

iConnect 200031 Design Approach – Expiration Deadline Date

Project Overview

Variable Annuities are currently regulated by FINRA 2330 rule that requires that the deferred variable annuity be reviewed by a registered principal no later than 7 business days after the OSJ receives the completed and correct application. Currently we don't have the ability to enforce and regulate this within Firelight, so we need to work through adding controls to help clients honor this rule.

In this project, Firelight will add a timeframe to the OSJ review queue in order to keep track of the elapsed time. The timeframe will stop when the application is successfully submitted. It will reject an application when it reaches 7 days. Clients can configure in the Admin Holidays and Market days to include in the counter

Requirements / User Stories

Specify the Deadline Date

We need to establish the deadline date for the 7 day rule. This needs to be configurable in the admin tool: either through the rules or script (review queue)

The Deadline date will start counting as soon as a case is submitted into the review queue, and will continue until it is fully submitted or reaches day 7, when it will reject from the queue. Also needs to be configurable if it is added to another queue.

Review Queue - Insurance Technologies

Add New Queue

Queue Name ▼	Queue Number ▼	Remarks ▼	
50	50		X
abc	123		X
ARM	334	22	X
BasicQ	100		X
ert	444		X
JP NEXT STEPS	12345	Dont Touch	X
PreSubmit	PreSubmit	Queue for PreSubmit requests.	

Queue Name
Queue Number
Email Group
Remarks
Additional Info
Last Updated
Disable Approval Actions
Disable Show Application On Lock
Enable Children Links
Deadline Length
Deadline Date - Include Weekends
Deadline Date - Include [FINRA Holidays](#)
Deadline Date - Include Market Days

50

50

6/24/2019 2:50 PM UTC

☐

☐

☐

0 days

☐

☐

☐

[Edit Review Queue Script](#)

Note: The review queue script is global to all queues and is deployed using Organization Configuration.

Save

Setting up the rule node to set deadline, add in Scheduled process

Acceptance Criteria

- This functionality will allow validation of the date in accordance of the days specified.
- If the application reaches the specified day by midnight, it will be rejected from the queue
- If the application is moved from one queue to another, then the clock can be stopped, or reset (configurable)

Add Review Queue Settings for Expiration

Add the following settings to Review Queue admin view.

Will need to move the following checkboxes from the Review Queue Tab from Groups:

Deadline - Include Weekends

Deadline - Include Holidays

Deadline - Include Market Days

Add the Review queue deadline textbox, that needs to be configurable within each Queue. This will be a text box that has a numeric value. This value will control each queue

Deadline Length	<input type="text" value="0"/>	days
Deadline Date - Include Weekends	<input type="checkbox"/>	
Deadline Date - Include FINRA Holidays	<input type="checkbox"/>	
Deadline Date - Include Market Days	<input type="checkbox"/>	

Acceptance Criteria

- The three checkboxes listed in Description should be visible
- Review Queue Deadline textbox should also be visible and editable
- Textbox will only allow numeric values

Have the ability to control what dates are included

We are needing to add the ability to control what dates are to be included in the deadline. This is to include Business days only; no weekends.

Note: Holidays and Market Days will be handled via code, we are not including them in the table. They are listed in additional story

Note: Rule node needs to be in the IT script assembly

Acceptance Criteria

- By selecting a checkbox to not include weekends, will show that the date will not be effected by any days other than business days.
- The checkbox will be selected by default

App: Display Date in Review Queue

The reviewer will need to be able to see the deadline date in the review queue to know how many days the case has been in the queue. Once the "Use Deadline Date" checkbox is selected for this queue, it will display the deadline date that will be static based on the timeframe set in the expiration date counter.

New Needs Determination - RW_Next Activity Needs

Determination Prod

Normal Created: 6/28/2019 2:02:41 PM MST Expires: 6/29/2019 8:02:41 PM MST
 Carrier: Insurance Technologies Product: RW_Next Activity Needs Determination Prod
 Jurisdiction: Colorado Agent Organization: Insurance Technologies

[Application PDF](#)
[Application History](#)
[Queue History](#)
[Attach Documents](#)
[Audit Report](#)

Review

Approve

Reject

More Info

Acceptance Criteria

- Once a case has entered the review queue, and the "Use deadline date" is selected for that queue, the numeric date value will display for that case.
- This is only configurable through the admin tool, the numeric date value displayed on the app side will be a read only field
- The date will be a static date based on the days set in the expiration date count
- Format will be MM/DD/YYYY

Email Template for Expiration Date

Email will be sent once the Expiration Timeframe have been reached by the deadline date.

Must have the following values for Expiration Date email

- Email Template Type
- Subject
- Body

Acceptance Criteria

- Verify email appears as below:
- Subject:
 <ACTIVITY_NAME> Review Queue Expiration
 Body:
 <DATE_TIME>
 The <ACTIVITY_NAME> (<CASE_NAME>) on behalf of <CLIENT_NAME> has reached the allowable time limit for suitability review. Please go into FireLight to review and determine if it is still suitable, then copy the rejected application and resubmit the application.
 This email will generate after the case expires per the timeframe set in the Expiration date textbox in the queue

Add Holidays to FINRA schedule

Along with the FINRA schedule of business days only, we will need the ability to add in the FINRA holiday schedule so they will not be counted in the deadline date.

Add Checkboxes in order to distinguish if FINRA holidays are included

Acceptance Criteria

- This functionality will show that the date will not be effected by any days other than business days, including FINRA holidays.

Add Continuous counter checkbox to Queues

Need to add a new setting (a checkbox) that will continue a deadline date count to another queue. This will honor the count from the previous queue. In the below examples, this setting would be checked in the second queue. If checked, then when a case enters the next queue, evaluate if there was a counter in the previous queue and if the continuous checkbox is checked, it will reflect the current queue's count.)

This will honor the current queue's deadline date. The checkbox can be named "Continue deadline length from previous queue"

Example: 1

Ops (7 days for deadline date): Order1 -3 (counter =3)

Suitability ((7 days for deadline date):): Order1-2 (counter = with continue count from previous queue 5)

Example 2:

Ops ((7 days for deadline date):): Order2 -3 (counter =3)

Suitability ((7 days for deadline date):): Order2-5 (counter = with continue count from previous queue 7 = expired) Honor the current queues deadline date.

Example 3:

Ops (4 days for deadline date):): Order3 -3 (counter =3)

Suitability ((7 days for deadline date): Order3- 3 (counter = with continue count from previous queue6 = expired) Honor the current queues deadline date of 7 days

Acceptance Criteria

- The Queue that has the continuous counter selected will honor the deadline length reflected for the previous queue
- Honors current queue expiration/deadline counter (see example 3 in above)
- If continue counter is set, then look at the previous counter to determine the next enumeration
- If continue counter is NOT set, then begin the counter at 0 (reflect the length shown in the deadline length)

Create Report to show all cases affected by the deadline Rule

InsTech will create a report that is similar to the purge policy that will display the cases that have been impacted by the 7 day rule. This will be an activity report that will be sent via email, and can be generated daily, weekly, or monthly, depending on the client's choice.

Acceptance Criteria

- Report will display case name, create date, last activity, days elapsed, status, Agent Name, and Agent ID. This could also contain Activity Type as well as Product Name

Add Custom Dates For Review Queue Expiration (Post 2.15)

Currently when a Queue has a deadline date the user can choose to include Holidays, Weekends and Market days. To support the FINRA regulations we also need to provide a way to let the user select a number of days that FINRA specifies. We want the user to specify these dates so Insurance Technologies does not need to maintain a FINRA calendar. One suggestion was to provide a Calendar control to display all days that are included as well as make it easy to the user to select additional days.

I would suggest including a link to the FINRA website to provide the user easy access to the FINRA calendar.

Acceptance Criteria

- User has an easy way to add additional custom days to the deadline date calculation.
- These custom days will be included in the deadline date calculation the same as weekends, holidays and market days.