SmartLink for Pending Case Download
User Guide

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Introduction

This guide outlines the use of SmartLink for Pending Case Download for SmartOffice® version 5.1.3 and later. This integration involves being able to retrieve a client's new business (or pending case records) from the carrier automatically through the DataXchange server. For information on purchasing SmartLink for Pending Case Download, please contact E-Z Data's Sales Department at (800) 777-9188. For more information, visit www.ezdata.com.

Requirements for SmartLink for Pending Case Download

- SmartOffice v5.1.3 or higher
- SmartCaseManager module
- License to Process HO Pending Case Status Information
- Registration to SmartLink for Pending Case Download

Registering for SmartLink for Pending Case Download

You must call your E-Z Data customer service representative at (800) 777-9188 to register for SmartLink for Pending Case Download to begin receiving pending cases automatically. Once signed up to receive the download, you will be assigned a mailbox on the DataXchange Server and mailbox login access.

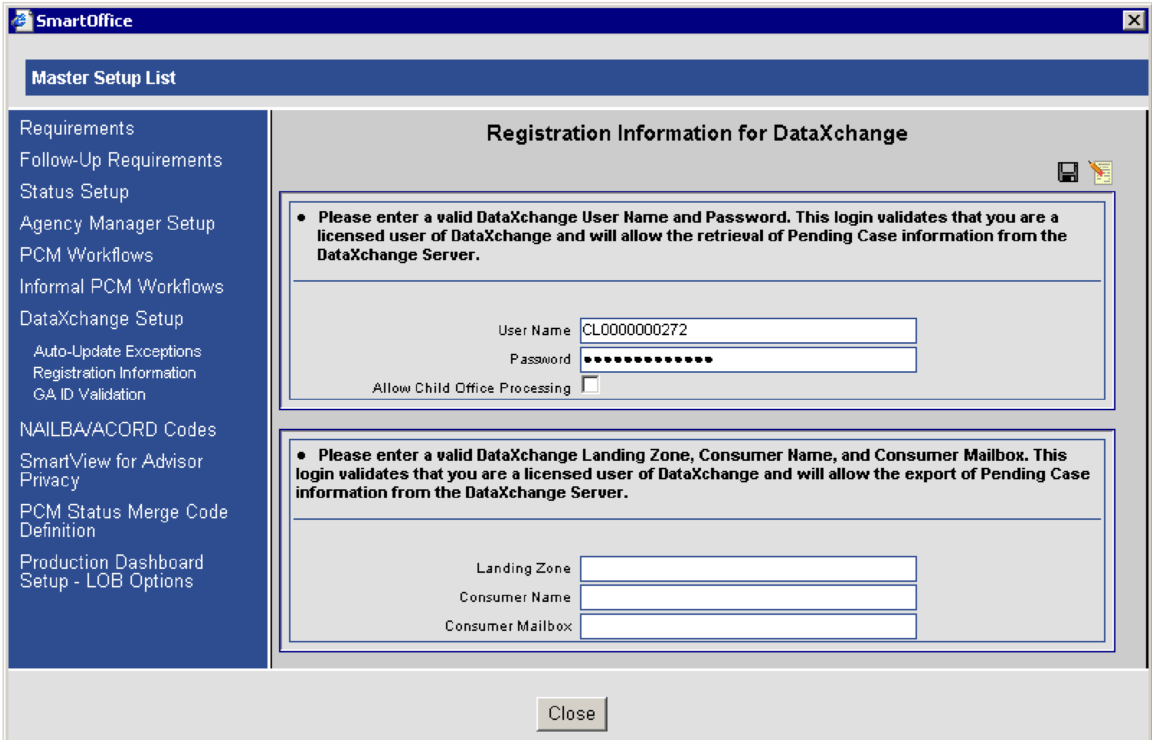
Mailbox Registration

To automatically receive pending cases from your respective carriers, your office must have a mailbox set up with DataXchange. One mailbox can be used for multiple services, such as SmartLink for Pending Cases, SmartLink for iPipeline, SmartLink for Pending Case Export, Service Provider Interface, etc.

To Register Your Agency's Mailbox

1. Select **Setup** from the expanded **Policy/PCM Setup** menu to display the Master Setup List.

2. Select **DataXchange Setup** > **Registration Information** to display the Registration Information for DataXchange.



3. Enter the following values to receive pending cases.

User Name	Name of the DataXchange server mailbox provided by E-Z Data.
Password	Log in to access the mailbox files.

4. Click the **Save** button.
5. To change the Registration information, use the **Clear Registration** button prior to entering the correct User Name and Password combination.
6. Click the **Close** button.

Setting up SmartOffice

In order to receive pending cases automatically, perform the following:

- The carrier record must already exist and have the Carrier ID value entered in the Carrier ID field; otherwise, the pending case will not be automatically downloaded.

  SmartLink for Pending Case Download matches carrier records based on the Carrier ID. The first search is performed in the System office. If the Carrier is not found, it searches the current office. If it is not found, it searches for the office in the parent office if an Enterprise hierarchy exists. If there is no match, the pending case will not be created and an error will be logged.
- Carrier records must be set to receive Direct Download and Replace (DDR). See *Setting up Carrier Records* for instructions.
- The advisor record must already exist and have either the social security number entered in the SS # field or the First Name, Last Name, and Birth Date. Otherwise, the pending case will not be automatically downloaded.

- The client contact records must have either the social security number entered in the SS # field or the First Name, Last Name, and Birth Date.

  Important: SmartLink for Pending Case Download matches contact records based on SS # or First Name, Last Name, and Birth Date. If there is no match, a new contact record will be created, but it will never be updated. This can result in duplicate contact records if this information is incorrect or missing.
- SmartLink for Pending Case Download matches product records based on the Product Code. If there is no match, a new product record will be created.
- Specify your General Agent ID for each respective carrier. See *Setting up Carrier Records* for instructions.

Setting up Carrier Records

For each carrier that will send pending case downloads, set the Download Method to **Direct Download and Replace** within the DataXchange/Resource Data Options section.

To Set the Download Method for Each Carrier

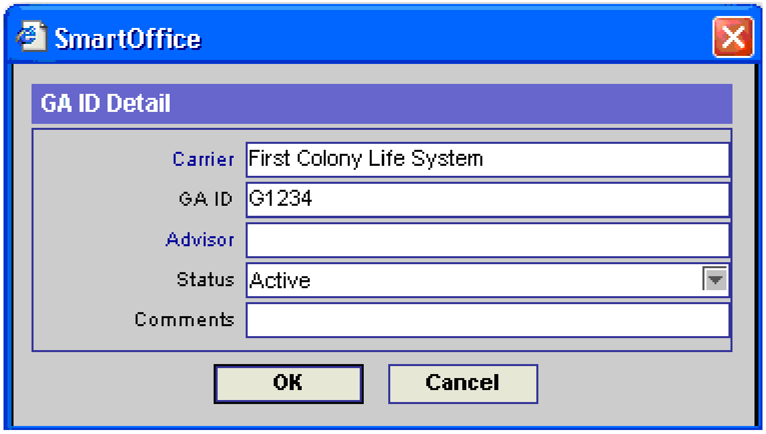
1. Select **Carrier Search** from the expanded **Policy/PCM Setup** menu.
2. From the Carrier Search dialog box, enter the Carrier Name and then click the **Search** button.

   Tip: To view all carriers, leave the Carrier Name field blank and then click the **Search** button.
3. From the **Detail** tab within the DataXchange/Resource Data Options section, specify the following:
   - **Download Method:** Direct Download and Replace
4. Enter a valid Carrier ID value for the Carrier.
5. Click the **Save** button.

To Set the GA ID for Each Carrier

1. Select **Setup** from the expanded **Policy/PCM Setup** menu to display the Master Setup List.
2. Select **GA ID Validation** from the expanded **DataXchange Setup** menu to display the GA ID Summary.

3. For each carrier that will send pending case downloads, ensure that a GA ID record exists:
   a. Click the **Add** button to display the GA ID Detail dialog box.



   b. Enter the carrier name in the Carrier field and then click the **Carrier** hyperlink to associate the carrier with the GA ID record.
   c. Enter the GA ID for the respective carrier.
   d. Set the Status to **Active**.
   e. Click the **OK** button.

What Information is Created/Updated

As pending cases are downloaded, they will be automatically created or updated based on the following logic.

- SmartLink for Pending Case Download will match Pending Cases based on Carrier ID and Policy #.
  - If a match is found, Direct Download and Replace (DDR) will:
    - Update the Case Details based on the DDR settings specified for the selected Carrier (e.g., to update the case status only or to update all case details).
    - Delete all the Requirements and Requirement Notes associated with that pending case that are flagged as downloaded by DDR and insert the ones from the pending case download.
    - Delete all of the Case Notes associated with that pending case and insert the ones from the pending case download.
  - If a match is NOT found, DDR will insert a new Pending Case with the following values:
    - Insert the pending case details.
    - Insert all of the Requirements and Requirement Notes associated with that pending case from the pending case download.
    - Insert all of the Case Notes associated with that pending case from the pending case download.

Pending Case Details

The following are important reminders about the way Case Details are updated through DDR.

- Case details will be overridden; the changes will be logged in the Import Log. For more information, see the *Import Log* section.
- Policy/Case notes associated with a pending case created through DDR will be set to read-only, as they will be overridden. Thus, you will not be able to modify or delete them. If the user wants to make additional notes for the case or requirement, it is recommended that notes be entered for the contact record instead.

  Note: SmartOffice will display the appropriate message when attempting to perform any override.

<table>
<tr><th>Pending Case Sections</th><th>Descriptions</th></tr>
<tr><td>Status and Dates</td><td>The information within this section will reflect the updates made by the carrier.

For pending cases created by DDR, the Status History dates are updated based on the dates received in the download file. There can be multiple statuses with corresponding status dates.</td></tr>
<tr><td>Basic Policy Information</td><td>Pertinent information regarding the pending case will be updated to reflect the changes made by the carrier, if any.

Important: If the Policy # is blank, it uses the Carrier ID and the Insured SS #. If the SS # is not found, it looks for the Last Name, First Name, and DOB. If the insured has multiple pending cases and the Policy # does not exist, it tries to find a match with the Face Amount.

Carriers

During pending case creation or update, DDR will attempt to match the Carrier based on the Carrier ID.

If an Enterprise Hierarchy does NOT exist within SmartOffice:
DDR will search both the System and Current Office.
If a matching Carrier is found, the Carrier will be linked to the Pending Case.
If a matching Carrier is NOT found, an error will be generated in the import log, which will include the Carrier ID and Policy # for the Pending Case record.
If multiple Carriers are found, an error will be generated in the import log, which will include the Carrier ID and Offices Names in order to help resolve the issue.
If an Enterprise Hierarchy exists within SmartOffice:
DDR will search for the Carrier in the System, Current Office, and the offices within the hierarchy (offices above the current office and within the hierarchy, e.g., parent offices).</td></tr>
</table>

Pending Case Sections	Descriptions
	- If a matching Carrier is found, the Carrier will be linked to the Pending Case. - If a matching Carrier is NOT found, an error will be generated in the import log, which will include the Carrier ID and Policy # for the Pending Case record. - If multiple Carriers are found, an error will be generated in the import log, which will include the Carrier ID and Offices Names in order to help resolve the issue. **Plans** Similar logic applies for Plans. During pending case creation or update, DDR will attempt to match the Plan based on the Carrier ID and Product Code. If an Enterprise Hierarchy does NOT exist within SmartOffice: • DDR will search both the System and Current Office. - If a matching Plan is found, the Plan will be linked to the Pending Case. - If a matching Plan is NOT found, a new product record will be created. - If multiple Carriers are found, an error will be generated in the import log, which will include the Carrier ID, Plan Name, Plan Code, and Office Names in order to help resolve the issue. If an Enterprise Hierarchy does exist within SmartOffice: • DDR will search for the Plan in the System, Current Office, and the offices within the hierarchy (offices above the current office and within the hierarchy, e.g., parent offices). - If a matching Plan is found, the Plan will be linked to the Pending Case. - If a matching Plan is NOT found, a new product record will be created. - If multiple Carriers are found, an error will be generated in the import log, which will include the Carrier ID, Plan Name, Plan Code, and Office Names in order to help resolve the issue.

Pending Case Sections	Descriptions
Important Contacts	Within this section, only the Contact, HO Rep, and Underwriter will be updated. **Contact** During pending case creation or update, DDR will attempt to match the Contact (Insured) based on the SS #/Tax ID or Last Name, First Name and Date of Birth or Last Name and First Name. • If a matching Contact is found, it will be linked to the Pending Case. • If a matching Contact is NOT found, it will first be created and then linked to the Pending Case. • If multiple Contacts are found, the first matching Contact will be linked to the Pending Case. **Note:** Once the contact is created, it will not be updated. **HO Rep** During pending case creation or update, DDR will check the HO Rep field to check if it is blank. If so, it will attempt to match the HO Rep based on the Last Name, First Name, Contact Type= HO Rep, and Employer=CarrierID. • If a matching HO Rep is found, it will be linked to the Pending Case. • If a matching HO Rep is NOT found, it will first be created and then linked to the Pending Case. • If multiple HO Reps are found, the first matching HO Rep will be linked to the Pending Case. **Note:** Once the HO Rep is created, it will not be updated. **Underwriter** During pending case creation or update, DDR will check the Underwriter field to check if it is blank. If so, it will attempt to match the Underwriter based on the Last Name, First Name, Contact Type=Underwriter, and Employer=CarrierID. • If a matching Underwriter is found, it will be linked to the Pending Case. • If a matching Underwriter is NOT found, it will first be created and then linked to the Pending Case. • If multiple Underwriters are found, the first matching Underwriter will be linked to the Pending Case. **Note:** Once the Underwriter is created, it will not be updated.
Premium Information	Pertinent information regarding the pending case will be updated to reflect changes made by the carrier, if any.

Pending Case Sections	Descriptions
Policy Advisor Summary	The respective advisors will be created or updated accordingly. **Primary Advisor** During pending case creation or update, SmartLink for DDR will attempt to match the Primary Advisor based on the SS #/Tax ID or Last Name, First Name. • If a matching Advisor is found, the Advisor will be linked to the Advisor Interested Party with the Role of Primary Advisor. • If a matching Advisor is NOT found, an error will be generated in the import log, which will include a specific message, for example, 'An advisor record for Primary Advisor (SMITH, HAROLD R) was not found. Please create an advisor record.' • If multiple Advisors are found, the first matching Advisor will be linked to the Advisor Interested Party.
Policy Insured Summary Policy Relationship Summary	The respective interested parties on the pending case will be created or updated accordingly. **Primary Insured** During pending case creation or update, SmartLink for DDR will attempt to match the Primary Insured based on the SS #/Tax ID or Last Name, First Name, and Date of Birth or Last Name, and First Name. • If a matching Contact is found, it will be linked to the Pending Case with the role of Primary Insured. • If a matching Contact is NOT found, it will first be created and then linked to the Pending Case with the role of Primary Insured. • If multiple Contacts are found, the first matching Contact will be linked to the Pending Case with the role of Primary Insured. **Note:** Once the contact is created, it will not be updated. **All Other Interested Parties** During pending case creation or update, SmartLink for DDR will attempt to match the Interested Party based on the Last Name, First Name, and Date of Birth. • If a matching Contact is found, the Contact will be linked to the respective Interested Party. • If a matching Contact is NOT found, the Contact's Name (First and Last Name) will be included to show the Interested Party on the case, but a contact will not be created. • If multiple Contacts are found, the first matching Contact will be linked to the respective Interested Party.

Contact Creation

When a contact is created through DDR, the following information will be included if it is available in the download.

- Name
    - Person: Title, First, Middle, Last Name, and Suffix
    - Business: Company Name
- SS # or Tax ID
- Gender
- Birth Date

Underwriting Requirements

The following are important reminders about the Underwriting Requirements that are automatically created through DDR.

- Underwriting requirements created through DDR will be set to read-only; thus, you will not be able to modify or delete them.
- Any notes pertaining to an underwriting requirement created through DDR will also be set to read-only; thus, you will not be able to modify or delete them.
- You can add your own underwriting requirements and their respective requirement notes to pending cases in addition to those that are automatically created through DDR. These underwriting requirements and their notes will never be updated or deleted by DDR.
- Requirement notes cannot be added to underwriting requirements that are automatically created through DDR, as they will be overridden. It is recommended that notes be entered for the contact record instead.

Note: SmartOffice will provide the appropriate message if you attempt to do anything that will be overridden.

Underwriting Requirements	Descriptions
Underwriting Requirement Details	Pertinent information regarding the underwriting status will be updated to reflect the changes made by the carrier, if any.
Requirement History Summary	The respective requirement history status will be noted to show when the requirement status was changed and other important details.
Description	Includes the description of the requirement.
Remarks	Includes additional notes or comments on the requirement and requirement details.
Requirement Notes	Requirement notes attached to the requirement will be included.

Reports: Quickly Finding New and Updated Cases

There are numerous reports that you can utilize to find exactly which cases were newly created or updated through DDR.

Report Names	Descriptions
Pending Cases Created by Direct Download and Replace	Pending Cases Created by DDR filtered by the Last Activity Date with a Source of Data Type = DDR
Pending Case Requirements Created by Direct Download and Replace	Requirements Created by DDR filtered by the Last Updated Date with a Source of Data Type = DDR

Import Log: Reviewing Changes by Pending Case

The Import Log enables you to review exactly what information was updated per pending case. The Import Log will include the following information.

- Pending case fields that are updated by DDR will be logged.
- The log will include the original value and the current value.
- If the original value is blank, it will be set to dash (-) in the Import Log.

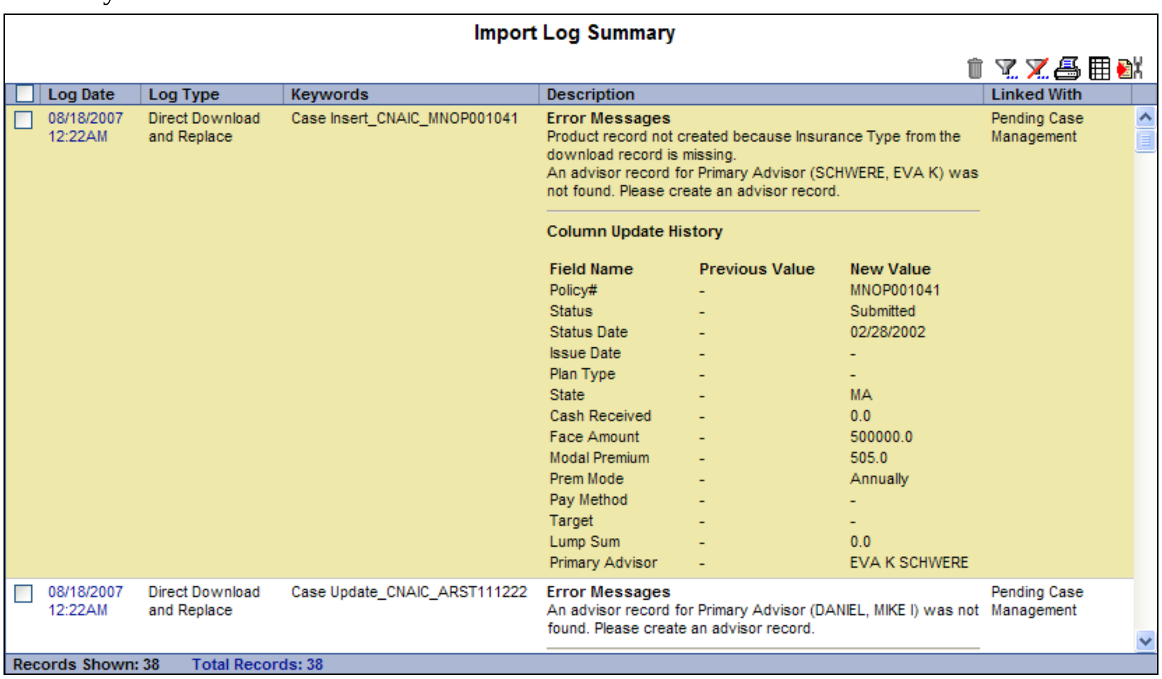
Import Log

The Import Log is used to review the changes that have taken place to any pending case record that was created or updated through DDR.

Note: The Import Log has a Go to the Linked Record button in the toolbar that is used to go directly into the pending case record to review the latest changes and work on the case.

To Access the Import Log

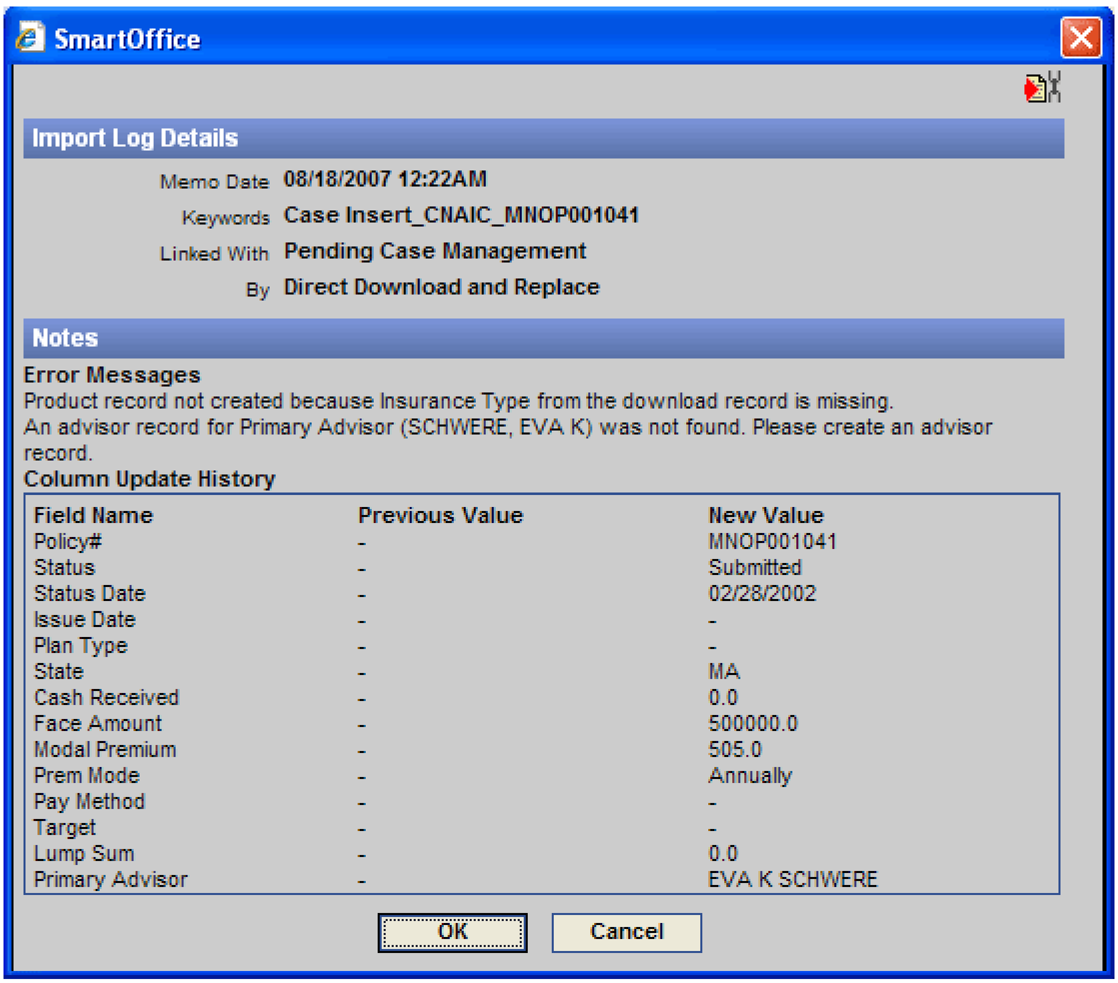
1. Select **Import Log** from the expanded **Miscellaneous** menu to display the Import Log Summary.



2. Select the link associated with the appropriate import log. The import log will vary depending on whether the log was for a pending case that was created or updated by DDR.

Fields	Descriptions
Memo Date	Date and time that the pending case was created or updated by DDR.
Keywords	Begins with Case Update or Case Insert + Carrier ID + Policy Number (e.g., Case Insert_FCL_1233344)
Linked With	Pending Case Management (Type of Record)
By	Direct Download and Replace
Notes	**Error Messages** Within this section, any error messages will be noted in order to resolve the issue in future downloads. **Column Update History** Any fields that were updated will be reflected in this section.
Go to the Linked Record button	Clicking the **Go to the Linked Record** button will open the associated pending case.

Import Log – Created Pending Case



Import Log - Updated Pending Case