

The IMR User Guide

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CONTENTS

1	INTRODUCTION & DOCUMENT SCOPE	5
1.1	Background	5
1.2	This Document	5
1.3	Document Scope	6
2	OVERVIEW OF THE NEW IMR (SYSTEM NAVIGATION & NEW FEATURES)	7
2.1	Overview	7
2.2	Icons	8
2.3	The Navigation Panel	9
2.4	Document Categories	11
2.5	Areas Where Changes Have Been Introduced	12
2.6	Migrated Records and Documents	16
2.7	IMR Screen Names and Numbers	17
3	ACCESSING THE IMR - LOGIN, HOME PAGES AND PASSWORDS	18
3.1	Login Screen	18
3.2	Login Process and Passwords	18
3.3	Other Login Screen Features	19
3.4	IMR Home Pages	20
3.5	Logging-out of the IMR	22
3.6	Change Language	22
4	SEARCH FACILITIES – GENERAL FEATURES	23
4.1	Search Requests	23
4.2	Search Results	25
4.3	Expanding & Collapsing Screen Panels	26
4.4	Use of Scroll Bars	26
5	CONTRACT SEARCH FACILITIES & NATIVE IMR FUNCTIONS	27
5.1	User Access	27
5.2	Contract Search Requests	27
5.3	Contract Search Results	28
5.4	Contract Details Screen	30
5.5	Adding New Documents	37
5.6	Lloyd's Account Enquiry Link	40
5.7	Send Link	40
5.8	Document-Related 'Actions'	41
5.9	Subsequent Signings Screen	53
5.10	Policy Details Screen	54
5.11	Market Details Screen	55
5.12	LPANs & Work Package Submissions	56
6	WORK PACKAGES SEARCHES	58
6.1	Work Package Search Screen	58
6.2	Work Package Details Screen	58

6.3	Work Package Summary Screen	61
6.4	Work Package Statuses	62
6.5	Edited and Rejected Work Packages	63
7	CLAIMS SEARCH FACILITIES & RELATED FUNCTIONS	64
7.1	Introduction	64
7.2	Standard Claim Search	64
7.3	Advanced Claim Search	66
7.4	Claim Search Results	67
7.5	Claim Summary	67
7.6	Claim Transaction Summary	71
7.7	Filtering Claim Transactions	74
7.8	Filtering Claim Documents	75
7.9	Adding Claim Documents	77
7.10	Editing Claim Documents	81
7.11	Document Classifications View	81
7.12	Document Types View	83
7.13	Claim Transaction Status Information	84
7.14	Cross Market Comments Screen	85
7.15	Conflict of Interest	89
7.16	The 'Manage' Function	91
7.17	Add Third-Party	91
8	THE A&S DIRECT LOAD FUNCTION	92
8.1	Introduction	92
8.2	High-Level Process Overview	92
8.3	Creating Work Packages	92
8.4	Editing and Withdrawing Work Packages	102
8.5	Business Scenario & Action Summaries	108
9	THE ECF DIRECT LOAD FUNCTION	113
9.1	System Access	113
9.2	Initial Screen	113
9.3	Add UCR Document Screen	113
10	DRI SUBMISSIONS	115
10.1	Introduction	115
10.2	Inbound DRI Messages	115
10.3	Outbound DRI Messages	117
10.4	ECF Write Back Service	117
10.5	Acknowledgement Messages	118
11	MISCELLANEOUS	119
11.1	eProcessing Issues	119
11.2	Third Party Access	125
11.3	Favorites	126
11.4	Mid-Term Broker Changes	128
11.5	Mid-Term Market Changes	129

11.6	Document File Viewer (ECF2)	130
11.7	Signing Number Information	130
11.8	Links to and from Other Applications	131
11.9	Output from Xchanging	132
11.10	Correction Processing (Post-Signing Corrections)	132
11.11	Items to be Returned Unprocessed	132
11.12	Use of 'Special Characters'	133
12	OTHER INFORMATION	134
12.1	IMR Service Hours	134
12.2	Service Desk Contact Details	134
12.3	Other Reference Material	135
12.4	Supported Browsers	136
13	GLOSSARY	138
	APPENDIX A - ACCESS RIGHTS INFORMATION	142
	APPENDIX B – DOCUMENT TYPES	143
	APPENDIX C – ACCEPTABLE FILE TYPES	145
	APPENDIX D – WORK ORDER COMPLETION GUIDELINES	146
	APPENDIX E – CONFIRMATION EMAILS	149
	APPENDIX F – ENTRY TYPE CODES	150
	APPENDIX G – FILENET SCREEN NAMES AND ID NUMBERS	152

1 INTRODUCTION & DOCUMENT SCOPE

1.1 Background

Welcome to the User Guide for the new version of the Insurers' Market Repository (IMR). The IMR is a key piece of infrastructure for the London Insurance Market. It supports the electronic processing of premiums, policies and claims. The IMR enables users to create, maintain and submit premium, policy and claims documentation to Xchanging and share documents with their trading partners.

Based on statistics produced at the end of 2016, the IMR manages over 63 million documents, has over 10,500 registered and active users with an annual user growth rate of 15%.

The underlying document management system of the previous version of the IMR, the WorkSite MP ('WSMP') product, has now been replaced by IBM's 'FileNet' and 'Content Navigator' products. Therefore, the IMR service is now served by a modern and supported technology platform.

Although no major process changes have been introduced as a result of the replacement of the IMR, the User Interface screens differ from the screens that customers have been using in recent years. This document includes copies of the new screens and highlights areas where changes have been introduced.

All the documents that have previously been loaded on to the WSMP version of the IMR have been migrated across to the new IMR. Therefore, users can view all the documents (and supporting data) that they were previously able to access.

1.2 This Document

This document provides detailed information relating to how premium, policy and claim documentation can be loaded to and viewed on the IMR. It describes how customers can use the IMR to:

- Use web-based facilities to load documentation to the IMR and submit work packages to Xchanging.
- Use Document Repository Interface (DRI) messages generated by customers' own in-house applications to submit new documents and construct work packages.
- Search for and view contract, claim and work package records and their associated documentation.
- Take other actions such as creating new versions of documents and downloading documents.

NB: Access to some of the functions covered in this document is restricted – i.e. there are some functions and screens that users who work in brokers' and carriers' offices will not be able to access. Refer to Appendix A.

1.3 Document Scope

1.3.1 In Scope

This document provides information on the following processes:

- a) How to search for and view contract-related documents and data.
- b) How to search for and view claim-related documents and data.
- c) How to search for and view premium, treaty and policy-related work packages that brokers have submitted to Xchanging.
- d) How to use functions within the IMR to download documents, create new versions of documents, load new documents, etc.
- e) How to use the new A&S Direct Load function to submit premium, treaty and policy work packages to Xchanging.
- f) How to use the new ECF Direct Load function to add claim-related documentation to the IMR.
- g) How to use ACORD Document Repository Interface (DRI) messages to submit premium, treaty and policy work packages to Xchanging and load claim-related documents to the IMR. (Only a high-level summary is provided on this topic.)
- h) Explanations are also provided on processes that should be followed in situations where there are Mid-Term Broker Changes, Mid-Term Market Changes or where third-party organisations need to be given access to UMR and/or UCR records and documents.

1.3.2 Out-of-Scope

This document does not provide detailed information on any of the following:

- a) Claim processing and use of the 'ECF2' services.
- b) Loading claim documents to the IMR via the Document Management Service (DMS). No changes have been made to this application.
- c) Submitting work packages via the eAccounts service.
- d) Submitting work packages via the Post-bind Submissions (PbS) service – i.e. the new processes and applications that have been developed under the Central Services Refresh Project ('CSRP').
- e) How market organisations should develop their own systems or interfaces to the IMR/Xchanging.
- f) Systems and processes that are used internally within Xchanging.

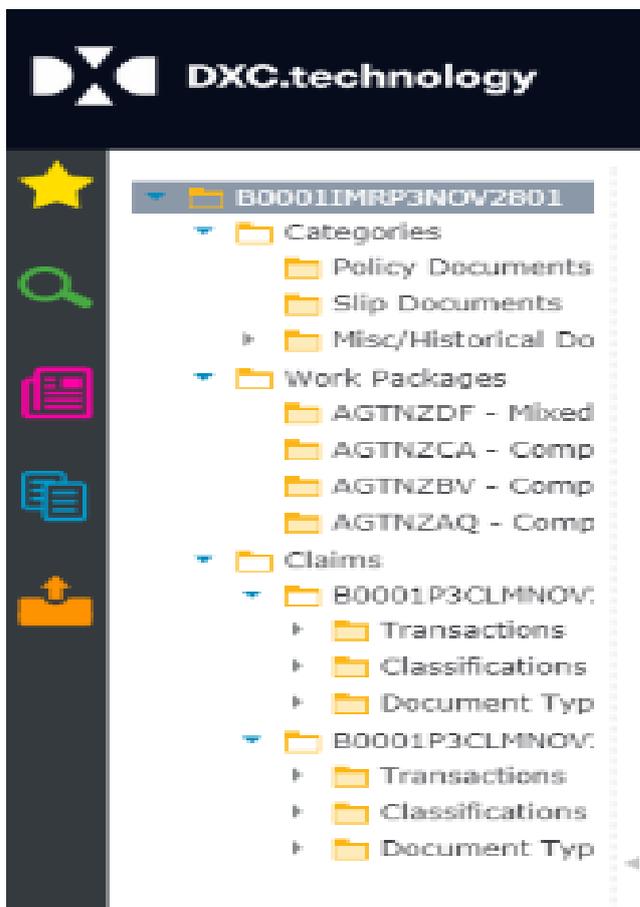
Details of how customers can find further information about the services that are mentioned above are provided in section 12.3.

2 OVERVIEW OF THE NEW IMR (SYSTEM NAVIGATION & NEW FEATURES)

2.1 Overview

Once a user has logged-on to the IMR (refer to section 3), the different functions and screens can be accessed via a series of icons that appear on the left-hand side of the main screens within the IMR.

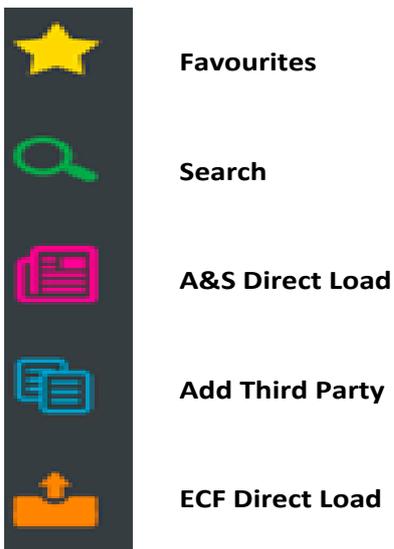
Contract, claim and work package records and documents can be accessed via various links (nodes and sub-nodes) that are displayed in the 'Navigation Panel'. The information that is displayed in the sections in the left-hand side of the IMR screens is shown below.



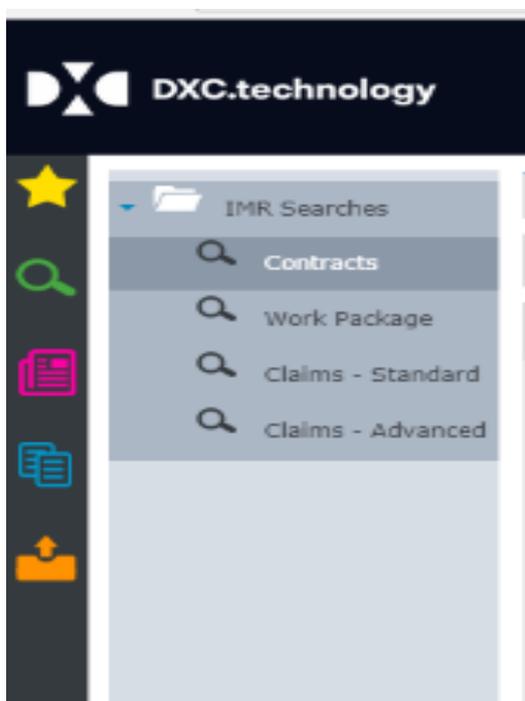
2.2 Icons

Functions and screens within the IMR can be accessed via the icons that are positioned on the left-hand side of the screens. Hovering the cursor over an icon will result in a description of the function appearing. Clicking on the icon will take users to the selected function.

The 5 icons shown below are the top-level menu options within IMR. (NB: Some users may not have access to all these functions – in which case only a sub-set of the icons will be displayed in the Navigation Panel.)



Clicking on the Search icon results in four separate search options being presented to the user – as shown below.

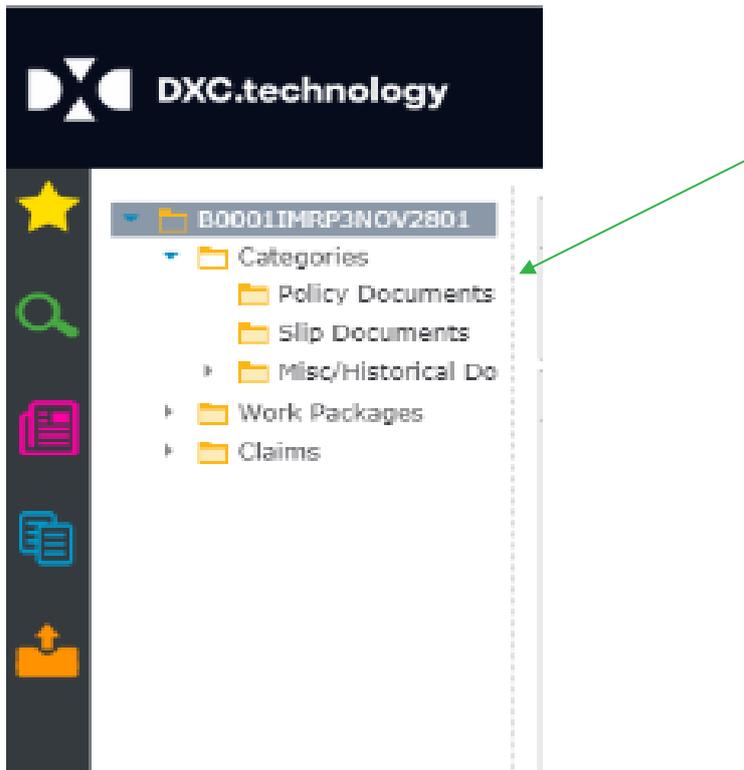


2.3 The Navigation Panel

As mentioned above, screens within the contract, claims and work package search functions can be accessed via the links (nodes and sub-nodes) that are displayed in the 'Navigation Panel' on the left-hand side of the IMR screens. This section provides details of the information that users can access by using the Navigation Panel.

2.3.1 Document Categories

Three different document 'categories' appear in the Navigation Panel once a user has expanded the 'Categories' node. Users can then change the view of the documents that is presented to them on the Contract Details Screen by clicking on one of these document 'categories'. This will result in only the documents for the chosen category being displayed on this screen.

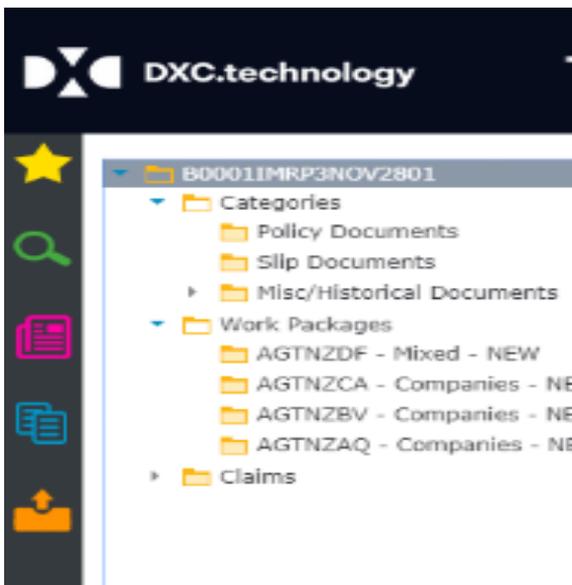


Refer to section 2.4 below.

2.3.2 Work Packages

Users can access details of individual work packages that have been submitted for premium and/or policy processing via the Work Package sub-nodes in the Navigation Panel. The reference, bureau and status of each work package is displayed in the Panel. These act as hyperlinks which take the user to the Work Package Details screen for the selected work package.

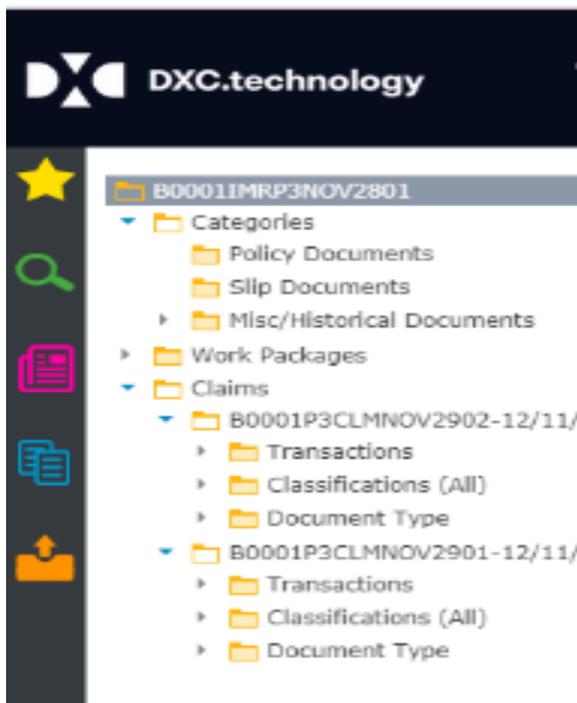
Alternatively, users can access the Work Package Summary screen by clicking on the 'Work Package' hyperlink in the Panel.



More details are provided in section 6.

2.3.3 Claim Records & Documents

Users can access details of claim transactions and claim documents by clicking on the 'Claims' link in the Navigation Panel. A number of options are then available to users. It is possible to view details of claim records (UCRs), individual claims transactions (TRs) or documents (by 'classification' or by a selected document type) via the various nodes and sub-nodes within the claims section of the Navigation Panel – as shown below.

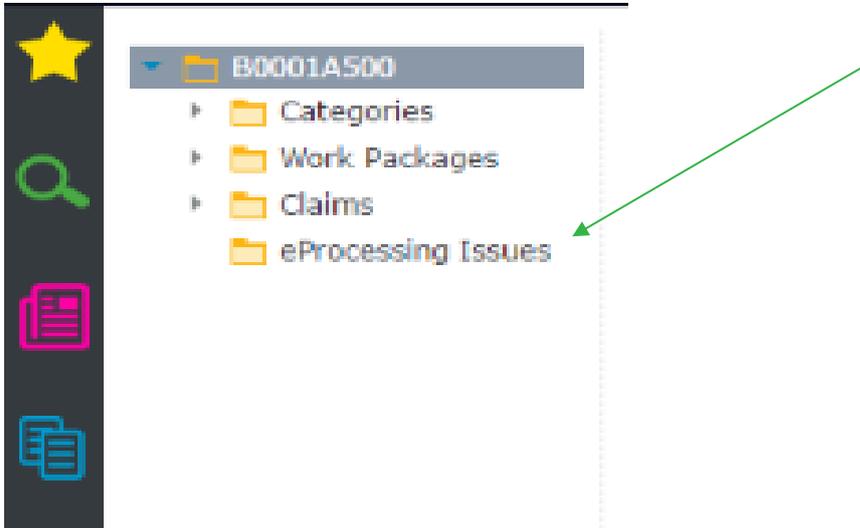


More details are provided in section 7.

2.3.4 eProcessing Issues

'Restricted Access' - This feature is only available to technicians at Xchanging.

This function enables technicians at Xchanging to access a 'notepad facility' where they can record information that they have received when processing a premium/policy submission. More details are provided in section 11.1.



2.4 Document Categories

In the previous WSMP version of the IMR, documents were placed into different folders within the IMR. Document folders do not exist within the new FileNet version of the IMR. Instead of this, documents are categorised. The document categories are as follows:

- **'Slips'** – Documents that are given this category include slips and slip endorsements.
- **'Policy'** – This includes policy documents and agreed wordings.
- **'Misc/Historical'** – LPANs, Treaty statements, premium bordereaux, premium calculations and query sheets are amongst the documents that fit into this category.
- **'Claims'** – All claim-related documents such as claim advices, loss reports and claims bordereaux are included here.

Therefore, the way in which documents are categorised within the new IMR matches the way that documents were grouped together within folders in WSMP.

Users can restrict the number of documents that are displayed on the Contract Details screen by clicking on one of the first three document category links displayed under 'Categories' in the Navigation Panel.

Documents are categorised according to the Document Type that the document owner has allocated to the document when it was loaded to the IMR. Detailed mapping information for document types to document categories is provided in Appendix B.

2.4.1 Categories and Sub-Menus

Users can show or hide the category 'sub-menus' in the Navigation Panel by clicking on the arrows that are displayed against each of the nodes and sub-nodes. For example, claim transactions and claim documents can be viewed via the sub-nodes that are displayed under the 'Claims' link in the Navigation Panel.

2.4.2 Restricted Access

Some of the menu options are not available to all types of users. For example, the LPANs link is not displayed to carriers and 'eProcessing Issues' are only displayed to technicians at Xchanging.

2.5 Areas Where Changes Have Been Introduced

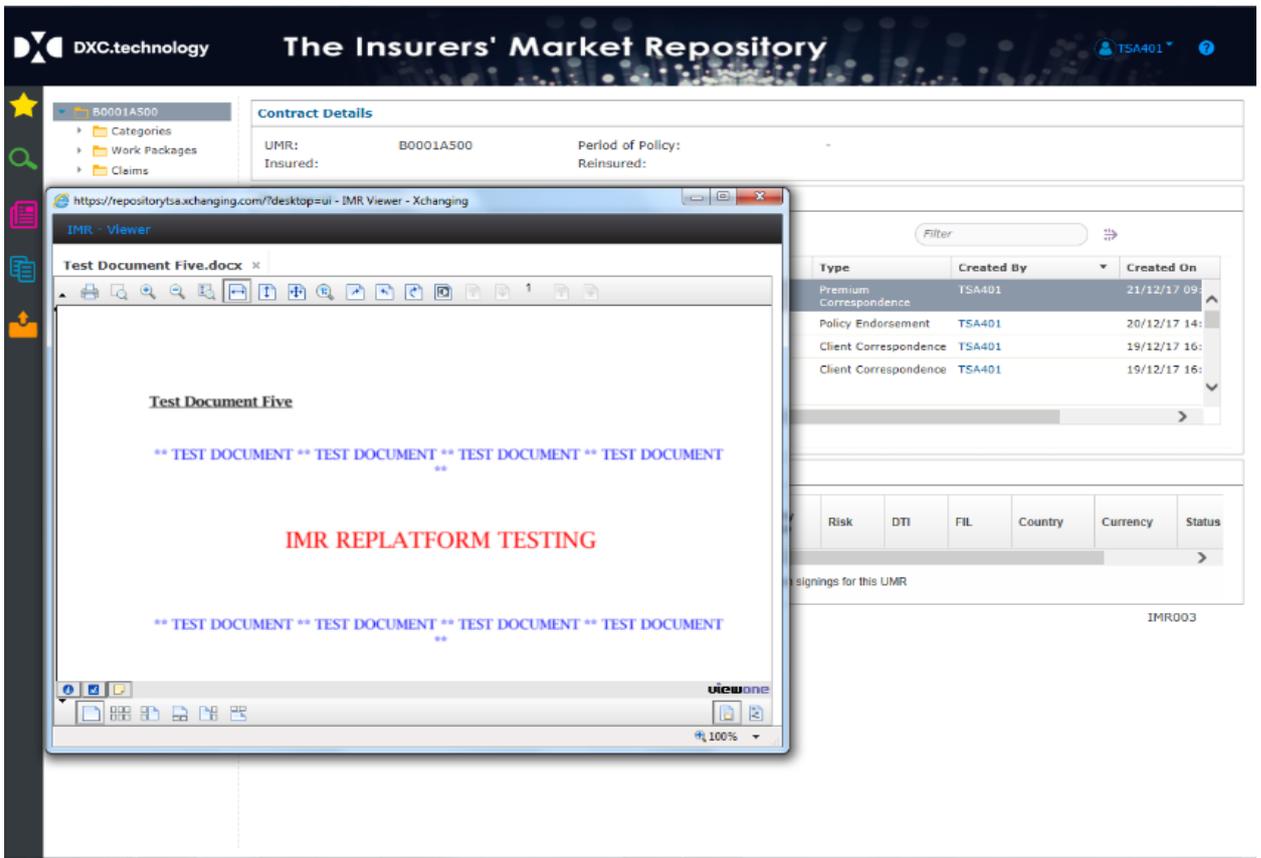
There are some areas where changes have been made. Some of these changes are a result of using the new products (i.e. IBM's 'FileNet' and 'Content Navigator' applications). There are other changes that have been requested or approved by the IMR Replatform Working Group. A summary is provided in the sections below.

2.5.1 Document-Related Changes

2.5.1.1 Viewing Documents and Files

Users can open documents by either clicking on the document name or by selecting the document and clicking on the 'Open' option in the Actions list. The document/file will be opened using locally-installed software. (Further details are provided in section 5.8.)

However, where a user does not have access to the application that is required to open a selected file, the new IMR 'Viewer' can be used to view the contents of the file. A screen shot is shown below.



Users can review documents/files by selecting 'Open', 'Preview' or 'Viewer' in the Actions drop-down list (refer to sections 5.8.1 and 5.8.2). Alternatively, users can select the 'Download' option from the Actions list (refer to section 5.8.4).

NB: It is not possible to view password-protected documents and files via the IMR Viewer. Users should use the 'Download' function (as referenced above), open the document/file in its native application (e.g. Word, Excel, etc.) and then enter the required password.

2.5.1.2 Document Cart Stitching

Users can select multiple UMR documents and merge the content into a single PDF-format file via the new 'Document Cart' application. The file can then either be downloaded or printed. The Document Cart can be accessed via the 'Actions' button on the screens that display details of Policy (UMR) documents. Further details are provided in section 5.8.14.

2.5.1.3 Document Searches & Search Results

Users can select different search filter criteria (e.g. 'starts with'). Refer to the screen shot below. The search criteria entered by the user can be retained – i.e. users can return to their previous search criteria by using the tab at the top of the search screen.

The screenshot shows the 'The Insurers' Market Repository' search interface. The top navigation bar includes the DXC technology logo and the title 'The Insurers' Market Repository'. Below the navigation bar, there are tabs for 'Contracts' and 'Claims Standard'. The main content area is titled 'Search Criteria' and contains several search fields:

- UCR: ?**: Starts With (dropdown menu, highlighted by a green arrow), followed by an input field.
- UMR: ?**: Starts With (dropdown menu), followed by an input field.
- Loss Name: ?**: Equals (dropdown menu), followed by an input field.
- Date of Loss - From: ?**: Equals (dropdown menu), followed by a date input field (dd/MM/yyyy).
- Date of Loss - To: ?**: Equals (dropdown menu), followed by a date input field (dd/MM/yyyy).
- Insured: ?**: Like (dropdown menu), followed by an input field.
- Reinsured: ?**: Like (dropdown menu), followed by an input field.
- Exclude Closed Claims: ?**:

Once on the applicable search results screen, users can filter documents by Document Category or Document Type. Documents can also be sorted by UMR, Document Name and Document Type. Further details are provided in section 4.

2.5.1.4 Restricting Document Access

Users can restrict access to individual documents by indicating that they are loading a 'Confidential Document' and selecting the parties that should be allowed to access the document via the use of an Access Control List. This replaces the 'security' options that were available to users in the previous version of the IMR.

2.5.1.5 Acceptable File Types

Users will be prevented from uploading any file types that do not appear on an agreed list of acceptable file types. (Refer to Appendix C.)

2.5.1.6 Further Document Properties

Users were previously able to supply detailed contract-related data for each document that they loaded on to the IMR. This low-level data included information such as the Name of the Insured/Reinsured and the Insurer/Reinsurer and their contract references. Only a small number of customers have supplied this data in the past. Therefore, the IMR Replatform Working Group agreed that this information does not need to be displayed on the FileNet version of the IMR.

Users cannot now add, edit or view 'Further Document Property' data via any of the user interface screens within the FileNet version of the IMR. However, this data can still be supplied within DRI messages. The information will be stored within the IMR database.

2.5.2 Claim-Related Changes

2.5.2.1 Market Response Screens

Syndicate and XCS users were previously able to review the market for a claim using the 'Market Response Summary' screen. A similar screen has not been developed within the new version of the IMR. This information can be accessed via the Claims Agreement Screens ('CAS') within ECF2.

Syndicate and XCS users were also previously able to respond to a claim using the 'Market Response Details' screen. A similar screen has not been developed within the new version of the IMR. Users in carriers' offices can respond to claims via the Claims Agreement Screens within ECF2.

2.5.2.2 Claims Awaiting Action Screens

A Claims Awaiting Action ('CAA') screen is no longer available in the IMR. Registered users can search for incomplete claims via the CAA search function within ECF2. It is then possible to navigate to the CAS Claim Summary screen.

2.5.2.3 Declaring a Conflict of Interest

Functionality that enables users to declare either an individual or organisational 'conflict of interest' is no longer available within IMR. Users can only declare a conflict of interest within the ECF2 Claims Agreement Screens.

2.5.2.4 Claim Searches

Users can now choose to use either a 'Basic' or an 'Advanced' claim search. The 'Advanced' search screen enables users to base their search upon a wider set of search criteria (by entering, for example, a Lloyd's CAT code). Further details are provided in section 7.

2.5.2.5 Claims Search Results

Two new fields have been added to the Claims Search Results screen, the UMR and the Loss Name.

2.5.2.6 Claim Transaction Summary Details

A consistent view of the Claim Transaction Summary screen will be presented to all users. Syndicate and XCS users were previously able to see an extended version of this screen. More detailed claim information can be accessed via the ECF2 Claims Agreement Screens.

2.5.2.7 Claims Transaction Statuses

Bureau-specific claim status information is now displayed against individual claim transactions. The status displayed was previously based upon the status of the Lloyd's claim. Further details are provided in section 7.

2.5.2.8 Viewing Claim Documents by Document Type

It is possible to view just a sub-set of claim documents by selecting a Document Type. Further details are provided in section 7.12.

2.5.3 Work Package-Related Changes

2.5.3.1 Work Package Searches

Users can generate work package searches by entering a Work Package Reference. Further details are provided in section 6.

2.5.3.2 Work Package Details Screen

Details of individual work packages and their associated documents can now be reviewed on a Work Package Details screen.

2.5.4 System Links

2.5.4.1 Lloyd's Account Enquiry Link

A link to the Lloyd's Account Enquiry system is provided on the Contract Details screen. This system enables users to review a detailed breakdown of the Lloyd's premium transactions that have been processed under the contract. Further details are provided in section 5.6.

2.6 Migrated Records and Documents

As briefly mentioned in the Introduction section of this document, all the records that were created in the previous version of the IMR and all the documents that were loaded on to the previous version of the IMR have been migrated across to the new IMR. Therefore, users can view all the documents and supporting data that they were previously able to see. Further information is provided below.

2.6.1 Document Categorisation

The way in which documents are categorised within the new IMR matches the way that documents were grouped together within folders in the WSMP version of the IMR – i.e. the 'old' documents have been given one of four categories - 'Slip', 'Policy' 'Misc/Historical' or 'Claim'.

2.6.2 IMR User Details & Security Information

All user profiles that existed in the previous system have been transferred across to the new IMR. Users can access the same records and documents in the new IMR that they could access in WSMP – i.e. users have been given the same level of access as they previously had in WSMP. Information relating to the following services has also been migrated to the new IMR:

- Conflict of interest data for claim records;
- Access Control Lists for 'confidential documents';
- Document access records (audit histories).

2.6.3 Document File Viewer & the Document Cart

All documents that were previously loaded onto the Document File Viewer (DFV) File Store have been transferred across to the new environment.

The new 'Document Cart' function enables users to merge content that was loaded on to the WSMP version and/or the FileNet version of the IMR into a PDF format file.

2.7 IMR Screen Names and Numbers

A list of the names of the screens within the new FileNet version of the IMR is provided in Appendix G. A screen ID number appears in the bottom right-hand corner of each of the main screens and these are also shown in Appendix G. Users may find it useful to quote these screen numbers when queries or issues arise.

3 ACCESSING THE IMR - LOGIN, HOME PAGES AND PASSWORDS

3.1 Login Screen

Users will need to access the screen shown below to login to the IMR. A link to the login screen is provided below.

<https://repository.xchanging.com>

The screenshot shows the DXC technology login interface. At the top left is the DXC logo and 'DXC.technology' text. At the top right is a 'Register' link and 'IMR Version 2.0'. Below the header, there are three main sections: 'Useful Links' with links to 'Xchanging Service Status', 'Xchanging', 'London Market Group (LMG)', and 'ECF Info Website'; 'ECF2 Information' with text about obtaining user guides; and a 'Login' panel with input fields for 'Account ID', 'User name', and 'Password', and a 'Log In' button. At the bottom, there is a 'Service Desk Contact' section with a phone number '+44 (0) 870 380 0830' and an email address 'servicedesk@xchanging.com'.

3.2 Login Process and Passwords

3.2.1 User Login

Users need to enter their (4 character) Account Code, their (8 character) User Name and their (8 character) IMR password in the fields that appear in the top right-hand panel of the screen to log-on to the IMR. An error message will be generated if the user does not enter the correct combination. The system will display an advisory message to users when the IMR is unavailable.

NB: Users will be forced to change their password the first time that they log-in to the new version of the IMR.

3.2.2 Passwords

Users can reset their IMR passwords at any time when they are logged-in to the IMR. The Change Password screen can be accessed by clicking on the dropdown arrow next to the user name in the top right-hand side of any of the main IMR screens - see below.



A copy of the Change Password screen is shown below.

 A screenshot of the 'Change Password' form. The form has a light blue header with the text 'Change Password'. Below the header, there are four input fields: 'User ID' (containing 'BKR11'), 'Current Password' (with a red asterisk), 'New Password' (with a red asterisk and a blue information icon to its right), and 'Confirm New Password' (with a red asterisk). At the bottom of the form are two blue buttons: 'Save' and 'Cancel'.

The rules that are applied to IMR passwords are that the password must:

- Be at least 8 characters in length;
- Contain at least one upper/lower case alphabetic character;
- Contain at least one special character (e.g. an exclamation mark or a percentage symbol);
- Not match any of the user's previous 12 passwords;
- Not contain the User's ID.

Users will be forced to change their passwords every 90 days.

NB: Users will need to log back in to the IMR after they have accessed the Change Password screen – even if they have decided not to make a change and have selected the 'Cancel' button on the screen.

3.3 Other Login Screen Features

3.3.1 Useful Links

Clicking on one of the 'Useful Links' that are displayed in the top left-hand corner of the Login screen will result in a screen from the chosen site opening in a new browser window.

The 'Xchanging Service Status' link takes users to a site that provides:

- a) Information on the availability of a range of different applications and services;

- b) Details of whether premium and policy submissions are being processed within the agreed timescales (SLAs).

The other links take users to the Xchanging website, the LMG website and the ECF website.

3.3.2 Service Updates and News

Users can view service-related information via one of four tabs in the panel in the bottom left-hand side of the screen.

- [Service Update](#) - Users can view the 'Service Update' section to confirm that the IMR service is up and running.
- [IT Releases](#) - The 'IT Releases' section provides users with details of both recent and future systems releases. Links are provided to market communications issued by Xchanging.
- [News](#) - A link is provided in the 'News' section to a website that provides the latest information on the ECF2 service.
- [Service Hours](#) - The 'Service Hours' section provides details of the core and non-core hours for the IMR service.

3.3.3 Service Desk Contact

The Service Desk Contact panel (positioned in the bottom right-hand side of the screen) contains contact details for the Xchanging Service Desk.

3.3.4 Register

The 'Register' link in the top right-hand corner of the screen enables users to register for IMR services. This opens an email addressed to the Xchanging Service Desk with the heading 'IMR: Registration of Interest'.

3.4 IMR Home Pages

Users may be directed to one of three 'home pages' once they have successfully logged-in to the IMR. The screen that is presented to the user will depend upon the customer's license:

- [IMR Search Screen](#) – Users with 'Read-Only' access or 'Full Access' will initially be directed to the IMR Search screen.
- [A&S Direct Load](#) – Users with 'Load-Only' access for Accounting & Settlement will be directed to the A&S Direct Load Options screen. (Refer to section 8.3.)
- [ECF Direct Load](#) – Users with 'Load-Only' access for Electronic Claim Files will be directed to the initial ECF Direct Load screen. (Refer to section 9.2.)

The IMR Search screen is shown below as an example.



3.4.1 Returning to the IMR Home Page

Users can return to the (appropriate) IMR Home Page at any point in the process by clicking on the relevant icon in the left-hand side of the Navigation Panel.

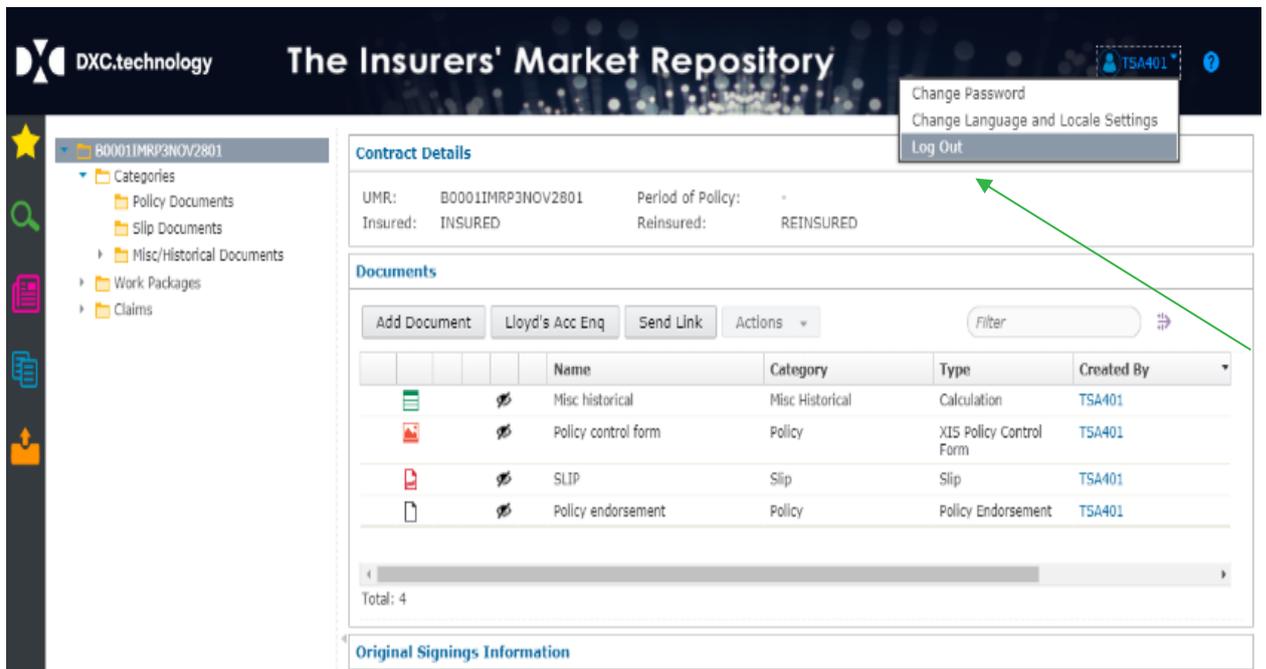
3.4.2 Use of the Back Button

Users should note that clicking on the back button/icon within their browser will not result in the user being taken back to the previous screen that they had accessed within the IMR.

Use of the Back and Forward buttons are not supported within FileNet.

3.5 Logging-out of the IMR

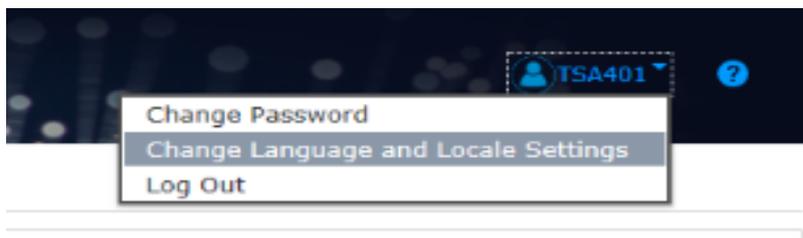
Users can also logout of the IMR by clicking on the dropdown arrow next to the username at the top right-hand side of any of the main IMR screens (as shown below).



If a user is timed-out, when the user re-enters their login details, they will be taken to the screen that they were viewing/using when the timeout occurred.

3.6 Change Language

Users should ignore the 'Change Language' option that is displayed in the drop-down list that appears when clicking on the user name field in the top right-hand side of any of the main IMR screens (as illustrated below). This is a standard feature within the FileNet product that is not being used.



4 SEARCH FACILITIES – GENERAL FEATURES

4.1 Search Requests

The IMR enables users to submit search requests for contract records, claim records and work packages. This includes records and packages that were originally generated on the WSMP version of the IMR. Searches can be opened by clicking on the Search icon on the left-hand side of the IMR Home Page. A copy of the icon is shown below.



Clicking on the Search icon results in four different search options being displayed in the Navigation Panel – ‘Contract’, ‘Work Package’, ‘Claims Standard’ and ‘Claims Advanced’.

The Contract Search screen is initially shown - refer to the screen shot shown below.

The screenshot displays the 'The Insurers' Market Repository' search interface. The top header includes the DXC technology logo and the user ID 'IMRRAV11'. The left navigation panel shows 'IMR Searches' with sub-options for 'Contracts', 'Work Package', 'Claims - Standard', and 'Claims - Advanced'. The main content area is titled 'Contracts' and features a 'Search Criteria' section with the following fields:

- UMR:** Starts With
- Policy Inception Date - From:** Equals
- Policy Inception Date - To:** Equals
- Carrier Code:** Equal to
- Carrier Reference:** Starts With

At the bottom of the search criteria section, there is a 'Search' button, a 'Reset' button, and a checkbox labeled 'Keep search criteria open'. The user ID 'IMR001' is displayed in the bottom right corner. Below the search criteria is a section for 'Search Results'.

4.1.1 Split Screens

Each of the search screens is split into two panels – a Search Criteria panel and a Search Results panel. On initially opening one of the search screens, the Search Criteria panel is maximised and the Search Results panel contains no data and is minimised.

When a user enters some valid search criteria and clicks on the 'Search' button, the Search Criteria panel is minimised and the Search Results panel is maximised. Clicking on the panel heading hides or displays the panel contents.

4.1.2 Search Criteria Screens

4.1.2.1 Drop-Down Fields

The drop-down list to the left of most of the search input fields allows the user to select from the following:

- *Starts With*
- *Like*
- *Equals*

When '*Starts With*' is selected, only UMRs/UCRs that start with the set of characters that the user has entered in the Search Criteria panel will be displayed in the Search Results section.

When '*Like*' is selected, the UMRs/UCRs displayed in the Search Results section will be any UMRs/UCRs that contain the characters entered in the Search Criteria panel. For example, searching for a UMR '*like*' ABC999 will result in all contracts where the UMR field includes the characters ABC999 being listed - a UMR of B0001ABC99901 would be displayed in the Search Results.

'*Equals*' should only be selected if the user is expecting to find an exact match for the record.

Users should, therefore, consider whether they are expecting the system to find an exact match for the record that they need to review or whether they would like to see a selection of partial matches. The default value is '*Starts With*' for most fields. However, a drop-down list is not presented to users for any of the date fields. The date fields all default to '*Equals*'.

All items that match the entered data will be listed in the Search Results panel. NB: If an exact match is found, then the Contract Details screen (for contract searches) or the Claim Summary screen (for claim searches) will be presented to the user.

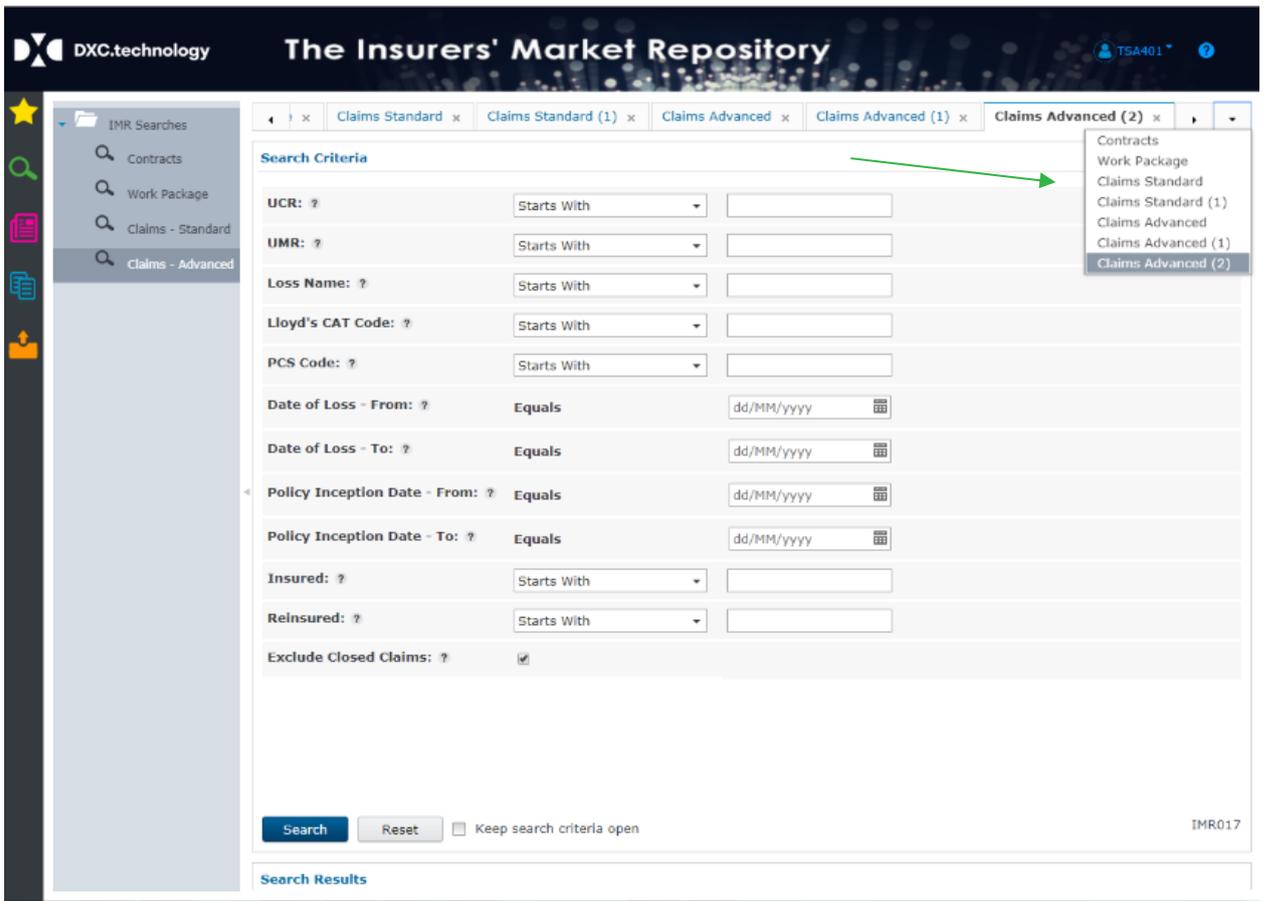
4.1.2.2 Keeping Search Criteria Open

An indicator is displayed at the bottom of the screen that gives users the option to keep the search criteria open. If the indicator is unticked, the search criteria panel is minimised when the 'Search' button is pressed. If the indicator is ticked, then the search criteria panel will be left open.

4.1.2.3 Multiple Search Tabs

Users can open multiple search tabs for any type of search request (contract, work package, standard claims or advanced claims). The search results will remain open until the user closes the tab.

There is also a dropdown menu in the top right-hand corner of the Search Criteria panel which allows users to review any of their open searches. This will appear once the tabs across the top of the screen have exceeded the space available. Refer to the screen shot below.



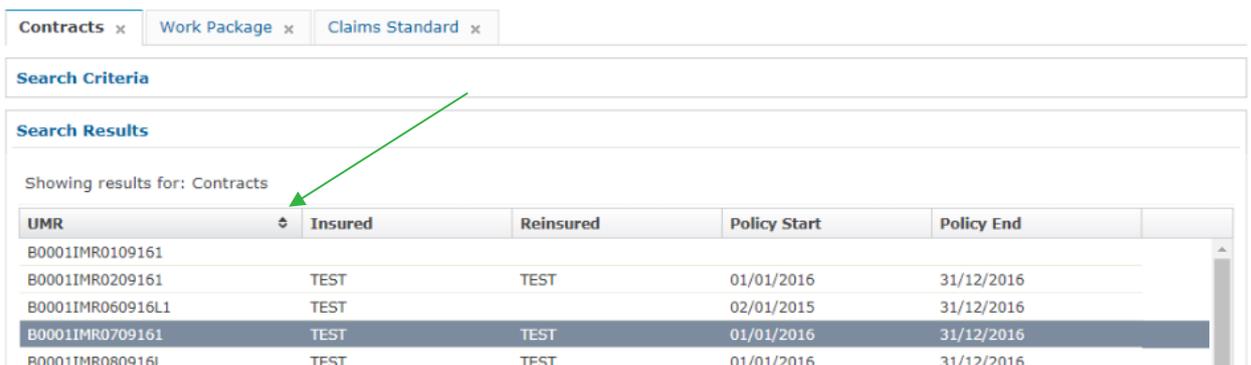
4.1.2.4 Reset Button

Users can clear the search criteria that they have entered by using the 'Reset' button at the bottom of the screen.

4.2 Search Results

Where an exact match is found for the record that the user is searching for, the user will be presented with details of the contract/claim on the appropriate screen. When a set of partial matches is found, the search results will be displayed in a list on the appropriate Search Results screen.

Users can re-order the list of records displayed on the search results screen by clicking on the arrow heads in the title bar of any of the columns, as illustrated below.



The UMRs that are displayed on the Contract Search Results screen act as hyperlinks. Clicking on one of the references takes the user to the Contract Details screen. Similarly, the UCRs that are displayed on the Claim Search Results screen also act as hyperlinks. Clicking on one of these references takes the user to the Claim Summary screen.

NB: Users are only allowed to access documentation and review IMR records for contracts and claims that their organisation is a party to.

4.3 Expanding & Collapsing Screen Panels

Most of the IMR screens are organised into panels that display groups of related information. The screen shown below has 5 panels, identifiable by their blue headings – ‘Claim Summary’, ‘Claim Reference and Details’, ‘Broker Contact Details’, ‘Parallel UCR’ and ‘Transactions’.

Claim Summary - B0001B0001NEWDATA - B0001MUNCH01 - 2017-01-01 - JDDHH

Claim Reference and Details

UCR:	B0001MUNCH01	Insured:	INSURED NAME
UMR:	B0001B0001NEWDATA	Reinsured:	TEST
Claim Status:		Loss Name:	JDDHH
Claimant:		Loss Date:	2017-01-01
Policy Period (From-To):	-	Loss Date Qualifier:	
Associated UCR:			

Broker Contact Details

Broker Number :	0001	Broker Reference 1 :	
Broker Contact :		Broker Reference 2 :	
Broker Phone :			

Parallel UCR

Transactions

Transaction Reference	Lloyd's Status	LIRMA Status	ILU Status
B0001TR04		Awaiting	
B0001TR01	Awaiting		

Total: 2

There are several ways in which users can change their view of data displayed on the IMR screens. It is possible to expand or collapse each of the panels by clicking on the panel heading. There are also arrows positioned in the left-hand side of each of the panels that enable users to expand the user's view of the panel. Users can also drag and drop column borders to increase or decrease column widths.

4.4 Use of Scroll Bars

Where a panel contains more information than can be viewed on a single screen, it is possible to use the vertical and horizontal scroll bars that are positioned on the right-hand side and at the bottom of each of the panels to review details that cannot immediately be viewed on the screen.

5 CONTRACT SEARCH FACILITIES & NATIVE IMR FUNCTIONS

5.1 User Access

The Contract Search function enables users to access UMR records and review premium, treaty and policy documents that brokers have loaded on to the IMR. Users can access the Contract Search screens via the IMR Home Page. It is also possible to access the screen via a link from other applications such as the LPC Signings Enquiry System and the ECF2 Claim Summary screen.

Only users who hold a full repository license can access the Contract Search screens.

5.2 Contract Search Requests

Users can launch a search for UMR records and documents held on the IMR by completing the following data fields:

- The Unique Market Reference; *
- The 'Policy Inception Date From' and (optionally) the 'Policy Inception Date To' can be entered in addition to the UMR, if required;
- Alternatively, users can enter a Carrier Code and Reference.

(* NB: The broker number and prefix must be entered along with at least one character in the broker reference portion of the UMR.)

A screen shot is shown below.

The screenshot displays the 'The Insurers' Market Repository' search interface. The header includes the DXC technology logo and the user 'IMRRAV11'. The left sidebar shows navigation options: IMR Searches, Contracts, Work Package, Claims - Standard, and Claims - Advanced. The main area is titled 'Contracts' and contains a 'Search Criteria' form with the following fields:

Field	Operator	Value
UMR: ?	Starts With	B0001UMR1TSB21NOV
Policy Inception Date - From: ?	Equals	dd/MM/yyyy
Policy Inception Date - To: ?	Equals	dd/MM/yyyy
Carrier Code: ?	Equal to	
Carrier Reference: ?	Starts With	

At the bottom of the search criteria section, there are buttons for 'Search', 'Reset', and a checkbox for 'Keep search criteria open'. The user ID 'IMR001' is visible in the bottom right corner.

5.2.1 UMR-Based Searches

Users can enter either a full or a partial UMR. The broker number and prefix must be entered along with at least one character in the broker reference part of the UMR - unless the 'Like' search criteria option is selected (refer to section 4.1.2.1).

Validation will be applied to ensure that the broker number entered by the user is a valid broker code. A check will also be applied to ensure that the user is permitted to use the broker number that is included within the UMR. An error message will be generated if the user is not 'associated' with the broker number. (The message will advise the user that no matching results have been found.)

NB: If the user enters a UMR then they will not be able to also enter a carrier code and reference.

5.2.2 Searches Based upon the Policy Inception Date

Users can enter a 'Policy Inception Date From' and, optionally, a 'Policy Inception Date To' as part of their search criteria to narrow-down the search request. The system will then only search for policy records where the inception date of the contract falls on or within the date(s) entered by the user.

If only the 'Policy Inception Date From' is entered then the search will only return items that have a matching inception date.

If both dates are entered then the search will return all records which have an inception date that is within this range.

NB: UMR searches that are based partly or totally upon use of the contract inception date fields will only be successful if a claim record has been created on the contract in the IMR.

5.2.3 Searches Based upon Carrier Codes and References

Users in carriers' offices can also launch searches by entering the carrier code and underwriting stamp reference that was applied to the contract. The user must have the necessary access rights to use the carrier code. Data needs to be entered in both the code and reference fields. A check will be applied to ensure that a valid carrier code is entered. Partial reference searches are supported.

NB: If the user enters a carrier code and reference then they will not be able to also enter a UMR or complete the policy date fields.

5.3 Contract Search Results

If an exact match is found on the IMR, the Contract Details screen will be presented to the user. This will display details of the UMR record and documents (refer to section 5.4).

Where the system does not find a complete match from the data that the user has entered, a list of UMRs will be displayed in the Contract Search Results Panel that partially match the details that have been entered. Only those records to which the user has the necessary access rights will be displayed to the user.

The following information will be displayed in the Search Results Panel (subject to the data being available*):

- The UMR;
- The name of the Insured and/or the Reinsured;
- The policy period start date;
- The policy period end date.

The screen below illustrates how the contract search results are displayed in the bottom panel of the Search screen.

The screenshot shows the search interface for 'The Insurers' Market Repository'. The search criteria panel includes the following fields:

- UMR:** Starts With
- Policy Inception Date - From:** Equals
- Policy Inception Date - To:** Equals
- Carrier Code:** Equal to
- Carrier Reference:** Starts With

Buttons for Search, Reset, and a checkbox for 'Keep search criteria open' are present. The search results panel shows a table with the following data:

UMR	Insured	Reinsured	Policy Start	Policy End
B0001UMR	INS		01/01/2015	01/01/2016
B0001UMR0001	DFDF		11/11/2013	11/11/2014
B0001UMR00010	KLSJSJ		01/01/2012	01/05/2013
B0001UMR00011	HHY		01/12/2012	01/12/2013
B0001UMR00012	KSAHS		01/01/2012	01/01/2013
B0001UMR00013	KSHSD		03/04/2013	03/05/2013
B0001UMR00014	JHG		02/02/2012	02/02/2013
B0001UMR00015	HHG		02/02/2013	02/03/2013
B0001UMR00016	JHG		10/02/2013	10/04/2013
B0001UMR00017	LKJ		02/02/2013	02/05/2013
B0001UMR00018	KJHH		02/02/2013	04/04/2013

Total: 500

The UMR records are listed in UMR order in the Search Results panel.

The UMRs listed on this screen act as hyperlinks. Clicking on a UMR will take the user to the Contract Details screen. This will display data and documentation that relates to the selected UMR (refer to section 5.4).

It is possible to re-sort the list of records that are presented on this screen by clicking on the arrow heads in the title bar of any of the columns.

A count of the number of UMR records that have been found is shown at the bottom of this panel. If no records are found for the details that have been entered, then the system will produce a message to advise the user that no results have been found that match the search criteria.

If a partial search request is submitted and there are more than 500 records that match the search criteria, then a message will appear that prompts the user to refine the search criteria that they have used.

(* The Period of Policy fields are populated with data that brokers supply when the first claim record is created on the IMR- These fields will, therefore, remain blank on the Contract Search Results screen and any other screens that display this data if a claim is not submitted on the contract.)

5.4 Contract Details Screen

The Contract Details screen displays high-level details of the contract, contract documentation and original premium signing information relating to the UMR that the user has entered (or selected). A screen shot is shown below.

The screenshot shows the 'Contract Details' screen for contract B0001IMRP3UATPS01. The top panel displays contract details: UMR: B0001IMRP3UATPS01, Insured: TEST, Period of Policy: 01/01/2017-31/12/2017, and Reinsured: VICKS. The middle panel, titled 'Documents', lists several documents including 'Test.doc', '20171012expertuseruploadDocumen Slip', 'ParA12_MRC (1).xlsx', 'ALL UMR data.csv', and 'Doc8.docx'. The bottom panel, titled 'Original Signings Information', shows a table with columns for Broker Signing Number & Date, Carrier Signing Number & Date, Work Package Reference, Bureau, Slip Type, Entry Type, Risk, DTI, FIL, Country, Currency, Status, and Links.

Broker Signing Number & Date	Carrier Signing Number & Date	Work Package Reference	Bureau	Slip Type	Entry Type	Risk	DTI	FIL	Country	Currency	Status	Links
1245110/10/2017	1245110/10/2017	AGTCRX0	Lloyd's	01	NPM	CT	9	XXX3		GBP	NEW	

The panels on the screen can be expanded or collapsed by clicking on the panel heading. Vertical and horizontal scroll bars can be used if the data cannot be displayed on a single screen.

5.4.1 Contract Details

The following information is shown in the top panel on this screen:

- The UMR;
- Policy period details;
- The name of the Insured and/or Reinsured.

5.4.2 Documents Panel

5.4.2.1 Document Details

The Documents panel contains the following information:

- Name – The name that has been given to the document is shown here. Refer to section 5.4.2.3.)
- Category – This column indicates whether the document has been categorised as a 'Slip', 'Policy' or 'Misc/Historical' document. Users can filter the documents so that only those relating to one of these categories is displayed by clicking on one of the document category links displayed under 'Categories' in the Navigation Panel. (Documents are categorised according to the Document Type that was allocated to the document when it was loaded to the IMR. Detailed mapping information for document types to document categories is provided in Appendix B.)
- Type – The Document Type that was allocated to the document when it was loaded on to the IMR is shown in this column.
- Created By – The name (or, in some cases, the Account Code and User ID) of the person who loaded the document to the IMR is displayed in this field. Contact details can be accessed by clicking on the name (or code/ID) displayed in this field. The User Details pop-up screen will be displayed. Refer to the screen shot below.

User Details

Job Title:		Company:	Xchanging
First Name:	Bhupendra	Email:	Test@xchanging.com
Surname:	Prajapati	Business Phone :	
User Name:	BKR/BKRD11	Mobile Phone :	ghj546457
		Fax :	

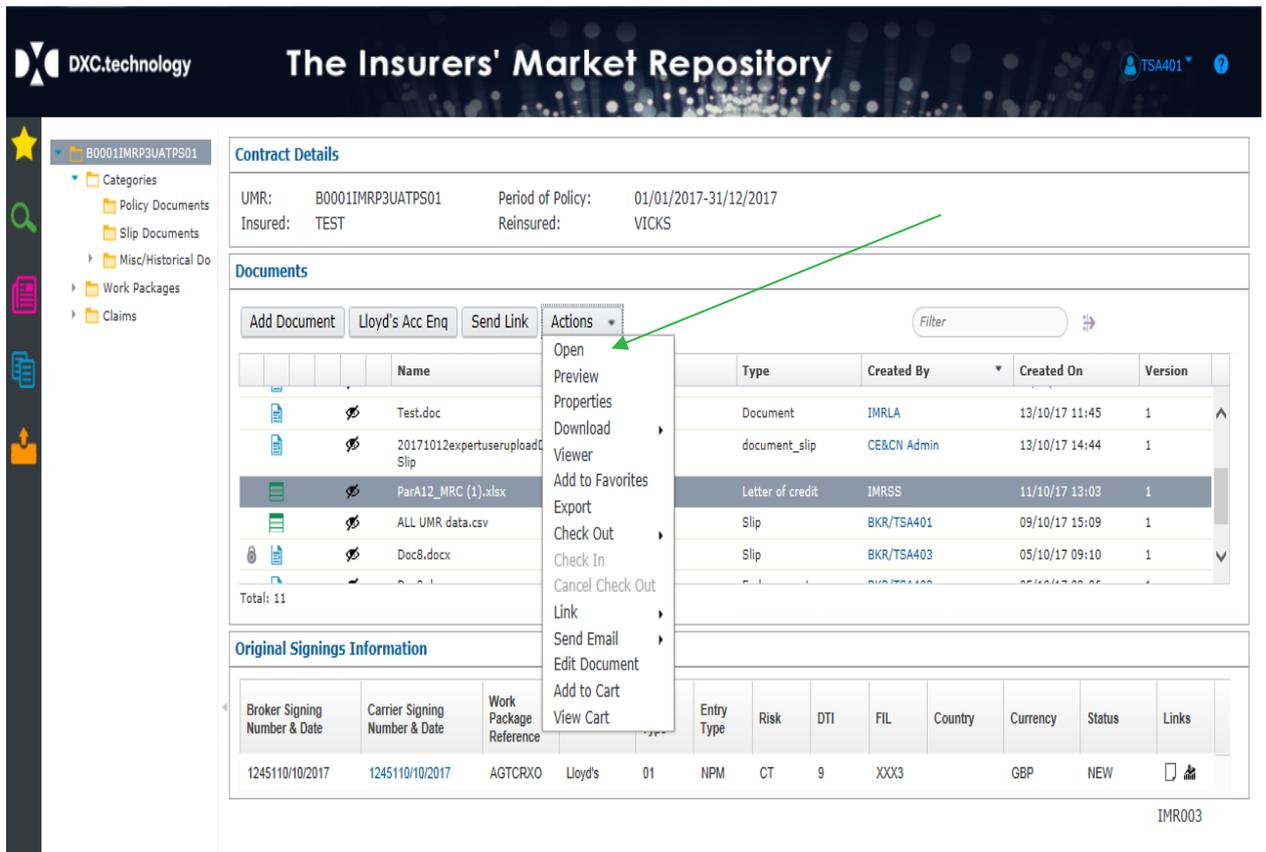
'DRI Import' is shown against documents that were submitted via DRI messages. This field acts as a hyperlink which, if clicked, results in a pop-up screen being displayed that provides further details of the user who loaded the document.

- Created On – The date and time when the document was loaded to the IMR. (If there is more than one version of a document, then the date and time displayed in this field will relate to when the latest version of the document was created.)
- Document Version - The document version number.

Documents are listed in date order – the latest document to be submitted is shown at the top of the list. Users can re-order the list of documents by clicking on the arrow heads in the title bar of any of the columns.

If more than 500 documents have been loaded to the contract record that is being viewed, then a message will appear that prompts the user to either select one of the document categories to view a sub-set of the documents or use the document Filter function. Refer to section 5.8.17.

Documents can be opened by clicking on the document name or by highlighting the document and selecting 'Open' in the 'Actions' list (or by right clicking and selecting 'Open' in the Actions list). A copy of the screen is shown below.



A count of the number of documents that are displayed on this screen is shown at the bottom of the Documents panel.

5.4.2.2 Exclusions

Documents submitted to support claim transactions are not displayed on the Contract Details screen. LPAN documents and Work Orders are also not displayed here.

5.4.2.3 Document Names

The document names that were displayed in the document panels within the WSMP version of the IMR were generated in a number of different ways according to the method that was used to load the document (DRI, Direct Load, DMS, etc.). As an example, the Document Type was sometimes added as a prefix to the document name.

FileNet only displays the actual document name – i.e. the name that was given to the document when it was created. However, the Document Type is usually displayed in a separate field against each of the documents.

5.4.2.4 Document Symbols

6 different document symbols may be displayed to the left of each document line. Details of what these symbols indicate are provided below:

- Checked-Out Documents - A padlock symbol is displayed when a document has been checked-out for editing by another user. Although other users will be able to view the document, they will not be allowed to update the document whilst it is checked-out.
- Document Format – These icons indicate what the document format is - i.e. a Word document, an Excel spreadsheet, etc.
- Emails with Attachments – A paper clip symbol will appear against a document that is an email that has a 'level 2 attachment' - i.e. where an attachment to an email is also an email which has attachments. (Refer to section 5.4.3.)
- New & Updated Documents – A green flag will appear against any document that has been added to the IMR in the previous 24 hours. A red flag indicates that the document has been modified in the previous 24 hours*.
- Read & Unread Documents - A 'closed eye' symbol indicates that the document has not yet been reviewed by the user. This symbol will be displayed for up to 7 days.
- 'Hidden' Documents – This symbol indicates whether the document has been hidden from view. Both the document involved and the hidden symbol will only be visible to Service Desk staff at Xchanging and the user who originally loaded the document. (Refer to section 5.8.15.)

The symbols are shown below.

<i>Icon</i>	<i>Description</i>
	Checked Out
	Document Format
	Attachment Indicator
	New or Modified Flag
	Unread Flag
	Hidden Document

* A red flag will appear in the following circumstances:

- When a user checks-out a document;

- When a user edits a document's properties;
- When a document is associated with a work package;
- When a document is added to an existing work package;
- When a document is associated with an eProcessing issue;
- When a Service Desk user hides or unhides a document.

5.4.3 Emails with attachments

When copies of emails are loaded to the IMR, any attachments to the emails are detached and are loaded and displayed as separate documents. This applies no matter which submission method was used to load the email to the IMR – e.g. DRI messages, Direct Load, one of the 'Add Document' functions, etc.

The documents are also 'converted' into PDF documents so that they can be made available under the Document File Viewer service. (Refer to section 11.6.)

The sections below provide further information on this topic. The processes defined herein are applied to the following email file types - .msg (Outlook) and .eml (Lotus Notes).

5.4.3.1 Different Attachment Levels

There are two different levels of attachments. '*Level 1 Attachments*' are documents that are attached to emails. '*Level 2 Attachments*' refer to situations where an attachment to an email is also an email which has attachments.

Level 2 email attachments are not extracted. Only the email itself is extracted from top level email. An attachment indicator (a paper-clip symbol, as shown in the section above) is displayed on the IMR against Level 2 attachments.

5.4.3.2 Details Displayed for Attachments

Both a prefix and a suffix are applied to the name of each attachment when these are displayed on the IMR. The attachments are prefixed with the name of the parent email and are suffixed with the word '[Attachment]'.

The attachments have hyphens added in front of their names when they are displayed on the IMR. The result is that they appear to be slightly indented when reviewed against the other documents that are displayed on the document screens.

An example is provided below. An email that has two attachments is loaded to the IMR. For the purposes of this example, the email heading is 'Claim Info' and the attachments are 'Claim Advice' and 'Survey Report'. Therefore, the documents will be displayed as follows:

Claim Info

- Claim Info - Claim Advice - [Attachment]

- Claim Info - Survey Report - [Attachment]

A screen shot is shown below.

Documents

Add Document Lloyd's Acc Enq Send Link Actions Filter

			Name	Category	Type	Created By
			- Test Email (+ Word Document).msg - image001.png [Attachment]	Misc Historical	Calculation	TSA401
			- Test Email (+ Word Document).msg - Test Document Six.docx [Attachment]	Misc Historical	Calculation	TSA401
			- Test Email with Level 2 Email.msg - eProcessing Issue Test [Attachment]	Misc Historical	Client Correspondence	TSA401

Total: 10

5.4.3.3 Document Filtering & Resorting

Users should note that it is possible that email attachments will become ungrouped from their 'parent email' when documents are filtered or re-sorted on any of the screens where document details are displayed.

5.4.3.4 Restricted Functionality

Users are prevented from using IMR functions that could separate an attachment from its parent email. For example, if a user decides to change the classification of a claim document, this action must be performed on the email and its attachments as a group.

It is also not possible for emails and their attachments to be checked-out. (If users were able to create a new version of the email, then they could, potentially, add a different set of attachments to the email and these would not be converted for DFV purposes.)

5.4.3.5 Outbound DRI Messages

Information relating to both the email and the detached document(s) are provided in Outbound DRI messages. (Refer to section 10.3.)

5.4.3.6 Emails loaded via the Previous Version of the IMR

Some inconsistency existed when emails with attachments were loaded to the previous WSMP version of the IMR. The documents were not detached when contract-related documents were submitted via A&S Direct Load or DRI messages.

Therefore, users may find that attachments are not displayed as separate documents when they are reviewing emails that were loaded before the new version of the IMR was introduced.

5.4.4 Original Premium Signing Information

This panel displays details of the original premium and FDO transactions that have been processed against the UMR. An advisory message will be displayed if no premium transactions have yet been signed for the UMR. A copy of the screen is shown below.

Original Signings Information												
Broker Signing Number & Date	Carrier Signing Number & Date	Work Package Reference	Bureau	Slip Type	Entry Type	Risk	DTI	FIL	Country	Currency	Status	Links
1801110050010	1801110050010	AGTSYJU	LIRMA		NPM	NMX			GB	GBP	NEW	 
1245011/01/2018	1245011/01/2018	AGTSYJU	Lloyd's	01	NPM	CT	9	XXX3		GBP	NEW	 
PMH180050011101	PMH180050011101	AGTSYJU	ILU		NPM	HAG			GB	GBP	NEW	 

5.4.4.1 Signings Panel Content

Information on the data that is displayed in this panel is provided below.

- Broker and Carrier Signing Numbers – The signing numbers that have been allocated to the original premium transactions are shown in the first two columns. The only time that the Broker Signing Number and Date (BSND) will differ from the Carrier Signing Number and Date (CSND) is when Xchanging has created split signings – as per the Accounting Splits Service that brokers can use for eAccounts submissions. (Refer to section 11.7.2.)
- Work Package Reference – The reference of the work package under which the transaction was submitted is shown here.
- Entry Type Codes – The codes indicate the transaction type. For example, 'APM' indicates that the transaction is an Adjustable Original Premium. A list of the entry type codes is provided in Appendix F.
- Risk and FIL Code information - The description that is associated with the Risk Code and the FIL Code will appear when the user hovers the cursor over either of these two fields.
- Bureau-Specific Details - The Slip Type, DTI Code and FIL Code fields are only populated for Lloyd's signings. The Country Code field is only populated for LIRMA and ILU signings.
- Transaction Status - This field indicates whether the signing has been corrected or cancelled. The values displayed are 'NEW', 'COR' and 'CAN'.

Users can re-sort the data by clicking on the arrow head in any of the column headers. Information on the format of the different bureau signing numbers can be found in section 11.7.1.

5.4.4.2 Links to Other Screens

Users can access further details via the following links:

- Subsequent Signings - If the user clicks on the Carrier Signing Number & Date hyperlink, a screen will open that displays details of any AP and RP transactions that have been processed against the selected Original Premium signing. (Refer to section 5.9.)
- Policy Details - If the user clicks on the first icon in the 'Links' section at the right-hand end of the panel, then a screen will open that displays a contract summary that was captured by the XIS technician when the original premium was processed. (Refer to section 5.10.)

- Market Details - If the user clicks on the second icon in the 'Links' section, then a screen will open that displays details of the Lloyd's or IUA carriers that are included on the original premium signing. (Refer to section 5.11.)

The links can be seen below.

Original Signings Information												
Broker Signing Number & Date	Carrier Signing Number & Date	Work Package Reference	Bureau	Slip Type	Entry Type	Risk	DTI	FIL	Country	Currency	Status	Links
1801110050010	1801110050010	AGTSYJU	LIRMA		NPM	NMX			GB	GBP	NEW	 
1245011/01/2018	1245011/01/2018	AGTSYJU	Lloyd's	01	NPM	CT	9	XXX3		GBP	NEW	 
PMH180050011101	PMH180050011101	AGTSYJU	ILU		NPM	HAG			GB	GBP	NEW	 

5.5 Adding New Documents

Users with the appropriate access rights can add new documents to the IMR from the Contract Details screen by clicking on the 'Add Document' button. The screen displayed below will appear.

Add UMR Document

UMR: B0001UMRTCACL002

File(s):* ?

Document Type:* ?

Document Type Ext: ?

Document Name:

Document Description: ?

Initial Version Comment: ?

Original Document Date: ?

Confidential Document?: ?

IMR033

5.5.1 Selecting Documents to be Loaded

Clicking on the plus (+) button in the 'Files' field on the Add UMR Document screen enables users to select the document(s) that they want to load to the IMR from their local network drive. It is

possible to select one or more documents. The minus (-) button at the bottom of the 'Files' field can be used to remove documents that have been selected in error.

5.5.2 Document Properties

Once the user has selected the document(s) that they wish to load to the IMR, details of the document(s) can be provided via the other fields on this screen. The fields are as follows:

- Document Type - Completion of the Document Type field is mandatory. This is because this information is used to determine how the document will be categorised (refer to section 2.4).
- Document Type Extension - The 'Document Type Extension' field can be completed to help other users to determine what the document relates to.
- Document Name - The Document Name field will be pre-populated with a system-generated name on the Add UMR Document screen. The name will be the actual name of the document. It is possible to amend the document name before the Add Document request is submitted.
- Document Description - Users can provide further information regarding the document in this field.
- Initial Version Comments - If relevant, comments can be added regarding the first version of the document.
- Original Document Date - If relevant, a date can be added to confirm when the document was actually created (i.e. outside of the IMR).
- Confidential Document - Checking this tick box enables the user to restrict access to the document. Refer to section 5.5.4.

It is possible to view some help text for each of the fields on this screen by clicking on the question mark symbol  that is displayed next to the field. Mandatory fields are highlighted on the screen with a red asterisk *.

5.5.3 Points to Note

The following points should be noted:

- Loading Multiple Documents - Users can create different 'properties' for each of the documents that they have selected. When multiple documents are being loaded, the data that the user enters on this screen will be held against the document that is currently selected in the 'Files' field.
- Loading Multiple Documents & Validation Failures - If a user attempts to load multiple documents and they encounter a failure for one of the documents, then none of the documents will be loaded.
- Loading the Same Document Twice - Users will be prevented from loading the same document more than once in a single operation.

- Document Number and Size Recommendations – It is recommended that users do not attempt to load more than 30 documents to the IMR in a single action. It is also recommended that users do not load individual documents or files to the IMR that are in excess of 20MB.
- Acceptable File Types – Details of acceptable file types can be found in Appendix C.
- Add Document Warning Message - The first time a user uploads a document, a dialog box will appear that displays the following warning message:

'If you have not customised the security, all parties involved in the risk/claim will be able to access the document (interactively or via DRI). Are you sure you want to proceed?'

The purpose of this reminder is to prompt the user to consider whether they need to restrict access to the document.

NB: The Add UMR Document screen in the Native IMR cannot be used to add documents to a work package. This can only be achieved via the A&S Direct Load function or via the submission of DRI messages.

(Users cannot now enter 'Further Document Property' data via the Add UMR Document screen – refer to section 2.5.1.6.)

5.5.4 Loading 'Confidential' Documents

When users need to restrict access to individual documents, the '*Confidential Document*' indicator should be ticked. A screen that provides an Access Control List (ACL) will then be presented to the user.

The carriers present on the associated original premium signing(s) will be displayed in the ACL panel. The user can then select the carriers that should be given access to the document. A copy of the screen showing the ACL panel is provided below. Broker organisations can be identified by the 'BR' prefix that is shown in front of the four-digit broker number.

Add UMR Document

UMR:
File(s):

Document Type:

Document Type Ext:

Document Name:

Document Description:

Initial Version Comment:

Original Document Date:

Confidential Document?:

Access Control List:

B0001JAGJEETV01

Client ABC's Property List.docx

Schedule

Client ABC's Property List.docx

Contains details of the client's properties in Europe.

Select	Reference	Title
<input checked="" type="checkbox"/>	BR0001	Broker 0001
<input type="checkbox"/>	1230	1230
<input type="checkbox"/>	1231	1231
<input type="checkbox"/>	2001	2001
<input type="checkbox"/>	2032	2032

IMR033

(The screen that is presented to technicians at Xchanging includes an 'XIS Only' field. Further details are provided in section 11.1.)

5.6 Lloyd's Account Enquiry Link

This is a new feature. A link is available on the Contract Details screen that takes the user to the Lloyd's Account Enquiry system. This system enables users to review a detailed breakdown of Lloyd's premium signings. NB: Only licensed users can access signing information within this system.

Clicking the 'Lloyd's Acc Enq' button will take the user to either the Logon page or the 'Key screen' for the Lloyd's Account Enquiry system (depending upon whether the user has previously accessed the system earlier in the day). An error messages will be displayed if the user is currently logged-on to the system.

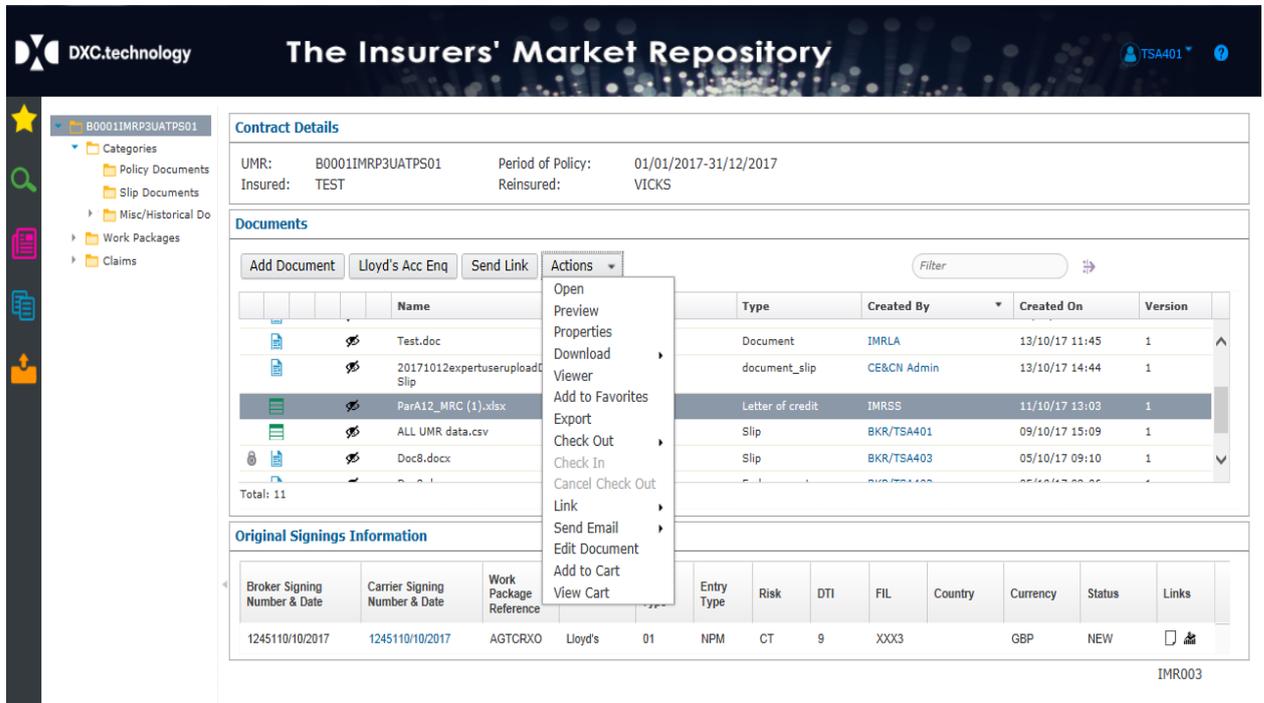
5.7 Send Link

This feature enables users to share a link for a contract record (rather than just an individual document). Clicking on the 'Send Link' button results in a draft email being presented to the user. The UMR of the contract that is being reviewed will be shown as the Subject line of the email and a link to the Contract Details screen will be included within the body of the email.

NB: A user who receives an emailed link will not be able to view the contract details or documents if they do not have access rights for the UMR.

5.8 Document-Related 'Actions'

Clicking on the 'Actions' button on the Contract Details screen (and any other screens that include a documents panel) results in a list of document-related options appearing in a drop-down menu. Refer to the screen shot below.



Users can highlight either a single document or multiple documents (by holding the Ctrl key down and clicking on each document) and then select the required action from the drop-down list. Alternatively, users can right-click to access these options.

NB: There are a small number of options that are only available for use with single documents. Refer to section 5.8.18. Users may not be able to select some options if they are not the document 'owner' (i.e. the 'Check-Out' and 'Edit Document' functions).

Details of the actions that are available are provided in the sections below.

5.8.1 'Open'

Users can open any documents to which they have the required access rights by either clicking on the document link or by selecting the document and using the 'Open' option in the 'Actions' drop-down list. Alternatively, users can right-click and select 'Open'.

Most browsers will ask the user if they want to Open or Save the document at this point – i.e. a message similar to the one below will be presented to the user.



Users can open multiple documents from the list by highlighting the documents (hold the Ctrl key down and click on each document) and selecting 'Open'. The selected documents will be

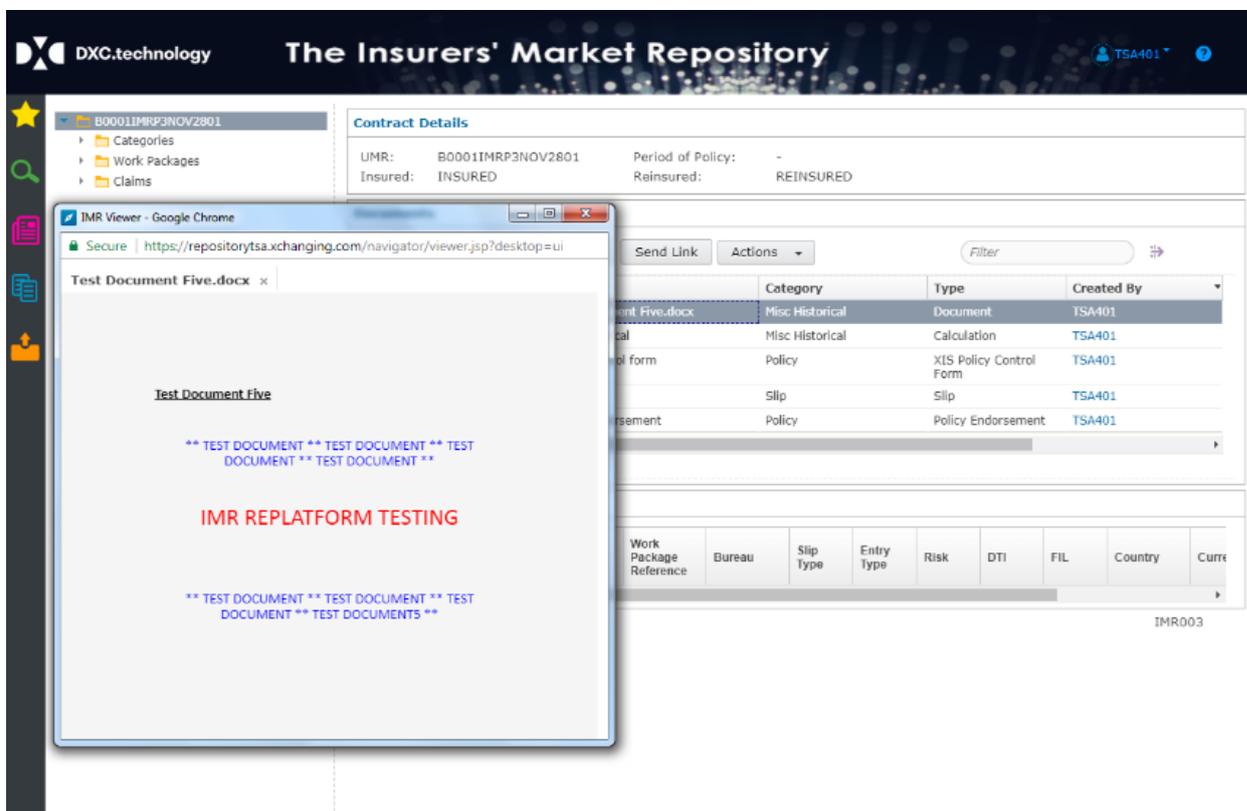
presented to the user in a zip file. The file will be given the name of the first document that has been selected.

If users encounter any difficulties opening individual documents/files, then documents can also be viewed by using either the 'Preview' function (see below) or by selecting the IMR 'Viewer' (refer to section 5.8.5).

When a user attempts to open a zip file by using the Preview function or the IMR Viewer, this will result in a list of the documents that are in the file being displayed. Neither of these functions will unpack and display the documents that are in the file.

5.8.2 'Preview'

Selecting this option will result in a pop-up screen being displayed that shows the first page of the document/file. This feature enables users to identify whether this is a document that they want to review without having to open the document. An example is shown below.



5.8.3 'Properties'

There are 3 tabs at the top of this screen – 'Properties', 'Versions' and 'Audit History'. These are view only screens. Details are provided below.

5.8.3.1 Properties Tab

Detailed information is provided regarding the document that the user has selected, such as the document description, document size, document reference and comments added by the person who loaded the document. An example is shown below.

Properties

Properties Versions Audit History

Document Title(Name)	B0391AB1704815 Policy.pdf
Business Document Type	Policy
Confidential	false
Created By	BKR/TSA401
Date Created	30/11/17 13:53
Document Description	
Document ID	45f1999d-4980-4b59-8377-058918c81c54
Document Reference	
Document Version Date	30/11/2017
Format	.pdf
Initial Version Comments	
Modified By	imrfnadmin
Modified On	30/11/17 13:53

Close
IMR045

5.8.3.2 Versions Tab

This screen displays the name of the document, the number of versions, who modified the document and when the action was taken. Refer to the example below. Users can view previous versions of documents by double-clicking on the document whilst in this screen.

Properties

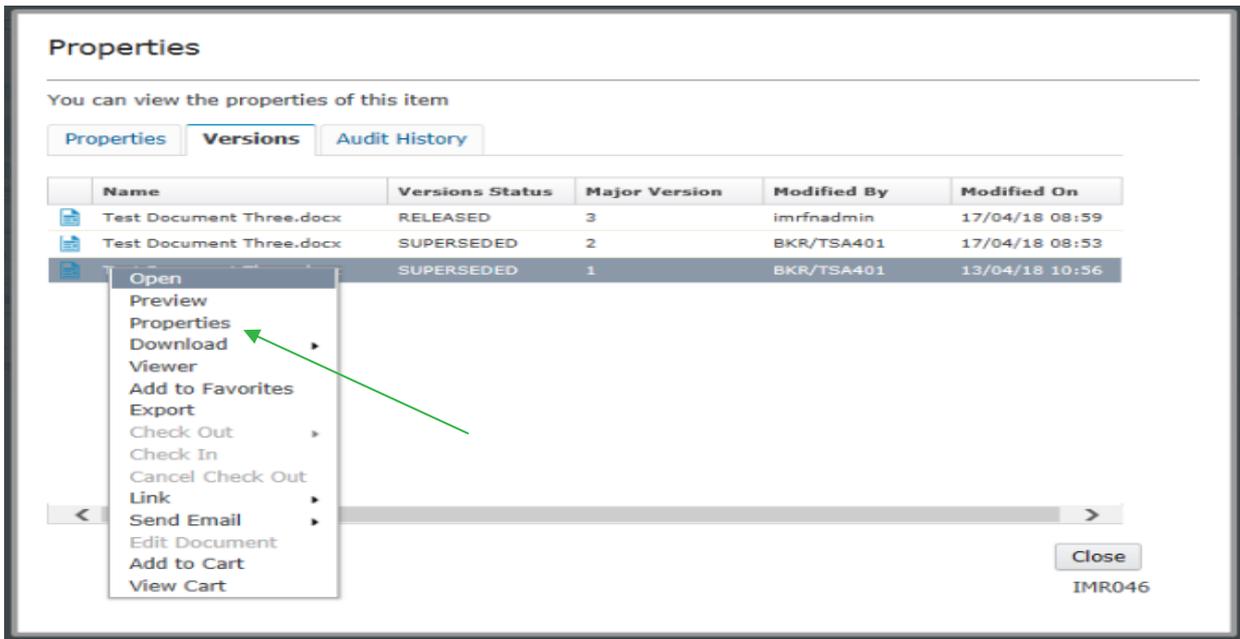
You can view the properties of this item

Properties Versions Audit History

Name	Versions Status	Major Version	Modified By	Modified On
Test Document Five.docx	RELEASED	2	BKR/BKR11	13/06/17 11:11
Test Document Five.docx	SUPERSEDED	1	BKR/BKR11	13/06/17 11:11

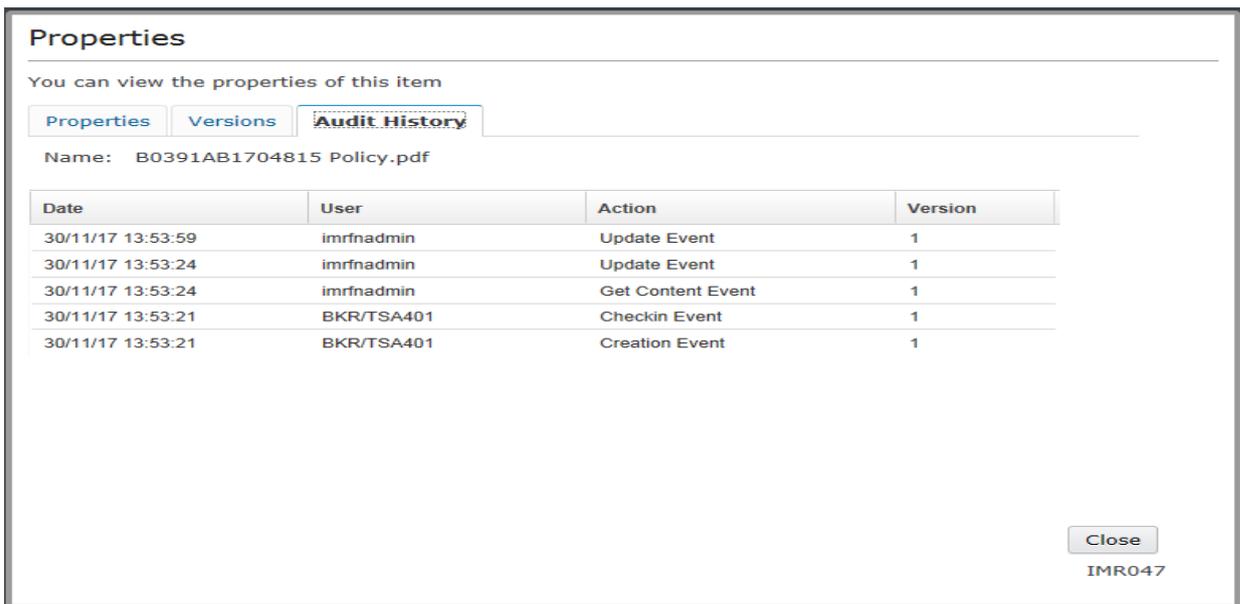
Close
IMR046

It is also possible to review the properties for previous versions of the document by right clicking on the document and selecting 'Properties' in the drop-down list that is produced – as illustrated below.



5.8.3.3 Audit History Tab

Selecting this tab results in a screen being displayed that provides details of who has accessed the document, the action that they took and the date that this happened.



For information, an 'update event' will also be recorded on the Audit History screen whenever an XIS technician loads a document to the IMR in support of an eProcessing Issue (refer to section 11.1) or when a user adds a document to their Favorites.

Some automated actions are also recorded on this screen – e.g. when a document is being converted for DFV purposes. 'imradmin' appears in the User column in these circumstances. The other actions that will trigger an 'update event' are summarised in the table below.

Action Taken	FileNet Event
Upload Document	Creation Event
View Document	Get Content Event
Download Document	Get Content Event
Check-Out Document	Checkout Event
Cancel Check-Out	Cancel Checkout Event
Create New Version	Checkin Event
Update Access Rights	Update Security Event
Edit Document Properties	Update Event
Viewed via Document File Viewer	Viewed in DFV Event

5.8.4 'Download'

Two options are available to users when the 'Download' option is selected:

- a) 'As Original' - This allows the user to download the document in its original format. It is also possible to select multiple documents and download all these documents as a zip file.
- b) 'As PDF' - This allows the user to download the document as a PDF file.

When a user attempts to download a zip file by using the 'As PDF' option, a pdf document that shows a list of the documents that are in the file will be presented to the user. The documents will not be unpacked and downloaded by this function

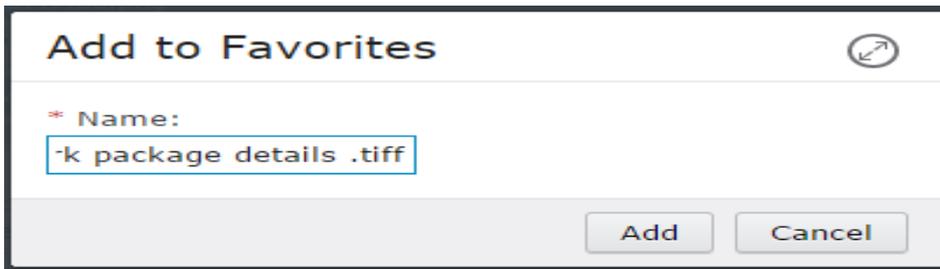
5.8.5 'Viewer'

The IMR 'Viewer' can be used where a user does not have access to the application that is required to open the selected document/file.

Users can open multiple documents by highlighting the documents (hold the Ctrl key down and click on each document) and selecting 'Viewer' in the Actions drop-down list. Each of the selected documents will be shown in a different tab within the IMR Viewer.

5.8.6 'Add to Favorites'

Users can add selected documents to their 'favourites' so that they are able to access the documents quickly. These could be documents that the user has either loaded to or viewed on the IMR. Highlighting a document and then selecting 'Add to Favorites' in the Actions drop-down list results in the pop-up screen shown below being presented to the user. Detailed information is provided in section 11.3.

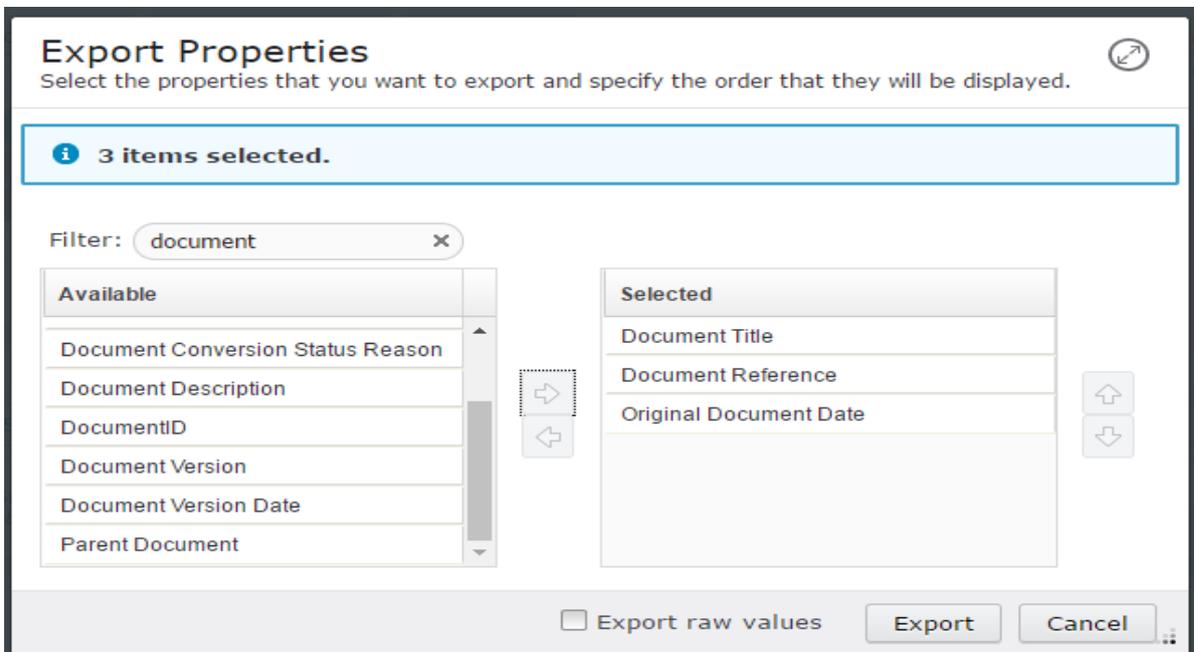


5.8.7 'Export'

This feature enable users to export document properties into either an Excel spreadsheet or a CSV file. A pop-up screen is presented to the user after they have selected the 'Export' option in the Actions drop-down list. There are 3 fields on the screen:

- **'Filter'** – This field enables users to restrict the properties that will appear in the drop-down list in the 'Available' panel.
- **'Available'** – Users can select the document properties that are to be exported from a drop-down list.
- **'Selected'** – Clicking on the arrow between the two boxes results in the selected property from the 'Available' drop-down list being added to the 'Selected' panel. Users can select multiple document properties.

A copy of the Export screen is shown below. In this example, the user has filtered on the word 'Document' and has then selected 3 of the document properties displayed in the drop-down list in the 'Available' panel. Clicking on the 'Export' button will result in the data being presented to the user in a CSV file. (Users have the option of creating an Excel file when the file is opened.)



5.8.8 'Check Out'

Users with the appropriate document access rights can check-out and make changes to individual documents. Once the revised document has been checked-in, a new version of the document will be created on the IMR. The following options are available to users on the Check Out screen:

- Check Out and Download;
- Check Out Only.

If '*Check Out and Download*' is selected, the user can download the document, make changes and save the revised version.

'*Check Out Only*' should be selected if the user has already opened or downloaded the document.

When a document has been checked-out (as indicated by a closed padlock symbol at the start of the document details line), other users can still view the document but they are not able to update it. If a user attempts to check-out a document in these circumstances, an error message will be produced to advise the user that the document has already been checked-out by another user. The symbol is shown below.



5.8.9 'Check In'

If a document is checked-out, then the user who checked it out can check it back in. After performing a '*Check Out*' the user will be able to select '*Check In*' from the Actions drop-down list to load the new version of the document to the IMR.

Once the '*Check In*' window opens, the user can browse to select the document they wish to check in as a new version.

The document that the user checks back in is identified as a new version of the original document – i.e. the document version number will be incremented. The padlock symbol will be removed from the documents panel.

5.8.10 'Cancel Check Out'

If a user decides that they do not wish to update a document that they have checked-out, then they can cancel the check-out operation by using the '*Cancel Check Out*' option in the 'Actions' drop-down list. The user will be asked to confirm that they want to take this action. If this is confirmed, the document check-out will be cancelled and the padlock symbol will be removed from the screen.

5.8.11 'Link'

This feature enables a user to access a link to a selected document. The link that is produced can be seen in the screen shot below. Users can elect to store or distribute this link (e.g. copy and paste the link in to an email).



This feature cannot be used when multiple documents are selected.

5.8.12 'Send Email'

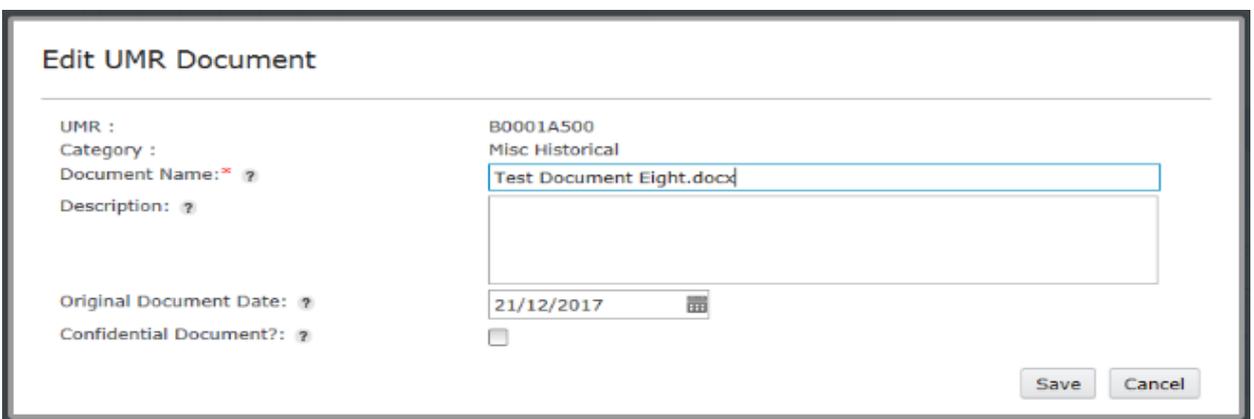
Users can send a link to an individual document to another IMR user via email by using this feature. The UMR of the contract to which the document relates will be shown in the Subject line of the email. If multiple documents are selected, then an email will open which contains separate links for each of the documents.

NB: A user who receives an emailed link will not be able to view the document if they do not have the required access rights for the UMR or the document.

5.8.13 'Edit Document'

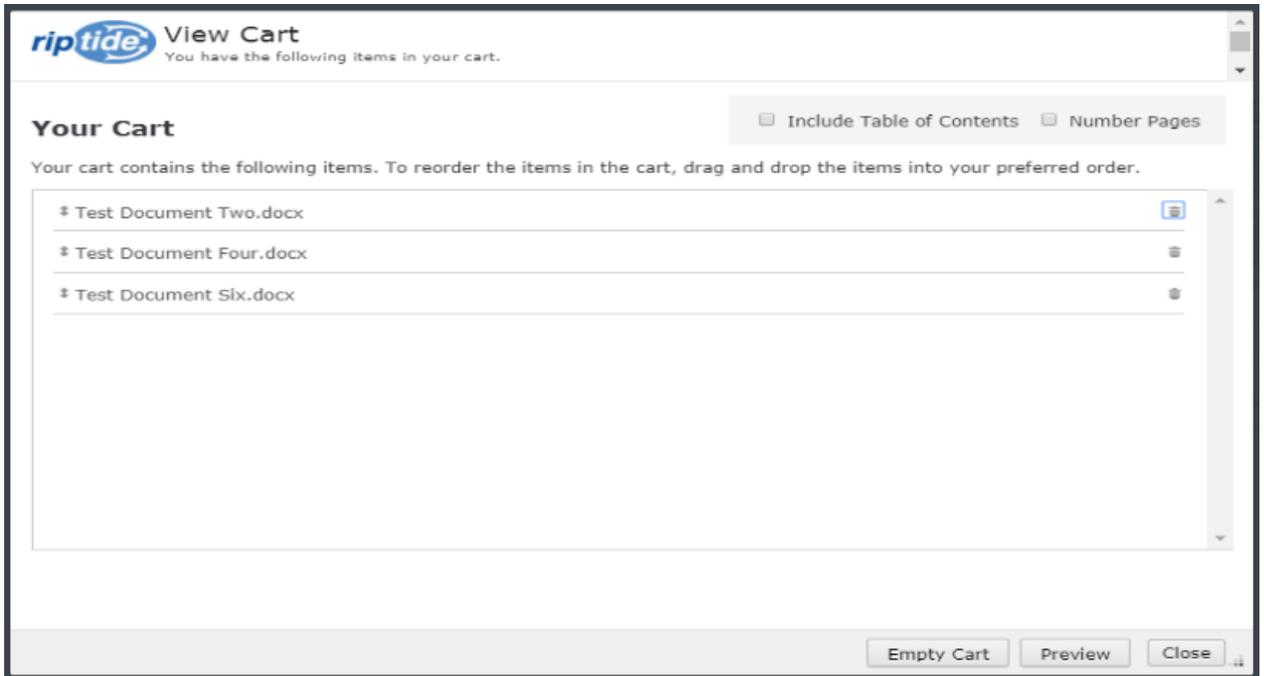
Selecting the 'Edit Document' option enables users who have the required permissions to edit the properties that are currently held against the selected document. The data that can be changed is shown in the screen shot below.

Access rights for documents can also be updated by ticking the 'Confidential Document' indicator. An Access Control List will then be presented to the user. (NB: ACLs cannot be amended for LPAN documents.)



5.8.14 'Add to Cart' & 'View Cart'

The 'Document Cart' enables users to select multiple UMR and/or UCR documents and merge the content into a single file. After selecting 'Add to Cart' in the Actions drop-down list, users can add documents to the cart and 'stitch' them together into a PDF document. Refer to the screen shot below.



Once a user has added the required documents to the Cart, clicking on the 'Preview' button will result in a PDF file being presented to the user that contains the 'merged' documents. The user can then either download the file to their local network drive or print the file by using Adobe Acrobat Reader.

5.8.14.1 Document Cart Features

The following features are also available in the Document Cart:

- Re-ordering the Documents - Users can change the order in which the documents will appear in the merged file by simply dragging and dropping the individual documents into the preferred order on the View Cart screen.
- Table of Contents - Users have the option to include a table of contents within the file. A check box is displayed in the top right-hand corner of the screen.
- Adding Page Numbers - Page numbering can also be applied to the merged file. Refer to the second check box in the top right-hand corner of the screen.
- Adding Documents from Multiple Records – Users can create a file using documents from multiple UMR, UCR or work package records. Once the user has selected the documents from an individual record, they should then click on the 'Close' button. It is then possible to move to a different record and select more documents to be added to the Cart. Selecting 'Preview' at this stage will result in documents from both/all the records being included in the PDF file.

- Viewing the Cart - Selecting the 'View Cart' option in the Actions drop-down list enables the user to review the documents that they have added to the Cart to-date.
- Removing Individual Documents - Users can remove individual documents from the Document Cart by clicking on the bin symbol that appears at the end of the appropriate row where the documents are listed.
- Emptying the Cart - Selecting the 'Empty Cart' button results in all the selected documents being removed from the Cart.

5.8.14.2 Points to Note

- Retaining the PDF Files - Users should note that any PDF files that are created via this function are not stored in the Document Cart. Closing the browser window will result in the cart being 'emptied'. If a user wishes to retain a copy of the file that they have created via the Document Cart, then they should download the file to their local network drive
- Acceptable File Types - Users should note that it is only possible to merge a relatively small number of file types via the Document Cart. Details of these file types are provided in Appendix C.
- Document File Viewer (DFV) - The functionality described above is in addition to the claims-related 'Document File Viewer' function that is available to ECF2 users. Refer to section 11.6.

5.8.15 'Hide Document'

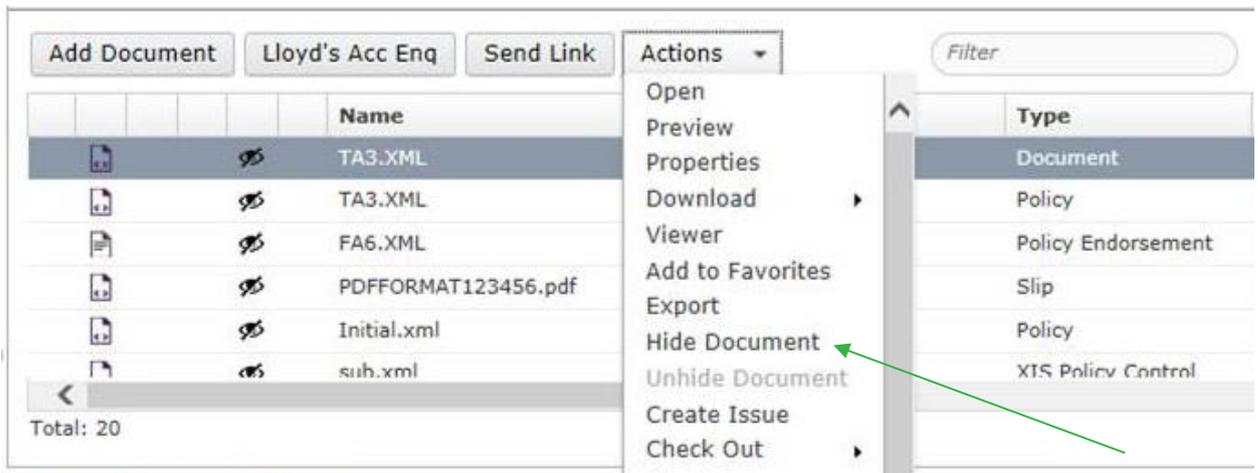
'Restricted Access' - This feature is only available to Xchanging Service Desk staff.

Once a document has been loaded to the IMR, it cannot be deleted/removed. Therefore, if a user realises that they have loaded a document to a UMR or UCR record in error, the only option open to them is to contact the Xchanging Service Desk and submit a request for the document to be 'hidden'. The Service Desk will then ensure that the document involved cannot be seen by any parties other than the user that originally loaded the document to the IMR.

The icon that is displayed in the document panel when a document has been hidden is shown below.



When a document is selected, clicking on 'Hide Document' in the Actions drop-down list (see below) results in a pop-up screen being displayed which carries the message 'Your document has been successfully hidden'.



This feature cannot be used when multiple documents have been selected.

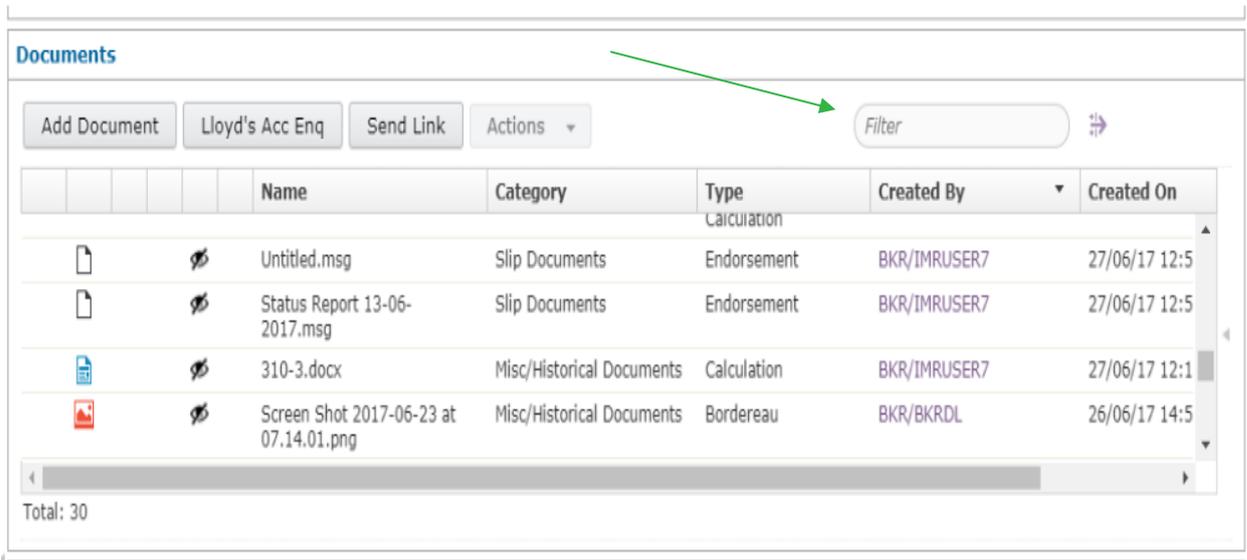
5.8.16 'Unhide Document'

If requested, Service Desk users can subsequently 'unhide' documents that have previously been hidden (refer to the section directly above). When a document is selected, selecting 'Unhide' results in a pop-up screen being displayed with the message 'Your document has been successfully unhidden'.

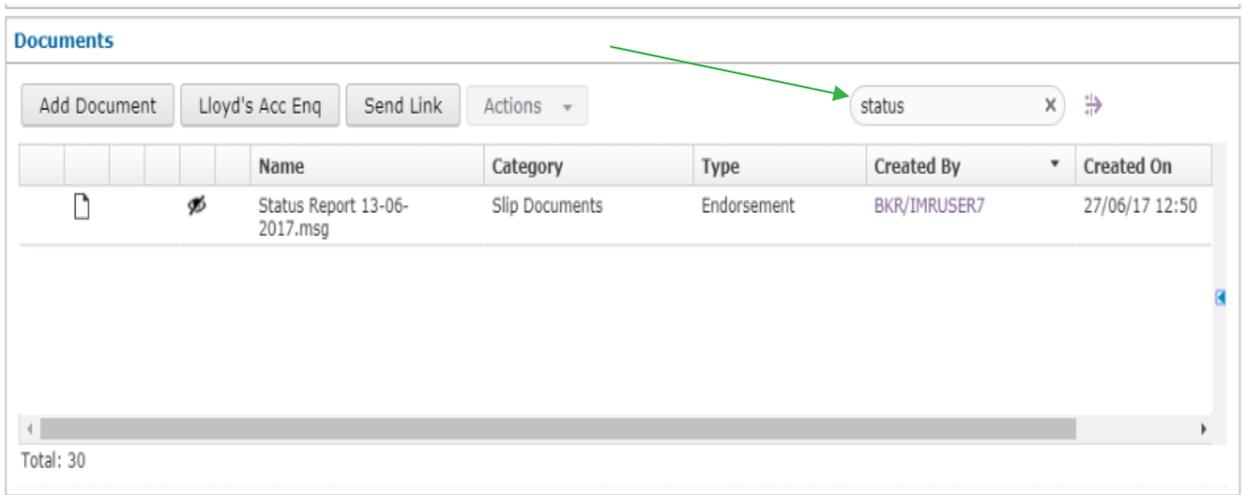
The 'Unhide Document' action is greyed-out and cannot be selected if a user has selected multiple documents.

5.8.17 Filter

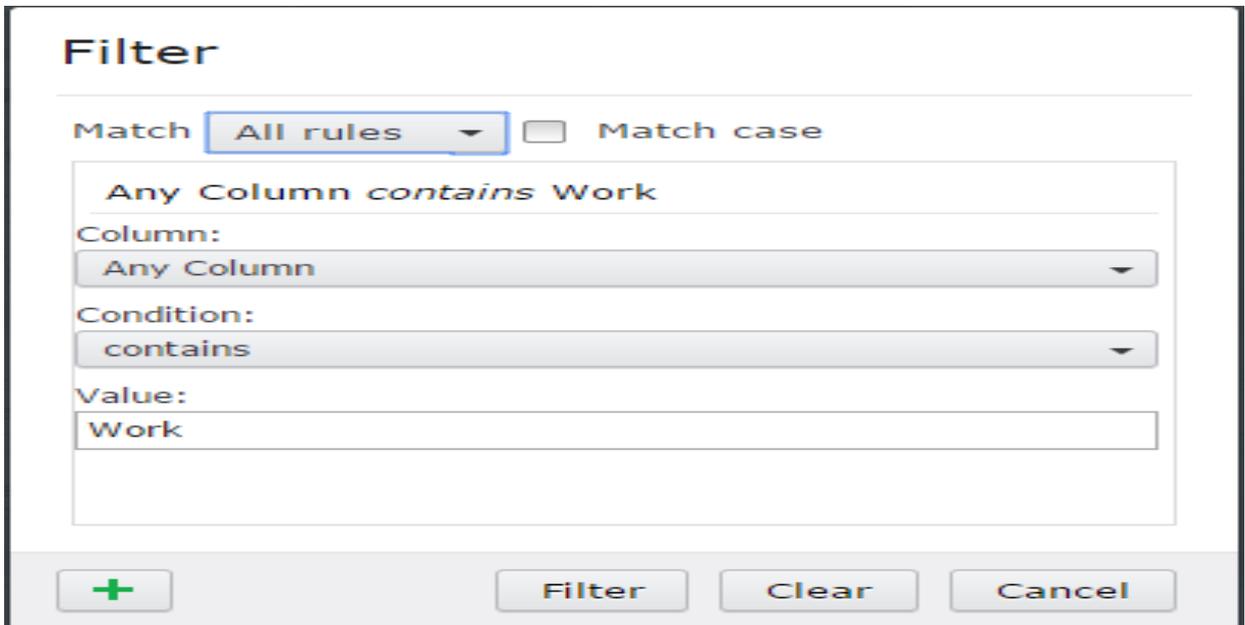
The 'Filter' function enables users to search for specific documents or just display a sub-set of the documents – i.e. documents that have a specific name.



As an example, the screen shot below illustrates how only a single document is displayed on the screen after the user has added the word 'status' in the Filter field. (Clicking on the cross symbol in the 'Filter' field clears the document search criteria.)



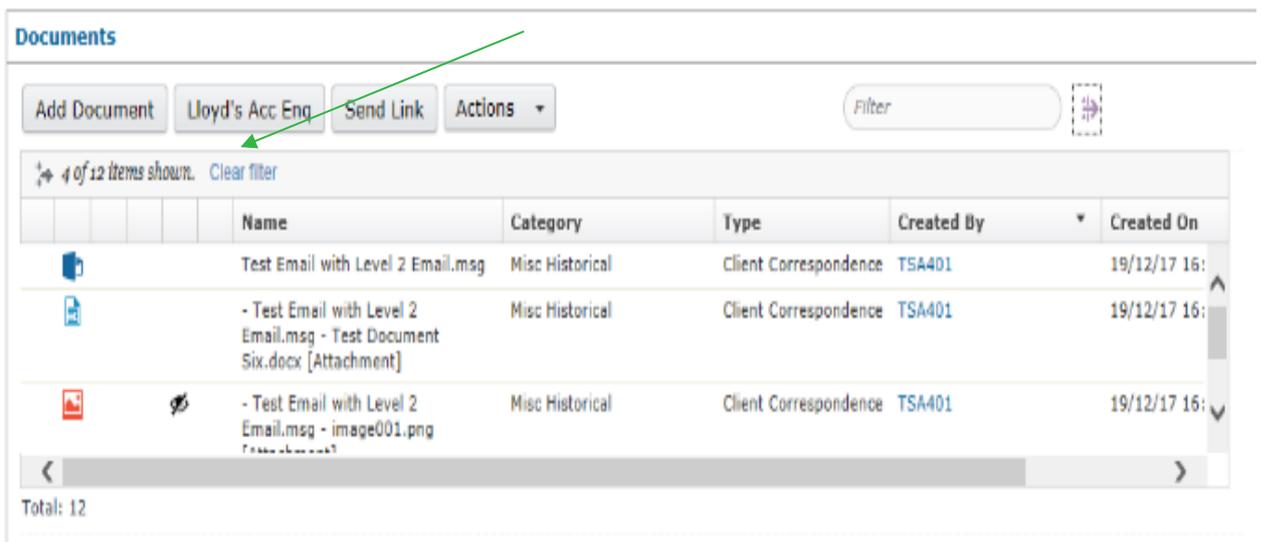
Alternatively, users can click on the arrow that is displayed beside the 'Filter' button in the Documents panel to launch a more advanced search by adding some Filter rules. Refer to the screen shot and information provided below.



- 'Column' - This enables the user to select which document column they wish to apply the filter to.
- 'Condition' - The user should then select one of the options in the 'Condition' drop-down list ('Contains', 'Equals', 'Starts With', etc.).
- 'Value' - The characters that the user wants the filter to be based upon can then be entered in the 'Value' panel.
- The Plus Button - The plus (+) button in the bottom left-hand corner of the screen enables the user to apply a second filter rule.

In the example above, the user is applying a filter to look for the word 'Work' in any of the document columns. Once applied, the Contract Details screen will only display documents that

meet this condition. The screen will confirm the number of documents that can be seen – e.g. '4 of 12 items shown'. A 'Clear Filter' option is also displayed. Refer to the screen shot below.



5.8.18 Actions Only Possible with Single Documents

Certain actions are not available to users when they select multiple documents. These actions, which will be greyed-out when a user selects more than one document, are as follows:

- Reviewing document properties;
- Adding documents to a user's favourites;
- Use of the 'Link' function;
- Editing documents.

5.9 Subsequent Signings Screen

If the user clicks on the Carrier Signing Number & Date hyperlink in the Original Premium Signings Information panel on the Contract Details screen (as indicated below), a screen will open that displays details of any subsequent AP and RP transactions that have been processed against the original premium signing.

The screenshot shows a table titled 'Original Signings Information' with the following data:

Broker Signing Number & Date	Carrier Signing Number & Date	Work Package Reference	Bureau	Slip Type
1245008/11/2017	1245008/11/2017	AGTHRIG	Lloyd's	01
2140008/11/2017	2140008/11/2017	AGTHVZD	Lloyd's	01

The information displayed for the subsequent signings matches the information displayed against the original premium signings. A copy of this screen is shown below.

Subsequent Signings

Broker Signing Number & Date	Carrier Signing Number & Date	Work Package Reference	Bureau	Slip Type	Entry Type	Risk	DTI	FIL	Country	Currency	Status	Links
2140008/11/2017	2140008/11/2017	AGTHVZD	Lloyd's	01	NPM	W3	7	XXX1		GBP	NEW	 
2140009/11/2017	2140009/11/2017	AGTHZ0Q	Lloyd's	01	NAP	W3	7	XXX1		GBP	NEW	 
2140109/11/2017	2140109/11/2017	AGTHZPV	Lloyd's	01	NRP	W3	7	XXX1		GBP	NEW	 

IMR008

If the user is viewing details of a proportional treaty FDO signing, details of treaty statement transactions that are associated with the FDO signing will be displayed on the Subsequent Signings screen.

5.10 Policy Details Screen

If the user clicks on the first icon in the 'Links' section at the end of the Premium Signings Information panel, then a screen will open that displays a more detailed summary of the contract. This is data that was captured by an XIS technician when the original premium was processed. A copy of the icon is shown below.



A copy of the Policy Details screen is shown below.

Original Signings - Policy Details

Policy Details

Broker Signing Number & Date:	1711280050015	DTI Code:	
Carrier Signing Number & Date:	1711280050015	FIL Code:	
Slip Section:		Risk Code:	N4G
Bureau:	LR	Entry Type:	NPM
Currency:	GBP	Country:	GB
Policy Start Date:	01/01/2017	Insured:	INSURED
Policy End Date:	01/01/2019	ReInsured:	REINSURED
Treaty Number:			
Status:	NEW		

Broker Details

Broker Number:	0001	Settlement Currency Code:	GBP
Broker Reference1:	REF1	Sum Insured/Limit Narrative:	TEST
Broker Reference2:	REF2	Interest Narrative:	TEST
		Vessel Aircraft Narrative:	NAME

IMR007

5.11 Market Details Screen

If the user clicks on the second icon in the 'Links' section at the end of the Premium Signings Information panel, then a screen will open that displays details of the Lloyd's or IUA carriers that are included on the premium signing. This shows the carrier codes along with the references that the carriers allocated to the contract.

A copy of the icon is shown below.



A copy of the Market Details screen is shown below.

Market Details

Broker Signing Number & Date :	1801300050085	Bureau :	LIRMA
Carrier Signing Number & Date :	1801300050085		

Carrier Code	Carrier Reference
L1111	REF1
L1114	REF2
L1116	REF3

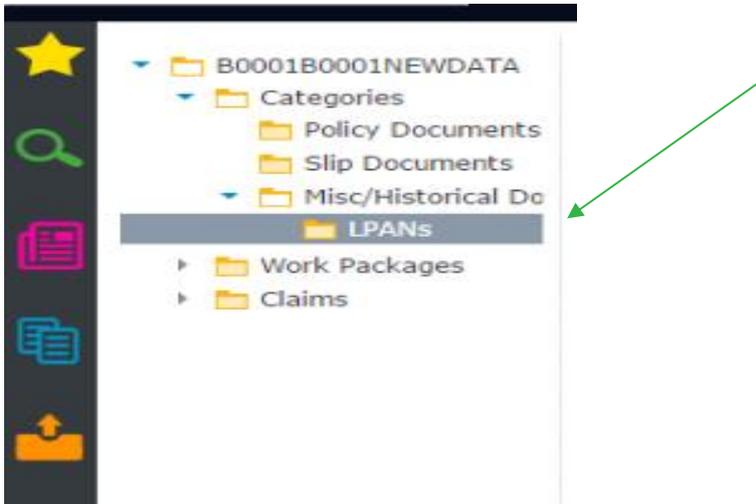
IMR006

5.12 LPANs & Work Package Submissions

Restricted Access - This information cannot be accessed by staff in carriers' offices.

5.12.1 Overview

Brokers and technicians at Xchanging can access copies of LPANs and Work Orders via a sub-node that is displayed under the 'Misc/Historical' documents link in the Navigation Panel.



Details of the information displayed on the screen that is produced after a user clicks on this link is provided in the sections below.

5.12.2 Work Package Submissions & Documents

The 'Submissions' panel contains links to the submissions that the broker has made for each work package that has been generated under the UMR. LPANs and Work Orders are grouped together into a single 'Submission' for a UMR according to the date when the documents were loaded on to the IMR – and the links displayed on this screen include the date when the submissions were made.

Clicking on any of the 'Submission' hyperlinks will result in details of the LPANs and/or Work Orders that were included in the submission being displayed in the 'Documents' panel at the bottom of the screen. The document set will be refreshed if the user clicks on a different submission.

Contract Details

UMR: B00011MRP3UATPS02 Period of Policy: 01/01/2017-31/12/2017
 Insured: LOSS NAME Reinsured:

Submissions

Submission - 20171009 Submission - 20171005 Submission - 20171012
 Total: 3

Documents

Actions Filter

	Name	Category	Type	Created By	Created On	Version
	workorder.zml	Work Package	form_work_order	BKR/TSA401	09/10/17 15:16	1
	ParA12_MRC (1).xlsx	Misc Historical	LPAN	BKR/TSA401	09/10/17 15:14	1

Users can review each LPAN and Work Order by clicking on the name of the document that is displayed in the Documents panel. A document 'Actions' drop-down list is also available to users on this screen. (Refer to Section 5.8 for details of the options that are presented to users.)

Clicking on the user name (or ID) shown in the 'Created By' column will result in details of the user being displayed. (Refer to Section 5.4.2.1.)

5.12.3 Edited Work Packages

When a broker edits a work package (e.g. when a set of amended LPANs are supplied following a query being raised by an XIS technician), a second 'Submission' is displayed on the LPANs screen – with a new Submission Date. Only the new LPANs will be displayed for the second 'Submission'. The 'Created Date' of the documents is updated.

5.12.4 Further Information

Users can also access the most recently supplied LPANs and Work Orders via the Work Package Details screen.

Brokers do not need to submit LPANs for eAccounts submissions. Accounting data that is normally supplied on LPANs is submitted via ACORD Technical Account messages under the eAccounts service.

Correction submissions sometimes do not have LPANs. The broker may just load a Work Order and a Correction Request Form to the IMR. (Correction Request Forms are categorised as Misc/Historical documents. They cannot be reviewed via the LPANs link.)

Policy-related work packages can also be submitted without LPANs.

6 WORK PACKAGES SEARCHES

This is a new function. Users with the necessary access rights can search for an individual work package. The Work Package Search screen can be accessed by clicking on the Search icon in the left-hand side of the IMR Home Page. The icon is shown below.



6.1 Work Package Search Screen

The Work Package Search screen is shown below. Users must enter a complete Work Package Reference. Partial reference searches are not supported for work packages.

The screenshot displays the 'The Insurers' Market Repository' interface. The top navigation bar includes the DXC technology logo, the title 'The Insurers' Market Repository', and a user profile 'TSA401'. A left-hand sidebar contains navigation icons, including a magnifying glass for search. The main content area is titled 'Work Package' and features a 'Search Criteria' section. This section includes a label 'Work Package Reference: ? Equal to' followed by a text input field containing the text 'ABCDEFGH'. Below the input field are three buttons: 'Search', 'Reset', and a checkbox labeled 'Keep search criteria open'. At the bottom of the search area, the text 'Search Results' is visible.

If the search is successful, the user will be presented with details of the work package on the Work Package Details screen. If an invalid reference is entered, an error message will appear on the search screen. An error message will also be produced if the user does not have the necessary access rights to review the work package.

6.2 Work Package Details Screen

This new screen displays details of the work package, the documents that the broker included within the work package, the 'Slip' documents and, where the work package has been completed, the premium signings that are associated with the work package. A copy of the screen is shown below.

The screenshot displays the 'Premium Tracker' section of the 'The Insurers' Market Repository' application. The interface is divided into several panels:

- Contract Details:** Shows UMR: B0001IMRP3NOV2801, Insured: INSURED, Period of Policy: -, and Reinsured: REINSURED.
- Work Packages Details:** Shows Reference: AGTNZDF, Processing Required: Premium Accounting, Package Status: New, Bureau: Mixed, Timestamp: 20171128-081921, and Tracker barcode: REP00942994.
- Work Package Documents:** A table listing documents such as 'workorder.xml', 'Lpan', 'Misc historical', 'Policy control form', 'SLIP', and 'Policy endorsement' with columns for Name, Category, Type, Created By, Created On, and Version.
- All Slip Documents:** A table listing a single document 'SLIP' with columns for Name, Category, Type, Created By, Created On, and Version.
- Work Package Signings Information:** A table listing signing information with columns for Broker Signing Number & Date, Carrier Signing Number & Date, Bureau, Slip Type, Entry Type, Risk, DTI, FIL, Country, Currency, Status, and Links.

The sections below provide details of the content of the 5 panels within the Work Package Details screen. XIS technicians use the information that is displayed on this screen to check and process premium and policy work packages that brokers have submitted to Xchanging. Staff in brokers' offices can use this screen to check that the work package that they have submitted includes all the required documents.

NB: A restricted view is presented on this screen to staff in carriers' offices. LPANs and Work Orders are not displayed to carriers.

6.2.1 Contract Details

The following contract summary information is shown in the top panel of this screen:

- The UMR;
- The policy period;
- The name of the Insured and/or Reinsured.

These fields are populated with data that the broker supplied when the original premium or FDO transactions were submitted.

6.2.2 Work Package Details

The details displayed in this panel of the screen are as follows:

- The Work Package Reference;
- The bureau(x) involved;
- The type of processing required (see below);
- The timestamp - i.e. the date and time when the work package was submitted;
- The current status of the work package (refer to section 6.4);
- The barcode for the associated work item in the Tracker system.

6.2.2.1 Processing Types

One of the following descriptions will be displayed in the 'Processing Required' field:

- Premium Accounting
- Premium & Policy Processing (S&A)
- Policy Processing Only
- Simultaneous Reinstatement
- NPE Review
- Policy Endorsement Review

6.2.3 Work Package Documents

Details of the documents that the broker submitted for the selected work package are displayed in this panel. If the broker has edited the work package, the latest versions of the documents are shown.

The document details that are included here are the same as the details that are displayed in the Documents Panel of the Contract Details screen. (Refer to section 5.4.)

The LPAN(s) and the Work Order details are included within this panel. (As mentioned above, these documents cannot be viewed by staff who work in carriers' offices.)

6.2.4 All Slip Documents

This panel displays details of all the documents/files that have been categorised as 'Slip' documents for the UMR.

6.2.5 Work Package Signings Information

This panel shows details of individual signings that are associated with the selected work package. The data fields are the same as those that are displayed on the Contract Details screen (refer to section 5.4.4.1). The signing details that are displayed may relate to original, additional or return

premium transactions or proportional treaty statement transactions. Refer to the example shown below.

Work Package Signings Information											
Broker Signing Number & Date	Carrier Signing Number & Date	Bureau	Slip Type	Entry Type	Risk	DTI	FIL	Country	Currency	Status	Links
PMH170050012811	PMH170050012811	ILU		NPM	H4G			GB	GBP		 
1711280050015	1711280050015	Lima		NPM	N4G			GB	GBP		 

An advisory message will be produced if no premium signing information is available for the work package. This may be due to any of the following:

- The processing of the premium transactions has not yet been completed;
- The premium signing details have not yet been passed from Xchanging's processing systems to the IMR;
- No premium transactions need to be processed – e.g. the work package relates to a policy submission or a data correction request.

6.2.6 Actions, Filter and Add Document Buttons

These buttons provide users with the same options as are provided on the Contract Details screen. Refer to section 5.4 for details.

6.2.7 Tracker Link

Users with the necessary access rights can view the record that has been created for the work package in the Tracker system via the '*Premium Tracker*' button that appears at the top of the Work Package Details screen.

6.2.8 Document Counts

A count of the documents appears at the bottom of both the Work Package Documents and Slip Documents Panels.

6.3 Work Package Summary Screen

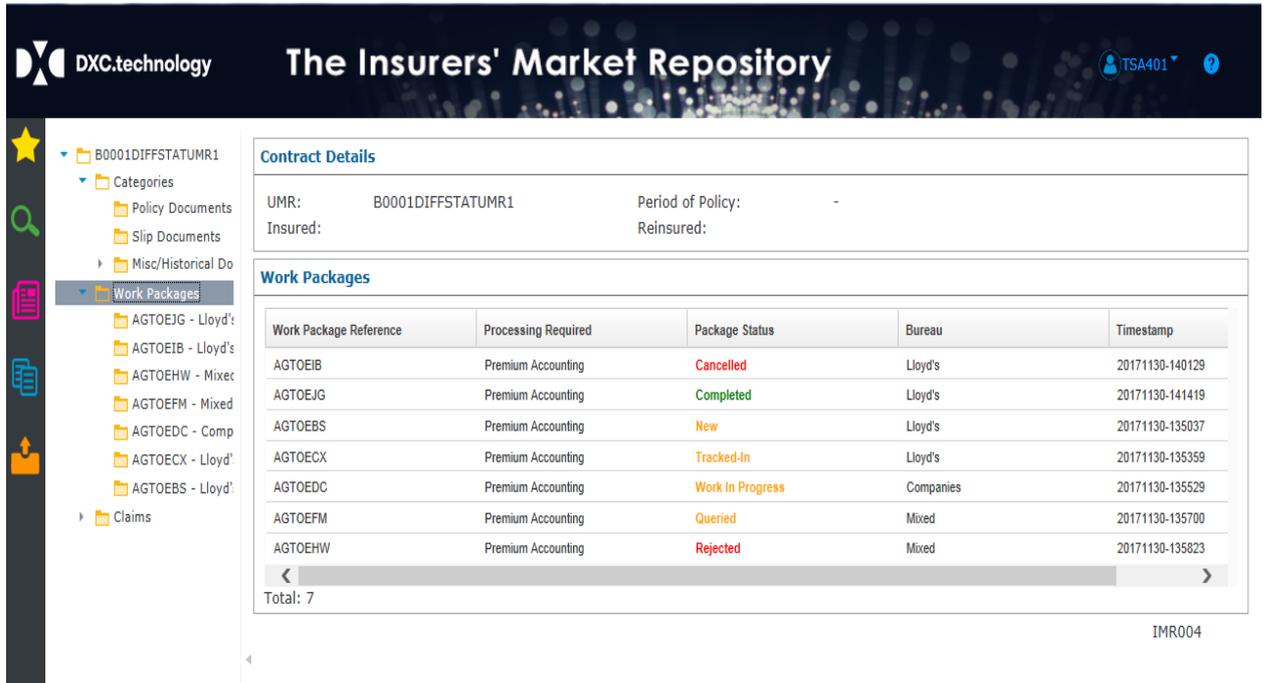
This screen lists all the work packages that have been submitted against a UMR. The contract summary details are, as normal, displayed in the top panel of this screen. The following data is displayed in the second panel of the screen for each of the work packages:

- The Work Package Reference;
- The type of processing required;
- The current status of the work package (refer to section 6.4);
- The bureau(x) involved;

- The timestamp - i.e. the date and time when the work package was submitted.

Clicking on the Work Package Reference opens the Work Package Details screen for the selected item.

The work packages are listed in reverse chronological order - i.e. the most recently submitted work package is shown at the top of the list. However, users can re-sort the work packages by clicking on the arrow heads in the title bar of any of the columns headings. A copy of the screen is shown below.



6.4 Work Package Statuses

The work package status is updated in real time based upon the status of the related work item in the XIS Workflow System. Colour-coding is applied to enable users to easily differentiate between the different statuses. Details of the work package status values and the actions that are allowed when work packages have these statuses are provided below.

Work Package Status	Colour	Description	Editing Allowed?	Processing Allowed?
'New'	Amber	A work package has been successfully generated but has not yet been tracked-in by Xchanging.	YES	N/A
'Tracked In'	Amber	A record of the work package has been created within XIS' internal systems.	NO	N/A
'Work in Progress'	Amber	The work package has been allocated to a technician and is being processed.	NO	YES
'Queried'	Amber	An XIS technician has raised a query on the work package.	YES	NO

Work Package Status	Colour	Description	Editing Allowed?	Processing Allowed?
'Completed'	Green	Processing of the work package has been successfully completed.	NO	NO
'Cancelled'	Red	The broker has withdrawn the work package.	NO	NO
'Rejected'	Red	An XIS technician has 'rejected' the work package.	YES	NO

Notes

- The 'Editing Allowed' column indicates whether the broker is able edit the work package.
- The 'Processing Allowed' column indicates whether an XIS technician can process the work package.
- Work packages are 'locked' after an XIS technician has raised a query - i.e. no further processing is allowed until the broker has responded to the query.
- When work packages are 'locked for editing', the broker is given 60 minutes to complete the editing. If they take no action within the 60-minute window then the work package will be made available to XIS for processing.
- Work packages cannot be locked for editing more than three times in a 24-hour period.
- When a broker resubmits a rejected work package, the original work package remains on the IMR with a status of 'Rejected'. A new work package is generated with a new Work Package Reference and a new Presentation Date.
- Brokers can withdraw work packages when the status is either 'New' or 'Tracked In'. When a work package is withdrawn, its status is set to 'Cancelled' in the IMR.

6.5 Edited and Rejected Work Packages

When a broker edits a work package (refer to section 8.4), the work package retains the original timestamp. However, a revised version of the Work Order is displayed on the Work Package Details screen along with the latest versions of any documents that the broker has revised.

When a broker resubmits a 'rejected' work package, a new work package is created. This is given a new Work Package Reference and a new Presentation Date.

7 CLAIMS SEARCH FACILITIES & RELATED FUNCTIONS

7.1 Introduction

Users can access the claims search functions by clicking on the 'Search' icon in the left-hand side of the IMR Home Page. The icon is shown below.



Two claim search options are available to users – 'Standard' Claims Search and 'Advanced' Claims Search. The difference between the two functions is that the 'Advanced' Claims Search function enables users to include the Lloyd's Catastrophe Code, the PCS Code and the Policy Inception Date in their search criteria.

Information regarding the general features of the search screens (such as the options in the drop-down fields) can be found in section 4. Detailed information on the two claim search options is provided in the sections below.

7.2 Standard Claim Search

A copy of the Standard Claims Search screen is shown below along with some field completion guidelines.

The screenshot displays the 'Standard Claims Search' interface. The header includes 'DXC.technology' and 'The Insurers' Market Repository'. The left sidebar shows navigation options: 'IMR Search', 'IMR Searches', 'Contracts', 'Work Package', 'Claims - Standard', and 'Claims - Advanced'. The main search area is titled 'Claims Standard' and contains the following search criteria:

- UCR:** Starts With
- UMR:** Starts With
- Loss Name:** Starts With
- Date of Loss - From:** Equals
- Date of Loss - To:** Equals
- Insured:** Starts With
- Reinsured:** Starts With
- Exclude Closed Claims:**

At the bottom, there are buttons for 'Search', 'Reset', and a checkbox for 'Keep search criteria open'. The reference code 'IMR016' is visible in the bottom right corner.

- UCR – Users can enter either a full or a partial Unique Claim Reference. Searches on the UCR cannot be combined with searches on the 'Insured' or the 'Reinsured'. *

- UMR – Users can enter either a full or a partial Unique Market Reference. Searches based upon a UMR must be combined with at least one other field but cannot be combined with searches on the 'Insured' or the 'Reinsured'. *
- Loss Name – The default is to search for claims which have a Loss Name starting with the characters entered by the user. It is not possible to combine searches based upon the 'Loss Name' with searches on the 'Insured' or the 'Reinsured'.
- Date of Loss Fields - If only a 'Date of Loss From' is entered then the search will only return items that have a matching date – i.e. claims which have a loss date that equals the date that has been entered.

If both a 'Date of Loss - From' and a 'Date of Loss To' is entered then the search will return all records which have a loss date that is within this range. It is not possible to combine searches based upon the Date of Loss fields with searches on the 'Insured' or the 'Reinsured'.

- Insured – The default is to search for claims where the name of the Insured starts with characters entered by the User. Searches on the Insured may only be combined with searches on the Reinsured.
- Reinsured – The default is to search for claims where the name of the Reinsured starts with characters entered by the User. Searches on the Reinsured may only be combined with searches on the Insured.
- Exclude Closed Claims – Selecting this option will result in the system only displaying 'open' claims. 'Exclude Closed Claims' can be selected with any combination of search criteria.

(* NB: The broker number and prefix must be entered along with at least one character in the broker reference portion of the UCR/UMR.)

In summary, if the user enters data in the UCR, UMR, Loss Name or Date of Loss fields, then the Insured and Reinsured fields will become disabled. Conversely, if data is entered in the Insured or Reinsured fields, then the UCR, UMR, Loss Name and Date of Loss fields will be disabled.

Once the search criteria have been entered, the user can select 'Search' to produce search results or select 'Reset' to clear the search criteria. Checking the 'Keep Search Criteria Open' tick box will result in both the Search Criteria and the Search Results being displayed on the screen.

7.3 Advanced Claim Search

Data can be entered in four additional fields on this screen to launch a more specific claim search request. A copy of the Advanced Claims Search screen is shown below.

The screenshot displays the 'Advanced Claims Search' interface. The top navigation bar includes the DXC technology logo and the title 'The Insurers' Market Repository'. A user profile 'TSA401' is shown in the top right. The left sidebar contains navigation icons and a menu with 'IMR Searches', 'Contracts', 'Work Package', 'Claims - Standard', and 'Claims - Advanced'. The main content area is titled 'Search Criteria' and contains the following fields:

- UCR: ? (Starts With)
- UMR: ? (Starts With)
- Loss Name: ? (Starts With)
- Lloyd's CAT Code: ? (Starts With)
- PCS Code: ? (Starts With)
- Date of Loss - From: ? (Equals, dd/MM/yyyy)
- Date of Loss - To: ? (Equals, dd/MM/yyyy)
- Policy Inception Date - From: ? (Equals, dd/MM/yyyy)
- Policy Inception Date - To: ? (Equals, dd/MM/yyyy)
- Insured: ? (Starts With)
- Reinsured: ? (Starts With)
- Exclude Closed Claims: ? (checked)

At the bottom of the search criteria section, there are 'Search' and 'Reset' buttons, and a checkbox for 'Keep search criteria open'. The ID 'IMR017' is visible in the bottom right corner of the search area.

Some further field completion guidelines are provided below.

- Lloyd's CAT Code - Lloyd's CAT Code searches can be combined with any other search criteria except the Insured and Reinsured fields. The search will only return details of claims with the entered CAT Code.
- PCS Code - PCS Code searches can be combined with any other search criteria except the Insured and Reinsured fields. The search will only return details of claims with the entered PCS Code.
- Policy Inception Date Fields – The default is to search for claims on contracts where the Policy Inception Date falls on or within the date(s) entered by the user. Searches that are based upon the 'Policy Inception Date' cannot be combined with searches on the 'Insured' or the 'Reinsured'. If one of the policy date fields is populated, then the Insured and Reinsured fields will be disabled (and vice-versa).

The 'Policy Inception Date From', 'Policy Inception Date To' and 'UMR' cannot be the only search criteria. If these fields are completed then they must be combined with at least one other field.

If only the 'Policy Inception Date From' is entered then the search will only return claims on contracts which have a matching Inception Date. If both dates are entered then the search will return claims on contracts which have an Inception Date that is within this range.

In all other respects, this screen is identical to the Standard Claim Search screen.

7.4 Claim Search Results

The claim results are shown in ascending Loss Date order and within Loss Date in UCR order – i.e. the oldest claims will appear at the top of the list. Users can re-sort the order of the search results by clicking on the arrow heads in the title bar of any of the column headers. The scroll bars can also be used where there is more information than can be viewed on a single screen.

A copy of the Claim Search Results screen is shown below.

The screenshot displays the 'The Insurers' Market Repository' interface. At the top, there is a header with the DXC technology logo and the title 'The Insurers' Market Repository'. Below the header, there are tabs for 'Contracts', 'Claims Advanced', and 'Claims Standard'. The 'Claims Standard' tab is active. On the left, there is a navigation sidebar with icons for 'IMR Searches', 'Contracts', 'Work Package', 'Claims - Standard', and 'Claims - Advanced'. The main content area shows 'Search Criteria' and 'Search Results'. Under 'Search Results', it says 'Showing results for: Claims Standard'. Below this is a table with the following data:

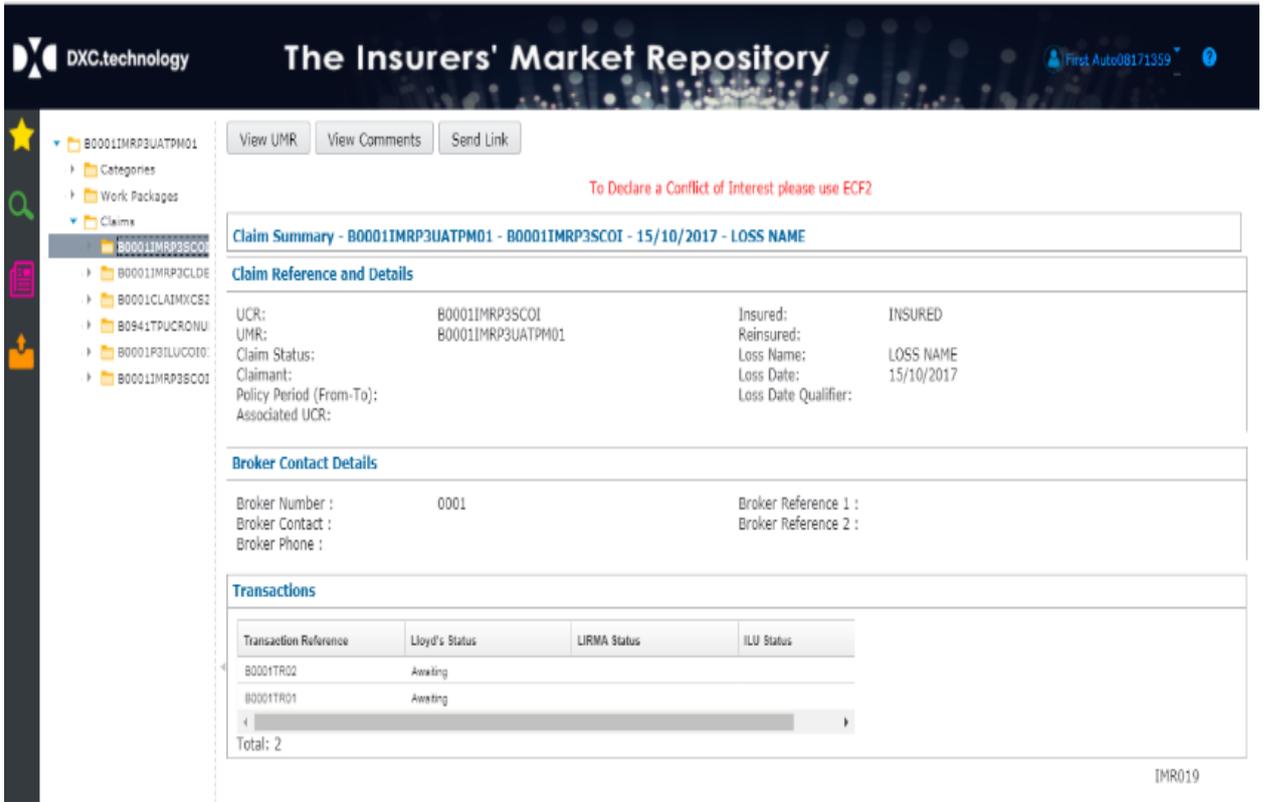
UMR	UCR	Insured	Reinsured	Loss Date	Loss Name	Lloyd's CAT Cod
B0001UMRDEC1902	B0001UCRDEC1902	INSURED		09/12/2017	NAME	
B0001UMRDEC1301	B0001UCRDEC1301	INSURED		12/11/2017	NAME	97A
B0001UMRDEC1501	B0001UCRDEC1501	INSURED		01/12/2017	NAME	97A
B0001UMRDEC1901	B0001UCRDEC1901	INSURED		10/12/2017	NAME	97A
B0001IMRP3NOV2801	B0001UCRDEC1241	INSURED	REINSURED	12/11/2017	NAME	
B0001UMRDEC1	B0001UCRDEC1	TEST		13/12/2015	MY TEST	
B0001UMRVGOEL60	B0001UCRDEC1801	INSURED		12/12/2017	NAME	97A
B0001UMRDEC1201	B0001UCRDEC1201	INSURED	REINSURED	11/12/2017	NAME	97A
B0001UMRDEC1405	B0001UCRDEC1405	INSURED		10/12/2017	NAME	
B0001UMRDEC1401	B0001UCRDEC1401	TEST		10/12/2017	NAME	97A

Each results line acts as a hyperlink. Clicking on this link takes the user to the Claim Summary screen for the UCR.

7.5 Claim Summary

Users can access the Claim Summary screen by clicking on a UCR link within the Claims Search Results panel or by selecting one of the UCR links that are displayed in the claims section of the Navigation Panel. A copy of the Claim Summary screen is shown below.

NB: No claim figures (monetary amounts) are displayed on any of the claim screens within the IMR. Users need to access the ECF2 screens to review this information.



7.5.1 Screen Content

The information displayed within the panels on this screen is as follows:

- Claim Summary – The UMR, UCR, Loss Date and Loss Name for the selected claim record are shown at the top of this screen.
- Claim Reference & Details – These sections provide claim summary information such as the Loss Name, the name of the Claimant and the status of the claim.
- Broker Contact Details – Broker contact and claim reference information is provided in this panel.
- Transactions – Details of the transactions that have been processed against the UCR are listed here. A count of the transactions is provided at the bottom of this panel.

The screen that is presented to carriers and XCS technicians also displays a 'Parallel UCR' panel. The UCR for any claims that have been created by third-party organisations that are associated with the claim record that is being viewed on this screen are provided here. Refer to the screen shot below.

Broker Contact Details

Broker Number :	0001	Broker Reference 1 :	
Broker Contact :	RAMAN KARLA	Broker Reference 2 :	
Broker Phone :	5646		

Parallel UCR

[07070UCR5AJAN11](#)

Transactions

Transaction Reference	Lloyd's Status	LIRMA Status	ILU Status
80001TR01	Awaiting		

Total: 1

7.5.2 Buttons and Hyperlinks

The buttons and hyperlinks that are available to users on the Claim Summary screen are as follows:

7.5.2.1 View UMR

Clicking on the 'View UMR' button results in the Contract Details screen being opened in a separate browser window (a new tab).

7.5.2.2 View Comments

Clicking on the 'View Comments' button opens the Cross-Market Comments Pop-up screen. Refer to section 7.14.

7.5.2.3 Send Link

This feature enables users to share a link for a claim record (rather than just an individual document). Clicking on the 'Send Link' button results in a draft email being presented to the user. Details of the claim that is being reviewed (the UCR, Loss Date and Loss Name) will be shown in the Subject line of the email and a link to the Claim Summary screen will be included within the body of the email.

NB: A user who receives an emailed link will not be able to view the claim details or documents if they do not have access rights for the UCR.

7.5.3 The Security Administrator's View

The content of the Claim Summary screen is slightly different for Security Administrators. These users will see a 'Confirm No Individual Conflict of Interest' button and may also see a 'Manage' button. However, the screen content also depends upon whether the Administrator has confirmed that they have no conflict of interest. Further information is provided in the sections 7.15 and 7.16.

Note: Security Administrator users may be registered to access functionality to Manage Conflicts of Interest and/or to Add Third Parties.

7.5.3.1 The 'Manage' Function

'Restricted Access' - This feature is only available to Security Administrators

This button only appears on the version of the Claim Summary screen that is presented to Security Administrators. Clicking on this button opens the 'Manage' pop-up screen. This function is used by Security Administrators to manage a conflict of interest for individual users within their organisation – i.e. they can remove ('deny') or enable ('allow') an individual user's access to a claim. Further information is provided within section 7.16.

7.5.3.2 Confirm No Individual Conflict of Interest

'Restricted Access' - This feature is only available to Security Administrators

This button only appears on the version of the Claim Summary screen that is presented to Security Administrators. Clicking on this button opens the 'Confirm No Conflict of Interest' Pop-up screen. Refer to section 7.15.

7.6 Claim Transaction Summary

Users can access the Claim Transaction Summary screen by clicking on the 'Transactions' node that is displayed under the UCR link in the Navigation Panel. A copy of the screen is shown below.

The screenshot displays the 'The Insurers' Market Repository' interface. The header shows the DXC technology logo and the user profile 'TSA401'. The navigation sidebar on the left lists various folders, with 'Transactions' selected under the 'B0001P3LUCOI' folder. The main content area is divided into three sections:

- Claim Summary:** Displays 'Claim Summary - B0001IMRP3UATPM01 - B0001P3LUCOI01 - 03/10/2017 - LOSS NAME'. It includes buttons for 'View UMR', 'View Comments', and 'Send Link'.
- Transactions Summary:** Features a filter input and a table with columns: Transaction Reference, Lloyd's Status, LIRMA Status, and ILU Status. The table contains two rows:

Transaction Reference	Lloyd's Status	LIRMA Status	ILU Status
B0001TR02			Awaiting
B0001TR01			Signed/Complete
- Claim Related Documents:** Includes an 'Add Document' button and an 'Actions' dropdown. It contains a table with columns: Name, Classification, Transactions, Document Type, Created By, Created On, Original Document Date, Size, and Version. The table lists five documents:

Name	Classification	Transactions	Document Type	Created By	Created On	Original Document Date	Size	Version
Test Claim Document 3.docx	Legal; Recovery;		Claim Correspondence	TSA401	21/12/17 14:19	21/12/17	11 kb	1
Capture.PNG	Broker; Cedent;	B0001TR02	Fee Bill	TSA401	15/11/17 10:12	15/11/17	83 kb	1
issue 6.docx	Cedent; Fees;	B0001TR01	File Note Document	TSA401	15/11/17 10:12	15/11/17	1.1 MB	1
New Text Document (3).txt	Adjuster; Cedent; Fees;		Fee Bill	TSA401	15/11/17 10:12	15/11/17	0	1
New Microsoft Excel Worksheet.xlsx	Adjuster; Broker;		Reinsurer Status Update	TSA401	15/11/17 10:12	15/11/17	6 kb	1

7.6.1 Claim Transaction Summary Screen Content

The information that is displayed to users on the Claim Transaction Summary screen is summarised below.

- Claim Summary - The UMR, UCR, Loss Date and Loss Name for the selected claim record are shown at the top of this screen.
- Transaction Summary - All the transactions that are associated with the selected claim are listed in this panel along with the transaction status value for each bureau (where applicable).
- Claim Related Documents - This panel provides detailed information for each of the claim documents such as the document name, the document classification, the transaction for which the document has been loaded and the document type.

NB: Restrictions apply when a conflict of interest has been declared. Refer to section 7.15.

(Claim records/transactions created by XCS, starting with the prefix XXCHU, are only visible to Lloyd's carriers and technicians at XCS.)

7.6.2 Document Names

The document names that were displayed in the document panels within the WSMP version of the IMR were generated in different ways according to the method that was used to load the document (DRI, Direct Load, DMS, etc.). As an example, the Document Type was sometimes added as a prefix to the document name.

FileNet only displays the actual document name – i.e. the name that was given to the document when it was created. However, the Document Type is usually displayed in a separate field against each of the documents.

7.6.3 Buttons, Hyperlinks and Document Actions

The buttons and hyperlinks that are available to users are as follows:

- [View UMR](#) – Clicking on the 'View UMR' button results in the Contract Details screen being opened in a separate browser window.
- [View Comments](#) – This opens the Cross-Market Comments screen. Refer to section 7.14.
- [Send Link](#) – This opens a draft email which contains a link to the UCR. Clicking on the link will take the recipient of the email to the Claim Summary screen. Refer to section 7.5.2.3.
- [Filter \(Transactions\)](#) – This enables users to filter the claim transactions. Refer to section 7.7.
- [Add Document](#) – This takes the user to the 'Add UCR Documents' screen. Refer to section 7.9.
- [Actions](#) – The options that are available to users here are the same as those that are presented to users via the 'Actions' button on the Contract Details screen (refer to Section 5.8). The Actions drop-down menu can also be accessed by right-clicking on a document.
- [Sending Document Links](#) - Users can send a link to another user for an individual claim document by selecting a document from within the 'Claim Related Documents' panel and either right-clicking or clicking on the 'Actions' button and selecting 'Link' from the drop-down list that is produced. This will generate a link to the selected document which the user can email (or skype) to another user.

Alternatively, the 'Send email' option can be selected. Further details are provided in sections 5.8.10 and 5.8.11.

- [Filter \(Documents\)](#) - This enables users to filter the claim documents. Refer to section 7.8.

7.6.4 Details of Individual Transactions

If the user selects an individual transaction (TR) in the Navigation Panel, then only the selected transaction will appear in the 'Transaction Summary' panel and a 'Transaction Details' panel will also be displayed which identifies the Bureau Leader(s) and shows the broker's reference for the transaction (Broker Reference 1).

The 'Claim Related Documents' panel will now only display details of documents that are associated with the selected transaction (along with any documents that are not associated with a specific transaction). A copy of the screen is shown below.

The screenshot displays the 'The Insurers' Market Repository' interface. The top navigation bar includes the DXC technology logo and the user 'TSA401'. A sidebar on the left shows a tree view of categories, with 'B0941TR01' selected under 'Transactions'. The main content area is divided into several sections:

- Claim Summary:** B0001IMRP3UATPM01 - B0941TPUCRONUMR3 - 29/07/2017 - LOSS NAME
- Transactions Summary:** A table with columns for Transaction Reference, Lloyd's Status, LIRMA Status, and ILU Status. One entry is shown: B0941TR01 with a status of 'Awaiting'. A 'Total: 1' is displayed below.
- Transaction Details:** A table showing Bureau Leader (9000), Broker Reference 1, and associated status codes (Lloyd's, LIRMA, ILU).
- Claim Related Documents:** A table with columns for Name, Classification, Transactions, Document Type, Created By, Created On, Original Document Date, Size, and Version. It lists four documents related to transaction B0941TR01.

The 'Claim Related Documents' table data is as follows:

Name	Classification	Transactions	Document Type	Created By	Created On	Original Document Date	Size	Version
20171017FDMS USERCoverage Counsel Correspondence		B0941TR01	attorney_info_coverage	CE&CN Admin	17/10/17 14:27	17/10/17	2.2 MB	1
20171017TESTDMSClaim Correspondence		B0941TR01	correspondence_claim	CE&CN Admin	17/10/17 14:33	17/10/17	632 kB	1
20171016TESTDMS2Docume		B0941TR01	document	CE&CN Admin	17/10/17 14:33	17/10/17	660 kB	1
20171016FDMS USER2Document		B0941TR01	document	CE&CN Admin	17/10/17 14:27	17/10/17	23 kB	1

A 'Total: 4' is shown at the bottom of the document list. The interface also includes 'Add Document' and 'Actions' buttons, and a 'Filter' input field.

7.7 Filtering Claim Transactions

The 'Filter' function enables users to change the view of the claim transactions so that only a subset of the transactions are displayed – i.e. transactions that have a specific status.

Transactions Summary

Filter 

Transaction Reference ▾	Lloyd's Status	LIRMA Status	ILU Status
B0001TR01	Awaiting		
B0001TR04		Awaiting	
B0001TR05	In Error		

Total: 3

As an example, the screen shot below illustrates how only transactions with a specific status are displayed on the screen after the user has added the word 'awaiting' in the Filter field. (Clicking on the cross symbol in the 'Filter' field clears the transaction search criteria.)

Transactions Summary

awaiting  

Transaction Reference ▾	Lloyd's Status	LIRMA Status	ILU Status
B0001TR01	Awaiting		
B0001TR04		Awaiting	

Total: 3

Alternatively, users can click on the arrow that is displayed beside the 'Filter' button in the Transactions Summary panel to launch a more advanced search by adding some Filter rules. A screen shot is displayed below. In this example, the user is applying a filter in the 'LIRMA Status' column to look for transactions which have a status of 'Circulated'.

Clicking on the 'Filter' button will result in the Claim Summary screen only displaying details of transactions that match these criteria.

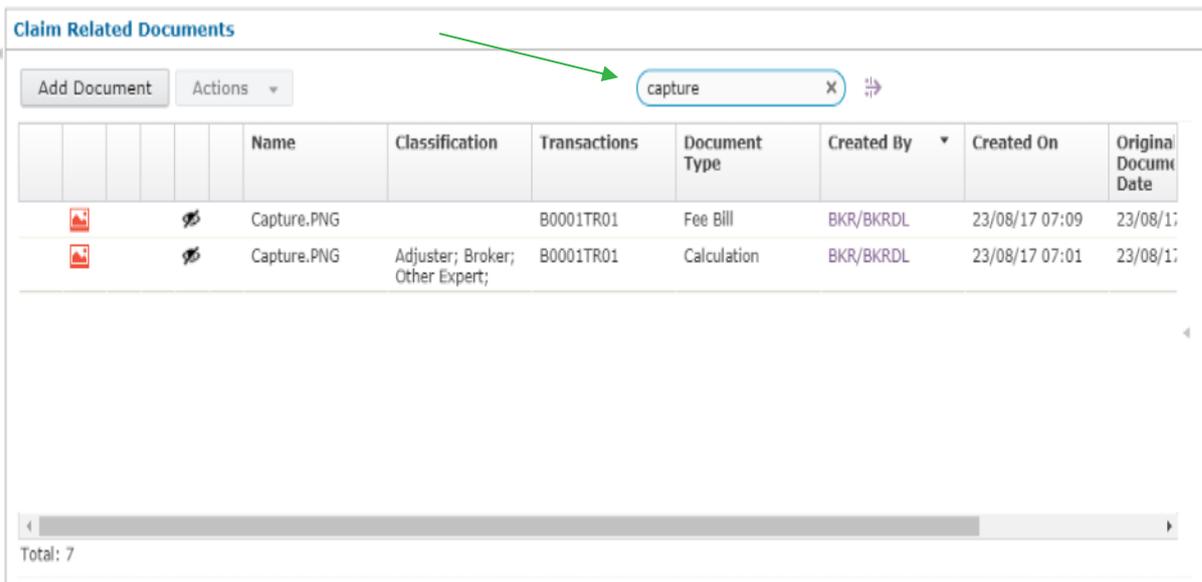
7.8 Filtering Claim Documents

This 'Filter' function enables users to search for specific claim documents or just display a sub-set of the documents – i.e. documents that have a specific name.

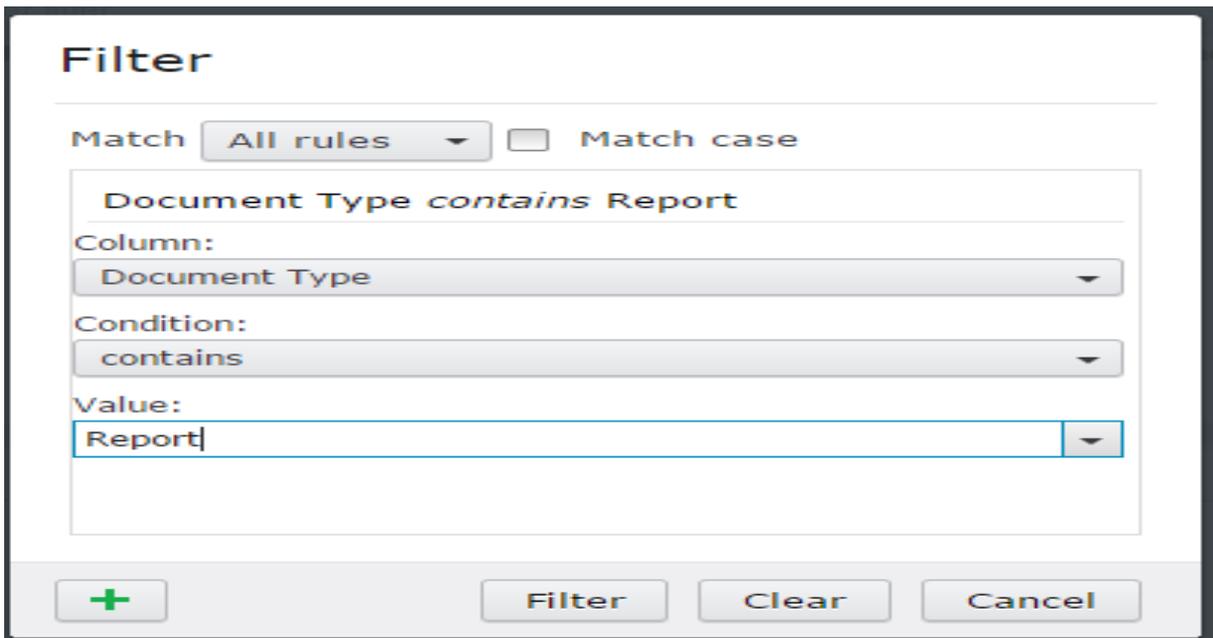
	Name	Classification	Transactions	Document Type	Created By	Created On	Original Document Date
	test12.xls		B0001TR01	Document	XSBT/XSBT5	25/08/17 08:04	25/08/17 08:04
	IMRP3-922.docx		B0001TR01	Claim Correspondence	XSBT/XSBT5	25/08/17 07:48	25/08/17 07:48
	Capture.PNG		B0001TR01	Fee Bill	BKR/BKRDL	23/08/17 07:09	23/08/17 07:09
	Capture.PNG	Adjuster; Broker; Other Expert;	B0001TR01	Calculation	BKR/BKRDL	23/08/17 07:01	23/08/17 07:01
	SUBSEQUESNT CLAIM.docx		B0001TR01	Adjustment Premium Calculation	BKR/BKRDL	23/08/17 06:52	23/08/17 06:52
	sample.xlsx		B0001TR01	Claim Correspondence	XSBT/XSBT5	16/08/17 08:52	16/08/17 08:52

Total: 7

As an example, the screen shot below illustrates how only two documents are displayed on the screen after the user has added the word 'capture' in the Filter field. (Clicking on the cross symbol in the 'Filter' field clears the document search criteria.)



Alternatively, users can click on the arrow that is displayed beside the 'Filter' button in the Documents panel to launch a more advanced search by adding some Filter rules. A screen shot is displayed below. In this example, the user is applying a filter in the 'Document Type' column to look for documents that contain the word 'Report'.



Clicking on the 'Filter' button will result in the Claim Summary screen only displaying details of documents that match these criteria.

The screen will confirm the number of documents that can be seen – e.g. '2 of 4 items shown'. A 'Clear Filter' option is also displayed. Refer to the screen shot below.

Claim Related Documents

Add Document Actions Filter

2 of 4 items shown. Clear filter

	Name	Classification	Transactions	Document Type	Created By	Created On
	20171017FDMS USERCoverage Counsel Correspondence		B0941TR01	attorney_info_coverage	CE&CN Admin	17/10/17 14:27
	20171017TESTDMSClaim Correspondence		B0941TR01	correspondence_claim	CE&CN Admin	17/10/17 14:33

Further information on the options available is provided in section 5.8.17.

7.9 Adding Claim Documents

Users with the necessary access rights can load additional documents to the claim record on the IMR. A copy of the 'Add UCR Document' screen is shown below.

Add UCR Document

UMR: B0001B0001NEWDATA
 UCR: B0001UCR2508
 Loss Name: AVIATUION
 Date of Loss: 10/10/2015
 File(s): ?

Document Name: * ? Test Claim Document 3.docx
 Document Type: ? Adjuster Report
 Document Description: ? Survey report for the damaged property.
 Initial Version Comment: ?
 Original Document Date: ? 20/06/2017
 Classification: ?
 All
 Adjuster
 Broker
 TRs: ?
 B0001TR01

Confidential Document?: ?

Add Cancel

7.9.1 Selecting Documents to be Loaded

Users can load new documents to the UCR record on the IMR by using the 'Files' field on the 'Add UCR Document' screen. Clicking on the plus (+) button enables users to select the documents that they want to load to the IMR from their local network drive. It is possible to select one or more documents. The minus (-) button at the bottom of the 'Files' panel can be used to remove documents that have been selected in error.

7.9.2 Document Properties

Once the user has selected the document(s) that they wish to load to the IMR, details of each of these individual documents can be provided via the other fields on this screen. The fields are as follows:

- Document Name – This field is pre-populated with the name of the document that has been selected. This is an editable field – i.e. users can change the name generated by the system before they press the 'Add' button on the screen (which submits the document to the IMR).
- Document Type – A drop-down list is presented to enable users to select the Document Type.
- Document Description – Users can provide further information regarding the document in this field.
- Initial Version Comments – If relevant, comments can be added regarding the first version of the document.
- Original Document Date – If relevant, a date can be added to confirm when the document was actually created (i.e. outside of the IMR).
- Classification – Refer to section 7.9.5.
- IRs – Refer to section 7.9.6.
- Confidential Document – Refer to section 7.9.4.

It is possible to view some help text for each of the fields by clicking on the question mark symbol  that is displayed next to the field. Mandatory fields are highlighted on the screen with a red asterisk *.

7.9.3 Points to Note

Users should consider the following points when loading new documents.

- Loading Multiple Documents - Users can create different 'properties' for each of the documents that they have selected. When multiple documents are being loaded, the data that the user enters on this screen will be held against the document that is currently selected in the 'Files' field.
- Loading Multiple Documents & Validation Failures - If a user attempts to load multiple documents and they encounter a failure for one of the documents, then none of the documents will be loaded.
- Loading the Same Document Twice - Users will be prevented from loading the same document more than once in a single operation.
- Document Number and Size Recommendations – It is recommended that users do not attempt to load more than 30 documents to the IMR in a single action. It is also recommended that users do not load individual documents or files to the IMR that are in excess of 20MB.

- Acceptable File Types – Details of acceptable file types can be found in Appendix C.
- Add Document Warning Message - The first time a user uploads a document, a dialog box will appear that displays the following warning message:

'If you have not customised the security, all parties involved in the risk/claim will be able to access the document (interactively or via DRI). Are you sure you want to proceed?'

The purpose of this reminder is to prompt the user to consider whether they need to restrict access to the document.

7.9.4 Confidential Documents

When users need to restrict access to individual claim documents, the 'Confidential Document' indicator should be ticked. A screen that provides an Access Control List (ACL) will be presented to the user – refer to the screen shot below. The user can then select the organisations that should be given access to the document. (Broker organisations can be identified by the 'BR' prefix that is shown in front of the four-digit broker number. Users cannot deselect their own organisation. For documents relating to Lloyd's claims, users cannot deselect XCS.)

The screenshot shows the 'Add UCR Document' form with the following data:

- UMR: B0001IMRP3UATPM13
- UCR: B0001TEST403001
- Loss Name: SKDNK
- Date of Loss: 28/11/2017
- File(s): Test Claim Document 3.docx
- Document Name: Test Claim Document 3.docx
- Document Type: Adjuster Report
- Document Description: Survey report for damaged property.
- Classification:
 - All
 - Adjuster
 - Broker
- TRs: B0001TR01
- Confidential Document?:
- Access Control List:

Select	Reference	Title
<input checked="" type="checkbox"/>	LCO1	LCO1
<input type="checkbox"/>	4020	4020
<input checked="" type="checkbox"/>	9000	9000
<input checked="" type="checkbox"/>	9001	9001

If a carrier selects the broker organisation from the Access Control List and selects a classification of 'Coverage' (see section 7.9.5 below) then the system will display the following error message:

'Conflicting Instruction - You cannot include the broker in the ACL and apply a classification of Coverage. Please amend'

The user must take one of the following actions – a) remove the broker from the ACL; b) choose a different document classification; c) do not select a classification.

7.9.5 Classifications

The document(s) being added can, optionally, be associated with one or more classifications. The options that are displayed in the Classifications drop-down list are as follows:

- Adjuster
- Broker
- Cedent
- Coverage
- Fees
- Insurers
- Legal
- Other Expert
- Recovery

The default position is that the document will be associated with the classification that has been selected in the Navigation Panel when the 'Add Document' button is selected, if one has been selected at this point. If the user does not select a Classification from the selection list then the system will associate the document with 'Classification (All)' and the document will be shown when any Classification is selected for the UCR.

All documents will be added to 'Classification (All)' by default.

If 'Coverage' is selected as the Classification, then this will update the security policy for the document to exclude the broker from being able to view the document. The exception to this rule is if it was the broker that has classified the document as 'Coverage'. In this case, the broker will be able to see the document as they are the document owner. However, other users in the same organisation will not be able to see the document.

7.9.6 TRs

The document(s) being added can be linked to one or more of the claim transactions. All TRs that have been generated for the claim will be made available for selection. The default position is that the document will be associated with the transaction that has been selected in the Navigation Panel, if one has been selected at this stage.

However, if the user does not select a TR from the selection list and a TR is not highlighted in the Navigation Panel, then the system will associate the document with all the TRs that have been submitted for the claim.

7.9.7 Guidelines for Loading Claim Documents

Document loading rules and naming conventions for claim documents are provided in the Lloyd's and Companies ECF System, Processes and Procedures ('SP&P') documents. Refer to section 12.3.2.

7.10 Editing Claim Documents

Slip Leads can edit the properties that are held against claim documents. A copy of the 'Edit UCR Document' screen is shown below. This screen can be accessed via the 'Edit Document' option in the 'Actions' drop-down list.

Edit UCR Document

UMR : B0001B0001NEWDATA
 UCR: B0001UCR2508
 Loss Name: AVIATUION
 Date of Loss: 10/10/2015
 Document Name: *
 ?
 Description: ?
 Original Document Date: ?
 Classification: ? All Adjuster Broker TRs: ? B0001TR01
 Confidential Document?: ?

7.11 Document Classifications View

The 'Classification' options in the Navigation Panel enables users to view just a sub-set of the documents that have been loaded to the IMR for the claim. The screen that is presented to users just displays the claim summary information and details of the claim documents. A copy of the screen is shown below.

The screenshot shows the 'The Insurers' Market Repository' interface. On the left is a navigation panel with a tree structure. The 'Classification' node is selected. The main content area shows a 'Claim Summary' for claim B0001IMRP3UATPM01 - B0001P3ILUCOI01 - 03/10/2017 - LOSS NAME. Below the summary is a 'Claim Related Documents' section with a table of documents. The table has columns for Name, Classification, Transactions, Document Type, Created By, Created On, Original Document Date, Size, and Version. There are 5 documents listed.

Name	Classification	Transactions	Document Type	Created By	Created On	Original Document Date	Size	Version
Test Claim Document 3.docx	Legal; Recovery;		Claim Correspondence	TSA401	21/12/17 14:19	21/12/17	11 kB	1
Capture.PNG	Broker; Cedent;	B0001TR02	Fee Bill	TSA401	15/11/17 10:12	15/11/17	83 kB	1
issue 6.docx	Cedent; Fees;	B0001TR01	File Note Document	TSA401	15/11/17 10:12	15/11/17	1.1 MB	1
New Text Document (3).txt	Adjuster; Cedent; Fees;		Fee Bill	TSA401	15/11/17 10:12	15/11/17	0	1
New Microsoft Excel Worksheet.xlsx	Adjuster; Broker;		Reinsurer Status Update	TSA401	15/11/17 10:12	15/11/17	6 kB	1

A 'Classification (All)' node is displayed under the UCR link in the Navigation Panel. Selecting 'Classification (All)' will result in details of all the documents that have been loaded to the IMR for the selected claim being displayed in the Claim Related Documents panel. 'Classification (All)' will always be present for each UCR, even if no documents have been loaded for the claim at this stage.

The document classifications that may be displayed in the Navigation Panel are listed in section 7.9.5. These classifications will only be displayed for a UCR if a document(s) that has been added to the selected claim has been given the classification. For example, if a document has been added to the claim with a Classification of 'Broker', then the 'Broker' node will be selectable and the document added with the 'Broker' classification will be visible on the screen.

If one of the classification options is selected, then only the documents which have been the given the selected classification and documents that have not been classified will be displayed in the 'Claim Related Documents' panel.

Users can change the classification that has been allocated to an individual claim document by accessing the 'Edit Document' screen via the 'Actions' drop-down list. (The document classifications that are displayed in the Navigation Panel will not be instantly refreshed – the list will only be updated if the user closes and then re-expands the classification node or if they repeat their search for the UMR/UCR.)

7.12 Document Types View

'Document Type' nodes are also displayed under the UCR in the Navigation Panel. The 'Document Type' link will always be present for each UCR, even if there are no associated documents. However, the individual document types will only appear in the Navigation Panel if a user has allocated that document type to at least one of the documents for that UCR. The screen that is presented to users just displays the claim summary information and details of the claim documents. A copy of the screen is shown below.

The screenshot shows the 'The Insurers' Market Repository' interface. On the left is a navigation panel with a tree view containing folders like 'B0001IMRP3UATPM01', 'Categories', 'Work Packages', 'Claims', and 'Document Ty'. The main content area has a header with 'View UMR', 'View Comments', and 'Send Link' buttons. Below this is a 'Claim Summary' section for 'B0001IMRP3UATPM01 - B0001P3ILUCOI01 - 03/10/2017 - LOSS NAME'. The 'Claim Related Documents' section features a table with the following data:

	Name	Classification	Transactions	Document Type	Created By	Created On	Original Document Date	Size	Version
	Test Claim Document 3.docx	Legal; Recovery;		Claim Correspondence	TSA401	21/12/17 14:19	21/12/17	11 kB	1
	Capture.PNG	Broker; Cedent;	B0001TR02	Fee Bill	TSA401	15/11/17 10:12	15/11/17	83 kB	1
	issue 6.docx	Cedent; Fees;	B0001TR01	File Note Document	TSA401	15/11/17 10:12	15/11/17	1.1 MB	1
	New Text Document (3).txt	Adjuster; Cedent; Fees;		Fee Bill	TSA401	15/11/17 10:12	15/11/17	0	1
	New Microsoft Excel Worksheet.xlsx	Adjuster; Broker;		Reinsurer Status Update	TSA401	15/11/17 10:12	15/11/17	6 kB	1

At the bottom of the table area, it says 'Total: 5'.

All the documents which have been added to the claim will be shown when 'Document Type' is selected from the Navigation Panel. In the example above, the user has selected 'Adjuster Report' in the Navigation Panel.

As mentioned above, the individual Document Type nodes will only be displayed for a UCR if a document that has been added to the selected claim has been given this Document Type. For example, if a claim has a document which has been added with a Document Type of 'Report', then the 'Report' node will be selectable and details of the documents with the 'Report' document type will be shown on the screen.

When one of the 'Document Types' is selected within the Navigation Panel, details of documents that have been given this Document Type will be displayed in the 'Claim Related Documents' panel along with any documents that have not been given a Document Type.

7.13 Claim Transaction Status Information

The Claim Transactions screen and the Claim Summary screen both display a list of the transactions that have been submitted under the selected claim. The status of each transaction is shown in the 'Transaction Summary' panel. If there is more than one market involved in the claim, then the status will be shown for each applicable 'bureau' (Lloyd's, LIRMA and ILU).

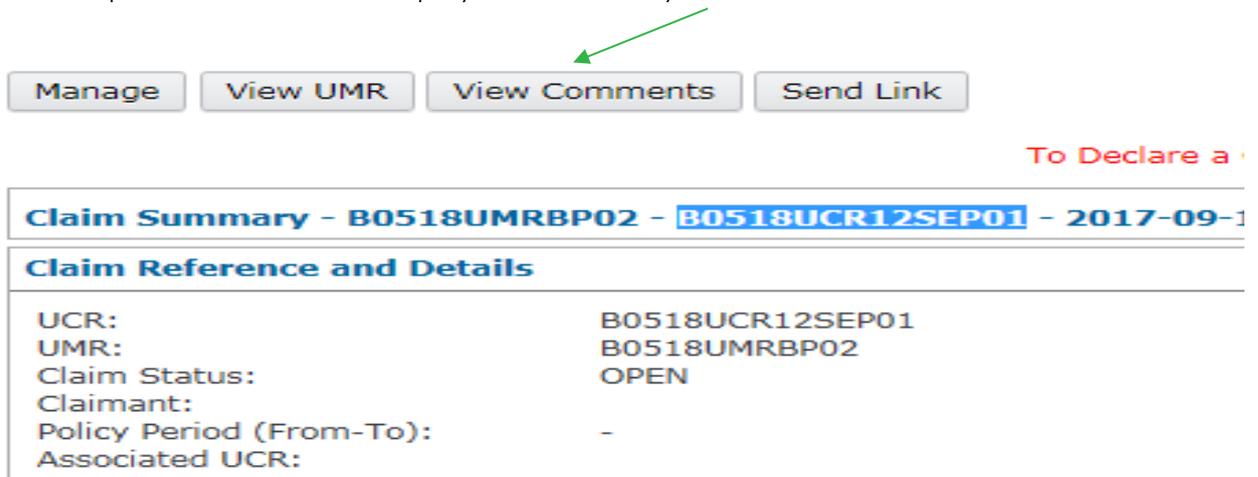
The transaction status that is displayed on the claim screens is the status that is held in the ECF2 application. The statuses that may be displayed are shown in the table below.

Status	Information
Awaiting Action	Awaiting Lead action
Awaiting Market Check	Lloyd's only
Awaiting RIP	LIRMA and ILU only
Cancelled	-
Circulated	LIRMA only - The LIRMA Leader has circulated the claim to other companies
Deleted	All bureau
Fully Authorised	Lloyd's and ILU only - Applies to claim settlement requests that are fully authorised but not yet signed.
Fully Authorised or Complete	-
In Error	-
Mkt Rejected	Lloyd's only
Part Authorised	Lloyd's and ILU Agreed by the Leader but not yet authorised by other agreement parties
Pended (or Rejected)	Companies only - The Company Leader or another agreement party has queried the item
Previous RIP	ILU only
Purged	LIRMA and ILU only
Queried	Lloyd's only - Applies where the Lead or an agreement party has made a 'Query Return' response.

It is not possible for users to view a transaction that has a Transaction Status of 'Deleted', 'In Error', 'Mkt Rejected' or 'Purged'.

7.14 Cross Market Comments Screen

Users can access the Cross-Market Comments screen by clicking on the 'View Comments' button at the top of the screens that display claim summary and claim transaction details.



The Cross-Market Comments screen shows responses and comments that carriers have made on the claim that is currently being viewed. Both Public and Private comments are shown on this screen. These can be accessed via separate tabs labelled 'Public' and 'Private'. Refer to the screen shots below.

Public Comments



[Private Comments](#)

Cross Market Comments

Claim Summary - B0001UMRSANJEEV09 - B0001UCRSANJEEV09 - - DAVIE

Public **Private** ←

TR: B0001TR012 **Date: 13/04/2018**

Bureau Lloyd's

Co/Synd Name: LLOYD'S SYNDICATE TEST ACCOUNT Response: AUT

Comments: Private Comments 3(Lloyd's) on UMR : B0001UMRPRITY925 UCR : B0001UCRPRITY925 TR : B0001TR012

Co/Synd Name: LLOYD'S SYNDICATE TEST ACCOUNT Response: AUT

Comments: Second Private Comments 14(Lloyd's) on UMR : B0001UMRPRITY925 UCR : B0001UCRPRITY925 TR : B0001TR012

TR: B0001TR011 **Date: 13/04/2018**

Bureau Lloyd's

Co/Synd Name: LLOYD'S SYNDICATE TEST ACCOUNT Response: AUT

Comments: Private Comments 2 on UMR : B0001UMRPRITY925 UCR : B0001UCRPRITY925 TR : B0001TR011

IMR020

NB: Users who have declared an 'Individual Conflict of Interest' or an 'Organisational Conflict of Interest' on a claim will not see the 'View Comments' button and will not see comments associated with the claim on which the conflict has been declared.

7.14.1 The Origins of the Claim Comments

The comments that appear on the Cross-Market Comments screen in the IMR have been copied across from the claims processing applications. Details are provided below.

- Lloyd's - The Lloyd's 'Public Comments' are the comments entered by syndicates (and XCS) as 'Public Comments' when making their response to the claim within the 'Response screen' in the ECF2 system. Each agreement party can optionally add 'Private Comments' as part of their response.
- ILU - The ILU 'Public Comments' are comments that have been entered by ILU companies as 'Public Comments' when making their responses within the 'Response screen' in the ECF2 system or the ILU CLASS system. Private Comments can also be added via these screens.
- LIRMA - The LIRMA 'Public Comments' that have been entered by the LIRMA Bureau Lead within the LIRMA Lead Response screen when making a 'Circulate' response. These comments are entered as 'Lead Comments'. The LIRMA Private Comments shown on the 'Cross Market Comments' screen are comments added by companies as a 'Private Footnote' when they make a response in ECF2 or the LIRMA CLASS system.

Users with the required access rights will be able to view comments that carriers made either before or after the new FileNet version of the IMR was introduced.

7.14.2 Comment Details

The following details are shown at the top of the Cross-Market Comments screen (as a heading) – The UMR, the UCR, the Loss Date and the Loss Name. The information displayed on the screen is detailed below. (All the data displayed on this screen is protected – i.e. this is view-only information.)

- The Bureau – The identity of the bureau involved (i.e. ILU, LIRMA or Lloyd's).
- Co/Synd Name - The name of the company or syndicate that has made the response to the claim and their comments. (Any responses and comments made by XCS staff will be included within Lloyd's comments section – with the organisation name being shown as 'Xchanging Claims Services Ltd'.)
- Response – The code shown here will indicate the type of response made by the carrier. (Refer to the table in section 7.14.4.)
- Comments - This field shows the free-format text that has been added as part of the carrier's response to the claim.

The comments and claim response details are first grouped by transaction (in descending date order) and then by bureau (in alphabetic order) – i.e. comments on the most recent claim transactions are, therefore, shown at the top of the screen.

Earlier TRs are shown with their section 'collapsed'. It is possible for comments on each of the TRs to be opened and to be closed (collapsed) by clicking on the TR header, which will expand the selected transaction and collapses the others.

If no comments have been recorded against the UCR, or if there are no comments that the user has authority to view, then the system will display the following message:

'No comments exist for this claim – UCR: _____'

The 'Close' button on the screen will return the user to the screen from which they selected the 'View Comments' link.

7.14.3 User Access Information

User access information is provided below.

- Lloyd's syndicates (and users at XCS) can see all 'public comments' on a claim (for all bureaux) and all claim responses.
- Lloyd's syndicates can see 'private comments' that have been entered by Lloyd's syndicates and XCS.
- ILU companies can see all 'public comments' on a claim (for all bureaux) and all claim responses.
- ILU companies can see 'private comments' entered by all ILU companies on the claim. However, they cannot see private comments entered by Lloyd's syndicates, XCS or LIRMA companies.

- LIRMA companies can see all 'public comments' on a claim (for all bureaux) and all claim responses.
- LIRMA companies can see 'private comments' entered by colleagues in their organisation. However, they cannot see 'private comments' entered by users in the offices of other LIRMA companies, ILU companies, syndicates or XCS.
- Brokers can see all 'Public Comments' associated with all responses, all transactions and all bureaux on the claim. However, brokers are not able to view 'Private Comments'.

In summary, all users (brokers, carriers and XCS) can view Public Comments that have been added claims on which their organisation participates (i.e. they are part of the market for the claim). There is restricted viewing for private comments, as shown in the table below.

<u>Viewing Party</u>	<u>Able to View Which Public Comments?</u>	<u>Able to View Which Private Comments?</u>
Lloyd's Carriers	All	Lloyd's and XCS
ILU Carriers	All	ILU Only
LIRMA Carriers	All	Own Organisation Only
Brokers	All	None
XCS	All	Lloyd's and XCS

The following message will be displayed to users when none of the carriers have responded to the claim or if data entered in one of the claims systems has not yet been transferred to the IMR:

'There are no comments available on the IMR. Previous comments may exist on CLASS that cannot be displayed.'

Comments entered against claims prior to 2008 are also not displayed.

7.14.4 Claim Response Codes

The codes that may be displayed in the 'Response' field on the Cross-Market Comments screen are listed in the table below.

<u>Response Code</u>	<u>Bureau</u>	<u>Description</u>
AUT	Lloyd's	Authorised – i.e. a 'Seen/Action' response or an 'Agree/Pay' response
QUE	Lloyd's	Query/Return response
---	Lloyd's	Not yet actioned
ACC	LIRMA	Accounting issue
CAA	LIRMA	Claim Advice accepted
DIS	LIRMA	Carrier is in dispute
FIL	LIRMA	File Required (<i>Should not be used for ECF submissions?</i>)

INF	LIRMA	Further Information required
NO	LIRMA	Carrier is in dispute (settlement)
YES	LIRMA	Claim Settlement accepted
----	LIRMA	Blank is shown for a lead Circulate response
AUT	ILU	Authorised
PEN	ILU	Pended / Queried

7.15 Conflict of Interest

7.15.1 Declaring an Individual Conflict of Interest

Functionality that enables a user to declare a Conflict of Interest is no longer available in the IMR. Carriers can use the ECF2 Claim Agreement Screens ('CAS') to declare an Individual Conflict of Interest.

Brokers who wish to declare an Individual Conflict of Interest on a claim should contact their Security Administrator who can perform this action on the claim on behalf of the user by using the 'Manage' function. (Refer to section 7.16.)

If a user has declared that they have an 'Individual Conflict of Interest' in the ECF2 CAS system (or in the previous WSMP version of the IMR), then the user will not be able to take any of the following actions:

- View transaction information for the 'conflicted claim' on the Transaction Summary screen;
- View any claim-related documents for the 'conflicted claim';
- Add new documents to (or edit existing documents for) the 'conflicted claim';
- Expand the UCR within the Navigation Tree to show Transactions, Classifications or Document Types;
- View Cross Market comments for the 'conflicted claim'.

7.15.2 Declaring an Organisational Conflict of Interest

Functionality that enables a user to declare an Organisational Conflict of Interest is also no longer available in the IMR. Carriers can use the ECF2 Claim Agreement Screens ('CAS') to declare an organisation-level conflict of interest.

Once a user has declared an 'Organisational Conflict of Interest', if they (or one of their colleagues) subsequently searches for the 'conflicted claim' using the Claims Search function in the IMR, then the following message will be presented to the user:

'No results found. If results are expected, you may not have the required access to view them.'

If an 'Organisational Conflict of Interest' has been declared in the ECF2 CAS system (or in the previous WSMP version of the IMR), then the user will not be able to take any of the actions that are listed in section 7.6.3.

7.15.3 Security Administrators

When a Security Administrator user first views a claim on the Claim Summary screen, the system will display a version of the screen that includes a button labelled '*Confirm No Individual Conflict of Interest*'. Security administrators need to confirm they have no conflict of interest before they can view claim documents, view comments, add or edit documents.

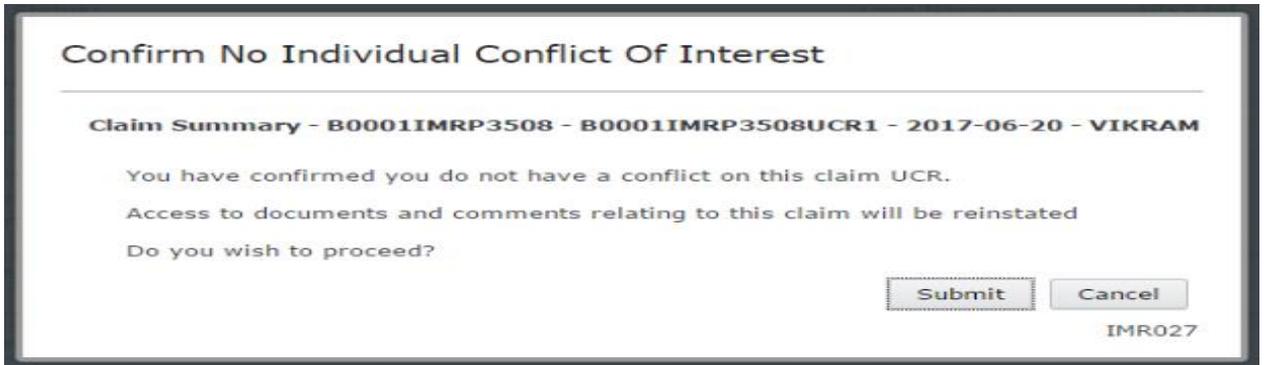
The user will be able to navigate to the Transactions, Classification and Document Types screens by expanding the UCR in the Navigation Panel. However, no documents will be shown until the user has confirmed that they do not have a conflict of interest on the claim.

7.15.3.1 Conflict of Interest is Declared

If the Security Administrator confirms that they do have a conflict of interest, then they will not be able to review claim transaction information, view the claim documents, view the cross-market comments or add documents to (or edit documents for) the UCR.

7.15.3.2 No Conflict of Interest

If the Security Administrator confirms that they do not have a conflict of interest on the claim by selecting '*Confirm No Individual Conflict of Interest*' button, then the pop-up screen shown below will be presented to the user.



The system will update the user's view of the claim so that the user can see the claim-related documents via any of the following screens:

- The Claim Transaction Summary screen;
- The Claim Transaction Selected screen;
- The Claim Classification screen;
- The Claim Document Type screen.

The user will also be able to view the Cross-Market Comments by selecting the '*View Comments*' button.

If the Security Administrator confirms that they do not have a conflict of interest, then the 'Confirm No Individual Conflict of Interest' button will not appear the next time that the Administrator accesses the Claim Summary screen for that claim. The button will also not appear if the Security Administrator has already confirmed that they have no conflict of interest on the claim via the ECF2 Claim Agreement Screens (or in the previous WSMP version of the IMR).

7.16 The 'Manage' Function

'Restricted Access' - This function is only available to Security Administrators

Users who have IMR 'Security Administrator' access rights have the ability to either allow or deny individual users in their organisation with access to claim records. Upon selecting the 'Manage' button at the top of the Claims Summary screen, the user will be presented with a pop-up screen that contains a list of users whose default user profile allows them to access the selected claim (UCR).

The Security Administrator can grant or revoke each user's access to the UCR by using the 'No Access' and 'Full Access' radio buttons. Refer to the screen shot below.

User	No Access	Full Access
BKR0001	<input checked="" type="radio"/>	<input type="radio"/>
BKR01	<input checked="" type="radio"/>	<input type="radio"/>
BKR01TSA	<input checked="" type="radio"/>	<input type="radio"/>
BKR05	<input checked="" type="radio"/>	<input type="radio"/>
BKR200	<input checked="" type="radio"/>	<input type="radio"/>
BKR21	<input checked="" type="radio"/>	<input type="radio"/>
BKREND1	<input checked="" type="radio"/>	<input type="radio"/>

Where an individual user in a security administrator's organisation has a conflict of interest on a claim, the 'Manage' function can be used to restrict the user's access on the claim. Selecting the 'No Access' option against the user's name will result in the user being prevented from accessing the claim documents and viewing the cross-market comments.

7.17 Add Third-Party

Security Administrators can enable users at third-party organisations to access claim records. Further information is provided in section 11.2.

8 THE A&S DIRECT LOAD FUNCTION

8.1 Introduction

The A&S Direct Load function is used by brokers to submit premium, treaty and policy work packages to Xchanging.

A 'Work Package' consists of a Work Order and supporting documents such as LPANs, slips and endorsements – i.e. documents that need to be reviewed by technicians at Xchanging to check and process premium and policy-related work items.

Technicians at Xchanging are presented with a special view of the documents to be processed, known as the Work Package View (refer to section 6). The Work Package View is constructed using information from the Work Order. This displays all the documents that the technician needs to review.

This section describes how brokers can create, edit and resubmit A&S work packages.

8.2 High-Level Process Overview

A high-level summary of the A&S process is provided below.

- Step 1 - The Broker prepares, validates and submits an electronic work package – containing a Work Order and some supporting documents.
- Step 2 – System-generated validation checks are applied by Xchanging to the documents and data that the broker has supplied in the submission.
- Step 3 – If no errors or omissions are detected, the data and documents are loaded on to the IMR. An acknowledgement message is returned to the Broker.
- Step 4 - The work package is allocated to a technician at Xchanging. The technician applies a set of standard checks and either processes the work package or raises queries with the Broker Contact.
- Step 5 - For items that are processed, signing data is returned to the Broker and is transmitted to the carriers that are participating on the contract.
- Step 6 – Signing data is loaded on to the appropriate screens within the IMR.

8.3 Creating Work Packages

Users can create new work packages by loading documents to the IMR and completing a Work Order. Clicking on the A&S icon (shown below) in the left-hand side of the IMR Home Page takes the user to the initial A&S Direct Load screen (also shown below). Data only needs to be entered in the first two panels of this screen to create new work packages.



8.3.1 UMR Panel

Users must enter the contract's Unique Market Reference (UMR) in the two fields in the top panel of the screen shown above. As it is important to create a contract record with the correct reference, users need to enter the same reference in both fields.

The fields in the 'Work Package Action' panel only need to be used when a user is editing or withdrawing an existing work package (refer to section 8.4). Therefore, the radio buttons in this panel are disabled when a UMR is entered.

8.3.2 Work Package Options

Users then need to decide what action they want to take to create the work package. The two options are as follows:

- a) Add Documents and (Optionally) Create Work Order – If the first option is chosen, the user will be taken to the Add UMR Document screen (refer to section 8.3.3). The user can load documents to the IMR and, optionally, create and submit a Work Order. (Users can choose to simply load documents to the IMR – i.e. they may decide to create a Work Order at a later stage.)
- b) Create Work Order with Existing Documents - If the second option is selected, the user will be taken to the Create Work Order screen. This option should be selected when the documents that need to be included in the work package have already been loaded to the IMR.

8.3.3 Loading Documents

Users can load new documents to the IMR by using the 'Files' field on the Add UMR Document screen. This enables users to select the documents that they need to load to the IMR from their local network drive. It is possible to select one or more documents. The minus (-) symbol in the 'Files' field can be used to remove documents that have been selected in error.

A copy of the Add UMR Document screen is shown below.

The screenshot shows the 'Add UMR Document' form with the following fields and values:

- UMR: b0001b500
- File(s): Test Document One.docx, Test Document Two.docx
- Document Type: Slip
- Document Type Ext: (empty)
- Document Name: Test Document One.docx
- Document Description: The original slip
- Original Document Date: 13/06/2017
- Your Reference: TEST999
- Confidential Document?:
- Work order required?:

Buttons: Submit, Cancel

IMR010

8.3.3.1 Document Properties

Once the user has selected the document(s) that they wish to load to the IMR, details of each of these individual documents can be provided via the other fields on this screen. Information is provided below.

- Document Type - Completion of the Document Type field is mandatory. This is because this information is used to determine how the document will be categorised (refer to section 2.4).
- Document Type Extension - If the user selects 'Other Document' in the Document Type drop-down list, then the 'Document Type Extension' field must be completed (to help other users to determine what the document relates to).
- Document Name - The Document Name field is pre-populated with an (editable) system-generated name. The name that is displayed will be the actual name of the document.
- Document Description - Users can provide further information regarding the document in this field.
- Original Document Date - If relevant, a date can be added to confirm when the document was actually created (i.e. outside of the IMR).

- Your Reference – The user's own document reference can be entered in this field, if required.
- Confidential Document – Checking this tick box enables the user to restrict access to the document. Refer to section 8.3.3.4.
- Work Order Required - Refer to section 8.3.3.3.

It is possible to view some help text for each of the fields on this screen by clicking on the question mark symbol  that is displayed next to the field. Mandatory fields are highlighted on the screen with a red asterisk *.

8.3.3.2 Points to Note

The following points should be noted:

- Loading Multiple Documents - Users can create different 'properties' for each of the documents that they have selected. When multiple documents are being loaded, the data that the user enters on this screen will be held against the document that is currently selected in the 'Files' field.
- Loading Multiple Documents & Validation Failures - If a user attempts to load multiple documents and they encounter a failure for one of the documents, then none of the documents will be loaded.
- Loading the Same Document Twice - Users will be prevented from loading the same document more than once in a single operation.
- Document Number and Size Recommendations – It is recommended that users do not attempt to load more than 30 documents to the IMR in a single action. It is also recommended that users do not load individual documents or files to the IMR that are in excess of 20MB.
- Acceptable File Types – Details of acceptable file types can be found in Appendix C.
- LPAN Submission Options – LPANs can be aggregated and sent in a single document (or PDF file) or they may be submitted as separate documents.
- Document Categorisation - Documents are categorised according to the Document Type that is allocated to the document when it is loaded to the IMR. Detailed mapping information for document types to document categories is provided in Appendix B
- Add Document Warning Message - The first time a user uploads a document, a dialog box will appear that displays the following warning message:

'If you have not customised the security, all parties involved in the risk/claim will be able to access the document (interactively or via DRI). Are you sure you want to proceed?'

The purpose of issuing this reminder is to make the user consider whether they need to restrict access to the document (refer to section 8.3.3.4).

8.3.3.3 Work Order Option

Once users have completed the Add UMR Document screen, they should indicate whether they need to create a Work Order at this stage via the 'Work Order Required' check box at the bottom of this screen. If this field is ticked then the 'Create Work Order screen' will be presented to the user. If the user does not tick this field then the user will be directed back to the initial A&S Direct Load Options screen.

If no errors are detected, then a 'Create Document – Confirmation' pop-up message will be displayed to the user:

'Your documents have been loaded successfully to the UMR above. To load more documents or create work orders, please return to the Direct Load screen'

This message will only be displayed if the 'Work Order Required?' field has not been ticked.

8.3.3.4 Loading 'Confidential' Documents

When users need to restrict access to individual documents (e.g. where carriers write lines on different contract terms), the 'Confidential Document' indicator should be ticked. A screen that provides an Access Control List (ACL) will then be presented to the user.

Scenario 1

If a document is loaded to the IMR before an original premium transaction has been processed (and, therefore, before details of the carriers have been loaded on to the IMR database), then the user will need to enter the codes of the carriers that are to be given access to the document. Clicking on the 'Add' hyperlink at the top of the Access Control List will result in an 'Add Carrier' pop-up screen being displayed.

Add UMR Document

UMR: B0001E500

File(s):

Document Type:

Document Type Ext:

Document Name:

Document Description:

Original Document Date:

Your Reference:

Confidential Document?:

Access Control List: [Add](#)

Reference	Title
-----------	-------

Work order required?:

IMR010

The underwriting stamp code of the carrier that needs to be added to the document ACL should be entered on this pop-up screen – see below.

Add Carrier

Please enter the carrier code of the organisation to be added to the Access Control List of this document

Carrier Code:

This will result in the code being added to the ACL.

Add UMR Document

UMR:
File(s): * ?

Document Type: * ?

Document Type Ext: ?

Document Name: ?

Document Description: ?

Original Document Date: ?

Your Reference: ?

Confidential Document?: ?

Access Control List: ?

Work order required?:

B0001E500

Test Document Seven.docx

Endorsement

Test Document Seven.docx

Add	Reference	Title
<input checked="" type="checkbox"/>	X1111	TEST COMPANY NO 1

IMR010

This process should be repeated when the user needs to provide multiple carriers with access to the document.

NB: The selected carriers will only be given access to documents once the original premium has been processed (i.e. once the system is able to confirm that the carriers are included in the market for the UMR).

Scenario 2

If a document is loaded to the IMR after the original premium transaction has been processed, then the carriers present on the associated original premium signing(s) will be displayed on the ACL screen. The user can then select the carriers that should be given access to the document.

If no errors are detected, then the 'Create Document – Confirmation' pop-up message will be displayed to confirm that the documents have been successfully loaded to the IMR.

8.3.4 Creating Work Orders

8.3.4.1 Work Order Screens

The submission of a Work Order acts as an instruction to Xchanging to start processing the work package. Users can access the Create Work Order screen via two different routes:

- a) The user selects 'Add Documents and Optionally Create Work Order' on the initial A&S Direct Load Options screen, then checks the 'Work Order Required' check box on the Add UMR Document screen.
- b) The user selects 'Create Work Order with Existing Documents' on the initial A&S Direct Load Options screen. Selecting this option results in the user being taken directly to the Create Work Order screen.

The screen that is presented to the user depends upon whether the Work Order is being created for a new UMR record or an existing UMR record. The screen shots below illustrate the differences between the two screens.

On the first screen, no documents are held against the UMR record at the point when the Work Order was created. Therefore, document details are only displayed in the 'Loaded Documents' panel.

A&S Direct Load - Create Work Order - UMR: B0001F500

Contract Details

Broker Contact Name: * Broker Contact Email: *

Broker Contact Phone: * XIS Contact Name: ?

Work Order Details

Reference/Status:

Submission Type: * ? Slip Type: * ?

Class of Business: * ? Processing Required: * ?

Bureau: * ? OP/FPO LPANS Count: ?

Policy Type: ?

Urgent Reference: ? AP/RP LPANS Count: ?

Treaty FDO/Statement: ?

Additional Information: ?

Group Details

Group Reference: ?

Number in Group: ?

Simultaneous Signings

Sim Signing Required?: ?

UCR: ?

TR: ?

Loaded Documents

Name	Type	Created by	Created On	Select
Test Document Two.docx	Policy			☑
Test Document	Slip			☑
Total: 2				

UMR Documents

On the second screen below, documents are already held against the UMR record. Therefore, document details are displayed in both the 'Loaded Documents' panel and the 'UMR Documents' panel.

A&S Direct Load - Create Work Order - UMR: B0001F500

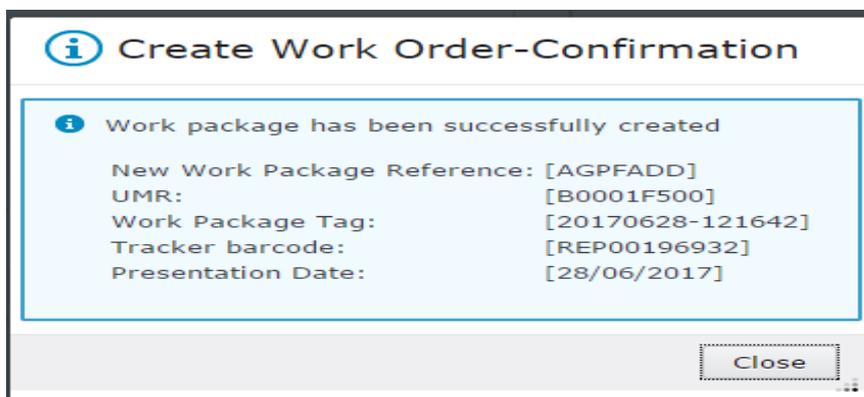
Submission Type: * ?	First Submission	Slip Type: * ?	Direct Insurance
Class of Business: * ?	Marine	Processing Required: * ?	Premium Accountin
Bureau: * ?	Lloyd's	OP/FPO LPANS Count: ?	1
Policy Type: ?		AP/RP LPANS Count: ?	
Urgent Reference: ?		Treaty FDO/Statement: ?	
Additional Information: ?			

Group Details	Simultaneous Signings
Group Reference: ?	Sim Signing Required?: <input type="checkbox"/>
Number in Group: ?	UCR: ?
	TR: ?

Loaded Documents				
Name	Type	Created by	Created On	Select
Test Document Five.docx	Endorsement			<input checked="" type="checkbox"/>
Test Document	Endorsement			<input checked="" type="checkbox"/>
Total: 2				

UMR Documents				
Name	Type	Created by	Created On	Select
Test Document Two.docx	Policy	BKR/BKR11	28/06/2017 12:08	<input type="checkbox"/>
Test Document One.docx	Slip	BKR/BKR11	28/06/2017 12:08	<input checked="" type="checkbox"/>

A confirmation message will be displayed to the user. This will confirm the reference that has been allocated to the work package – refer to the example below.



8.3.4.2 Work Order Details

The purpose of completing a Work Order is to provide a summary of the work items that need to be processed. The Work Order provides details such as the type of processing that is required (e.g. premium accounting, policy checking, etc.), the type of business, the market involved and the number of transactions that need to be processed.

Detailed completion instructions and validation rules for the Work Order fields can be found in Appendix D.

8.3.4.3 Work Orders & Mixed-Market Submissions

Brokers have the option of submitting a single work package (i.e. by completing a single Work Order) on mixed-market submissions for Excess Loss Reinsurance and Facultative Reinsurance. However, this is not possible for other classes of business. Separate work packages must be submitted for Lloyd's and company market transactions.

Brokers should note that, if a single work package is submitted on a mixed-market contract, then a query raised on just one of the submissions will result in the entire package being queried (or rejected).

(Separate LPANs still need to be submitted for Lloyd's, 'LIRMA' and 'ILU' carriers.)

8.3.4.4 Grouped Submissions

The 'grouping' feature relates to the submission of proportional treaty business. Brokers sometimes need to ensure that a series of related treaty account transactions (e.g. transactions that relate to different years of account for the same client) are settled on the same day. This can be requested by completing the 'Group Reference' and 'Number in Group' fields in the 'Group Details' panel of the Work Order.

Group Details	Simultaneous Signings
Group Reference: ? <input type="text"/>	Sim Signing Required?: <input type="checkbox"/>
Number in Group: ? <input type="text"/>	UCR: ? <input type="text"/>
	TR: ? <input type="text"/>

Completion of the 'Group Reference' and 'Number in Group' fields results in technicians at Xchanging being prevented from processing the transactions within these work packages on different days.

Users need to complete both fields. The format of the reference that needs to be entered in the 'Group Reference' field is similar to the format of UMRs (refer to Appendix D). The 'Number in Group' field must also be completed to indicate the number of work packages that should be grouped together for processing purposes.

The user should enter the same Group Reference on the Work Order screen for each of the associated work packages.

Brokers are notified if a complete set of work packages has not been received within 4 hours of the first submission. A rejection message will be issued if the position is unchanged after 7 hours.

NB: It is not possible to group a proportional treaty FDO with a treaty statement.

8.3.4.5 Simultaneous Signings

The Simultaneous Signings fields enable users to indicate that some related premium and claim transactions need to be processed and settled on the same day. The Unique Claim Reference (UCR) and Transaction Reference (TR) fields are used to identify the claim transactions. If the 'Sim

Signing Required' indicator is ticked, then both the 'UCR' and 'TR' fields also need to be completed.

(NB: Lloyd's simultaneous reinstatement premiums are processed via ECF in line with the procedures that are defined in the Lloyd's Systems, Processes & Procedures (SP&P) document. Brokers should not submit these transactions via A&S.)

8.3.4.6 Work Order Document Panels

The documents that have been loaded to the IMR that need to be included within the work package need to be identified within the Work Order. The required documents must have been successfully loaded on to the IMR before the Work Order is submitted.

The '*Loaded Documents*' Panel displays details of documents that the user has just loaded to the IMR via the Add UMR Document screen.

The '*UMR Documents*' Panel displays details of documents that have previously been loaded to the IMR for the UMR.

Users can select the documents that they want to include within a work package by checking the '*Select*' check box on the right-hand side of the appropriate document details rows in the '*Loaded Documents*' and/or '*UMR Documents*' panels.

Users only need to load individual documents to the IMR once. For Additional and Return Premium submissions, it is not necessary to refer to the slip in the Work Order if it is already present on the IMR and there is only one slip present. If there is more than one (or it is being replaced) then the appropriate slip must be selected on the Work Order screen.

NB: Brokers should note that, if any documents that are needed for checking/processing the work item are not visible in the work package view that is presented to the XIS technician, then this may result in the work package being queried.

8.3.4.7 Policies, Wordings & Endorsements

Brokers can submit policy documents together with the premium documents (as an 'S&A' request) or the policy documents can be submitted separately (as a 'Policy Only' request) after the original premium has been processed.

An XIS Policy Control Form must be loaded to the IMR and submitted as part of the work package to define the type of policy service that is required. Electronic policies are sent back to the broker as a secure PDF file by email and are also stored on the IMR.

If a non-premium endorsement needs to be checked by Xchanging, then a copy of the endorsement should be loaded on to the IMR and referenced in a Work Order.

8.3.5 Confirmation Emails

Once the user has successfully submitted a work package to Xchanging, a confirmation email will be sent to the user. The email will contain the Work Package Reference, the Presentation Date and a Work Order tag. An example is provided in Appendix E.

8.4 Editing and Withdrawing Work Packages

8.4.1 Introduction

Users may find that they need to edit a work package – either because they realise after submitting the package that they have made an error (e.g. they have forgotten to include a key document within the submission) or because they have received a valid query from a technician at Xchanging.

It is only possible to edit work packages either before the package has been allocated to an XIS technician for processing or following the receipt of a query.

The Edit Work Package function provides users with three different options. These options can be seen within the bottom panel of the A&S Direct Load Options screen.

Users only need to enter the Work Package Reference (a UMR does not need to be provided) and select one of the three options in the 'Work Package Action' panel.

- 'Add/Remove Documents' should be selected when a user wants to edit an existing work package. The user will be taken to the Add/Remove Document screen.
- 'Resubmit' should be selected when a user wants to resubmit a work package that an XIS technician has 'rejected'. The user will be taken to the Resubmit Rejected Work Package screen.
- 'Withdraw' should be selected when a user decides that they need to withdraw and replace a work package (e.g. when a user needs to construct a completely new work package). The user will be taken to the Withdraw Work Package screen.

Refer to the screen shot below.

A&S Direct Load

UMR

The UMR must be double keyed to perform the direct load operation.

UMR Entry 1: ? UMR Entry 2: ?

Create Work Order ?

Select to add documents to existing work order or create a new work order.

Add documents and optionally create Work Order

Create Work order with existing documents

Work Package Action

The Work Package Reference must be entered to Add/Remove documents, Resubmit or Withdraw work packages.

Work Package Reference: ?

Action:

Add/Remove documents

Resubmit

Withdraw

IMR009

Users can only edit work packages at the stage before an XIS technician has started processing the work item or after the work packages has been queried (i.e. where the status of the work package is either 'New' or 'Queried').

The radio buttons in the 'Create Work Order' panel are disabled if the user enters a Work Package Reference.

Further detailed information is provided in the sections below.

8.4.2 Queries and Resubmissions

If a technician at Xchanging needs to raise a query on a work package then details of the query are recorded in the 'Tracker' system and an email will be sent to the person named as the Broker Contact to enable them to access details of the query.

Brokers are only able to use the Edit Work Package function if the resubmission is received by Xchanging before 5pm (UK time) on the next business day following the query. An error message will be displayed ('The work package cannot be edited') if the resubmission is received after this time. Brokers will then have to treat the package as a new submission. A new presentation date will be allocated to the work package. (Refer to section 8.4.4 – 'Resubmitting Rejected Work packages'.)

NB: Brokers can apply for an extension to the resubmission deadline by contacting the XIS technician who raised the query.

8.4.3 Adding & Removing Documents

Once a user (who has the appropriate security permissions) has indicated that they wish to add and/or remove documents from a work package on the A&S Direct Load Options screen, a revised version of the Work Order screen will be presented to the user.

The Work Order screen will display the Work Order data that was originally entered by the user along with a UMR Documents panel. All the Work Order data will be protected except the following two fields:

- a) 'XIS Contact Name' – Where applicable, users should enter the name of the XIS technician who raised the query in the XIS Contact field.
- b) 'Additional Information' – Users can supply information in this field to provide processing instructions or explanations to the XIS technician.

The 'Submission Type' field in the Work Order will be automatically set to '*Resubmission Following Query*'.

The user can then indicate which documents should be added to and/or removed from the work package by using the tick boxes under the 'Select' heading in the 'UMR Documents' panel at the bottom of the screen. Refer to the screen shot shown below.

(Brokers should always ensure that all the required documents are included within edited work packages.)

A&S Direct Load - Add/Remove Documents from Work Package
UMR: B0001A500

Contract Details

Broker Contact Name: Broker Contact Email:
 Broker Contact Phone: XIS Contact Name:

Work Order Details

Reference/Status: Slip Type:
 Submission Type: Processing Required:
 Class of Business: OP/FPO LPANS Count:
 Bureau: AP/RP LPANS Count:
 Policy Type:
 Urgent Reference:
 Treaty FDO/Statement:
 Additional Information:

Group Details	Simultaneous Signings
Group Reference: <input type="text" value=""/>	Sim Signing Required?: <input type="checkbox"/>
Number In Group: <input type="text" value=""/>	UCR: <input type="text" value=""/>
	TR: <input type="text" value=""/>

UMR Documents

Name	Type	Created by	Created On	Select
Test Document Four.docx	Agreed Placing Endorsement	BKR/TSA401	08/11/2017 15:53	<input checked="" type="checkbox"/>
Test Document Six.docx	Slip	BKR/TSA401	07/11/2017 11:43	<input checked="" type="checkbox"/>
Test Document Seven.docx	LPAN	BKR/TSA401	07/11/2017 11:43	<input checked="" type="checkbox"/>

Total: 11

IMR011

If the action has been successful, then a confirmation message will be displayed on the screen to advise the user that the work package has been updated – see below. A confirmation email will also be sent to the Broker Contact.



Both the original Work Package Reference and the original Presentation Date will be retained when a broker adds and/or removes documents from a work package.

8.4.3.1 Loading New Documents

Users should note that if they need to add a document to the work package that is not currently loaded to the UMR record on the IMR, they will need to access the 'Add UMR Document screen'

to add the document. When the user then returns to the Work Order screen, the document will be available for selection.

8.4.3.2 Locking Work Packages for Editing

When a user indicates that they want to add or remove a document, the work package will be 'locked for editing'. The user will be given 60 minutes in which to complete the editing. If the user fails to submit an edited work package within the 60-minute window then the original work package will be made available to XIS for processing.

If the Work Package has been locked for editing 3 times in the past 24 hours then the system will display a message to the user stating that the Work Package cannot be edited.

Work packages are also 'locked' when an XIS technician opens the work package to commence processing. This action prevents the broker from editing the work package. Further information is provided in section 6.4

8.4.4 Resubmitting 'Rejected' Work Packages

If the broker is unable to resolve a query before the query resolution deadline then the technician at Xchanging may change the status of the work package to 'Rejected'. Users can resubmit work packages that have been 'rejected' by selecting the 'Resubmit' option in the Work Package Action panel on the A&S Direct Load Options screen.

A&S Direct Load - Resubmit Work Package - UMR: B0001DIFFSTATUMR1

Contract Details

Broker Contact Name: Broker Contact Email:
 Broker Contact Phone: XIS Contact Name:

Work Order Details

Reference/Status: AGTOEHW/REJ
 Submission Type: Slip Type:
 Class of Business: Processing Required:
 Bureau: OP/FPO LPANS Count:
 Policy Type: AP/RP LPANS Count:
 Urgent Reference: Treaty FDO/Statement:
 Additional Information:

Group Details	Simultaneous Signings
Group Reference: <input type="text"/>	Sim Signing Required?: <input type="checkbox"/>
Number in Group: <input type="text"/>	UCR: <input type="text"/>
	TR: <input type="text"/>

UMR Documents

Name	Type	Created by	Created On	Select
B0391AB1704815 Slip.pdf	Policy	BKR/TSA401	30/11/2017 14:13	<input type="checkbox"/>
B0391AB1704815 Slip.pdf	Slip	BKR/TSA401	30/11/2017 14:00	<input type="checkbox"/>
B0391AB1704815 Policy.pdf	Policy	BKR/TSA401	30/11/2017 13:57	<input checked="" type="checkbox"/>
B0391AB1704815 LPAN.pdf	LPAN	BKR/TSA401	30/11/2017 13:56	<input type="checkbox"/>
Total: 13				

IMR012

The Work Order screen will be presented to the user. All the fields on the screen will be pre-populated with data that was supplied in the original Work Order. The user will be able to change data in any of the Work Order fields. The only exception will be the Submission Type field which will be automatically changed to '*Resubmission Following Rejection*'.

All the documents that are associated with the UMR will be presented to the user for potential inclusion in the new work package. The user will be able to select or de-select documents that are to be added to or removed from the work package.

Once the Work Order screen has been completed, a new work package will be generated with a new Work Package Reference and a new Presentation Date. The system will display a message that confirms to the user that the work package has been successfully resubmitted. A confirmation email will also be sent to the user. The email will contain the new Work Package Reference, the new Presentation Date and a new Work Order tag.

If the user needs to load a new document to the IMR then they will need to follow the process that is summarised in section 8.3.3 above.

The original work package will remain on the IMR with a status of '*Rejected*'. The work package will be 'locked' - no further processing will be allowed.

NB: Brokers that use the A&S Direct Load function should always use the 'Resubmit' function for rejected work packages rather than submitting a completely new work package. However, brokers cannot 'resubmit' DRI submissions that are rejected. A new work package must be submitted in this scenario.

8.4.5 Withdrawing Work Packages

Users with the appropriate security permissions can withdraw work packages before they have been assigned to a technician at Xchanging. The status of the work package must be either '*New*' or '*Tracked In*'. The screen shown below will be presented to the user. All the data will be protected – users will not be able to make any changes. The purpose of displaying this information is to enable the user to confirm that they are about to withdraw the correct work package.

A&S Direct Load - Withdraw Work Package - UMR: B0001F500

Contract Details

Broker Contact Name: ? John Semple Broker Contact Email: ? John.Semple@Xchanging.com
 Broker Contact Phone: ? 45552 XIS Contact Name: ?

Work Order Details

Reference/Status: AGPFADD/NEW 2017-06-28
 Submission Type: ? First Submission Slip Type: ? Direct Insurance
 Class of Business: ? Marine Processing Required: ? Premium Accounting
 Bureau: ? OP/FPO LPANS Count: ? 1
 Policy Type: ? AP/RP LPANS Count: ?
 Urgent Reference: ? Treaty FDO/Statement: ?
 Additional Information: ?

Group Details

Group Reference: ?
 Number in Group: ? 0

Simultaneous Signings

Sim Signing Required?:
 ?
 UCR: ?
 TR: ?

UMR Documents

Name	Type	Created by	Created On	Select
Test Document Five.d ocx	Bordereau	BKR/BKR11	18/07/2017 13:40	<input type="checkbox"/>
Test Document Seven.docx	Endorsement	BKR/BKR11	18/07/2017 13:33	<input type="checkbox"/>
Test Document Two.d ocx	Policy	BKR/BKR11	28/06/2017 12:08	<input type="checkbox"/>
Test Document One.d ocx	Slip	BKR/BKR11	28/06/2017 12:08	<input checked="" type="checkbox"/>
Test Document Five.d	-	-	-	-
Total: 6				

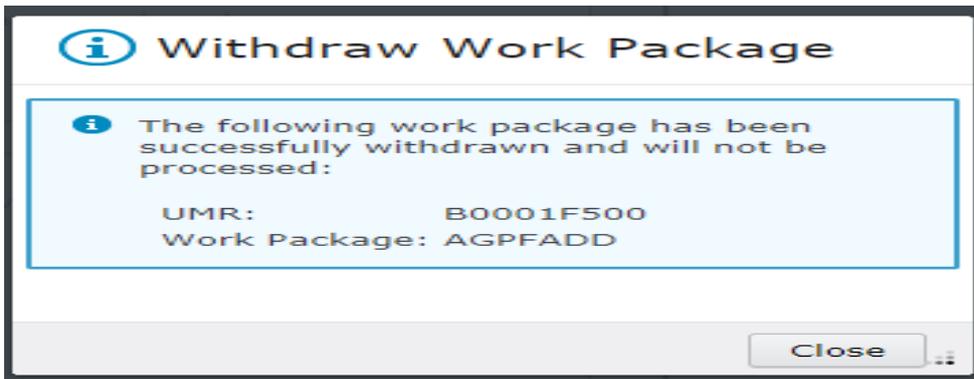
After the user has clicked on 'Withdraw' at the bottom of the screen, a pop-up screen will then appear that asks the user to confirm that they want to withdraw the work package.

? Withdraw Work Package

Please confirm that you wish to withdraw the following work package:

UMR: B0001F500
 Work Package: AGPFADD

The following message will then be displayed:



Once the work package has been withdrawn, the status of the work package on the IMR will be set to 'Cancelled'.

If the status is not either 'New' or 'Tracked-In' then the user will not be able to withdraw the work package. The user will be advised that processing of the work item has started and they must, therefore, contact the Xchanging Service Desk to request the withdrawal of the work package.

Brokers are not allowed to withdraw a work package that is part of a set of grouped proportional treaty work packages. The broker should contact the Xchanging Service Desk to request the withdrawal of the package.

8.5 Business Scenario & Action Summaries

Eight different business scenarios are described in this section. These are as follows:

1. Load Documents Only
2. Load Documents and Create a Work Order
3. Create a Work Order for Previously Loaded Documents
4. Add Documents to an Existing Work Package (*Document already loaded to the IMR*)
5. Add Documents to an Existing Work Package (*Document not yet loaded to the IMR*)
6. Remove and Add Documents from/to an Existing Work Package
7. Resubmit a Rejected Work Package
8. Withdraw a Work Package

There are 6 different screens that may be presented to the user according to the action that they need to take. The screens are as follows:

- A&S Direct Load (Options screen)
- Add UMR Document
- A&S Direct Load - Create Work Order
- A&S Direct Load - Add/Remove Documents

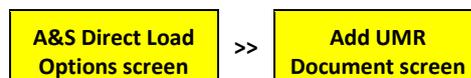
- A&S Direct Load - Resubmit Rejected Work Package
- A&S Direct Load - Withdraw Work Package

The processes that need to be performed in each of the 8 scenarios are summarised below.

8.5.1 Load Documents Only

Scenario - A user wants to load documents to the IMR so that they can be included in a work package at a later stage.

- The user enters the UMR and selects 'Add documents and optionally create Work Order'.
- The user loads the required documents on the 'Add UMR Document screen' and clicks on 'Submit'. (They do not tick the 'Work Order Required' field.)



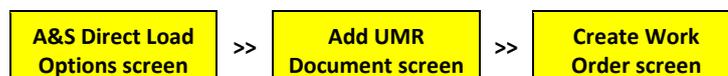
The following confirmation message will be displayed:

'Your document has been loaded successfully to the UMR above. To load more documents, please return to the A&S Direct Load screen.'

8.5.2 Load Documents & Create a Work Order

Scenario - A user needs to submit a work package to Xchanging by loading documents and generating a Work Order at the same time.

- The user enters the UMR and selects 'Add documents and optionally create Work Order'.
- The user loads the required documents on the 'Add UMR Document screen', ticks the 'Work Order Required' field and clicks on 'Submit'.
- The user enters data in the Work Order fields and selects the documents that are to be included in the work package.



The following confirmation message will be displayed:

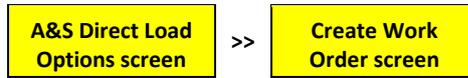
'Work Package has been successfully created'.

The UMR, the Work Package Reference, the Work Order tag, the Tracker Bar Code and the Presentation Date will also be displayed to the user.

8.5.3 Create a Work Order for Previously Loaded Documents

Scenario - A user wants to create a work package using documents that have already been loaded to the IMR.

- a) The user enters the UMR and selects 'Create Work Order with existing documents'.
- b) The user enters data in the Work Order fields and selects the documents that are to be included in the work package and clicks on 'Submit'.



The following confirmation message will be displayed:

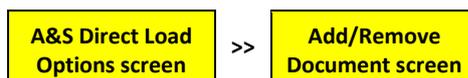
'Work Package has been successfully created'.

The UMR, the Work Package Reference, the Work Order tag, the Tracker Bar Code and the Presentation Date will also be displayed to the user.

8.5.4 Add Documents to an Existing Work Package (Document already loaded to the IMR)

Scenario - A technician at Xchanging raises a query on a work package that a broker has submitted. The broker realises that they forgot to include an endorsement that had been loaded to the IMR in the work package.

- a) The user enters the Work Package Reference and selects 'Add/Remove documents'.
- b) The screen displays the Work Order data along with the documents that are to be included within the revised work package. All the data is protected except the 'XIS Contact Name' and 'Additional Information' fields. The Submission Type field is automatically set to 'Resubmission Following Query'. The user can indicate which documents should be included in the revised work package via the tick boxes under the 'Select' heading in the UMR Documents section. The user adds the endorsement to the work package and selects 'Submit'.



The screen will display a message confirming that the document has been successfully added to the work package.

8.5.5 Add Documents to an Existing Work Package (Document not yet loaded to the IMR)

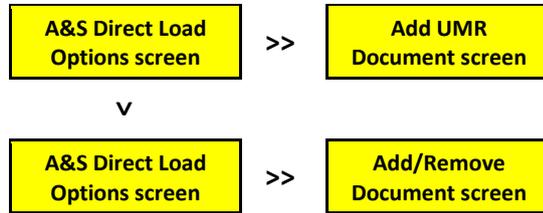
Scenario - A technician at Xchanging raises a query on a work package that a broker has submitted. The broker needs to load an endorsement to the IMR in response to the query.

This is a two-stage process.

- a) The user enters the UMR and selects 'Add Documents and optionally create Work Order'.
- b) The user loads the required document and clicks on 'Submit'. They do not tick the 'Work Order Required' field. A confirmation message will be displayed.

Then the user takes the following action:

- a) The user enters the Work Package Reference and selects 'Add/Remove Documents'.
- b) The screen displays the Work Order data along with the documents that are to be included within the revised work package. All the data is protected except the 'XIS Contact Name' and 'Additional Information' fields. The Submission Type field is automatically changed to 'Resubmission Following Query'. The user adds the endorsement to the work package and selects 'Submit'.

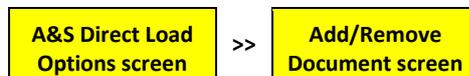


The screen will display a message confirming that the document has been successfully added to the work package.

8.5.6 Remove and Add Documents from/to an Existing Work Package

Scenario – Two versions of the slip have been loaded to the IMR. The broker realises that they included the wrong version of the slip in the work package.

- a) The user enters the Work Package Reference and selects 'Add/Remove Documents'.
- b) The user deselects the document that needs to be removed from the work package and selects the revised version of the slip. The user selects 'Submit'.



The screen will display a message confirming that the action has been successful.

8.5.7 Resubmit a Rejected Work Package

Scenario - A broker is unable to respond to a query raised by a technician at Xchanging within the required timescales and the technician changes the status of the work package to 'Rejected'. At a later date, the broker obtains the information that is required and resubmits the work package.

- a) The user enters the Work Package Reference and selects 'Resubmit'.
- b) All the fields on the Work Order screen are pre-populated with data supplied in the original Work Order. The user can change data in any of the Work Order fields. The only exception will be the Submission Type field which is automatically changed to 'Resubmission Following Rejection'. All the documents associated with the UMR are presented to the user for potential inclusion in the new work package. The user can select or de-select documents that are to be added to or removed from the work package.



The screen will display a message confirming that the work package has been successfully resubmitted.

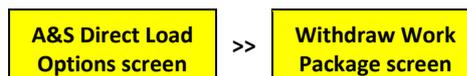
A new Work Package Reference will be allocated to the work package along with a new Presentation Date. If the user needs to load a new document to the IMR then they need to adopt the process described in section 8.3.3 before carrying out the steps detailed above.

If the status of the work package is not 'Rejected' then the following message will be displayed - 'Your request cannot be processed as the work package has not been rejected'.

8.5.8 Withdraw a Work Package

Scenario - A broker submits a work package to Xchanging but then realises that the transactions submitted contain incorrect net premium details. The broker decides to withdraw the work package to amend the figures before a technician starts working on the submission.

- a) The user enters the Work Package Reference and selects 'Withdraw'.
- b) The screen displays the Work Order data and the Work Package Reference along with the documents that are included within the work package. All the data is protected – the user cannot make any changes.



A message is displayed that asks the user to confirm the required action - 'Please confirm that you wish to withdraw the following work package – UMR _____ WP _____'.

A confirmation message is then displayed - 'The work package has been successfully withdrawn and will not be processed'.

If the status of the work package is not either 'New' or 'Tracked-In' then the following message will be displayed - 'Processing of this work package has already commenced. Please contact the Xchanging Service Desk to request the withdrawal of this package.'

9 THE ECF DIRECT LOAD FUNCTION

9.1 System Access

The ECF Direct Load function enables users to load claim-related documents to an existing claim file on the IMR. Users can access this screen by clicking on the ECF Direct Load icon in the left-hand side of the Home Page screen. A copy of the icon is shown below.



9.2 Initial Screen

The initial ECF Direct Load screen will then be presented to the user, as shown below.



ECF Direct Load

Load documents to an existing UCR:

UMR: * ?

UCR: * ?

Submit Cancel

IMR013

Users need to enter both a UMR and a UCR to access the 'Add UCR Document' screen.

9.3 Add UCR Document Screen

This screen is the same as the screen that is presented to users when they add a claim document via the Claim Transaction screen. Refer to section 7.9. A copy of this screen is shown below.

Add UCR Document

UMR: B0001IMRP3UATPM13
 UCR: B0001TEST403001
 Loss Name: SKDNK
 Date of Loss: 28/11/2017
 Files:

Document Name: Test Claim Document 2.docx
 Document Type: Report: Survey
 Document Description: Report of damage to client's property.
 Initial Version Comment: Initial report only. Further information will be supplied later.
 Original Document Date:

Classification:

TRs: B0001TR01
 Confidential Document:

All Adjuster Broker Cedent
 Coverage Fees Insurers Legal
 Other Expert Recovery

IMR014

If the user clicks on the 'Add' button at the bottom of the 'Add UCR Documents' screen, then the system will validate the data entered on the screen and, if validation is passed, then the system will add the document to the Claim (UCR), Classification, Transaction and Document Type that the user has selected within the 'Add UCR Document' screen.

A confirmation pop-up screen will then be presented to the user.

ECF Direct Load - confirmation

Claim Summary - B0001B0001NEWDATA - B0001UCRKUMAR - -

Your documents have been successfully loaded to the following claim:

UMR: B0001B0001NEWDATA
 UCR: B0001UCRKUMAR

Document loading rules and naming conventions for claim documents are provided in the Lloyd's and Companies ECF System, Processes and Procedures (SP&P) documents.

10 DRI SUBMISSIONS

10.1 Introduction

ACORD DRI messages are used to exchange documents between external document management systems and the IMR. Customers can use DRI messages to load documents to the IMR and/or to receive copies of documents from the IMR. The messages are processed via the Xchanging ACORD Gateway ('XAG'). DRI messages are used under the following services:

- Accounting & Settlement;
- Electronic Claim Files;
- Outbound DRI;
- ECF Write Back;
- eAccounts;
- Post-bind Submissions.

This section provides a high-level summary of how DRI messages are used within these services. More detailed information can be found in the User Guides and Functional Specifications that are referenced in section 12.3.

10.2 Inbound DRI Messages

10.2.1 A&S Submissions

'Inbound DRI' refers to the processes used by customers to load documents on to the IMR. Two options are available to customers:

- 'DRI Push' – Under the 'DRI Push' method, brokers forward documents to the IMR. ACORD DRI Upload Request and Upload Response messages are used within this process.
- 'DRI Pull' - Under the 'DRI Pull' method, Xchanging collects documents from the customer's own document management system and loads the documents on to the IMR. ACORD DRI Notify Request and Notify Response messages are used within this process.

10.2.1.1 Work Orders

Work Orders are submitted as objects based on the ACORD 2005.2 Technical Account message (otherwise known as 'skinny TA' messages) and are presented as a DRI document attachment with a document type code of *'form_work_order'*.

10.2.1.2 Confidential Documents

Documents can be identified as 'confidential' by supplying an Access Control List. Access to the document is then restricted to the Broker, technicians at Xchanging and any carriers that are identified within the ACL.

10.2.1.3 Work Packages

Two options are available to brokers when submitting work packages:

- a) Place all the required documents and the Work Order in a single DRI message;
- b) Split the documents and Work Orders over several messages and send them separately.

If the second action is selected, then it is essential that the Work Order is sent last and in its own transmission. If the Work Order is sent to Xchanging before the documents have been submitted and before an asynchronous response has been received, then there is no guarantee that the required documents will have been loaded to the IMR. This may result in the entire Work Package being rejected.

(As mentioned in section 8, documents that have been loaded to the IMR that need to be included within the work package need to be identified within the Work Order. If any documents that are needed for checking/processing the work item are not visible in the work package view that is presented to the XIS technician, then this may result in the work package being queried.)

10.2.1.4 Resubmissions

The Work Order for a resubmission should reference all documents required to process the resubmission. Documents that have already been loaded to the IMR do not need to be sent for a second time. The Work Order should not reference previously submitted documents that are no longer required.

A submission type of '*Resubmission*' should be used and the Work Package Reference that was allocated to the work package should be quoted.

Brokers cannot resubmit A&S work packages via DRI messages if the status of the work package is '*Rejected*'. An entirely new work package has to be submitted in this scenario.

10.2.2 eAccounts

Under the standard eAccounts process, brokers first submit supporting documents for the premium transactions to the IMR via the use of ACORD DRI messages. The documents are loaded to the IMR in the same way as for A&S submissions. A confirmation message is returned to the broker's system when the documents have been successfully loaded to the IMR. ACORD Technical Account messages are then issued to provide accounting details for the premium (or treaty) transactions.

A different process is adopted when brokers use the 'DRI Slice' Service for eAccounts submissions. Brokers that choose to use the 'DRI Slice' service can submit ACORD Technical Account messages before supporting documents are requested and loaded on to the IMR.

10.2.3 ECF Submissions

Documents that need to be loaded to the IMR to support claim transactions can be submitted via either of the Inbound DRI message processes that are mentioned in section 10.2.1 above. A Unique Claim Reference (UCR) and, optionally, a Transaction Reference (TR) should be quoted in DRI messages when brokers are loading claim documents to the IMR.

10.2.4 Document Number & Size Recommendations

It is recommended that users do not attempt to load more than 30 documents to the IMR in a single action. It is also recommended that users do not load individual documents or files to the IMR that are in excess of 20MB.

10.2.5 Data Validation Change for Claim Documents

A new validation rule will be applied to documents that are submitted via DRI messages. An error message will be issued if a 'claim document' (as defined by the Document Type) is supplied and a Unique Claim Reference (UCR) is not quoted in the DRI message. This will ensure that documents are loaded to the correct area within the FileNet version of the IMR. More information can be found in market communication 2017/101 dated 31 October 2017.

10.3 Outbound DRI Messages

The Outbound DRI service enables customers to receive an automatic notification for documents that have been loaded to the IMR for a contract or claim that they are involved in. This enables organisations to synchronize their own internal document management systems with the IMR. Outbound DRI notifications are sent to all parties mentioned in the document ACL that are registered for the Outbound DRI service.

Organisations have the option of registering for outbound messages as either a 'Pull' user (where the service will send a DRI notification that a document has been loaded and the organisation can then choose to download the document) or a 'Push' user (where the service will automatically send a copy of the loaded document to the customer).

It does not matter which (inbound) process was involved when the documents were loaded to the IMR. The document that is referenced in or attached to the outbound DRI message could have been submitted via DRI, A&S Direct Load, ECF Direct Load, DMS, Native Repository or eAccounts.

10.4 ECF Write Back Service

DRI messages are also used within the ECF 'Write Back' service. This service enables carriers to manage claims within their own systems. Notifications of claim transaction events, claim information and claim-related documents are forwarded to carriers that use the Write Back service.

Carriers may request documents that were detailed in a Claim Event Notify Request, a Retrieve Claim Data Response or a DRI Search Response Message. Carriers can submit the following:

- DRI Search Request messages;
- DRI Download Request messages;
- DRI Upload Request messages.

Further information on the ECF Write Back service can be accessed via the ECF website – refer to section 12.3.

10.5 Acknowledgement Messages

Following the receipt of a DRI message, Xchanging returns a synchronous response to the customer to confirm that the message has been received by Xchanging.

The receipt by the customer of an asynchronous response indicates that the message has been successfully validated and the document(s) have been loaded onto the IMR.

ACORD Acknowledgement messages are also returned to brokers for Technical Account and Financial Account messages that are submitted to Xchanging for eAccounts submissions.

11 MISCELLANEOUS

11.1 eProcessing Issues

'Restricted Access' - This feature is only available to technicians at Xchanging.

11.1.1 Introduction

This function enables technicians at Xchanging to record details of 'issues' that they encounter and information that they receive when they are processing premium, treaty or policy submissions. This is, in effect, a notepad facility. Technicians can record details of explanations that they have received from staff in brokers' and carriers' offices which other technicians can then refer to when further work packages are being processed.

Details of eProcessing issues are held at UMR-level. It is not possible to create an eProcessing issue against a claim record.

Staff in brokers' and carriers' offices cannot access this information.

11.1.2 Creating Records of 'eProcessing Issues'

Two options are available to technicians at Xchanging when they need to create a record of an 'eProcessing issue'.

- a) 'Create Issue' Button – The technician can click on the 'Create Issue' button at the top of either the eProcessing Issues Summary screen or the eProcessing Issues Details screen.

The screenshot shows the DXC technology 'The Insurers' Market Repository' interface. On the left, a navigation sidebar contains a tree view with folders: B0001IMRP3UATPM01, Categories, Work Packages, Claims, eProcessing Issues (expanded), ABC, Slip Order Inform (selected), Deferred Funding, and Sanctions. The main content area features a row of buttons: 'Create Issue', 'Delete Issue', 'Send Link', 'Add Document', 'Edit', and 'Relate'. A green arrow points to the 'Create Issue' button. Below the buttons, the 'Contract Details' section displays: UMR: B0001IMRP3UATPM01, Period of Policy: 01/01/2017-31/12/2017, Insured: NARRATIVE INSURED, and Reinsured: . The 'eProcessing Issue' section contains form fields for: Issue Name (Slip Order Information), Description (Explanation from Broker), Priority (Normal), and Notes.

- b) 'Actions' Button - The technician can select a document (on the Contract Details screen or the Work Package Details screen), click on the 'Actions' button and then select 'Create Issue' in the drop-down list. Refer to the screen shot below.

Contract Details

UMR: B0001IMRP3UATPM01 Period of Policy: 01/01/2017-31/12/2017
 Insured: NARRATIVE INSURED Reinsured:

Documents

Name	Type	Created By	Created On	Version
AVN1test48D.pdf	Document	IMRNC	18/10/17 15:48	1
IMRP3-1548 (test on user's system).docx	Document	IMRNC	18/10/17 13:51	1
IMRP3-1548 (test on user's system).docx	Wording: Insurance Policy	IMRNC	18/10/17 13:48	1
SCHEDULE_FRAVNPL160028	Wording: Insurance Policy	IMRNC	18/10/17 13:11	1
Doc8.docx	Endorsement	TSA401	11/10/17 11:27	1

Original Signings Information

Broker Signing Number & Date	Carrier Signing Number & Date	Work Package Reference	Entry Type	Risk	DTI	FIL	Country	Currency	Status	Links
1245211/10/2017	1245211/10/2017	AGTCXEV Lloyd's 01	NPM						CAN	
PMC170050031110	PMC170050031110	AGTCXEV ILU	NPM	C1G			GB	GBP	NEW	

A pop-up screen will then be presented to the technician where details of the issue can be recorded.

Create eProcessing Issue

You are creating a new eProcessing Issue, Please enter the information for the Issue and Submit.

Issue Name: *

Description:

Priority: *

Notes:

IMR032

The 'Issue Name', 'Description' and 'Notes' fields as shown in the screen shot above are all free-format narrative fields. A drop-down list is presented to users for the 'Priority' field – the options are 'High', 'Normal' and 'Low'.

11.1.3 Adding Documents to Issues

It is possible to attach a document to an issue by clicking on either the 'Add' button or the 'Relate' button at the top of the eProcessing Issues Details screen. Refer to the screen shot and details in section 11.1.4.2.

The 'Add' button enables technicians to attach a document which has not previously been loaded to the IMR.

The 'Relate' button enables technicians to attach a document which has already been loaded to the IMR.

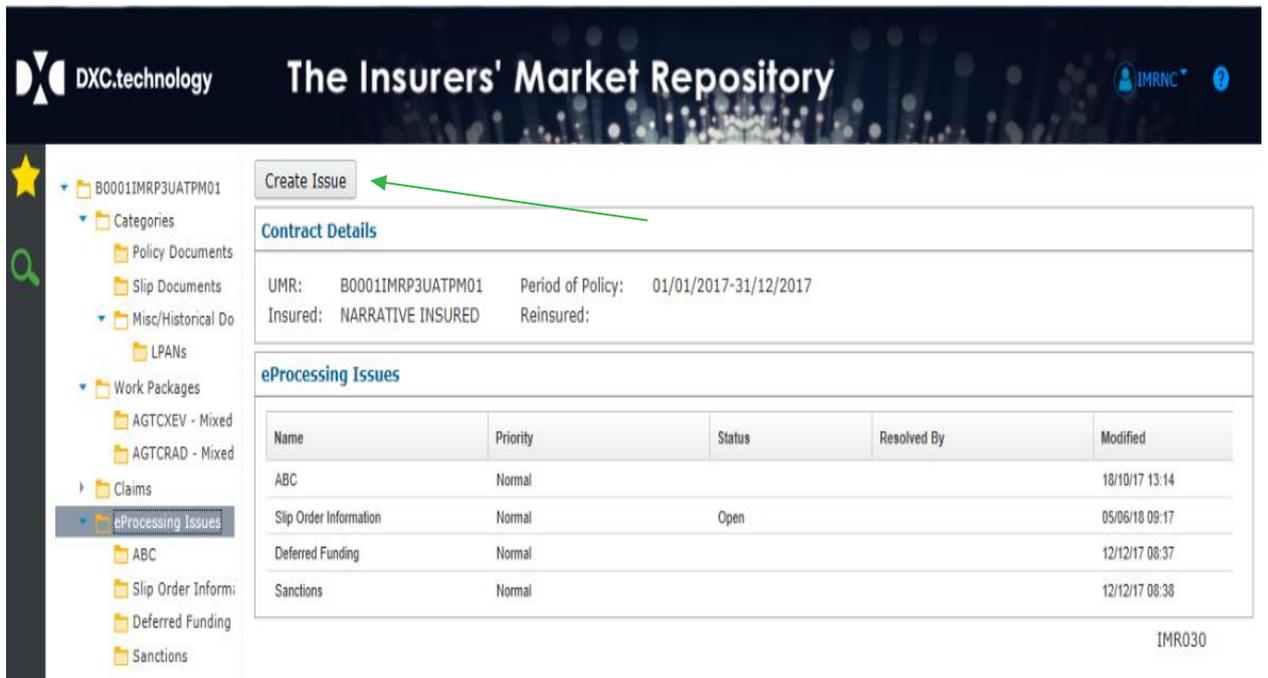
11.1.4 Viewing eProcessing Issues

Technicians can view details of issues that have been recorded when previous transactions have been processed on a UMR by accessing either the Summary screen or the Details screen. Information is provided in the sections below.

11.1.4.1 eProcessing Issues Summary Screen

Technicians can see a list of the issues that have been recorded against a UMR via an eProcessing Issues link in the Navigation Panel. The following information is displayed on the Summary screen.

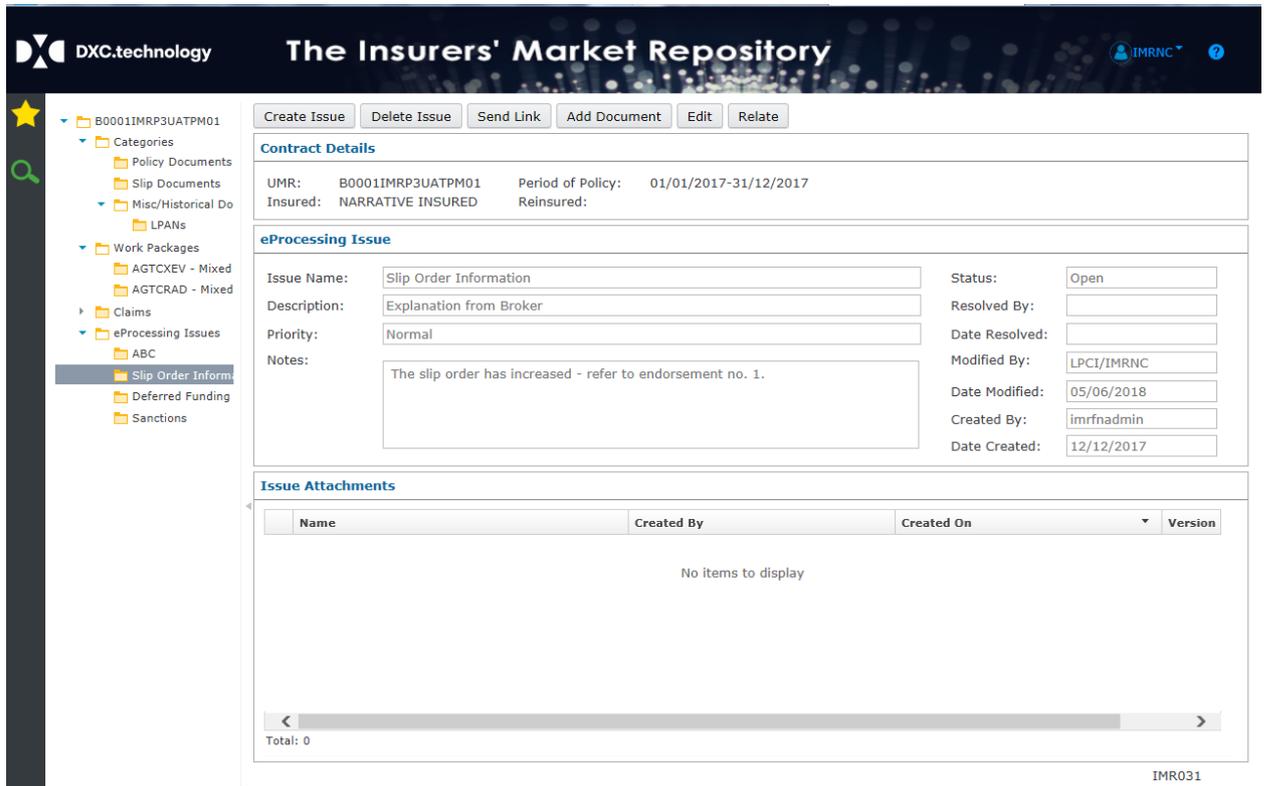
- Contract Details Panel - The UMR, the Policy Period and the Name of the Insured and/or Reinsured will be displayed in the panel at the top of the screen.
- eProcessing Issues Panel - This lists all the issues that have been recorded against the UMR.
- Create Issue Button – Users can record a new issue by clicking on the 'Create Issue' button at the top of the Summary screen. Refer to the screen shot below.



11.1.4.2 Detailed Information for Individual Issues

The Navigation Panel also provides links to each of the individual issues. When a technician clicks on one of these links, the eProcessing Issues Details screen will be presented to the technician. This will display all the details that have been recorded. If the technician who recorded the issue

attached a document that is related to the issue then this will be displayed in the 'Issue Attachments' panel at the bottom of the screen. Refer to the screen shot below.



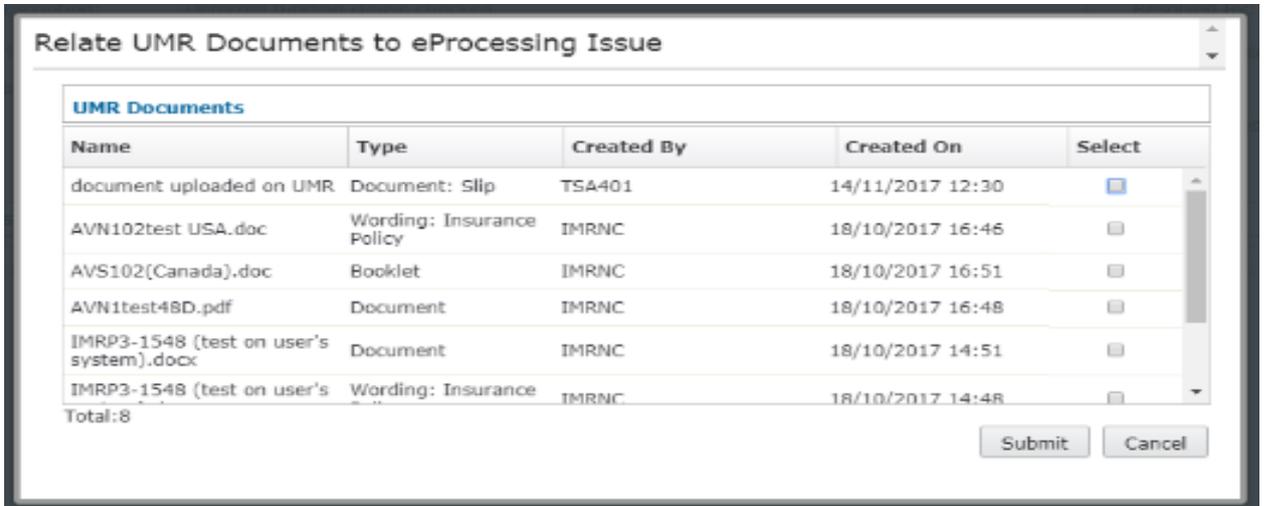
The following information is displayed on the eProcessing Issues Details screen:

- Contract Details Panel - The UMR, the Policy Period and the Name of the Insured and/or Reinsured will be displayed in the panel at the top of the screen.
- eProcessing Issues Panel – This section displays the details that were recorded when the record was created.
- Issue Attachments Panel – This section displays details of any documents that have been attached to support the issue.

There are six buttons at the top of the screen. Details are provided below.

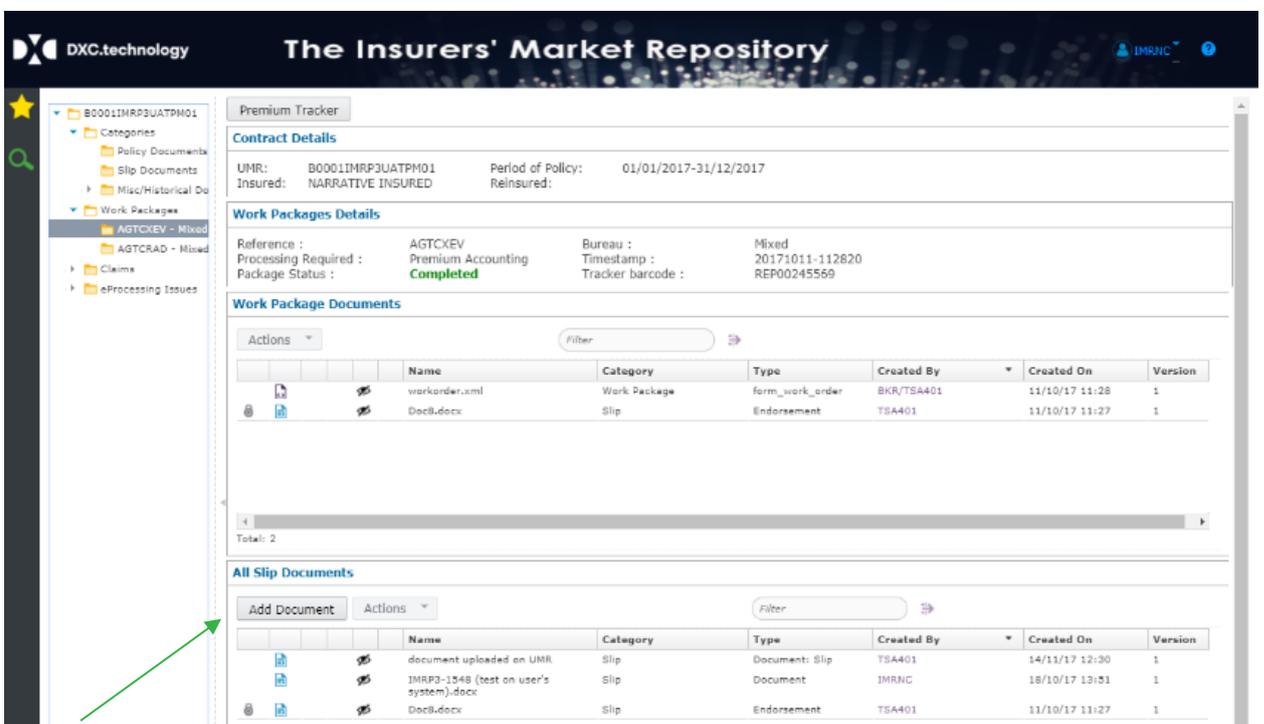
- 'Create Issue' – This enables users to create a new eProcessing issue.
- 'Delete Issue' – Users can delete an existing issue by clicking on this button.
- 'Send Link' – Users can send an email that contains a link to the eProcessing issue that they are currently viewing by clicking on this button.
- 'Add Document' – This enables users to load a new document that is linked to the issue to the IMR. Clicking on this button results in the 'Add UMR Document' screen being presented to the user. The 'Relate' function can then be used to attach the document to the issue (see below).
- 'Edit' – Users can edit the details that were recorded for an eProcessing issue by clicking on this button. (Refer to section 11.1.6.)

- 'Relate' – Clicking on this button opens a pop-up screen that enables the user to relate a document that has previously been loaded to the UMR record on the IMR to the eProcessing issue that they are currently reviewing. A list of the documents held against the UMR will be displayed on this screen and the technician will be able to select the document that they wish to attach to the issue. Refer to the screen shot below.



11.1.5 Loading XIS-Only Documents

XIS technicians can create a record of a check that they have applied (e.g. for a deferred premium funding correction) by loading a document to the IMR using either the 'Add Document' button in the 'All Slip Documents' section on the Work Package Details screen (as per the screen shot below) or the 'Add' button on the eProcessing Details screen.



NB: Technicians should select the 'XIS-Only' indicator on the Add UMR Document screen when they load the document - refer to the 'Add UMR Document' screen shot below. The document will subsequently appear as a 'Slip' document on both the Contract Details screen and the Work

Package Details screen. However, only technicians at Xchanging will be able to view the document.

If a technician loads a document but forgets to tick the 'XIS-Only' indicator, then the technician will need to edit the document properties – refer to section 5.8.13 - or contact the Xchanging Service Desk and ask them to 'hide' the document.

When an XIS technician loads documents to the IMR that the broker and/or carriers need to be able to view (e.g. documents created under the Xchanging ePolicy Service), then the technician should ensure that the 'XIS-Only' indicator is not ticked.

11.1.6 Editing eProcessing Issues

Users can edit the details that were recorded for an eProcessing issue by clicking on the 'Edit' button on the eProcessing Issues Details screen. A copy of the screen that will be presented to the user is shown below.

11.2 Third Party Access

11.2.1 Background

'Restricted Access' - This function is only available to Security Administrators.

Users in brokers' and carriers' offices who have IMR 'Security Administrator' access rights can provide staff who work for third party organisations with access to individual contract and/or claim records on the IMR.

Security Administrators can access the 'Add Third Party' screen by clicking on the icon shown below in the left-hand side of the IMR Home Page.



The Third-Party organisation must have a registered broker or carrier number to be able to access contract and claim records on the IMR.

11.2.2 Third-Party Access Screen

Security administrators need to take the following action on the 'Add Third Party' screen.

- UMR – The UMR field must be completed to grant a third-party access to a specific UMR.
- UCR – The UCR field should be completed if the third-party needs to have access to a specific UCR only.
- Third Party Number Fields - The third party's broker or carrier code needs to be entered in both of the 'Third Party Number' fields.
- UMR Access Level – The level of access that the Third Party needs to be given to the UMR should be selected from the drop-down list that is presented to the user. The values in the UMR drop-down field are 'No Access', 'Read Only' and 'Load Only'.

'No Access' should be selected if the Third-Party only needs to have access to a claim, 'Read-Only' access will allow the Third-Party to search and view documents and 'Load-Only' access will allow the Third-Party to load and view documents.

- UCR Access Level - If a value has been entered in the UCR field, then the level of access that the Third Party requires for the claim record should be selected from the drop-down list.

'Read-Only' access will allow the Third-Party to search and view documents and 'Load-Only' access will allow the Third-Party to load and view documents.

A copy of the Add Third Party screen is shown below.

If the data entered by the user passes the validation checks then a confirmation message will appear that shows the level of access that the Third Party will be given to the chosen records. The user must either select 'Submit' to complete the action or 'Cancel' to correct any of the data that they have entered.

NB: Third parties cannot be granted access to any documents that have been flagged as 'confidential'.

11.3 Favorites

Users can add documents that they can access on the IMR to their 'favorites' so that they are able to locate the documents quickly. Highlighting a document and then selecting 'Add to Favorites' in the Actions drop-down list results in the pop-up screen shown below being presented to the user.

The Favorites function can be accessed by clicking on the Favorites icon in the left-hand side of the Navigation Panel. A copy of this icon is shown below.



A copy of the Favorites screen is shown below.



As well as being able to store documents, there are buttons on the Favorites screen that enable users to take the following actions:

- 'Refresh' – Clicking on this button results in the order in which the documents appear on the screen being updated so that they are displayed in alphabetical order.
- 'Rename Favorite' – Clicking on this button enables users to change the name of the document that is displayed on the Favorites screen to one that is more meaningful to the user. (The name of the original document is not changed when a user takes this action.)
- 'Remove from Favorites' – Users can remove a document from their Favourites by highlighting the document and clicking on *'Remove from Favorites'*.
- 'Actions' – The following options are available to users via the 'Actions' button on the Favorites screen:
 - Viewer
 - Preview
 - Download
 - Rename Favorite
 - Remove Favorite
 - Check-Out, Check-In and Cancel Check-Out
 - Link
 - Send Email

If the user selects multiple documents on the Favorites screen then the only option available in the Actions list is *'Remove'*.

NB: The documents that are displayed on the Favorites screen will not include any documents that the user no longer has authority to view because they have declared a conflict of interest. (Refer to section 7.15.)

11.4 Mid-Term Broker Changes

Functionality built into the IMR enables Xchanging to transfer access rights to contract and claim records and their associated documents on the IMR following a Mid-Term Broker Change ('MTBC'). Details of the processes involved are provided in the sections below.

11.4.1 Standard MTBCs

Most of the broker transfer requests that are received by Xchanging are for 'Standard MTBCs'. This is where a single contract or multiple related contracts are being transferred from the 'Outgoing Broker' (the original broker) to the 'Incoming Broker' (the new broker).

In this scenario, the 'Incoming Broker' is given full access to the UMR(s) and all the associated UCRs whereas the access rights of the 'Outgoing Broker' are changed so that they have just read-only access to the UMR and UCR records that were created before the MTBC was processed.

The Outgoing Broker is also prevented from accessing any new claims (UCRs) that the Incoming Broker creates after the MTBC request has been processed.

(UCRs that have been created by third-party organisations, such as fee collectors, are not transferred to the Incoming Broker when a Mid-Term Broker Change is processed.)

11.4.2 Exception MTBCs

In some circumstances, the business is transferred to a new broker but it is agreed that the original broker should retain responsibility for processing further transactions on a small number of the claims. These are termed 'Exception MTBCs'. The UMR and a selection of the UCRs are transferred to the Incoming Broker.

In this scenario, the 'Incoming Broker' is granted full access to the UMR and a selection of the associated UCRs whereas the access rights of the 'Outgoing Broker' are changed so that they have just read-only access to the UMR and the selected UCR records.

The Outgoing Broker is also prevented from accessing any new claims (UCRs) that the Incoming Broker creates after the MTBC request has been processed.

11.4.3 Reporting Services

Reports that provide a record of the UMRs and UCRs that have been transferred to the Incoming Broker are sent via email to both of the brokers on the day after an MTBC request is processed. These files, which are in CSV format, are emailed to the Broker Contacts who are named on the MTBC Request Form.

11.4.4 Submitting Transfer Requests

A completed MTBC Request Form should be submitted to the Xchanging Service Desk service.desk@xchanging.com. For Exception MTBCs, the UMR should be entered in the 'Exception

Access' field of the MTBC Request Form and only the UCRs to be transferred to the Incoming Broker should be listed.

Evidence of approval from the Outgoing Broker should also be submitted in the form of a 'transfer agreement'. The transfer agreement should clearly list the UMRs of the contracts involved and provide details of the responsibilities of both the Incoming and Outgoing Broker.

If the number of contracts (UMRs) involved in the transfer is greater than 30, then the broker should complete a CSV file transfer request.

11.4.5 Future Processing

Under normal circumstances, the Incoming Broker will access the existing UMR and UCR records created by the Outgoing Broker - thus maintaining a full history of the premium and claim transactions that have been processed under the contract. The existing original premium signing number and date (OSND) and UMR should be quoted on such entries, but the Incoming Broker should use their own broker number when submitting LPANs and creating new claim transactions (TRs) in CLASS.

However, if the Incoming Broker is unable to use the Outgoing Broker's UMR/UCR within their internal systems, then it is acceptable for them to set up a new UMR (and UCRs if applicable). In such cases, there is no need to contact the Xchanging Service Desk or submit an MTBC Request Form, but an agreed endorsement, together with the transfer agreement, should be loaded to the IMR with the first new premium or claim transaction that the Incoming Broker submits.

11.4.6 Detailed Information

Further information on MTBCs along with a copy of the MTBC Request Form can be found in market communication 2018/022 dated 21st February 2018.

11.5 Mid-Term Market Changes

Access rights to UMR and UCR records and documents can also change when a mid-term market change is processed – e.g. when a carrier that participates on the contract is replaced by another carrier before the end of the contract period.

11.5.1 UMR Records

In these circumstances, a new original premium transaction is processed that excludes the carrier that has been replaced and includes the new carrier.

Following the processing of the new original premium transaction, the Access Control Lists (ACLs) that are held against the IMR records are updated accordingly.

Both carriers will have access to all the UMR documentation loaded to the IMR both before and after the Mid-Term Market Change. The access rights for the Outgoing Carrier are changed to 'Read-Only'. The Incoming Carrier will have 'Full Access' rights.

11.5.2 UCR Records

When the broker subsequently submits a new claim (UCR), the OSND that is quoted by the broker for the new claim transactions depends upon the Date of Loss of the claim. If the Date of Loss is

before the effective date of the market change, then the broker should quote the first OSND. If the Date of Loss is after the effective date of the market change, then the broker should quote the second OSND.

Access to UCR content on the IMR is driven by the content of the business message from CLASS – i.e. the market to be used will be determined by the OSND that is quoted on the new claim transaction.

11.6 Document File Viewer (ECF2)

The Document File Viewer ('DFV') enables registered ECF2 users in carriers' offices to build a file from documents that are held on the IMR. As documents are loaded to the IMR they are converted to PDF format and stored on the DFV database. Users are then able to select claim and policy-related documents so that they can be opened as a single file. Users also have the option of including a table of contents and a header sheet.

The DFV can only be accessed from ECF2. Further information, including details of the types of 'documents' that can be included within the merged file, can be found in the DFV User Guide. (Refer to section 12.3 for details of how to access this document.)

11.7 Signing Number Information

11.7.1 Signing Number Formats

Details of the format of the bureau signing numbers and dates are provided below.

Lloyd's - The format of Lloyd's signing number is as follows:

NNNNND/MM/YYYY

- NNNNN is the signing number
- DD/MM/YYYY is the signing date

Example = 1234503/10/2017

ILU - The format of 'ILU' signing numbers is as follows:

XXZYNNNNNNDDMM

- XX is the type of entry – e.g. PM for premium
- Z is the type of Business – 'A' = Aviation, 'C' = Cargo, 'H' = Hull
- YY is the year of signing
- NNNNNN is the sequence number of the transaction
- DD/MM is the signing date

Example = PMA170050732207

LIRMA - The format of LIRMA signing numbers is as follows:

YYMMDDPQNNNNN

- YY is the year of signing
- MM is the month of the signing
- DD is the day of the signing
- P is the primary transaction type
- Q is the transaction type modifier
- NNNNN is the sequence number of the transaction

Example = 1701010099999

11.7.2 Broker and Carrier Signing Numbers (BSNDs & CSNDs)

Brokers that submit premium transactions via the eAccounts process also have the option of using the XIS Accounting Splits Service. Under this service, brokers do not need to create lower-level accounting entries that Xchanging need to process because, for example, of Lloyd's risk coding or FIL coding requirements.

Brokers submit premium transactions to Xchanging at the higher 'fundamental' accounting level and XIS subsequently splits these transactions into lower-level signings. Following overnight processing, both the higher-level Broker Signing Numbers and Dates (BSNDs) and the lower-level Carrier Signing Numbers and Dates (CSNDs) are displayed on the IMR.

Where the Accounting Splits Service is not used, the signing numbers displayed in the BSND and CSND fields in the IMR will be the same.

11.8 Links to and from Other Applications

11.8.1 Links from Other Applications

Links are available that enable users to access the IMR from other applications. Some examples are provided below:

- Claim Agreement Screens (CAS)
- Claims Workflow System (CWS)
- Document File Viewer (DFV)
- LPC Signings Enquiry and Claim Enquiry systems (accessed via 'Casa')
- Tracker
- Document Management Service (DMS)

11.8.2 Links to Other Applications

Links are also available that enable users to access other applications from within the IMR. The applications are as follows:

- Tracker
- Lloyd's Account Enquiry

11.9 Output from Xchanging

Once any premium or claim transactions have been fully processed, signing and settlement data is forwarded to both the broker and the carriers that are on the risk. Customers can receive this information via a number of different methods – e.g. daily signing and claim messages.

Customers can also register to receive various CSV files (e.g. the Electronic Premium Accounting Signings Advice – DL5089).

Customers receive ACORD Acknowledgement messages for DRI messages (refer to section 10.5)

Users that create A&S and eAccounts work packages receive notification emails (refer to section 8.3.5). An example can be found in Appendix E.

11.10 Correction Processing (Post-Signing Corrections)

When a broker realises that data needs to be corrected after a work package has been processed, a Correction Request Form needs to be completed and submitted to Xchanging along with any new or amended documentation that may be required to support the correction request. When completing the Work Order, the 'Post-Signing Correction' option should be selected in the Submission Type field and the broker must reference all the required documents in the Work Order.

11.11 Items to be Returned Unprocessed

If a user realises that a work package has been submitted in error and they would like the item to be returned unprocessed, then they can withdraw the work package by following the process that is defined in section 8.4.5. The status of the work package must be either 'New' or 'Tracked In'.

Alternatively, users can contact the Enquire helpdesk on 0870 380 0830 (option 1) and support their request with an Email to enquire@xchanging.com quoting the UMR, Work Package Reference and Work Order ID.

The Email subject must be shown as 'RETURN ITEM UNPROCESSED' (in upper case). This will allow rules within Outlook to prioritise the request and ensure that prompt action is taken.

11.12 Use of 'Special Characters'

Users should avoid using 'special characters' within contract and claim references and document names, etc. when creating risk and claim records and loading documents to the IMR - i.e. characters such as the following:

`\()=!"%&*;<>+:?@`

If a space is included between characters within a reference then this is also deemed to be a special character.

Creating New Records

The new IMR does not allow users to create new contract or claim records with special characters included within the UMR/UCR. This restriction is imposed within the A&S Direct Load and ECF Direct Load functions.

Contract and Claim Searches

Special characters cannot be included within a UMR or a UCR (or a carrier's reference) when a user submits a contract or claim search request.

However, some of the existing records that have been migrated across from the previous version of the IMR do contain special characters. Users can access these records by selecting 'Starts With' on the Search Request screen and entering the first characters of the reference up to the point where there is a special character.

For example, entering B0001ABC as the UMR search and selecting 'Starts With' will return all the UMRs that start with B0001ABC - including any that contain special characters.

Third-Party Access

Users are also not allowed to include any special characters when entering a UMR or a UCR on the Third-Party Access screen.

12 OTHER INFORMATION

12.1 IMR Service Hours

12.1.1 Core Service Hours

The IMR 'Core Service Hours' are as follows:

- Monday to Friday 07.00 to 19.00 UK time (excluding English public and bank holidays).

During these times, the IMR will be available to all registered users. All user-related queries and problems in this period will be addressed by the Xchanging Service Desk.

12.1.2 Non-Core Service Hours

The IMR 'Non-Core Service Hours' are as follows:

- Monday to Thursday 03.00 to 07.00 and 19.00 to 22.00 UK time (excluding English public and bank holidays).
- Friday 03.00 to 07.00 and 19.00 to 20.00 UK time (excluding English public and bank holidays).
- Saturday 07:00 to 19:00 UK time (excluding English public and bank holidays).

During these times, the IMR will be available to all registered users. Any user-related queries and problems raised to the Xchanging Service Desk during these periods will only be actioned during Core Service hours.

12.1.3 Scheduled Downtime

Any period outside Core and Non-Core Service hours is 'Scheduled Downtime' and access to the IMR is not guaranteed. Any user related queries and problems raised to the Xchanging Service Desk during this period will only be actioned during Core Service hours

12.2 Service Desk Contact Details

External users who require assistance regarding the services covered in this document should contact the Xchanging Service Desk – Details are provided below:

- Telephone: 0870 380 0830
- Email: service.desk@xchanging.com

The Service Desk is available from 07:00 to 19:00 hours (UK-time) Monday to Friday.

Outside these hours, a voicemail message can be left which will be dealt with by the Xchanging Service Desk within the core service hours.

For calls about the IMR, including requests for password resets, the user should select Option 4 on the automated system. This enables the Service Desk to prioritise calls effectively. (Xchanging

cannot guarantee to resolve the incident or request within the agreed Service Level if Option 4 is not selected by the user.)

12.3 Other Reference Material

12.3.1 General

The IMR General Procedures Guide describes how organisations can register for access to the IMR and obtain help from the Xchanging Service Desk on matters such as setting-up new users, modifying details for existing users, removing access to documents that have been loaded to the IMR in error, etc.

Support staff in customers' offices should refer to the 'IMR Client Software Compatibility Guide' for information relating to the technical prerequisites for use of the FileNet version of the IMR.

Users can access the above-mentioned guides and other supporting material by clicking on the question mark symbol in the right-hand corner of the banner panel at the top of the IMR screens – as shown below.



12.3.2 Electronic Claim Files (ECF)

Guidance and further information about ECF can be found in the Lloyd's and Companies System Processes and Procedures (SP&P) documents which are available from the London Market Group website. A link is provided below:

www.londonmarketgroup.co.uk

The latest information on the ECF2 service can be accessed via the following website:

www.ecfinfo.com

The 'Document Store' link that was displayed on the Login screen of the WSMP version of the IMR used to take users to a site that contained user guides and functional specifications relating to the ECF2 service. Although this site has now been withdrawn, customers can still obtain copies of the following documents by contacting the Xchanging Service Desk:

- ECF2 User Guides - 'Allocate', 'Notify', 'Review and Respond'.
- ECF On-Line Guidelines for Brokers and Carriers.
- Documentation relating to the Claims Awaiting Action (CAA) and Claims Agreement Screens (CAS).
- The Document File Viewer User Guide.
- Documentation relating to Claims Workflow Services (CWS) and Claims Workflow Triggers (CWT).

- The Document Management Service (aka 'Broker Portal') User Guide.
- Documentation relating to the ECF Write Back Service.

12.3.3 DRI Messages

The ACORD DRI Implementation Guide can be accessed via the LMG website (see above). Other message specifications and implementations guides can be accessed via the ACORD website:

www.acord.org

12.3.4 Other Services

Documentation relating to some other services can also be accessed via the London Market Group website (as per the link provided in section 12.3.2). This includes the following:

- The eAccounts Implementation Guide;
- The Post Bind Submissions User Guide.

12.4 Supported Browsers

Details are provided below of the browsers that can be used with the FileNet version of the IMR.

Browser	Version	Prerequisite Minimum	Product Minimum
Apple Safari	6.0 and future fix packs	6	2.0.3
	7.0 and future fix packs	7	2.0.3
	9 and future fix packs	9	2.0.3.7
Google Chrome	36 and future versions, releases and fix packs	36	2.0.3
Microsoft Edge	20 and future fix packs	20	2.0.3.6
Microsoft Internet Explorer	9.0 and future fix packs	9	2.0.3
	10 and future fix packs	10	2.0.3
	11 and future fix packs*	11	2.0.3
Mozilla Firefox ESR	24 and future fix packs	24	2.0.3
	31 and future fix packs	31	2.0.3
	38 and future fix packs	38	2.0.3.5
	45 and future fix packs	45	2.0.3.8

*NB: Xchanging recommends that customers should use Microsoft Internet Explorer 11 when accessing the IMR. Although it should be possible to access and use FileNet with the other browsers that are listed above, Xchanging does not support any browsers other than IE11.

13 GLOSSARY

Term	Definition
A&S	Accounting & Settlement
ACL	Access Control List
ACORD	The Association for Cooperative Operations Research & Development
AP	Additional Premium
BSND	Broker Signing Number & Date
CAA	Claims Awaiting Action
CAS	Claims Agreement Screens
Casa	Short for 'Casablanca'. A portal that customers can use to access some of Xchanging's on-line systems.
CAT Codes	Catastrophe Codes ('CAT Codes' are allocated to catastrophes that are likely to attract a high-level of claims.)
CLASS	Claims Loss Advice and Settlement System
CPA	Claims Payable Abroad
CSND	Carrier Signing Number & Date
CSRP	Central Services Refresh Programme
CWS	Claims Workflow Service
CWT	Claims Workflow Triggers
DFV	Document File Viewer
DMS	Document Management Service
DRI	Document Repository Interface
DTI	Department of Trade & Industry
eAccounts	A process that brokers can use to submit work packages to Xchanging via the use of ACORD Technical Account and DRI messages.

ECF	Electronic Claims Files. (Electronic Claim File records are created using a combination of claims data that brokers submit to the CLASS system and documents that are loaded to the IMR.)
FDO	For Declaration Only
FIL	Foreign Insurance Legislation
FileNet	IBM's 'FileNet' product. (The underlying document management system of the new version of the IMR.)
Folder	An object within the previous WSMP version of the IMR that contained multiple documents or sub folders. (Folders have been replaced by document categories in FileNet.)
ILU	The Institute of London Underwriters. (A processing bureau and trade association that used to provide services to marine and aviation companies.)
IUA	The International Underwriting Association of London. (Replaced the ILU and LIRMA. Most of the companies whose business is processed by XIS are members of this trade association.)
IMR	Insurers' Market Repository
LIRMA	The London International Insurance & Reinsurance Market Association. (A processing bureau and trade association that used to provide services to non-marine companies.)
LMG	London Market Group (A body that represents the broking and underwriting communities in London.)
LPAN	London Premium Advice Note
LPC	The London Processing Centre. (The predecessor company that processed company market business before Xchanging Ins-sure Services was formed.)
Metadata	In the context of the IMR, metadata refers to the set of attributes or properties that have been allocated to an individual document.
MTBC	Mid-Term Broker Change
MTMC	Mid-Term Market Change
NPE	Non-Premium Endorsement
OP	Original Premium
OSND	Original Premium Signing Number & Date

PbS	Post-bind Submissions
PCS CAT Codes	Property Claims Services Catastrophe Codes. These are Catastrophe Codes that are allocated to events that are likely to cause losses in excess of USD25 million to insured property within the USA.
RDC	The Risk Data Capture service (<i>otherwise known as the Data Capture Service or DCS</i>)
RIP	Reinstatement Premium
RP	Return Premium
S&A	Signing and Accounting
Security Administrator	The person in a carrier's or broker's office who is responsible for providing staff with access to Xchanging's systems.
SLA	Service Level Agreement
SP&P	Systems, Processes and Procedures
TR	Transaction Reference
Tracker	A system that enables external customers to track the progress of premium work packages that are submitted to Xchanging. (Tracker is also used to provide brokers with details of queries raised by XIS technicians.)
UCR	Unique Claim Reference
UMR	Unique Market Reference
WSMP	The WorkSite MP product. (The underlying document management system of the previous version of the IMR.)
XAG	Xchanging ACORD Gateway
XCS	Xchanging Claims Services
XIS	Xchanging Ins-sure Services

Document Control

Version	Date	Author	Brief description
0.1	30/06/2017	John Semple	Initial draft
0.2	25/07/2017	John Semple	Changes made following comments received from project team members.
0.3	04/10/2017	John Semple	Further changes made following feedback from the Internal Working Group.
0.4	25/01/2018	John Semple	Further material added and screen shots updated.
0.5	27/04/2018	John Semple	Updated to reflect changes agreed during defect reviews.
1.0	30/04/2018	John Semple	Final Pre-Go Live version.
1.1	05/06/2018	John Semple	Further minor updates applied following issues raised during the final stages of MAT.

APPENDIX A - ACCESS RIGHTS INFORMATION

IMR Functions & Features - The table below provides an overview of the functions that users in different types of organisation can access.

FUNCTION	USER TYPE				
	Lloyd's Carriers	Company Carriers	Brokers	XIS Technicians	XCS Technicians
Contract Search	YES	YES	YES	YES	YES
Claim Search	YES	YES	YES	NO	YES
Work Package Search	YES	YES	YES	YES	YES
Native IMR	YES	YES	YES	YES	YES
A&S Direct Load	NO	NO	YES	NO	NO
ECF Direct Load	YES	YES	YES	NO	YES
LPANs and Submissions	NO	NO	YES	YES	YES
eProcessing Issues	NO	NO	NO	YES	YES

Notes

- 'Manage' – This function is only available to security Administrators in carriers' and brokers' offices.
- Add Third-Party - This function is also only available to Security Administrators.
- IMR Licenses – The functions that users can access may depend upon the type of IMR license that the organisation has purchased.
- Access Rights – Although a user may be able to access a function that is mentioned in the table above, they will not be able to review records and documents held on the IMR if they do not have the required access rights.
- Claim Searches (XIS Technicians) – Although FileNet does allow XIS technicians to submit UCR search requests (and search results may be displayed), technicians are not able to access any individual UCR records or their associated documents.

APPENDIX B – DOCUMENT TYPES

Details of the Document Types that can be allocated to documents when they are loaded to the IMR and how the documents are subsequently categorised are provided in the sections below.

A&S Direct Load Submissions

For documents that are loaded via the A&S Direct Load function, the following document category mapping rules are applied. The names shown in the 'Description' column in the table below are the names that are presented to users in the Document Type drop-down list.

Doc Type (ACORD Name)	Description	Category
bordereau_premium	Bordereau	Misc/Historical Documents
Calculation	Calculation	Misc/Historical Documents
lm_bureau_endorsement	Endorsement	Slip Documents
document_file_note	File Note	Misc/Historical Documents
lm_premium_advice_note	LPAN	Misc/Historical Documents
lm_lpo_208	LPO208	Slip Documents
LPO301	LPO301	Slip Documents
Document	Other Document	Misc/Historical Documents
booklet_insurance_policy	Policy	Policy Documents
form_policy_control	XIS Policy Control Form	Policy Documents
document_policy_endorsement	Policy Endorsement	Policy Documents
advice_premium	Premium Advice	Misc/Historical Documents
document_slip	Slip	Slip Documents
wording_agreed	Agreed Wording	Policy Documents
Wording	Wording	Policy Documents
wording_addenda	Wording Addenda	Policy Documents
document_broker_account	Treaty Statement	Misc/Historical Documents
form_correction	XIS Correction Form	Misc/Historical Documents
form_query_response	XIS Query Sheet	Misc/Historical Documents

ECF Direct Load Submissions

The document type names that are displayed to users when using the Add UCR Document screen in the ECF Direct Load function are contained within the spreadsheet below. All documents that are loaded via ECF Direct Load are categorised as Claim Documents.



Document Types
(ECF Direct Load).xls

Add UMR Document Screen

For documents that are loaded via the 'Add UMR Document' screen in the Native IMR, the document category mapping rules contained in the spreadsheet below are applied. The names that are presented to users in the Document Type drop-down list are as shown in the *Description* column in the spreadsheet (although some of the names may be shortened – e.g. LPAN and LPO208).



Document Types
(Native IMR - Risk Dc

Add UCR Document Screen

The document type names that are displayed to users when using the Add UCR Document screen in the Native IMR are contained within the spreadsheet below. All documents that are loaded via this screen are categorised as Claim Documents.



Document Types
(Native IMR - Claim I

DRI Submission

For documents that are loaded to the IMR via the submission of DRI messages, the document category mapping rules contained in the spreadsheet below are applied.



Document Types -
DRI Messages (Updã

APPENDIX C – ACCEPTABLE FILE TYPES

The IMR

Details are provided in the Excel spreadsheet below of the acceptable file types – i.e. types of files that users can load to the IMR.

An error message will be returned if a user attempts to load a file type that is not mentioned on this list.



Acceptable File and
Mime Types List.xls

The Document Cart

The following file types can be loaded to the Document Cart (refer to section 5.8.14).

BMP	Windows bitmap image
GIF	Graphics Interchange Format image
JPEG/JPG	Joint Photographics Experts Group image
Microsoft Word	Word 97 to Word 2013
Microsoft Excel	Excel 97, Excel 2000, Excel XP, Excel 2003 Excel 2013
Microsoft PowerPoint	PowerPoint 2003-2013
PDF	Adobe PDF versions 1.2,1.3, 1.4 / RGB and CYMK
PNG	Portable Network Graphics
TIFF	Tagged Image File Format
WMF	Windows Metafile Format

Users may find that they are able to add other types of files to the Document Cart. The list above provides details of the supported file types for this product. Error messages may appear if users attempt to include documents/files that are not included on this list.

APPENDIX D – WORK ORDER COMPLETION GUIDELINES

Information is provided below regarding how users should complete the Work Order fields for premium and/or policy submissions that are made via the A&S Direct Load function (as described in section 8).

Mandatory fields are highlighted with an asterisk *

Work Order Fields	Completion Guidelines
Broker Contact Name *	Enter the name of the person in the broker's office who should be contacted in the event of queries.
Broker Contact Email *	Enter the email address for the Broker Contact.
Broker Contact Phone *	Enter the phone number for the Broker Contact.
XIS Contact Name	This field should only be completed for resubmissions. Enter the name of the XIS technician who raised the query.
Submission Type *	<p>Select the appropriate submission type from the drop-down list. The possible submission types are as follows:</p> <ul style="list-style-type: none"> • First Submission • Post-Signing Correction <p>The field is pre-populated for resubmissions – with either 'Resubmission', 'Resubmission Following Query' or 'Resubmission Following Rejection'.</p>
Slip Type *	<p>Select the appropriate slip type from the drop-down list. The options are as follows:</p> <ul style="list-style-type: none"> • Binding Authority • Direct Insurance • Excess Loss Reinsurance • Facultative Reinsurance • Proportional Treaty <p>If 'Proportional Treaty' is selected then the Treaty FDO/Statement field must be completed.</p>
Class of Business *	<p>Select the appropriate class of business from the drop-down list. The options are as follows:</p> <ul style="list-style-type: none"> • Marine • Aviation • Non-Marine

Work Order Fields	Completion Guidelines
Processing Required *	<p>Select the type of processing that is required from the drop-down list. The options are as follows:</p> <ul style="list-style-type: none"> • Premium Accounting • Premium & Policy Processing (S&A) • Policy Only • Simultaneous Reinstatement • NPE Review • Policy Endorsement Review <p>If 'Premium Accounting' or 'Premium & Policy (S&A)' is selected then a value must be provided in either the OP / FDO LPANs Count field or the AP/RP LPANs Count field.</p> <p>If 'Premium & Policy (S&A)' or 'Policy Only' is selected then the Policy Type field must be completed.</p>
Bureau *	<p>Indicate whether the carriers involved on the contract are Lloyd's syndicates, IUA companies or a mixture of the two. The options are as follows:</p> <ul style="list-style-type: none"> • Lloyd's • Companies • Mixed <p>'Mixed' can only be selected when the Slip Type is either 'Facultative Reinsurance' or 'Excess of Loss Reinsurance'. (Refer to section 8.3.4.3.)</p>
OP/FDO LPANs Count	<p>Where applicable, enter the number of OP and/or FDO LPANs that are being submitted in the work package.</p> <p>Either this field or the AP/RP LPANs Count field must be completed if 'Premium Accounting' or 'Premium & Policy Processing' has been selected in the Processing Required field. If this field is not completed the system defaults the value to zero.</p>
Policy Type	<p>Where applicable, select the type of policy service required from the drop-down list. The options are as follows:</p> <ul style="list-style-type: none"> • Broker Policy • Slip Policy • PPS <p>When a user indicates that a policy is being submitted, the system will check that a Policy Control Form is submitted.</p>
AP/RP LPANs Count	<p>Where applicable, enter the number of AP and/or RP LPANs that are being submitted in the work package.</p> <p>Either this field or the OP/FDO LPANs Count field must be completed if 'Premium Accounting' or 'Premium & Policy Processing' has been selected in the Processing Required field. If this field is not completed the system defaults the value to zero.</p>
Urgent Reference	<p>Where applicable, enter the urgent reference that has been provided by a team leader at Xchanging. (This should be in the format 999X-1234567.)</p>

Work Order Fields	Completion Guidelines
Treaty FDO/Statement	<p>Where applicable, indicate whether treaty FDO or treaty statement transactions are being submitted. The options are as follows:</p> <ul style="list-style-type: none"> • FDO • Statement <p>This field should only be completed if 'Proportional Treaty' has been selected in the Slip Type field.</p>
Additional Information	<p>This is a free text field that brokers can use to supply processing instructions or explanations to the technician at Xchanging.</p>
Group Reference	<p>This field should only be completed if a number of proportional treaty work packages need to be grouped together for processing and settlement purposes.</p> <p>The format of the reference should be B-nnnn-x(12) - e.g. B9999UMRXXX112233.</p> <p>(After the first group reference is entered, every subsequent entry of the same group reference will automatically update the Number in Group with the number entered on the first item that was loaded for the group.)</p>
Number in Group	<p>Enter the number of work packages that need to be grouped together. This field must be completed if a Group Reference has been entered. If a Group Reference is entered, this field cannot be blank.</p>
Sim Signing Required	<p>This box should be ticked if a premium and an associated claim transaction need to be signed (and settled) on the same day. If the Simultaneous Signing checkbox is ticked then references must be entered in the UCR and TR fields.</p>
UCR	<p>The Unique Claim Reference. This field should be completed if the Simultaneous Signing Required indicator has been set to 'Y'. The format of the Unique Claim Reference should be B-nnnn-x(12) - e.g. B9999UCRXXX1122.</p>
TR	<p>The claim Transaction Reference. This field should be completed if the Simultaneous Signing Required indicator has been set to 'Y'. The format of the Transaction Reference should be B-nnnn-x(12) - e.g. B9999UCRXXX112201. An error message will be displayed if the UCR and the TR are not a valid combination in CLASS.</p>

APPENDIX E – CONFIRMATION EMAILS

Once an A&S or eAccounts work package has been successfully created in the IMR, a notification email is forwarded to the Broker Contact. An example of the text that will appear in the subject line of the email is provided below:

'Confirmation of Direct Load Work Order For UMR: B0001AABBCC99 WORK PACKAGE REF: ABCDEFG'

The statement and information shown below will be included within the body of the email:

'This email confirms that your Work Order was successfully loaded into the Market Repository. The details of this are:

UMR:	<u>B0001AABBCC99</u>		
Work Package Reference:	AGOKFEP	Tracker Bar Code:	<u>REP00143635</u>
Work Order Tag:	20150715-151926	Urgent Reference:	
Broker/Underwriter Contact Name:	John Smith	Broker/Underwriter Contact Email:	<u>John.Smith@Broker.com</u>
Broker/Underwriter Contact Phone:	0900 3000 999	XIS Contact Name:	Technician A
Type of Submission:	First submission	Market:	Companies
Class of Business:	Marine	Slip Type:	Direct insurance
Type of Policy:		Processing Required:	Premium accounting
Premium LPAN Count:	1	AP/RP LPAN Count:	
Additional Information:	Test Case	Presentation Date:	15/07/2017
Group Reference:		Number In Group:	0
Sim Signing Required:	No	Treaty FDO/Statement:	
UCR:		TR:	

APPENDIX F – ENTRY TYPE CODES

Entry Code	Description	Category Code
AAP	Adjustment Additional Premium	AP
APM	Adjustable (Original) Premium	PM
ARP	Adjustment Return Premium	RP
BAP	Reinstatement Additional Premium	AP
BRP	Reinstatement Return Premium	RP
CAP	Profit Commission Additional Premium	AP
CRP	Profit Commission Return Premium	RP
DAP	Audit Fees Additional Premium	AP
DRP	Audit Fees Return Premium	RP
FAP	Rate of Exchange Adjustment Additional Premium.	AP
FBA	Rate of Exchange Adjustment Binding Authority	TTY
FRP	Rate of Exchange Adjustment Return Premium	RP
FTC	Rate of Exchange Adjustment Treaty Credit	TS (Cr)
FTD	Rate of Exchange Adjustment Treaty Debit	TS (Dr)
HAP	Survey Fees Additional Premium	AP
HRP	Survey Fees Return Premium	RP
IAP	Interest on Reserve Premium Additional Premium	AP
IRP	Interest on Reserve Premium Return Premium	RP
JAP	No Claims Bonus Additional Premium	AP
JRP	No Claims Bonus Return Premium	RP
KAP	Tax Only Additional Premium	AP
KRP	Tax Only Return Premium	RP
NAP	Normal Additional Premium	AP
NBA	Balance of Account Binding Authority.	TTY
NPF	Premium FDO (non-treaty)	PM
NPM	Normal Premium	PM
NRP	Normal Return Premium	RP
NTC	Treaty Statement Credit	TS (Cr)
NTD	Treaty Statement Debit	TS (Dr)
NTF	Treaty FDO	TTY

Entry Code	Description	Category Code
PAP	Portfolio Transfer Additional Premium	AP
PPM	Portfolio Transfer Original Premium	PM
PRP	Portfolio Transfer Return Premium	RP
RAP	Release of Reserve Additional Premium	AP
RPM	Release of Original Premium Reserve	PM
RRP	Release of Reserve Return Premium	RP
XAP	Cancellation Additional Premium	RP
XPF	Cancellation Premium FDO	PM
XPM	Cancellation Original Premium	PM
XRP	Cancellation Return Premium	AP
XTF	Cancellation Treaty FDO	TTY
YAP	Replacement Additional Premium	AP
YPF	Replacement Premium FDO	PM
YPM	Replacement Original Premium	PM
YRP	Replacement Return Premium	RP
YTF	Replacement Treaty FDO	TTY
ZAP	Reinstatement Additional Premium (based on adjusted premium)	AP
ZRP	Reinstatement Return Premium (based on adjusted premium)	RP

APPENDIX G – FILENET SCREEN NAMES AND ID NUMBERS

Each of the main screens within the IMR has been given an identification number. These can be seen in the bottom right-hand corner of the screens. Details of the screen names and their ID numbers are shown in the table below. (Numbers have not been allocated to the 'pop-up screens'.)

Users may find it useful to quote these screen numbers when queries or issues arise.

Screen ID	Screen
IMR001	Contract Search
IMR002	Contract Search Results
IMR003	Contract Details
IMRTBC	Work Package Search
IMR004	Work Package - Summary
IMR005	Work Package - Details
IMR006	Market Detail (pop-up)
IMR007	Policy Details (pop-up)
IMR008	Subsequent Signings (pop-up)
IMRTBC	Submissions (LPANs)
IMR009	A&S Direct Load - Selection Screen
IMR010	A&S Direct Load - Add Document
IMR011	A&S Direct Load - Create Work Order
IMR011	A&S Direct Load - Modify Work Package
IMR013	ECF Direct Load
IMR014	ECF Direct Load - Add UCR Document
IMR015	Add Third Party
IMR016	Claims Search - Standard
IMR017	Claims Search - Advanced
IMR018	Claims Search - Results
IMR019	Claims Detail (Claims Summary)
IMR020	Cross Market Comments (pop-up)
No Number	Claim View UMR (pop-up)
No Number	Classifications - All
IMR022	Classification Selected
No Number	Document Type - All
IMR023	Document Type Selected
IMR024	Transaction Summary
IMR025	Transaction Selected
No Number	Declare Individual Conflict of Interest
IMR027	Confirm No Individual Conflict of Interest
No Number	Declare Organisational Conflict of Interest

Screen ID	Screen
IMR001	Contract Search
IMR002	Contract Search Results
IMR003	Contract Details
IMR029	Manage Claims
IMR030	eProcessing Issues Summary
IMR031	eProcessing Issues Details
IMR032	Create eProcessing Issue
IMRTBC	eProcessing Issues – Relate Document
IMR033	Add (UMR) Document
IMRTBC	Add (UCR) Document
No Number	Actions - Open Document
No Number	Actions - Preview
No Number	Actions - Download
No Number	Actions - Hide Document
No Number	Actions - Unhide Document
No Number	Actions - User Details
No Number	Actions - Export
No Number	Actions - Check Out (without download)
No Number	Actions - Check In
No Number	Actions - Cancel Check Out
No Number	Actions - Link
No Number	Actions – Send Email
IMR045	Actions - Properties - Properties Tab
IMR046	Actions - Properties - Versions Tab
IMR047	Actions - Properties - Audit History
No Number	Actions - Add to Favorites
No Number	Actions - Add to Cart
No Number	Actions - View Cart
IMRTBC	Actions – Edit UMR Document
IMRTBC	Actions – Edit UCR Document
IMRTBC	View Favorites
No Number	Change Password
IMRTBC	User Details (Created By)

('IMRTBC' has been shown against screens where numbers have not yet been allocated.)