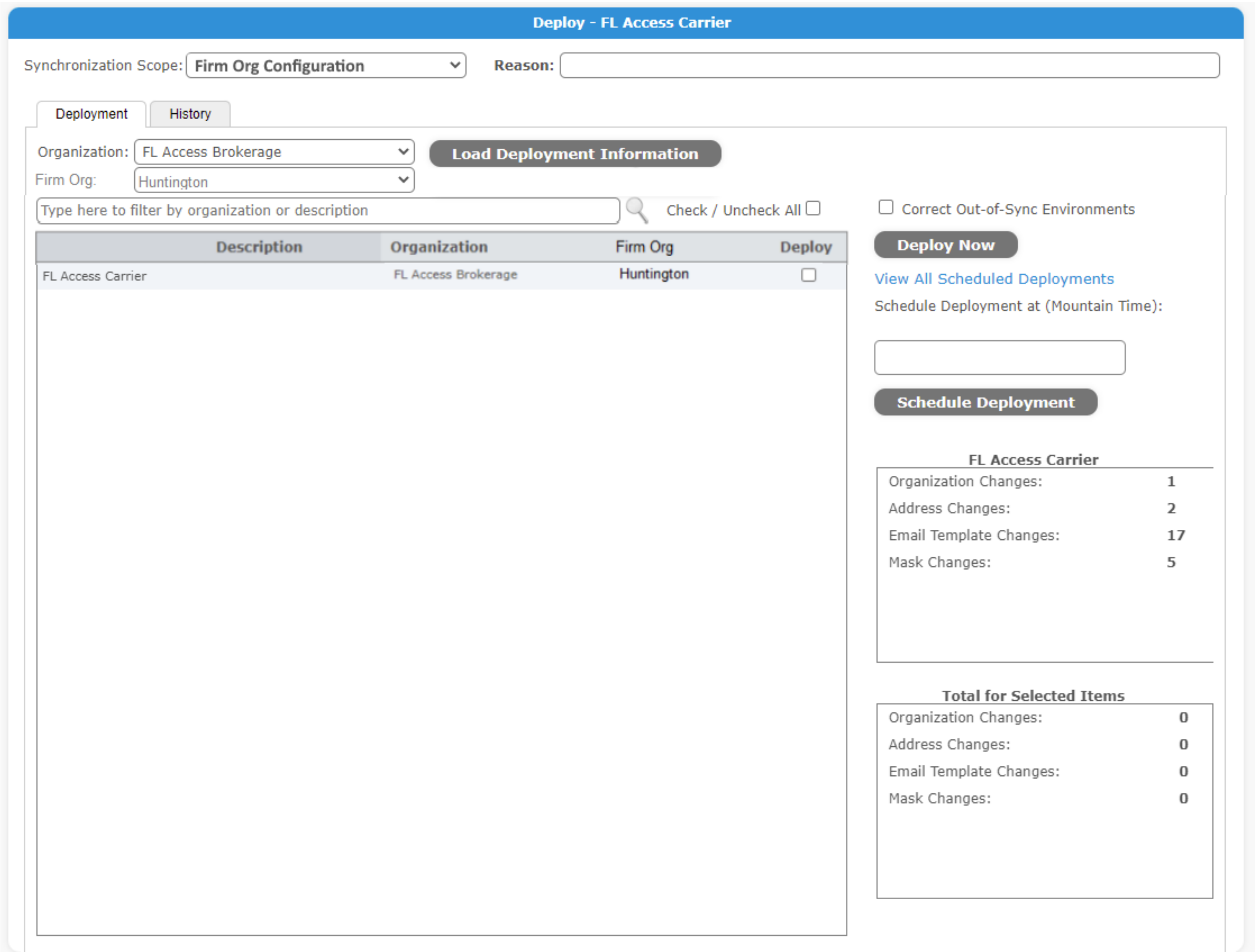
Groups - "Product Access" tab features products as hyperlinks for state refinement

Deployments

1 Firm Management: Deployments

1.1 Admin Rights: Add Deployment Scope

A new Deployment Scope will be created to handle the Firm Organization profiles. This scope will be used to deploy the configurations for a firm's profile (Firm Name, Firm Map Code, etc.) to higher environments.



Acceptance Criteria

- A new Deployment Scope for Firm Organization configurations will be created.

2 Firm Management: Reporting

2.1 Admin Rights: Admin Reports

Acceptance Criteria

- Main Organization Reports can be generated and broken out by the firm level for Product Activation.
- Main Organization Reports can be generated and broken out by the firm level for State Activation.
- Firm level Reports can be generated for Product Activation.
- Firm level Reports can be generated for State Activation.
- Activity level (transaction detail) report can be generated by firm.
- Report is available to the main organization.
- Report is available to the firm organization.
- Firms cannot see reporting/data for other firms.

3 Firm Management: Groups

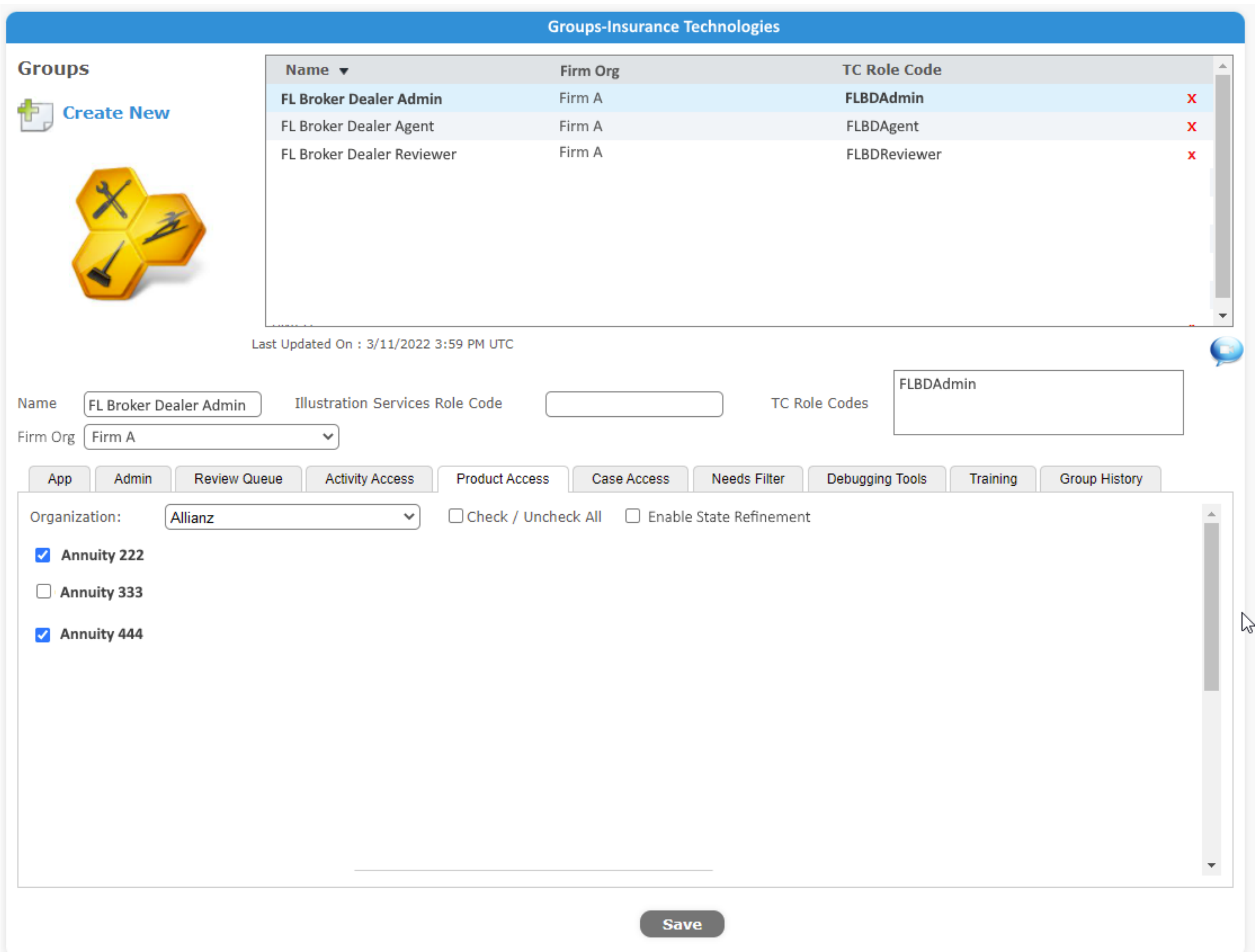
3.1 Admin Rights: Extend Groups to Support Firm Role Code Associations

An admin user will be shown the Main Org view if they do NOT have a Firm associated with their user group.

A new dropdown will be available for "Firm Org" selection. The dropdown list will consist of all firms setup on the "Firm Management" page under Organization Configuration, and a blank entry that will display all firms in the grid. The list will be arranged w/the blank entry being first (this will be the default selection), followed by the entries for the firms, sorted alphanumerically by the firm's name in the grid. The grid at the top of the page will have a new column displayed for "Firm Org". When the admin user does not have firms setup in the "Firm Management" page under Organization Configuration, the dropdown list will be blank. This feature will be shown to all admin users, but is optional for use.

Firm Admin View:

The view will display the "Firm Org" in the grid and the dropdown will not allow for the user to make changes. No other firms will be displayed/available for selection to the firm admin user. The dropdown selection can only be edited by the IT Vendor role or Main Organization/Firm level admin.



Acceptance Criteria

- Main Org roles.
- "Firm Org" dropdown list does not show any other organization other than the firm the user is logged in/SSO under.
- Firm Admin User is able to see all groups for their firm organization and update Product Access accordingly on the Groups tab by role code.
- The "Firm Org" dropdown will be shown to all admin users, but is optional for use.

3.2 Admin Rights: Add columns on the Groups, Product Access table

Additional columns need to be created on the Groups Product Access table for data storage for the jurisdiction approval, and additional jurisdiction approval.

Additional column will be added to the Group table to accommodate the FirmID

Acceptance Criteria

- Columns are added for State and Firm Org in the Groups, Product Access Table
- Group Product access table will have 2 additional columns: jurisdiction approval, and additional jurisdictionapproval
- Group table has additional column FirmID

3.3 Admin Rights: Product Access and Further Refinement

An audit will be recorded when the user selects/deselects the option to use group product state refinement and will display in the group history tab. The audit will contain the group name, the old and new value for the state refinement option, the action date, and the login that performed the action.

An audit will be recorded for each update to the group product jurisdiction access. The audit will contain the group name, the list of states added or removed from access, the action date, and the login that performed the action

<u>State Refinement and Sales Agreements</u>

Removal of States from Sales Agreements: If the Sales Agreement for a Product has a state removed, no user action will be needed to have that reflected, even if the new "Enable State Refinement" option has been enabled. This is due to the states being available via this new option being a subset of the states that are available in the Sales Agreement

Adding a state in the Sales Agreement will NOT by default cause the state to be selected if Enable State Refinement has been enabled. Therefore, the admin user will need to go into the State Refinement for that Product in the Groups Product Access tab, and add it for the Product.

Acceptance Criteria

- The products listed on the Product Access tab will include every product deployed to the selected firm by the carrier.

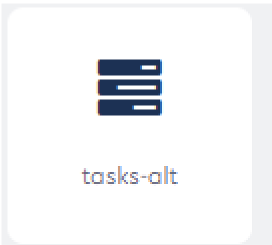
- A new checkbox will be created on the same line as the Organization drop down and Check / Uncheck All options on the Groups, Product Access tab, and will have the text “Enable State Refinement”. It will default to an unchecked state.
- Until the Enable State Refinement has been enabled, the product name(s) on the Groups, Product Access tab will remain as plain text. Once this option is enabled, the Product Name(s) will become hyperlink(s) if they have been enabled, or remain as plain text if they have not.
- Clicking the product name will open a dialog to display the list of states available as per the Sales Agreement.
- Firm user can remove/subtract states via the dialog.
- Firm user cannot add states that are not available as per the Sales Agreement.
- Firm user can remove a state and add it back based on what is available per the Sales Agreement.
- Groups, Product Access, product hyperlink displays the most up to date state availability as per the Sales Agreement; if any states have been removed/added via the Sales Agreement by the carrier, the Admin user can see the latest changes.
- Changes made across products/organizations are able to be saved at once instead of being required to save in between each change. ie: User can make multiple changes to products/change organizations for additional product changes and are not required to save in between each move; changes are saved all at once with the "Save" button when user is finished.
- When the user clicks save, the setting of the new option "Enable State Refinement" will be saved as well.
- All changes made will be retained as audits in the Groups History tab
- If a state is removed from a sales agreement, no further action will need to occur from an admin user to have that change reflected in the state refinement option
- If a state is ADDED to a Sales Agreement, an admin user will need to add it to the Product's State Refinement in the Group, Product Access tab.

4 Firm Management: Organization Configuration

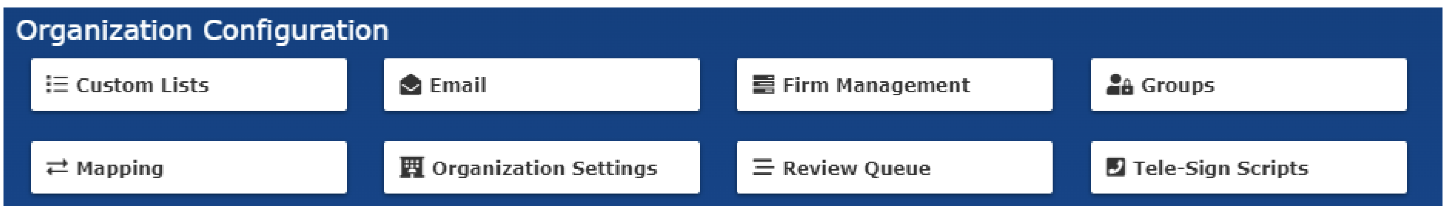
We have received a request for the ability to control product access for group role codes via an Admin "Super User". This functionality would allow the Main Organization to control the products available by sub-firm.

4.1 Admin Rights: Add "Firm Management" to Organization Configuration

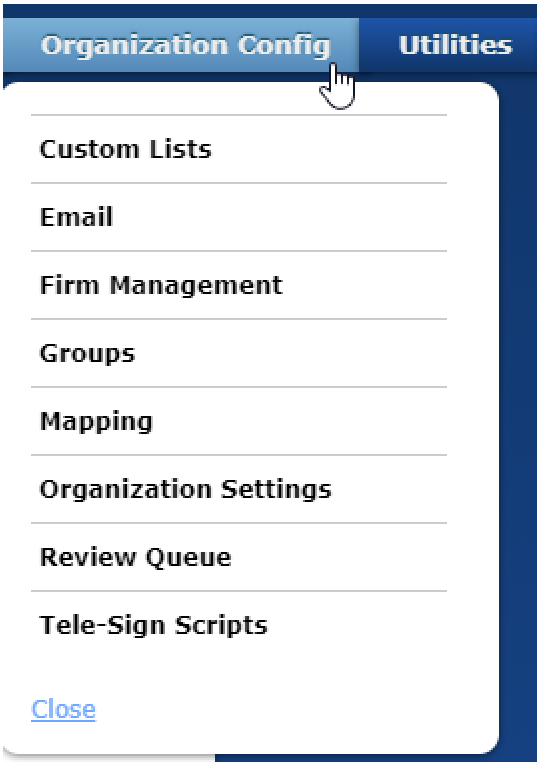
A new option will be available under "Organization Configuration" for "Firm Management". This will be available to main organizations for setup and management of their sub-firm organizations. The Font Awesome icon on the button will be "tasks-alt"



The option will be placed in Organization Configuration in alphabetical order.



The option will also be available in the dropdown menu for Organization Config.



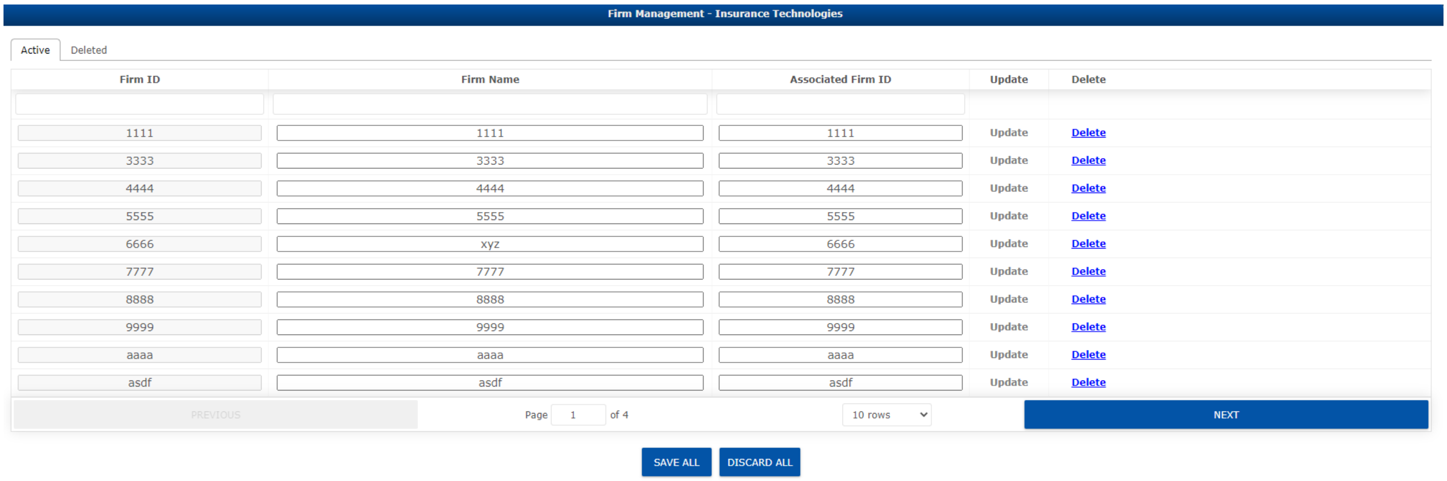
This new option will be visible for IT vendor role and main organizations, but not available/displayed for sub-firms.

Acceptance Criteria

- New option available in "Organization Configuration" named "Firm Management".
- "Firm Management" is placed in the "Organization Configuration" section in alphabetical order.
- Font Awesome icon "tasks-alt" is used on button.
- "Firm Management" is available in Organization Config dropdown menu, in alphabetical order.
- "Firm Management" button and dropdown is visible for IT vendor role.
- "Firm Management" button and dropdown is visible for main organization role.
- "Firm Management" button and/or dropdown visibility is dependent on the “Enable Firm Management” Admin setting

4.2 Admin Rights: Firm Management Views

IT Vendor role view provides the ability to add a new firm, as well as the list of firms that have been setup with the option to update or delete. The list is a global list that will apply in all scenarios. ie: Frim 333 information is global for all Firm Management and does not vary across organizations:

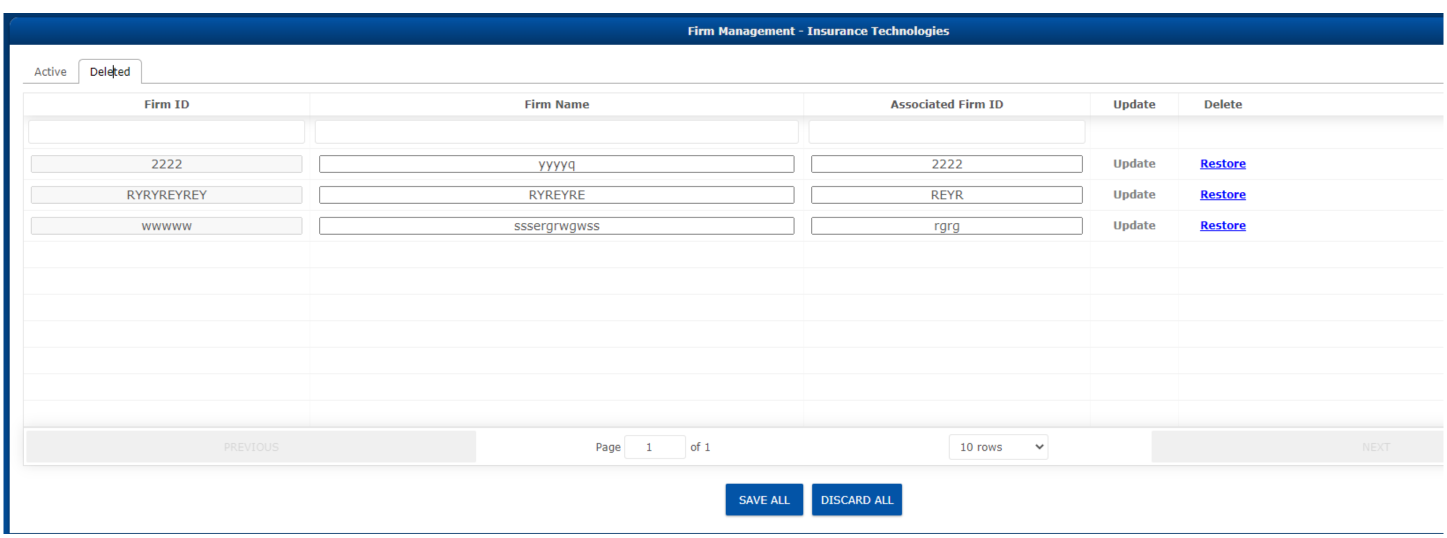


Deleted tab:

This tab will display all of the firms that have the IsDeleted flag set to true

Firms that have been deleted will remain visible on this tab until a user either restores the firm, or the firm is removed via the purge process.

On this tab, instead of the Delete button/link, the text will read Restore. When a user clicks it, the Firm will have the IsDeleted flag set to false, and should then be available in the Active tab.



Read-only view for main organization allows a display of only the firms and the data entered by the vendor role.

Firms will not have this option in their Organization Configuration to access/view.

Acceptance Criteria

- Name at top of window after opened is "Firm Management - 'Organization Name'".
- Organization name is featured at the top of the window do not have visibility into this option in the Admin.

4.3 Admin Rights: Firm Management Store data in database

Changes will be made to FireLight's database to accommodate storing Firm Management data

Acceptance Criteria

- Database updates are made for data storage related to the addition of Firm Management in Organization Configuration.

4.4 Admin Rights: Firm Management Update data in database

Database supports and saves edits made to the data entered in Firm Management.

When a user adds or updates an entry for a firm, the updates will be stored in the database

When a user deletes a firm, it will have the IsDeleted flag set to true. It will remain in the table until the user either restores the firm, or the firm is removed via the Purge Process. This will allow us to keep our normal process for deleting entities, maintaining history of deleted firms, and maintaining how we do deployments. Additionally, it will allow us to allow users who accidently delete a firm to not be constrained by the uniqueness of Firm ID, Name, etc. when setting the firm back up.

Acceptance Criteria

- Database supports/saves updates, deletions, and restores made to the data in the Firm Management table.
- The IsDeleted flag will be used to keep our normal process of deleting entities.
- Deleted firms will remain in the table with the IsDeleted flag set to true until they are either restored, or removed via the purge process

4.5 Admin Rights: Firm Management Error Handling

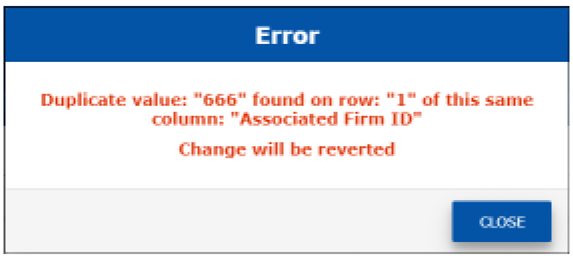
The Firm Management screen will have error handling to promote proper entry of firm data.

1. All fields are required to be entered before the "Add/Update" button will be enabled.

2. When a Firm Name or Associated Firm ID already exists in the database, an error will be presented to the user when attempting to save. The dialog will have the message with an "OK" button. After selecting the "OK" button, the user will be directed back to the entry screen for data revision.

Firm Name already exists.

Associated Firm ID already exists.



Acceptance Criteria

- All fields are required to be entered before "Add/Update" button is enabled.
- Error is presented to user when the record exists any of the columns for that row. Each column must be unique across all rows. The columns that must be unique across all rows are:
- Firm Name
- Associated Firm ID
- Clicking "OK" on the dialog window closes the dialog and the user is brought back to the Firm Management screen for data revision. Data can be edited and no saves take place when a duplicate is identified until the duplication is resolved.

4.6 Admin Rights: Move Branding from Utilities to Organization

Currently, there is a Branding tab under Utilities in the Admin. The Branding section will be moved under Organization and updated to allow sub-firms to update their branding using this area of the Admin. The Main Org will use this to manage the branding for their sub-firms and association to individual user groups.

Acceptance Criteria

- Branding tab no longer displays under "Utilities" in the Admin.
- Branding tab is moved under "Organization" as a new tab, named "Branding".

5 Firm Management: App

5.1 Admin Rights: App - Implementation of Admin Settings

Acceptance Criteria

- Application side of FireLight supports the state availability for sub-firms selected in Groups; product availability by state as determined in Groups via the product hyperlink is what is shown for state availability in the application activity for the specified product.

5.2 Admin Rights: App - Firm ID

App side support for Firm ID

To identify a user's sub-firm, the TC of the UserRoleCode under OLifeExtension in the 1228 will be utilized.

If the user is the member of a sub-firm, the TC will begin w/firm group identifier (i.e. "ABC" for the sub-firm ABC Advisors), and will be separated from the group code by a hyphen "-". Ex: "ABC-123" for ABC Advisors where the TC 123 is for the role code of agent

in the Admin side, if the sub-firm is present in the TC, it will be used to query for all role codes that belong to that group (sub-firm)

FLI_FIRM_ID and FLI_CASE_ACCESS will be set to the same if the group/sub-firm IS NOT specified

The group identifier will be defined outside of the admin tool. It will have to be setup during initial setup for SSO so that it can be used during SSO, and so that the prefix is not changed, thus breaking any linking based on it.

```xml
    <Party id="Agent_Party" >
      <PartyTypeCode tc="1">Person</PartyTypeCode>
      <FullName>IT TESTER FULLNAME</FullName>
      <EMailAddress>
        <AddrLine>tester@insurancetechnologies.com</AddrLine>
      </EMailAddress>
      <Person />
      <Producer>
        <CarrierAppointment>
          <CompanyProducerID>EPN_Value</CompanyProducerID>
          <CarrierCode>FLI</CarrierCode>
        </CarrierAppointment>
      </Producer>
    </Party>
    <Party id="Firm_Party" >
      <PartyTypeCode tc="2">Organization</PartyTypeCode>
      <FullName>ABC Firm</FullName>
      <Organization />
      <Producer>
        <Registration>
          <FirmName>ABC Firm</FirmName>
          <FirmRegistrationNum>0987654321</FirmRegistrationNum>
        </Registration>
      </Producer>
    </Party>
    <Relation OriginatingObjectID="Firm_Party" RelatedObjectID="Agent_Party">
      <RelationRoleCode tc="120">Agent of Agency</RelationRoleCode>

    </Relation>
     <!-- Role Code (defined through Firelight Admin) -->
    <OLifEExtension VendorCode="25">
      <!--<UserRoleCode tc="1">Advisor</UserRoleCode> -->
      <UserRoleCode tc="DEF-1">Admin of Agency</UserRoleCode>
      <!-- anything before the "-" will be the firm group identifier, and what is after will be the TC for the Role Code -->
      <!-- DEF will be used to query for all role codes that belong to group (sub-firm) "DEF" -->
      <!-- FLI_FIRM_ID and FLI_CASE_ACCESS will be set to the same if the group/firm ISN'T specified -->
      <!-- The "DEF" (group identifier) will be defined outside of the Admin tool. It will have to be setup during setup for SSO so that
          it is prefixed when they create the SSO to ensure that it doesn't change and we loose the linking -->
    </OLifEExtension>
  </OLifE>
</TXLifeRequest>
```


Acceptance Criteria

- The TC of the UserRoleCode under OLifeExtension in the 1228 will be used to identify the user's group/sub-firm if they have one
- If a user is a member of a sub-firm, the TC will begin with a group identifier, and be separated from the TC by a hyphen
- The group identifier will be used in the admin side to query for all role codes that belong to that group / sub-firm
- The group identifier will be setup during onboarding, and will not be editable in the admin tool to ensure that it is not changed
- FLI_FIRM_ID and FLI_CASE_ACCESS will be set to the same if the group/sub-firm is NOT specified