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Setup

License/E&O (Errors and Omissions) Tab

The License/E&O tab is located in the Advisor/Agency module. This tab is only available to users with the Agency Manager license and Advisor Contract/License Management user role. The exception is when the Advisor is the user; they can then see the tab only in their own Advisor record.

The License/E&O tab tracks Licensing, Continuing Education and E&O (Error and Omissions) information. Note that the Continuing Education Credit Information section is not available for Agency records.

License/E&O Tab – Advisor

License/E&O Tab – Agency
License Information Spreadsheet

The selected Advisor/Agency’s licensing information, such as the License Number, State, LOB (Line of Business) type and Expiration Date is tracked in the License Information section of the License/E&O tab.

<table>
<thead>
<tr>
<th>License #</th>
<th>State</th>
<th>Status</th>
<th>Effective Dt</th>
<th>Expiration Dt</th>
</tr>
</thead>
<tbody>
<tr>
<td>C7739030</td>
<td>CA</td>
<td>Active</td>
<td>05/24/2004</td>
<td>05/24/1990</td>
</tr>
<tr>
<td>W837482</td>
<td>AZ</td>
<td>Active</td>
<td>02/17/2007</td>
<td>02/17/1997</td>
</tr>
<tr>
<td>O478368</td>
<td>NV</td>
<td>Active</td>
<td>03/12/2006</td>
<td>03/12/1996</td>
</tr>
<tr>
<td>N7393647</td>
<td>VT</td>
<td>Active</td>
<td>02/11/2008</td>
<td>02/11/1998</td>
</tr>
</tbody>
</table>

Records Shown: 4  Total Records: 4

Click the Add button to open the License Information dialog box.

The Selected LOB section of the New License record is used to add the LOB (Line of Business) types for which this license applies. The Resident option is selected if the Advisor lives in the state for the license. The License Type specifies whether it is a corporation license or an individual license. Advisor/Broker specifies whether it is for an Advisor, Agency, or Broker. Line of Business refers to insurance types, such as Life, DI, Medical, etc. If an Advisor has a license with a LOB of Life, then the Advisor is allowed to sell the Life insurance. The following fields are required: License#, Effective, and Expiration. No fields are required if the status of the license is set to Pending.
E&O Status Spreadsheet

Error and Omissions information is tracked by the E&O Status spreadsheet.

Click the Add button in the E&O Status section to open the E&O Status dialog box.

Add the LOB (Line of Business) types for which this E&O applies in the Selected LOB section of the New E&O Status record. The term Line of Business refers to insurance types, such as Life, DI, and Medical. If an Advisor has E&O coverage for a LOB of Life, then the E&O coverage will cover any legal matters dealing with Life insurance. If the Status field is set to Pending, no fields are mandatory.
Cont./Appt. Tab (Contract and Appointment)

Note that the Cont./Appt tab is located in the Advisor/Agency module. This tab is only available to users with the Agency Manager License and Advisor Contract/License Management user role. The exception is when the Advisor is the user; they can then see the tab only in their own Advisor record.

Advisor Contract Information Spreadsheet

The Advisor contract information section tracks the contract that an Advisor has with a Carrier to sell the Carrier’s Products.
1. To add an Advisor Contract, click the **Add** button to open the Contract Information dialog box.

![Contract Information Dialog Box]

2. To assign the commissions to someone other than the selected Advisor or Agency, click the **Assign Comm To** hyperlink, this opens an Advisor/Agency Search where the Advisor/Agency to which the commissions will be assigned can be searched for and selected.

3. A carrier contract can be linked to the advisor contract by either clicking the **Carrier Name** hyperlink to open the Carrier Search dialog box and then searching for and selecting a Carrier and a Contract; or, by clicking the **Contract Name** hyperlink to open the Contract Search dialog box, searching for and then selecting a Carrier Contract to return to the (previous) dialog box.

4. The Contract Type automatically defaults per the Contract selection.

5. Supervisor Information automatically populates if the Advisor has a supervisor contact linked to it from the Advisor Personal tab.

6. After entering the information, click the **OK** button.

7. Add the LOB (Line of Business) types for which this contract applies in the Type section of the New Contract record. Line of Business refers to insurance types, such as Life, DI, Medical, etc. If an Advisor has a contract with a LOB of Life, the Advisor can then sell the Life insurance for the specified insurance carrier.
8. Click the **Super Add** button to open the Contract Information dialog box.

![Contract Information Dialog Box](image)

9. This function allows the user to not only add an Advisor contract, but add the Carrier Contract as well.

**Appointment Information Spreadsheet**

The Appointment Information spreadsheet tracks the Advisor’s appointments.

<table>
<thead>
<tr>
<th>Carrier Name</th>
<th>Contract Do</th>
<th>Start Date</th>
<th>End Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABC Life</td>
<td>L-47593</td>
<td>06/02/02</td>
<td>06/16/02</td>
<td>Active</td>
</tr>
<tr>
<td>BNH Financial</td>
<td>L-47341</td>
<td>06/02/02</td>
<td>06/16/02</td>
<td>Active</td>
</tr>
<tr>
<td>BNH Financial</td>
<td>L-47342</td>
<td>06/02/02</td>
<td>06/16/02</td>
<td>Active</td>
</tr>
<tr>
<td>21st Century Life Insurance</td>
<td>L-47343</td>
<td>06/02/02</td>
<td>06/16/02</td>
<td>Active</td>
</tr>
</tbody>
</table>
1. To add appointment information, click the **Add** button to open the Appointment Information dialog box.

2. The mandatory fields are Carrier Name, Appointment #, and Start Date. If the Status field is set to Pending then only the Carrier field is mandatory.

3. Add the LOB types for which this appointment applies in the Type section of the New Appointment record. The term Line of Business refers to insurance types, such as Life, DI, Medical, etc. If an Advisor has an appointment with a Life LOB, then the Advisor is appointed to sell Life insurance in the specified state or states.

4. The County field becomes available only when Florida is the selected State.

5. In the Setup section for the PCM/Policy modules, the user can specify whether they want all states to be available for selection or only the states for which the Advisor has a license. For more information on the Setup for the PCM/Policy modules, see the *Policy and PCM Setup* document.
Advisor Requirements

A user must have the Advisor Contract/License Management and the Pending Case & Policy Setup Administrator user role to access this setup. To open the Advisor Requirements, select Setup from the Policy/PCM Setup expanded menu. The Master Setup List dialog box displays; select Advisor from the Requirements expanded menu to open the Requirement Search dialog box.

To add a requirement, click the Add button in the Advisor Requirement Summary section.

Agency Manager Setup

A user must have the Advisor Contract/License Management and the Pending Case & Policy Setup Administrator user role to access this setup. To open the Agency Setup, select Setup from the Policy/PCM Setup expanded menu. The Master Setup List dialog box displays, select Agency Manager Setup to display the setup categories.
Agency Setup

Select **Agency Setup** from the **Agency Manager Setup** expanded menu to display the detailed setup options.

### Alarm Before Expiration (in Days)

An alert is created when an Advisor's license, contract, appointment, or E & O information will expire within the specified number of days.

<table>
<thead>
<tr>
<th>Licensing</th>
<th>Contracting</th>
</tr>
</thead>
<tbody>
<tr>
<td>30</td>
<td>30</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E &amp; O</th>
<th>Appointments</th>
</tr>
</thead>
<tbody>
<tr>
<td>30</td>
<td>30</td>
</tr>
</tbody>
</table>

### Advisor Checks

Designate whether advisor checks are to be done when the user changes the Carrier, Product, or State for a pending case.

- **Summary of case statuses for Advisor checks**
  - **Perform Advisor Checks**: ✔

### Advisor Check Prompting

When a new Carrier is added, the Advisor Check Prompting fields will automatically populate to the following.

- **Verify License**: ✔
- **Verify E&O**: ✔
- **Verify Contract**: ✔
- **Verify Appointment**: ✔

### Appointment State Selection

Select the states to display in the Appointment Detail section while adding or modifying appointments for Advisors.

- **Show All States**
- **Show States With Licenses**
Advisor Assignment

An Agency Manager can assign him/herself to mass Advisors from this section instead of one by one in the Advisor module.

To add the Advisor assignment, click the **Add** button and then select the Assignment type. Select the Advisor from the list of Advisors and then click the **OK** button. The Assignment will be added for the current Agency Manager. For more information on Advisor Requests, see the Advisor documentation.

Manager Redirect

An Agency Manager can temporarily give their Advisor Request obligations to another Agency Manager by selecting Manager Redirect. All requests that were assigned to one Agency Manager will display for the selected Agency Manager. This change can be viewed within a request as well. When removed, all requests will return to the original Manager.

Default Agency Manager

If no Agency Manager is assigned to an Advisor, the Advisor’s requests are assigned to the default Agency Manager for the Manager (Request) type.

Click the **Add** button to assign a default Agency Manager.
Advisor Request

Advisor Requests can be displayed in three ways:

- Through the Agency Manager global list (open by selecting the Advisor/Agency menu item and then select Advisor Request from the expanded menu),
- On the Advisor level, and
- On the Pending Case level.

Advisor Request/Requirement Tab

All the Requests that are assigned to an Advisor are viewable from the Advisor Request/Requirement tab within the Advisor module.

Adding a Request

Click the Add button on the Advisor Request Summary toolbar and then select the Advisor Request Type.

Not all fields apply to the type of request that is being added. The Follow-Up field enables the Agency Manager to follow up in a timely matter on the outstanding request. If for any reason the request needs to be added to a different Agency Manager, this can be performed when adding a new Request. Any Remarks that apply specifically to this request are tracked in the Remarks section. The Requirement Summary section lists all of the requirements attached with the Advisor request.
Adding a Requirement

Click the Add button on the Requirement Summary toolbar to open the Requirement Detail dialog box.

The Requirement drop-down menu lists all of the Advisor Requirements added in the Advisor Requirement Summary section of the Master Setup List. The Status is the current status of the Advisor Request Requirement. The Assigned To field is for the user to which the requirement is assigned. This can differ from the Request Agency Manager.

Completing a Requirement

To mark the requirement as Completed, select the requirement(s) and then click the Complete Requirement button on the Requirement Summary of the Advisor Request.

Completing a Request

To complete an Advisor request, select Completed from the Status drop-down list and then click the Save button. SmartOffice verifies whether the Advisor(s) of the selected Advisor Request has the proper License/Contract/Appointment/E&O information; otherwise, a message box displays. For example, when verifying the Appointment, the system will check to see if there is an existing Appointment for the selected Advisor, if so, it will then check the Carrier, LOB, State, and Expiration Status. If the Appointment does not completely match the criteria, the user will be prompted once. The prompt will include the information that the advisor does not fulfill. The user can choose to add the missing appointment information or cancel the process. The user will see this prompt only once and if the request is not marked as complete successfully, during the next processing of the request the request will be marked as complete without a prompt.

If the user clicks the No button then a message box displays stating that the request cannot be marked as completed.
Click the **Yes** button to open the Appointment Information dialog box. Users can modify existing Appointments or add new Appointments from this dialog box.

**Detail Tab**

Note that only the Agency Manager can modify the Request Details. This user is identified as the Current Manager.

The Detail tab displays detailed information on a selected request. Not all fields apply to the type of request you are viewing. The Follow-Up field enables the Agency Manager to follow up in a timely manner on the outstanding request. The Original Manager, Current Manager, Created By, Created On, Modified By, and Modified On fields are read-only. Any Remarks that apply specifically to this request are tracked in the Remarks section. The Requirement Summary section lists all of the requirements attached to the Advisor request.
History Tab

The History tab tracks changes in the statuses and dates on the selected request.

Request Buttons

PCM Button
To view the related pending case for the Advisor Request, tag a request that was added during the PCM Add process and then click the PCM button. The associated case’s Detail tab displays.

Take Back Request Button
If an Advisor has taken over ownership of a request from another Advisor, the original owner can take the request back with the Take Back a Request button.

Sending Correspondence
When sending correspondence to a carrier for an Advisor Request, the letter will log to the Advisor's Letters/Documents tab and the Advisors SmartPad, not to the Carrier’s SmartPad.

Search

Advisor Request
An Agency Manager can display all requests assigned to them by selecting Advisor/Agency and then selecting Advisor Request from the expanded menu to open the Advisor Request Search dialog box. Click the Search button to display all open requests. Select the Show Advisor Request Assigned to Me option to display all open requests for the current user.
The Advisor Request Summary displays all advisor requests that a specific Agency Manager is responsible for. Advisor requests are specific tasks for which an Agency Manager is responsible. For example, Agency Manager Jones is responsible for seeing that Ronald Odell receives the necessary contracts. Ronald Odell needs a contract with the ABC Life Insurance carrier; therefore, an advisor request is entered into Jones’s Advisor Request spreadsheet. Advisor request entries can be entered both manually and automatically with SmartCaseManager. The Agency Manager Request section consists of a Request Summary tab, a Detail tab, and a History tab.

The Request Summary tab displays an overview of all requests for the Agency Manager.

### Follow-Ups
An Agency Manager can display all request requirements assigned to them by selecting Advisor/Agency and then selecting Follow-up from the expanded menu to open the Advisor Request Requirement Search dialog box. Click the Search button to display all open requirements. Select the Show Request Follow-ups Assigned to Me option to display all open requirements for the current user.
Pending Case Advisor Request

Advisor Request Tab in SmartCase Manager

Note that the Advisor Requests tab is located in the SmartCaseManager module. From the Pending Case Summary, select the Advisor Request tab. The Advisor Request Summary lists all of the requirements to be completed by the Advisor for that particular case including Licenses, Contracts, and Appointments. These requirements are automatically listed when the pending case is added.

PCM Processing

When adding a pending case (or when changing the case status to a status specified in the Setup section), SmartOffice can verify whether the selected Advisor(s) has active License, Contract, Appointment and E&O information. Please refer to the SmartCaseManager User Guide for more details. For example, when verifying the License, the system will check to see if the Advisor has a license, if so, it will then check the Carrier, LOB, and Expiration Status. If the license does not completely match the criteria, the user will be prompted. The prompt will include any other qualifications that the advisor does not fulfill. The user can choose to add an activity, add an Advisor Request, or add the missing license information.

Note that in the Carrier module, alert setups can be modified to verify License, Contract, Appointment and/or E&O information. The agency also has the option of turning the prompt off and having the advisor requests added without an alert.
When adding a pending case and the variable product is selected, an additional license check for the advisor linked to the pending case is performed. The additional variable license check option is only prompted if the product that is selected is marked as a Variable product and the PCM options tab on the Carrier level prompts the case manager for the Verify License selection. At that time, the system prompts the same type of Advisor License verification, but it specifies that it is missing the Variable Line of Business designation. The user will then have the same options as with the License verification process.

Alert Notification for the Advisor Request

Whenever a Request is added either through Advisor Request Add or PCM Add, the alert is sent to the Agency Manager and it logs in the Message Center.