

**NAIC/NIPR Attachments Warehouse  
State Regulator User Guide**



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**NAIC/NIPR Attachments Warehouse**

**Version 1.0**

(Version release date: July 31, 2008)

NAIC/NIPR Attachments Warehouse will go to production August 29, 2008

This document seeks to answer all of your questions regarding this new product. The application is still in development until the actual production rollout. We may need to issue appropriate updates as needed to this and other documents to reflect any additional changes that might be made in the NAIC/NIPR Attachments Warehouse application before its formal release. We have made every effort to make this document as accurate and complete as possible.

If you have any questions or need further information, please contact your usual NIPR contact person.

This document is designed for State licensing personnel.

If you have any questions please contact:

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**Introduction:**

The purpose of this project is to create an electronic warehouse in order to receive and store and share with a State Department of Insurance requested documentation required by States as follow up information needed for applications associated with the licensing process. These documents most often provide additional information or back up to answering “yes” on a background question on a licensing application.

The NAIC/NIPR Attachments Warehouse is for both individual and business entity/agency applicants for resident licensing, resident renewals, nonresident licensing, and nonresident renewals. Attachments are associated by the producer with the appropriate background questions.

Applicants must have a Gateway transaction with a status of “Pending” in the Gateway in order to use the NAIC/NIPR Attachment Warehouse.

Attachments as electronic files will only be accepted in the following formats:

- .doc – Microsoft Word documents
- .gif – Standard image file format supported by many programs and browsers.
- .jpg – Standard image file format supported by many programs and browsers.
- .pdf – Adobe PDF files
- .tif - Common scanned format support by many programs and browsers

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**Questions with responses:**

#1 – Our State does not offer all of these products electronically. Will we be receiving attachments from applicants that did not apply/renewal through the Gateway?

Answer: No, the electronic transaction must in the Gateway. You will only be viewing those applications that are currently pending.

#2 – Can we still require the producer to send us a certified copy of certain documents and written statements especially those that must be notarized, or if we suspect any document tampering?

Answer: Absolutely yes. Upon initial review you may determine that the electronic documents the producer submitted to the NAIC/NIPR Attachments Warehouse are sufficient.

#3 – Where is the contact information for the producer?

Answer: It is on the Gateway transaction.

#4 – Will all States be able to see all of the producers' attachments?

Answer: Yes. All States will be able to see all of the producers and their attachments that are in the NAIC/NIPR Attachments Warehouse. States will need to access NAIC/NIPR Attachments Warehouse search screen through the Gateway sign-in.

#5 – How long will the documents be stored in the NAIC/NIPR Attachments Warehouse?

Answer: For as long as the transaction is stored which currently is ten (10) years. If your State needs to retain the documents for longer than that or if your States wishes to, you may download the documents and store them yourself.

#6 – How will we know when a producer has submitted an attachment?

Answer: You must sign-up for a new PICS Alerts in I-SITE and you will receive notification whenever a producer adds a document with a pending Gateway transaction for your State. If you are using the Gateway State Interface, as you will see below, there is a link there that lets you know that electronic attachments have been submitted by this producer.

#7 – Can our State submit a unique message to the producers regarding the NAIC/NIPR Attachments Warehouse?

Answer: Yes. See the page in the document labeled "What will the producer see? And where will they see it?" Then submit your State's message to Bill Horn (email [BillHorn@npr.com](mailto:BillHorn@npr.com)). You can also contact your usual NIPR contact with this wording.

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**Notification is sent to State regulators using PICS Alerts**

First, the appropriate people in the State will need to sign-up for the new PICS Alerts if you wish to receive notifications that a producer (individual or business entity/agency) have submitted one or more documents that have a pending electronic Gateway transaction for your State.

I-SITE – Personalized Information Capture System:

Personalized Information Capture System

[Company/Firm Search](#) [Market Firm Search](#) [Market Individual Search](#) [Securities Search](#) [Subsidiaries Search](#) [Summary Reports](#) [Utilities](#) [Change Password](#) [PICS](#) [StateNet](#) [Help](#) [E-Mail Login](#)

[\[PICS Home\]](#) [\[Profile\]](#) [\[Select Events\]](#) [\[New Event WorkSheet\]](#)

Events for All Categories

Click on the Event Name link to update the filter. Updating the filter automatically changes the status of an event to Active. You can toggle the status of events that are marked as Active or InActive by clicking on the status link.

Event Name	Status	Description
<a href="#">Company Name Change</a>	Unused	Identify companies whose names have been updated in the NAIC database.
<a href="#">Group Code Change</a>	Unused	Alert when a group code changes.
<a href="#">Producer Firm Exam Notification</a>	Unused	Notify subscribers of an examination entered or updated for producer firms (companies without a cocode).
<a href="#">Special Activities Notification</a>	Unused	Notify subscribers of new Special Activities added to the database.
<a href="#">Attachment Notification</a>	<a href="#">Active</a>	Notify subscribers of newly added files to the attachment warehouse.
<a href="#">Online Fraud Reporting System Notification - DVL P</a>	Unused	Notify users of new Online Fraud Reports entered into the database.

Click on Attachment Notification Link, click “Save” button on the next screen, and you will be added to NAIC/NIPR Attachments Warehouse PICS Alerts for regulators. If you have not entered a profile, you will be requested to enter that data before you can sign-up for the PICS Alert.

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**What the NAIC/NIPR Attachments Warehouse PICS Alert looks like**

Personalized Information Capture System									
Alert: Attachment Notification									
<p>The Personalized Information Capture System (PICS) is confidential and shall be used for regulatory purposes only. The PICS Attachment Notification shows the following producers have since the last PICS alert added their initial entry and/or a file(s) to the Licensing Attachment Warehouse. Both individual and business entity/agency producers submit electronic documents to State regulators in response to a request for supporting documents in either the electronic licensing or renewal process using the Licensing Attachment Warehouse. The contact information for the producer is contained in the Gateway transaction.</p>									
State Code	Trans Type Desc	Nipr Trans	NPN	Tax Num	Name	Res State	Res License Id	Question Num	File Submitted Date
XX	Non-Resident License	101	1234567	000123456	PRODUCER, AVERAGE	YY		1	06/13/2008 02:12:16
XX	Non-Resident License	103	2345678	000234567	AGENCY, AVERAGE	ZZ		1	06/13/2008 02:12:16
<p>The filter used for this event was: <b>(No qualifying filter applied)</b>.            Additional information can be found at this web site: <a href="https://i-site-state.naic.org/isite/">https://i-site-state.naic.org/isite/</a>.</p> <p><b>Please do not reply to this message. Any correspondence should be addressed to the <a href="#">NAIC Help Desk</a>.</b></p>									

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## **What will the producer see? And where will they see it?**

Your State message will display for a Pended transaction will be added to the electronic online receipt that is displayed after the producer has submitted the license/renewal application and after they have paid the State fees. Some States already have a unique "Pend for State Review" message for the producer. Other States are using the standard message. The same message will also display on the follow-up email for "Pended for State Review" transactions that is sent to the producer when the electronic transaction is received in the Gateway

This is the standard message, but some States rules overwrite or add additional wording in order to customize it:

**Transaction # 00000000**

**Thank you for your recent electronic (type here) application for (STATE) for (Producer's Name)**

**This is an update on the status of your application. A decision has not yet been reached due to the following reason(s):**

- Lic Class: (License Class applied/renewed for here) – (LOA here) - Comments: Background Question (insert number) answered "YES"**
- Lic Class: (License Class applied/renewed for here) – (LOA here) - Comments: Transaction has been sent to state for review**

**We are making every effort to ensure that your application is processed as quickly as possible. Your patience is appreciated. If you have already received the results for your application, please disregard this message. Again, we thank you for your business.**

**The message will add the following non-State specific message unless the State sends a version to overwrite this:**

### **ELECTRONIC ATTACHMENT WAREHOUSE**

**Everywhere documents are requested by the State in response to answering "yes" to one or more of the Uniform Application's background question, please know that electronic documents can be submitted to the new electronic Attachment Warehouse where they can be viewed by each participating State. Only electronic documents can be submitted. The link to the electronic Attachment Warehouse is**

**<https://www.nipr.com/docMgmt/>**

**If a state has additional requirements other than electronic submission of your requested documentation, those states will contact you directly. Documents previously submitted to the NAIC/NIPR Attachments Warehouse do not need to be resubmitted.**

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**How to access – State Interface**

If your State uses the Gateway State Interface, the connection is easy. Whenever there is an electronic document in the Attachment Warehouse for this producer, there will be a tag link ([View electronic attachment](#)). When clicked, it will take you directly to the screen that has the producer's attachments listed. This is the screen that is on the last page of this document.

**APPLICATION INFORMATION**

**BACKGROUND QUESTIONS**

For complete wording of these questions go to: [Licensing Applications](#)  
[View all producer submitted electronic attachments](#)

1. **Yes.**  
1A. **N/A**  
1B. **N/A.** [View electronic attachment](#)

2. **No.**  
3. **No.**  
4. **No.**  
5. **No.**  
6. **No.**  
7. **No.**

**Attestation Accepted:** Yes [Show Attestation](#)

**AUTHORIZING OFFICER**

**Submitter:** Producer

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## How to access through Gateway

Click on the link in the Gateway. Only those who have signed-in to the Gateway with a regulator sign-in will have access to this application.

Home About NIPR Search Contacts/Help

**NIPR**  
National Insurance Producer Registry

**NIPR GATEWAY**

**Reports**  
Aging Report  
E-Commerce Report  
File Errors  
Files Received/Sent  
NRL Referrals  
Released Transaction Report

**Tools**  
Transaction Search  
Holding Tank  
State Interface  
**Electronic Attachments Warehouse**  
My Recent Requests

**Welcome to the NIPR Gateway!**  
Please take a moment to read the following important announcements:  
**4/10/2007 7:18p.m. - Test**  
test comments

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Lookup page

You enter the identifiers for the producer and click "Search" and the results will return.

Home About NIPR Search Contacts/Help

**NIPR**  
National Insurance Producer Registry

ATTACHMENTS LOOKUP

[Logout](#)

Use the fields below to search for documents associated to a specific producer

Search By Name

First Name  [find User](#)

Middle Name  [find User](#)

Firm or Last Name

OR

Search By NPN

NPN

-----OR-----

Search By SSN

SSN/FEIN

OR

Search By License Number

State

License Number

Category

Resident Licensing - Background Question 5

Resident Licensing - Background Question 6

Resident Renewals - Background Question 1

Resident Renewals - Background Question 2

Search

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**Search lookup hit list**

If the results of your search return more than one producer, you will receive a "hit list" like the one below listing all of the possibilities. Select which one you want.

Home
About NIPR
Search
Contacts/Help




**ATTACHMENTS LOOKUP**

[Logout](#)

Use the fields below to search for documents associated to a specific producer

---

**Search By Name**

First Name  [find User](#)

Middle Name  [find User](#)

Firm or Last Name

OR

-----OR-----

OR

**Search By NPN**

NPN

**Search By SSN**

SSN/FEIN

**Search By License Number**

State

License Number

Category Resident Licensing – Background Question 5  
Resident Licensing – Background Question 6  
Resident Renewals – Background Question 1  
Resident Renewals – Background Question 2

**Search Results**

Producer		Average	<input type="button" value="Select"/>
			<b>Select</b>
Agency-Producer		Average	<input type="button" value="Select"/>
			<b>Select</b>
Average		Average	<input type="button" value="Select"/>
			<b>Select</b>

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**Search lookup results – Accessing the Attachments**

When there is only a single producer identified by the search, this is the screen that you will see. It gives you the basic information about the producer and lists the attachments the producer has submitted. You may view and/or download these attachments on your computer.

The screenshot shows the NIPR Attachments Warehouse interface. At the top, there is a navigation bar with links for Home, About NIPR, Search, and Contacts/Help. Below this is a banner for NIPR (National Insurance Producer Registry) with a collage of images. The main heading is "ATTACHMENTS LOOKUP". Below the heading are several navigation links: Participating States, State Specific Requirements, Instructions, Contact Us, FAQ's, and Logout. A search criteria box displays the following information: First Name: Average, Middle Name: (blank), Firm or Last Name: Producer, and Categories Selected: (blank). Below the search criteria is a table with three columns: Application Type, In Response to, and Link to Document. The table contains two rows of data.

Application Type	In Response to	Link to Document
Resident Licensing	<a href="#">Background Question 1</a>	<a href="#">Felony Conviction Court Verdict.tif</a> <a href="#">Explanation of Arrest.doc</a>
Non-Resident Licensing	<a href="#">Background Question 1</a>	<a href="#">Felony Conviction Court Verdict.tif</a> <a href="#">Explanation of Arrest.doc</a>

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**Attachments Lookup – Accessing the Attachments**

When you click on the attachment this screen displays. It has the document description entered by the producer and the link to the actual document. Click on the document name and you will view the document itself.



[Participating States](#)      [State Specific Requirements](#)      [Instructions](#)      [Contact Us](#)      [FAQ's](#)      [Logout](#)

**Name:** AVERAGE PRODUCER  
**NPN:** 0000000

**SSN/FEIN:** XXX-XX-0000

*Category	Resident Renewal - Background Question 5 <b>Non-Resident Licensing - Background Question 1B</b> Non-Resident Renewal - Background Question 1B Resident Licensing - Background Question 1 Resident Renewal - Background Question 2
Category	<a href="#">Background Question 1B</a>
Document Description (250 max. chars)	test entry
Date of Action (Format MM-DD-YYYY)	27-JUN-08
Date Submitted (Format MM-DD-YYYY)	09-JUL-08
Submitted By	Producer
Document to view	<a href="#">Gateway Use Agreement.doc</a>