

## Instructions for Producer

### General Information:

- Please use buttons provided in the application. Browser “Back” button will not work in all situations and may cause data to be lost or session to be ended.
- Screens will have titles on the top right to be used as reference
- Session will time out with 30 minutes of no activity.
- If session has not been paid, pending attachments and information for new or updated Reporting of Actions will be deleted when session ends.

### Click on a link below for more information

- A. [Sign-In](#)
- B. [Review/Update producer contact information](#)
- C. [View previously entered information or attachments](#)
- D. [Add new Reporting of Actions](#)
- E. [Add attachments to existing Reporting of Actions](#)
- F. [Pay for session to save attachments uploaded in the session](#)
- G. [End Session](#)
- H. [Glossary](#)

<b>A. Sign-In</b>	
<b>Location(s)</b>	Go to NIPR website at <a href="http://www.nipr.com/">http://www.nipr.com/</a> and click on “Reporting of Actions” or <a href="https://pdb.nipr.com/roa/jsp/roa/roaterms.jsp">https://pdb.nipr.com/roa/jsp/roa/roaterms.jsp</a>
<b>Step 1:</b>	<p>Read and Accept the <b>USE AGREEMENT</b></p> <ul style="list-style-type: none"> <li>• “Accept” to continue to sign-in</li> <li>• “Decline” to return to NIPR web page</li> </ul>
<b>Step 2:</b>	<p><b>REPORTING OF ACTIONS SIGN-IN:</b> Select one of the following methods to sign-in.</p> <ul style="list-style-type: none"> <li>• INDIVIDUAL AND AGENCY SIGN-IN WITH NPN (National Producer Number) (Defaults to this selection) <ul style="list-style-type: none"> <li>*Resident State (any state in which producer has active resident license)</li> <li>*Resident License Number</li> <li>*National Producer Number (NPN)</li> <li>*SSN/FEIN (Last 4 digits) (Must be on Producer Database (PDB))</li> </ul> </li> <li>• or AGENCY SIGN-IN WITHOUT NPN <ul style="list-style-type: none"> <li>*FEIN</li> <li>*Firm Name</li> </ul> </li> </ul> <p>Complete fields for sign-in option selected. Note following:</p> <ul style="list-style-type: none"> <li>• Individual Producers and some Agency Producers can find the NPN using the “NATIONAL PRODUCER NUMBER (NPN)” search link.</li> <li>• Producers must have an active resident license on the PDB.</li> </ul> <p>“Sign-In” to complete login</p>

	<p>“Reset” to clear all login information</p> <p>* If the information is incomplete or not found in the PDB you may receive the error- “Could not find an active resident license with this data. Please contact your resident state's department of insurance licensing department.”</p>

**B. Review/Update Contact Information** This contact information will be available for the State regulators to use to contact the producer if necessary. Any information provided will not be used to update the Producer Database (PDB) or any State database.

<b>Step 1:</b>	<p><b>REVIEW PRODUCER CONTACT DETAILS</b> screen is displayed after sign-in.</p> <ul style="list-style-type: none"> <li>• Click on “<i>Edit</i>” button if changes/additions are to be made. (Producer Information must be completed to continue with the application.)</li> <li>• Make Changes. Click on “<i>Update</i>” button.</li> <li>• Click on “<i>Cancel</i>” to return to previous page.</li> </ul> <p>Click on the “<i>Continue</i>” button or the “<i>Main Menu</i>” link at the top of the page to continue to the <b>MAIN MENU</b> screen.</p>
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**C. View Previously Entered Information or Attachments**

<b>Step 1:</b>	<b>Complete <u>Sign-In (Step A)</u></b>
<b>Step 2:</b>	<p><b>MAIN MENU</b> screen is displayed.</p> <ul style="list-style-type: none"> <li>• All documents previously submitted for the Producer to the Attachments Warehouse should be displayed on the <b>MAIN MENU</b> page.</li> <li>• Information previously entered into the Attachments Warehouse may not be deleted or changed.</li> </ul> <p><b>Reporting of Actions</b></p> <ul style="list-style-type: none"> <li>• <b>View Reporting of Action Details</b> - Click on a specific link under “View Reporting of Action Details” column to review previous action Information about the Reporting of Actions will be displayed as well as links to the associated attachment(s).</li> <li>• <b>View Attachment Details</b> - Click on the icon next to the document in the View/Download Document to review information about that document.</li> <li>• <b>View Attachment</b> - Click on a specific link in column View/Download Document“ to go directly to the attachment.</li> </ul> <p><b>Background Questions</b></p> <ul style="list-style-type: none"> <li>• <b>View Background Question Text</b> – Click on link to specific background question to see the text.</li> <li>• <b>View Attachment</b> – Click on the document link in the “View/Download Document” column to go directly to the attachment.</li> </ul>

<b>D. Add a New Reporting of Actions</b>	
<b>Step 1:</b>	<p><b>Complete <u>Sign-In (Step A)</u></b>  <b>Complete <u>Review/Update Contact Information (Step B)</u></b>  <b>Click on “Add New Reporting of Action” button on Main Menu</b></p>
<b>Step 2:</b>	<p><b>PRODUCER/AUTHORIZED SUBMITTER SCREEN</b></p> <ul style="list-style-type: none"> <li>• Identify if you are the “Producer” or an “Authorized Submitter.”</li> <li>• If you are a Producer you do not need to enter your information again.</li> <li>• If you are an Authorized Submitter provide your contact information.</li> </ul> <p>“Continue” to add details for a new Reporting of Actions on the <b>ADD NEW REPORTING OF ACTIONS</b> page.</p> <p>“Main Menu” at the top of the page to return to the <b>MAIN MENU</b> Screen.</p>
<b>Step 3:</b>	<p><b>ADD NEW REPORTING OF ACTION</b> - Provide details for Reporting of Actions</p> <p>a. Choose the category that will apply to the new attachment.</p> <ul style="list-style-type: none"> <li>• Civil Action – non-criminal adjudication by a judiciary toward a producer.</li> <li>• Administrative – adjudicated action by a regulatory body toward a producer.</li> <li>• Criminal Action – criminal adjudication by a judiciary toward a producer.</li> </ul> <p>b. State(s) displayed in which producer has active license(s) on PDB and that are <b>NOT</b> participating in Reporting of Actions. (Producer is responsible for notifying these states.</p> <p>c. Complete “Date of Action”. Future dates are not allowed. Date must be in the format shown.</p> <p>d. Complete “Producer’s Information for Regulators” to provide state regulators additional information. Click on icon beside field for additional information.</p>
<b>Step 4:</b>	<p><b>Document Description by Producer</b></p> <p>Enter a description of the attachment to be uploaded into “Document Description by Producer.” The “Document Description by Producer” can not be modified after submittal.</p>
<b>Step 5:</b>	<p><b>Producer’s Information for Regulators</b></p> <p>Enter a description of the document to be uploaded in the file.</p> <p><b>Document To Upload</b></p> <ul style="list-style-type: none"> <li>• Browse for the document to upload using the “Browse” button.</li> <li>• Select the document to upload.</li> <li>• Click “Upload” to upload the document.</li> </ul>
<b>Step 6:</b>	<p><b>UPLOAD NEW DOCUMENT</b> - Enter additional documents for the same Reporting of Actions.</p> <p>*Repeat Step 5 above until all documents have been entered.</p> <p>Click “Continue-View Summary” to continue to the <b>INITIAL SUMMARY</b> page.</p>
<b>Step 7:</b>	<p>The <b>INITIAL SUMMARY</b> page includes:</p> <ul style="list-style-type: none"> <li>• <b>Summary of Actions:</b> New Documents for New and Existing Reporting of Actions.</li> </ul>

	<ul style="list-style-type: none"> <li>• <b>States to be Notified:</b> States that will be notified of your Reporting of Action.</li> <li>• <b>States NOT Notified:</b> States that will NOT be notified of your Reporting of Action.</li> </ul> <p>Click "<i>Main Menu</i>" to upload more documents or "<i>Continue</i>" to submit these documents and continue to the payment portion of your session.</p>
<b>Step 8:</b>	Read the <b>NON-PARTICIPATING STATE DISCLAIMER</b> and " <i>Accept and Continue.</i> "
<b>Step 9:</b>	Read the <b>ATTESTATION</b> and " <i>Accept and Continue.</i> "
<b>Step 10:</b>	Read the <b>NON-PARTICIPATING STATE DISCLAIMER REMINDER</b> and " <i>Accept and Continue</i> " to Payment Process

#### E. Add documents to existing Reporting of Actions

<b>Step 1:</b>	Complete <a href="#">Sign-In</a> Complete <a href="#">Contact Information</a>
<b>Step 2:</b>	User clicks the existing Reporting of Action  ("Add Document to this Reporting of Action" column) for which he needs to add an additional attachment from the list displayed.
<b>Step 6:</b>	<b>UPLOAD NEW DOCUMENT - Enter additional documents for the same Reporting of Actions.</b>
<b>Step 4:</b>	<b>Document Description by Producer</b> Enter a description of the attachment to be uploaded into "Document Description by Producer." The "Document Description by Producer" can not be modified after submittal.
<b>Step 5:</b>	<b>Document To Upload</b> <ul style="list-style-type: none"> <li>• Browse for the document to upload using the "<i>Browse</i>" button.</li> <li>• Select the document to upload.</li> <li>• Click "<i>Upload</i>" to upload the document.</li> </ul>
<b>Step 6:</b>	<b>UPLOAD NEW DOCUMENT - Enter additional documents for the same Reporting of Actions.</b> Repeat Steps 4 and 5 above until all documents have been entered.  Click " <i>Continue-View Summary</i> " to continue to the <b>INITIAL SUMMARY</b> page.
<b>Step 7:</b>	The <b>INITIAL SUMMARY</b> page includes: <ul style="list-style-type: none"> <li>• <b>Summary of Actions:</b> New Documents for New and Existing Reporting of Actions.</li> <li>• <b>States to be Notified:</b> States that will be notified of your Reporting of Action.</li> <li>• <b>States NOT Notified:</b> States that will NOT be notified of your Reporting of Action.</li> </ul> <p>Click "<i>Main Menu</i>" to upload more documents or "<i>Continue</i>" to submit these documents and continue to the payment portion of your session.</p>
<b>Step 8:</b>	Read the <b>NON-PARTICIPATING STATE DISCLAIMER</b> and " <i>Accept and Continue.</i> "

<b>Step 9:</b>	Read the <b>ATTESTATION</b> and “ <i>Accept and Continue.</i> ”
<b>Step 10:</b>	Read the <b>NON-PARTICIPATING STATE DISCLAIMER REMINDER</b> and “ <i>Accept and Continue</i> ” to <a href="#">Pay for Session to save documents uploaded in the session</a>

<b>F. <u>Pay for Session to Save Documents Uploaded in the Session</u></b>	
<b>Step 1:</b>	<p>Complete <b>Sign-In (Step A)</b>            Complete <b>Review/Update Contact Information (Step B)</b>            Complete <b>Add New Reporting of Action (Step D)</b> or <b>Add Document to an Existing Reporting of Action (Step E)</b></p>
<b>Step 2:</b>	<p>*Reporting of Actions submitted during a session will <u>NOT</u> be saved without a required payment.  <b>PAYMENT INFORMATION- Pay for Session with Credit Card</b>            Enter all Credit Card Information.            Verify authorization to use credit card by clicking box “Yes.”</p> <ul style="list-style-type: none"> <li>• “<i>Continue</i>” to complete payment.</li> <li>• “<i>Back</i>” to return to the previous screen.</li> <li>• “<i>Reset</i>” to clear information entered.</li> </ul>
<b>Step 3:</b>	<p><b>PAYMENT SUBMISSION</b></p> <ul style="list-style-type: none"> <li>• “<i>Submit Payment</i>” button to confirm the credit card information and click– only ONCE.</li> <li>• Wait for the credit card authorization.</li> </ul> <p>On the pop-up box click:</p> <ul style="list-style-type: none"> <li>• “OK” button to continue with payment.</li> <li>• “Cancel” to cancel credit card payment</li> </ul> <p>*Click the “<i>Make Changes</i>” link to make any changes to your billing information.</p>
<b>Step 4:</b>	<p><b>PAYMENT CONFIRMATION &amp; FINAL SUMMARY-</b> After the credit card payment has been accepted your receipt will display. Please print this page as your record of payment and verification of information added to the Attachments Warehouse.</p> <p><b>Click on “Logout” button to exit the application.</b></p> <p>*If your credit card is not approved for any reason, you will either be able to “<i>Go Back and Try Again</i>” or “<i>Cancel</i>” the transaction and your documents will not be saved.</p>

<b>G. <u>End Session</u></b>	
<b>Step 1:</b>	Click on the “ <i>Logout</i> ” button at the bottom of the <b>PAYMENT CONFIRMATION</b> page or on the top right of any page (Preferred) or Close browser.

<b>H. Glossary</b>	
Adjudication	A finalized judgment in a legal proceeding.
Administrative Action	An adjudicated action by a regulatory body toward a producer.
Attachments Warehouse	A mechanism for storing electronic documents. Allows USER to electronically complete and submit additional information or documents for review by the appropriate state insurance departments.
Attestation	A declaration used to authenticate the identity of the sender and acknowledge acceptance of the terms of use stated.
Authorized Submitter	A person or third party authorized by and acting on behalf of the producer. Authorized submitters will have the same privileges as producers.
Background Question	Background questions contained in the Background Information Section of the NAIC Uniform Applications.
Background Question Supporting Documents	<p>*Everywhere documents are requested by the State in response to answering "yes" to one or more of the Uniform Application's background questions, the electronic documents can be submitted where they can be viewed by each participating State. Only electronic documents can be submitted. 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.</p> <p>*Documents that provide additional information relating to a specific background question on the NAIC Uniform Application used by States to further review and determine if the license will be issued or renewed.</p>
Category	The Administrative, Civil or Criminal action adjudicated by a regulatory body or judiciary toward a producer.
Civil Action	Non-criminal adjudication by a judiciary toward a producer.
Criminal (Action)	Criminal adjudication by a judiciary toward a producer.
Date of Action	Date of Adjudication or The "date of final disposition of the matter" for administrative (and civil) actions and "date of initial pretrial hearing" for criminal actions per NAIC Producer Licensing Model Act Section 17.
Federal Employer Identification Number (FEIN)	Federal Tax Identification Number: Used to identify a business entity.
National Producer Number (NPN)	<p>*The NPN is a unique sequential number that identifies each producer entity in PDB. It was initially created to provide a solution to privacy issues surrounding the use of the Social Security Number. The NPN is a 10-digit number without leading zeros that is assigned to individual producers, as well as agencies</p> <p>*This is the primary identifier of the producer and is the number that has been assigned to this producer by the NIPR.</p>

Reporting of Actions	The purpose of this product is to provide an electronic means to allow producers to satisfy their requirements with respect to the notification and reporting of all administrative, criminal and civil (if applicable) actions. Pursuant to states laws, the requirement of the duty to report the action and provide documentation is required within thirty (30) days, consistent with the language found in the NAIC Producer Licensing Model Act Section 17.
Participating States	ROA: States that have agreed to receive and accept the electronic Reporting of Actions submitted by the producers to satisfy their regulatory requirements for the notification and reporting of administrative, criminal or civil actions. States may also require additional documentation and if so, will notify producer of any additional state requirements. States must also be signed up for PICS to be considered a participating state.
Personalized Information Capture System (PICS)	An application that allows states to set up a customizable notification system regarding Reporting of Actions. States receive notification when the information has changed.