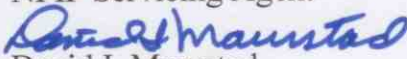




FEMA

December 10, 2007

MEMORANDUM FOR: Write Your Own (WYO) Principal Coordinators and
NFIP Servicing Agent

FROM: 
David I. Maurstad
Federal Insurance Administrator
National Flood Insurance Program

SUBJECT: NFIP Information Technology Systems and Services Transition Plan

The purpose of the attached plan is to describe the timeline and transition steps for National Flood Insurance Program's (NFIP) Information Technologies (NFIP IT) Systems and Services. The transition from the NFIP legacy systems to technologies developed in the NextGen Project will begin January 2, 2008 and continue through May 31, 2008. This transition affects all NFIP stakeholders and requires WYO Companies and vendors to modify their systems and processes to ensure the NFIP reaches the NextGen goals established by the Joint Working Groups in 2004.

As their scheduled revision cycles dictate, the following NFIP documents will be modified to comply with NextGen specifications and made available to WYO companies and other NFIP stakeholders.

- WYO Transaction Record Reporting and Processing (TRRP) Plan
- TRRP Edit Specifications Document
- NFIP Flood Insurance Manual
- NFIP Adjuster Claims Manual
- NFIP Financial Documents

Please share this information within your organization as appropriate. If you have any questions, please contact the NFIP IT Manager and Information Systems Security Officer at jack.way@dhs.gov.

Attachment

cc: Vendors, IBHS, FIPNC, Government Technical Representative

Suggested Routing: Accounting, Claims, Data Processing, Underwriting



FEMA

NFIP Information Technologies Systems and Services (NFIP IT)

Transition Plan

December 10, 2007

SQANet

LOCATION
VALIDATION

ezClaims

FREE

F₂M forms

AW-501

Data
warehouse

FEMA NFIP Information Technology (IT) Services and Systems Transition Plan Executive Summary

Introduction

This plan summarizes key NFIP Modernization transition steps and information relevant to all stakeholders. This executive summary accompanies a detailed bulletin to be distributed to WYO Company and Vendor NFIP IT stakeholders upon FEMA's approval of the revised schedule.

Per FEMA direction, the NFIP NextGen Modernization Pilot to Production (P2P) plan and timeline was revised to provide FEMA a phased-in production plan for the NextGen infrastructure and applications. This plan is intended to meet the following goals.

- Reduce NFIP transition risk
- Align with current BSA contract deliverables, timelines and available resources
- Focus parallel processing activities to accommodate limited NFIP-knowledge resources
- Support NFIP experts quality control activities (NFIP Bureau, Contractors and FEMA) to ensure systems are fully tested, accurate and meet NFIP business needs
- Support change control and transition management for all NFIP BSA and FEMA SME stakeholders to provide additional time to become familiar with and to integrate internal desktop procedures with new NextGen applications
- Provide additional contingency plans and options

Acronyms

NG – NextGen
P2P – Pilot to Production
BSA – Bureau and Statistical Agent
SME – Subject Matter Experts

The P2P phase-in includes all NextGen Stakeholder Applications, Backend Maintenance and Operation Applications, that match or exceed current BSA systems. Each application has been developed to become NFIP IT Services Production Version 1.0. Over the course of Task 6, these applications will continue to be developed to include additional functionality as documented in future releases the Requirement and Design documents for each application.

NextGen Stakeholder Applications

1. NextGen Transaction Record Reporting and Processing (TRRP) Cycle
2. Location Validation
3. F2M (Flood Financial Management)
4. FREE (Flood Rating Engine Environment)
5. My Profile (Access Control)
6. AW501 & RL Maintenance
7. NFIPBureau.FEMA.Gov Web Portal
8. SQANet (Simple and Quick Access Net)
9. Company Profile
10. ezClaims Company QuickClaims
11. ezClaims Re-Inspections
12. ezClaims Prelim Damage Assessment
13. ezClaims Adjuster Console
14. ezClaims Adjuster Lookup

15. ezClaims Coordinating Office (Java Front-End Task 6 Activity)
16. ezClaims Disaster Info
17. NextGen Web Support (e.g., feedback forms, etc)
18. Forms
19. Admin Console (Access Control Workflow) (Java Front-End Task 6 Activity)

NFIP Backend Maintenance & Operation Applications

- SAM (System Asset Management)
- BIIMS (Business Intelligence Information Management System)
- ISS (Investigation Support Service)
- NFIP IT Infrastructures and Security Components
- NFIP IT Data Warehouse

NFIP IT Transition/Implementation Timeline

	<i>NFIP IT Transition/Implementation Step (With Notes)</i>	<i>Time Frame</i>	<i>Stakeholders</i>
1	TRRP Cycle Parallel Testing 1 (September 2007 TRRP Data)	October 22-28, 2007	NG/BSA/FEMA/IV&V
2	TRRP Cycle and Mainframe Sub System Parallel Testing 2 for September V2n/October 2007 TRRP Data	Starting November 22 - December 15, 2007 (BSA completes around the TRRP Cycle on the 15th)	NG/BSA/FEMA/IV&V
3	Initiate MOU and ISA distribution to WYO Companies and Vendors	November 15, 2007	FEMA
4	BSA and FEMA ezClaims Disaster Info, PDA and Adjuster Lookup Testing & Final Review	December 1-15, 2007	BSA/FEMA - Claims Personnel
5	Continue AIS Mainframe Data Transfer and Annual Cycle Development	Starting December 1, 2007	NG/BSA
6	Continue AW501 Parallel Processing	December 1, 2007 - Ongoing	NG/FEMA/ISO/States
7	BSA and FEMA FREE Work Flow & Final Review and Testing	December 3-12, 2007	BSA/FEMA - Underwriting Personnel
8	FEMA and Bureau Change Management (Claims, Underwriting, Tech Services)	Starting December 7, 2007	NG/FEMA/BSA
9	BSA and FEMA Location Validation Review and Testing	December 12-18, 2007	BSA/FEMA
10	BSA and FEMA ezClaims Re-Inspection Testing & Final Review; Testing ezClaims Adjuster Lookup, ezClaims Co QuickClaims, ezClaims PDA, ezClaims Disaster Info, ezClaims and Adjuster Console	December 12-January 30, 2007	BSA/FEMA - Claims Personnel
11	WYO Company and Vendor Change Management (EDG Meeting, WYO Co Conference Calls, etc.)	Starting December 12, 2007	NG/FEMA/BSA/CO
12	Continue with FEMA/BSA SQANet Validation	December 12 - ongoing	NG/FEMA/BSA/CO/Vendors/IV&V
13	BSA and FEMA F2M Final Review	December 10-31, 2007	NG/FEMA/BSA/CO
14	TRRP Cycle and Mainframe Sub System Parallel Testing 3 for November 2007 TRRP Data (Note: NG will complete a full data download of all mainframe files and data - estimation about 10 days)	Starting December 22, 2007-January 15, 2008 (BSA completes around the TRRP Cycle on the 15th)	NG/BSA/FEMA/IV&V

	<i>NFIP IT Transition/Implementation Step (With Notes)</i>	<i>Time Frame</i>	<i>Stakeholders</i>
15	<i>MILESTONE: Official NextGen BSA Applications - FREE, Location Validation, My Profile, Web Support, Forms, and SAM</i>	Starting January 2, 2008	
16	ezClaims (Formerly QuickClaims) Data Submissions Required Weekly for WYO Companies (Same Layout; New FTP Server, Account, and Password)	January 2008 – May 2008	WYO Co and Vendors
17	BinTech (Bankers) NFIP Systems Test Approval to Operate	Starting January 2-22, 2008	NG/BSA/FEMA/BinTech
18	Encryption Kickoff, Planning & Implementation	January 5 - May 2008	NG/WYO Co and Vendors
19	Continue AW501 Parallel Processing & Validation for RL Maintenance	Starting January 7-February 15, 2008	NG/FEMA/ISO/States/Bureau
20	NFIPBureau.FEMA.gov Portal Testing & Review	Starting January 7, 2008	FEMA
21	TRRP Cycle and Mainframe Sub System Parallel Testing 4 for December 2007 TRRP Data	Starting January 22-February 15, 2008 (BSA completes around the TRRP Cycle on the 15th)	NG/BSA/FEMA/IV&V
22	F2M Pilot Test 1: Initiate WYO Co. Mandatory F2M Pilot BSA Application for December TRRP Statistical Financial Data* <i>*TRRP Cycle for the entire month must be processed before Financials can be submitted in F2M, since statistical data is balanced with financial data.</i>	Starting January 22, 2008	NG/FEMA/BSA/CO
23	<i>MILESTONE: Official NextGen BSA Applications - ezClaims Adjuster Lookup, ezClaims Co QuickClaims, ezClaims PDA, ezClaims Disaster Info, and ezClaims Adjuster Console</i>	Starting February 1, 2008	Dependent on FEMA/BSA Review Number 10
24	Company Profile Testing and Review	February 1-28, 2008	FEMA/BSA/WYO Co and Vendors
25	TRRP Cycle and Mainframe Sub System Parallel Testing 5 for January 2008 TRRP Data	Starting February 21 - March 15, 2008 (BSA completes around the TRRP Cycle on the 15th)	NG/BSA/FEMA/IV&V
26	F2M Pilot Test 2: F2M Pilot BSA Application for January TRRP Statistical Financial Data*	Starting February 22, 2008	NG/FEMA/BSA/CO
27	Conduct Annual Actuarial Cycle	Starting February 2008	NG/FEMA/BSA
28	ezClaims CCO Testing and Review	March 1-18, 2008	NG/FEMA/BSA
28	TRRP Cycle and Mainframe Sub System Parallel Testing 6 for February 2008 TRRP Data. Note: February TRRP Cycle will be official on the CSC system.	Starting March 21 - April 15, 2008 (BSA completes around the TRRP Cycle on the 15th)	NG/BSA/FEMA/IV&V
29	F2M Pilot Test 3: F2M Pilot BSA Application for February 2008 TRRP Statistical Financial Data*	Starting March 22, 2008	NG/FEMA/BSA/CO
30	Complete Actuarial SQANet Reporting and Annual Actuarial Cycle (old AIS)Testing	Friday, March 28, 2008	FEMA/BSA/NG
31	NFIP IT (NextGen) Technologies System of Record	Monday, March 31, 2008	

	NFIP IT Transition/Implementation Step (With Notes)	Time Frame	Stakeholders
	<i>MILESTONE: All NextGen Applications are Official BSA Applications - January 2008 Applications including TRRP Cycle, F2M, AW501&RL Maintenance, NFIBureau.FEMA.gov web portal, SQANet, Company Profile, ezClaims CCO, Admin Console, BIIMS, ISS/TSS, Data Warehouse and NFIP IT Infrastructures and Security Components</i>		
32	TRRP Cycle and Daily Process Ramp-up (Full Month of March 2008 TRRP Data by Apr 21*). Note: February TRRP Cycle will be official on the NG system.	Monday, April 21, 2008	BSA/NG/WYO Co and Vendors
33	March TRRP Financials (1 month of data) by April 21 (*TRRP Cycle can be submitted earlier to meet Financial Deadlines.)	Monday, April 21, 2008	WYO Co and Vendors
34	TRRP Cycle (Full Month of April 2008 TRRP Data by May 2*)	Friday, May 02, 2008	WYO Co and Vendors
35	Daily TRRP (daily data) within 3 days of transaction date starting Monday, May 5, 2008 (Requires enhanced TRRP layout including Header, Footer and Reconciliation sections). Submit Daily TRRP Cycle with New Enhanced Layout Starting for May Data .	Monday, May 5, 2008	WYO Co and Vendors
36	Enter and Maintain All Company Profile Data	Monday, May 5, 2008	WYO Co and Vendors
37	New May TRRP Edit Specifications Enforced	Monday, May 5, 2008	FEMA/BSA/NG
38	Enter and Maintain Disaster Info via ezClaims – Disaster Info	Monday, May 5, 2008	WYO Co and Vendors
39	Submit SFR Packets for New Business via FREE	Monday, May 5, 2008	WYO Co and Vendors
40	Require Re-Inspections Claims Files submission via ezClaims Re-Inspections	Monday, May 5, 2008	WYO Co and Vendors
41	Appeals submissions required via NFIP IT Company Profile/Appeals Application	Monday, May 5, 2008	WYO Co and Vendors
42	Manage and Control WYO Company Users via Admin Console Application	Monday, May 5, 2008	WYO Co and Vendors
43	Receive Signed MOU and ISA from All WYO Companies and Vendors	Monday, May 5, 2008	FEMA/WYO Co and Vendors
44	Encryption Implementation for all WYO Companies and Vendors	Monday, May 5, 2008	BSA/NG/WYO Co and Vendors
45	F2M April TRRP Financial and Reconciliation Submission Due	Latest May 21, 2008	WYO Co and Vendors
46	F2M May TRRP Financial and Reconciliation Submission Due	Latest June 21, 2008	WYO Co and Vendors
47	F2M June TRRP Financial and Reconciliation Submission Due	Latest July 21, 2008	WYO Co and Vendors

The identified BSA LAN applications (e.g., GIS, Traverse, Correspondence, etc.) are not listed in the P2P plan and will be migrated under the appropriate BSA contract. The NextGen team is effectively testing and interfacing with each of these applications, as part of Task 6, to ensure all NFIP business processes are continuous.

NFIP Information Technologies (IT) Systems Transition Plan

<u>TABLE 1. NFIP IT TRANSITION PLAN TIMEFRAME</u>	<u>2</u>
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Table 1. NFIP IT Transition Plan Timeframe

	NFIP IT Transition/Implementation Step (With Notes)	Time Frame	Stakeholders
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5	Continue AIS Mainframe Data Transfer and Annual Cycle Development	Starting December 1, 2007	NG/BSA
6	Continue AW501 Parallel Processing	December 1, 2007 - Ongoing	NG/FEMA/ISO/States
7	BSA and FEMA FREE Work Flow & Final Review and Testing	December 3-12, 2007	BSA/FEMA - Underwriting Personnel
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	Enter and Maintain All Company Profile Data	Monday, May 5, 2008	WYO Co and Vendors

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47	F2M June TRRP Financial and Reconciliation Submission Due	Latest July 21, 2008	WYO Co and Vendors

Note: All TRRP submission dates are the 21st of the month at Noon EST. If the 21st falls on a weekend or holiday, then submissions are due the next business day.

I. FEMA NFIP Interconnection Security Agreement (ISA) and Memorandum of Understanding (MOU)

An Interconnection Security Agreement (ISA) is required from WYO companies and flood insurance systems vendors that interact systematically with NFIP Information Technology (IT) systems. The ISA and MOU are subordinate to Article II of the WYO Financial Assistance/Subsidy Arrangement and pertain to organizations that perform the following functions.

- Submit NFIP IT batch (formerly NextGen) data files via secure NFIP Bureau and Statistical Agent (BSA) File Transfer Protocol (FTP) (e.g., Transaction Record Reporting and Processing [TRRP], ezClaims, QuickClaims, Flood Rating Engine Environment [FREE])
- Interact with NFIP IT (formerly NextGen) à la carte applications via Web services (i.e., Location Validation, FREE)

WYO Company or vendor technical points of contact (POCs) are required to complete a FEMA-provided template with systems information that is commensurate to the information provided by FEMA. The POCs are defined in the ISA and the template can be modified to accurately represent a WYO company's or vendor's organization and technical infrastructure. Each ISA will be reviewed by FEMA technical management for establishing knowledge of NFIP partner systems.

The NFIP IT MOU template is for WYO companies that interact with FEMA NFIP IT services via the following methods or arrangements.

- Complete engagement of a vendor to perform all NFIP data processing and submission
- Partial engagement of a vendor to perform some NFIP functions that interact with NFIP IT Services
- Minimal or no vendor engagement

In cases where a WYO company submits its own NFIP data or engages a subsidiary as a vendor, the parent company will be required to complete only the ISA template. If a WYO company engages a vendor to submit batch (i.e., TRRP Cycle File) data and the company also uses NFIP IT Web services, that company will be required to complete an ISA and MOU.

WYO companies should also identify which NFIP IT Web applications, such as FREE, Flood Financial Management (F2M), or Simple and Quick Access Net (SQANet), it will authorize for use by its personnel, in conjunction with the operations performed by its Vendor. Once a WYO company identifies which IT applications it would like to use (e.g., SQANet), the company will assume the access control responsibility for its personnel. For example, the company POC or identified delegate will oversee permissions by granting and disabling usernames and passwords for staff members.

FEMA anticipates ISA and MOU sign-off to be completed by all companies and vendors by May 30, 2008. Completed ISAs or MOUs are not required for initiating operations with NFIP IT Systems, but will be accounted for by FEMA.

The FEMA Information Systems Security Officer (ISSO) will work with each WYO Company and vendor to complete the MOU and ISA. Jack Way is the current ISSO and can be reached via email at jack.way@dhs.gov

II. BSA Production Web Portal

The BSA Website, currently www.NFIPStat.com, will change to a government provided URL, www.NFIPBureau.FEMA.gov. This Website will be a one-stop shop for all NFIP stakeholders to access bulletins, FAQs, National Flood Conference registration forms, BSA information, BSA NFIP IT applications, etc. This site will link to other FEMA Websites. The new NFIP IT Services Website will be operational as of January 7, 2008 for production applications and fully populated by March 31, 2008, as noted in the schedule.

The BSA pilot Website for testing purposes will remain www.nfipnextgen.com.

III. BSA Real-Time Person-to-Machine Access Control

Access control for BSA NFIP IT applications that require a username and password will be requested and approved by the FEMA ISSO and/or WYO Company designated and authorized representatives. Real-time person-to-machine NFIP IT applications for WYO companies that require a username and password are listed below.

BSA NFIP IT Technologies Application	Purpose	FEMA Required?
FREE	SFR Quotes, Renewals, and Underwriting Submissions	Yes - Required Submissions Based on Business Operations
ezClaims Re-Inspections	Open Claim File Uploads	Yes - Submissions Required. Options are Postal Mail or Electronic through ezClaims.
ezClaims Disaster Info	Input CAT Information	No - Optional
F2M	Monthly Financial Submissions	Yes - Monthly Submissions
Company Profile	Manage Company Profile, BSA Requests, Appeals, etc.	Yes - Required - Profile, At Least Yearly - Requests, As Needed
Admin Profile	Manage Users	Yes - Required, As Needed
SQANet	Reports for all NFIP statistics and status including repetitive loss, mitigation activities and insurance disposition.	No - Optional
ezClaims Adjuster Console	- PDA Submissions - Flood Adjuster Certification Application Request - Claims Workshops Registration	Yes - Required for Independent/Staff PDA Submissions, Claims Workshops, and Applications

Access control is managed within an automated workflow process through the NFIP IT Admin Console application. Admin Console users will be responsible for approving, deactivating, and modifying their company's personnel access. BSA WYO Business Analysts will also be able to assist companies in their access control processes, if necessary. Access control policies and procedures will be arranged and documented within the NFIP MOU template.

IV. BSA File Transfer Protocol (FTP) Server

The FEMA ISSO will work with each WYO Company and vendor technical POC to provide the new FTP URL, issue an account and password, and provide the enhanced layout. The new BSA FTP server, known as the NFIP Government-to-Business (G2B) Server, will be the primary means for WYO companies and vendors to transfer batch data files system to system. Individual calls or meetings will be scheduled to brief companies on FEMA system-to-system security policies and procedures.

Refer to Table 1 for transition dates to the new FTP Server.

V. BSA Reporting

BSA BureauNet, Data Exchange, and FIANet are undergoing consolidation and upgrading to create a single source for NFIP data called Simple and Quick Access Net (SQANet). SQANet follows Department of Homeland Security business intelligence standards and will be the authorized single source for flood insurance data. SQANet will provide all of the reports, lookups, and functionality as the current reporting tool, and it will provide enhanced functions, such as Business Intelligence Reporting Secure Dashboards, a Report Catalog, multiple reporting formats, and new reports and lookups.

Refer to Table 1 for transition dates.

VI. BSA Company Profile

The WYO Company Profile is a secure, Web-based application for WYO companies and flood insurance vendors to manage their profiles and POCs. The Company Profile is also used to submit appeals and operational requests. All requests and submissions are processed through a workflow to oversee, monitor, and track all requests. Operational requests may include appeals, company mergers, company name changes, or NAIC number changes. All verbal and written requests that are processed with the BSA WYO Business Analysts will be entered into the system, and each WYO company or flood insurance vendor will be able to login to view its requests' status at any time. BSA WYO Business Analysts will be able to assist WYO companies and flood insurance vendors with this application, as needed.

Refer to Table 1 for transition dates.

VII. BSA Quoting and Submit-for-Rate (SFR) Submission

The FREE application is the single authoritative and centralized rating engine for the NFIP. FREE contains built-in underwriting workflow for BSA, WYO company, and vendor underwriting personnel. Authorized users will be able to both create flood insurance quotes and submit required BSA underwriting data, including required SFR packets. FREE replaces the current BSA SFR Expert System and, as a result, eliminates the need for a BSA SFR Expert System May 2008 release.

FREE generates quotes for the following flood insurance types.

- NFIP Regular Program (Standard and RCBAP policy types)
- NFIP Emergency Program
- Submit-for-Rate (SFR)
- Preferred Risk Policy (PRP) (excluding B, C, or X zone validation with Q3 dataset)
- Provisional Rates
- Tentative Rates

FREE does not rate the following flood insurance types.*

- FEMA Special Rates
- SFR Unnumbered V Zones
- Endorsements
- Prior Term Refunds
- Cancellations
- Mortgage Portfolio Protection Program Policies

*Note that FREE will process, track and manage FEMA Special Rate and underwriting requests through its workflow process.

FREE uses the entered property address to validate upfront TRRP data against the Community Master File data in the Data Warehouse for flood zones, floodproofing credit for eligible communities, address edits, prior loss history, grandfathering, Section 1316, Severe Repetitive Loss, and Coastal Barrier Resources System.

Beginning on May 5, 2008, WYO companies will be required to submit SFR new business policy packets via FREE. WYO companies will be required to upload the SFR packet, which includes the following.

- Flood Insurance Application (if not quoted using FREE)
- SFR Worksheet Elevated (if not quoted using FREE)
- SFR Worksheet Non-Elevated (if not quoted using FREE)
- Elevation Certificate
- Statement of Variance (if required)
- Building Photographs
- Evaluation Form (if required)
- Certificate of Breakaway Walls (if required)
- Other (if needed)

WYO companies will also be required to input the reported TRRP policy number for SFR new business.

VIII. BSA WYO Company Monthly Financial Submissions

WYO companies will continue to be required to submit their financial spreadsheet and supporting documentation on a monthly basis. F2M allows NFIP financial stakeholders (WYO Company, vendor, and BSA financial staff) to enter, upload, submit, and process monthly financial data. Added functionality includes the following.

- Tracking and audit capabilities
- Upfront calculations and validations
- Automatic population of statistical TRRP and prior month data based on TRRP cycle submissions
- An F2M-generated secure (SSL) WYO company monthly financial reporting packet for downloading
- Tracking of all reported financial data and status
- Status of submissions via the F2M work list

WYO company financial changes include the following.

- WYO companies will be required to process their monthly financial spreadsheet via F2M after the TRRP Cycle runs because the F2M auto-populates TRRP cycle data.
- The required submission of supporting financial documentation can continue to be physically mailed or uploaded electronically via F2M.
- All F2M workflow, monitoring, and tracking will be completed via F2M, such as date and time stamps, approvals, and WYO company/BSA comments.

Refer to Table 1 for transition dates.

IX. NFIP QuickClaims Data Submission

Beginning May 5, 2008, WYO companies will not be required to submit QuickClaims data, due to daily TRRP Cycle submission requirements for claims information.

X. NFIP Adjuster Flood Certification

Each Adjuster Certification Application is reviewed by the BSA claims staff to ensure applicants meet NFIP Adjuster Claims Manual requirements. An independent adjuster who meets required qualifications is approved as a Certified Flood Adjuster in conjunction with a loss category type (e.g., Residential). The May 2008 changes include the following modifications to this process.

- Adjuster Certification Application submissions must be submitted via the BSA NFIP IT ezClaims Adjuster Console application as of May 1, 2008. The Adjuster Console provides a self-service process for adjuster requests and qualification requirements throughout the certification lifecycle.
- Certified Flood Adjusters will have a certification status (i.e., Active, Non-Active) that will be valid for 1 year (May 1 – April 30). An adjuster who is certified and takes a FEMA-approved flood workshop will be classified as an Active Flood Certified Adjuster. Each year, FEMA-approved flood workshop attendance information must be entered by an adjuster in the Adjuster Console to maintain an active status. If workshop credits are not submitted, an adjuster's status will automatically convert to Non-Active.
- Flood Certification Number (FCN) Cards will be available for printing on demand by adjusters via the secure BSA NFIP IT ezClaims Adjuster Console. FCN Cards will be valid for one year. The FCN Card will display the adjuster's name, address, FCN, status, certification category, and certification expiration date.

XI. NFIP Adjuster Preliminary Damage Assessment

Adjusters will be required to complete the ezClaims Preliminary Damage Assessment (PDA) form on all building claims that meet substantial damage criteria. Once an adjuster conducts an inspection, the form must be completed using the BSA NFIP IT ezClaims Adjuster Console – PDA application. The Console tracks and monitors all PDA submissions by each adjuster. Adjusters can log into the Console to retrieve and print any PDA forms they have created within ezClaims at any time in the future.

XII. ezClaims Disaster Info

NFIP IT ezClaims Disaster Info is a secure, Web-based, self-service module for authorized WYO company users to enter their company's catastrophe (CAT) or disaster response information. WYO company CAT information will be utilized to coordinate assistance for flood disaster victims. CAT information will be retained within the NFIP Data Warehouse to facilitate activation notification to FEMA and to meet increasing coordination requirements.

XIII. Daily Transaction Record Reporting & Processing (TRRP) Cycle Submission

Beginning on May 5, 2008, all WYO companies are required to submit at least one TRRP Cycle submission every business day via flat file/batch mode (using the enhanced status quo record layout). The following procedures will apply.

- Each WYO Company or its vendor will be required to submit one complete TRRP Cycle file. Submissions can be scheduled or not scheduled.
- A company may send more than one TRRP submission per day.
- The daily TRRP submission timeframe encompasses business days from midnight to 11:59 PM EST.
- A company may use “inquiry” TRRP submissions marked according to the inquiry naming convention, as a test or preliminary cycle prior to submitting an “official” data set. Official TRRP submissions will retain higher priority and will always be processed ahead of inquiry submissions.
- TRRP data must be submitted within 3 business days of a WYO company transaction date.
- Business days are defined as Monday – Friday, except for federally designated holidays.
- WYO companies may submit TRRP data files on any day, including weekends and holidays.
- WYO companies are required to submit empty TRRP files for required submission days that experienced no TRRP transactions.
- BSA WYO Business Analysts must be notified if TRRP Cycle data cannot be submitted (e.g., power outages, etc.) to engage contingency plans.
- All daily TRRP Cycle data files must use the TRRP Cycle Enhanced Layout.
- WYO companies will be able to begin daily TRRP data file submissions in Spring 2008.
- Financial TRRP monthly cut-off period requirements are as follows.
 - Financial reporting timeframe is by calendar day (1st to end of month).
 - Financial reporting is based on the WYO company transaction date, not the TRRP processing date.
 - WYO companies must ensure that their daily TRRP Cycle data has a specific and correct financial month included in the header.
 - The daily TRRP Cycles may be delayed up to 3 business days. Companies will have until the 3rd of the following month to submit the previous month’s data before the cutoff to begin the monthly financial process (e.g., February 3 would be the last day to submit January TRRP and Financial data).

Refer to Table 1 for transition dates.

XIV. TRRP Cycle Enhanced Layout (Asynchronous Machine-to-Machine [Batch] Transmission Method)

The underlying TRRP Cycle technology has changed, but the NFIP IT daily TRRP adheres to the standards set in the legacy TRRP Plan and the TRRP Edit Specifications for the WYO Program. As a result, the layout of the TRRP records submitted by WYO companies and vendors will not need to be altered, except to add a header, reconciliation section and footer to the existing file layout. The TRRP process will continue to operate in a batch mode, similar to current TRRP operations.

A. TRRP Comparison: NFIP IT Daily TRRP vs. Legacy Monthly TRRP

From the operational perspective of WYO companies and vendors, a review of the transition from the traditional monthly TRRP Cycle to the new NFIP IT daily TRRP Cycle reveals few significant changes. The changes are listed below.

- TRRP submission files will be submitted to a different location—FTP/ G2B Server.
- TRRP submission files must incorporate the day of the month in their naming convention.
- TRRP submission files must be generated daily by WYO companies and/or vendors and be processed daily by the NFIP IT (formerly NextGen) system.
- Reports and feedback will be provided on a daily basis via the G2B/FTP Server and SQANet.
- New optional TRRP transaction types are available for use by stakeholders—such as TRRP Quotes (11Q), Batch Location Validation files, etc. Information regarding optional TRRP transaction validations, including layouts and procedures are available from Jack Way. (jack.way@dhs.gov)

B. TRRP Batch File Format

TRRP transactions submitted by WYO companies and vendors must continue to use the same record format specified in the TRRP Plan. Two modifications must be made to TRRP files to ensure that they are successfully processed.

- The file naming convention must be modified to include the submission date, as well as the month and year. Information on this change is provided below.
- The file must include automated header, trailer and front-end balancing and reconciliation data to facilitate processing with minimal human interaction. Information on this change is provided on the following pages.

The TRRP file naming convention must be modified to meet the following specifications.

F<WYO Prefix><YYYYMMDDHHMMSS>.DAT

WYO companies may send more than one TRRP file per day. For each new file, the time fields should be updated. For instance, if a company with the WYO Prefix Code of 56789 sends two files on February 1, 2007, at 10:00 AM and 1:00 PM, the files would be named as follows.

- F5678920070201100000.DAT
- F5678920070201130000.DAT

Files must continue to be compressed using the ZIP file format. Starting May 5, 2008, all files must be encrypted.

C. TRRP Note

Each TRRP transaction record **must** be terminated by a carriage return (linefeed character), in order to ensure correct processing.

D. TRRP File Transmission

TRRP files will continue to be transmitted by G2B/FTP.

E. Automated Front-End Balancing and Reconciliation

The transition from monthly to daily processing of TRRP records necessitates the automation of the front-end balancing process to reduce processing delays introduced by the need for human interaction. TRRP files must include additional records containing front-end balancing information for the transactions submitted in each file. Specifically, there will be three new types of records – Header Records, Reconciliation Records, and Trailer Records. A description of each record type is provided below.

- Header Records – Contain contact information for the submitter and summary information for the TRRP file, including total record counts for the reconciliations and the associated dollar amounts.
- Reconciliation Records – Contain a formatted version of the monthly reconciliations that are currently submitted with the monthly TRRP files, reconciling the TRRP submissions with the financial data for Net Federal Policy Fee, Net Written Premium, Net Paid Losses, and Special Allocated Loss Adjustment Expense (LAE).
- Trailer Records – Contain the financial period for the TRRP submission and the total file record count.

The front-end balancing records must be placed before and after the TRRP Transaction Records that are currently submitted. The Header and Reconciliation Records must be placed at the beginning of the file; the Trailer Records, at the end after the TRRP transactions. Refer to the following image for a depiction of the location of each record type within the submission file.

Daily TRRP Cycle Submission

Header Record – <i>New</i>
Reconciliation Records (Net Federal Policy Fee, Net Written Premium, Net Paid Losses, SALAE) – <i>New</i>
Existing TRRP Transaction Records
Trailer Record – <i>New</i>

The Daily TRRP Cycle will analyze the information provided in these new records. The record counts and transaction amounts will be compared to the information submitted in the TRRP transactions. If the summarized data balances properly, the TRRP transactions will be processed; if there are errors, the TRRP file will be suspended and BSA personnel will work with the submitter to identify the cause of the problem and resolve the issue.

F. Front-End Balancing Record Layouts

TRRP transactions must continue to use the record layouts described in the TRRP Plan. Following are descriptions of the layouts of the new automated front-end balancing and reconciliation records. The descriptions include, for each data element, the field length, record position, and, where needed, notes about the content or formatting of the field.

Header Record Layout

Data Element	Field Length	Position	Notes
Record Identifier	3	1-3	Header records should be identified with the characters HR in the Record Identifier field.
WYO Prefix Code	5	4-8	Company Number
Financial Period	6	9-14	Year/Month (YYYYMM)
Submission Date/Time	14	15-28	Date Submitted Timestamp (YYYYMMDDHHMMSS)
Total Record Count - Net Written Premium	12	29-40	
Total Premium Amount - Net Written Premium	12	41-52	
Total Record Count - Net Federal Policy Fee	12	53-64	
Total Premium Amount - Net Federal Policy Fee	12	65-76	
Total Record Count - Net	12	77-88	

Data Element	Field Length	Position	Notes
Paid Losses			
Total Loss/Paid Recoveries - Net Paid Losses	12	89-100	
Total Record Count - Special Allocated LAE	12	101-112	
Total Premium Amount - Special Allocated LAE	12	113-124	
Total Amount of Reserves – Case Loss Reserve	12	125-136	
Total TRRP Transaction Record Count	12	137-148	This should include the total TRRP record count (excluding header, trailer, and reconciliation records).
Contact Name	50	149-198	IT Contact Information
Contact Telephone Number	10	199-208	
Contact E-mail Address	25	209-233	

Reconciliation Record Layout – Net Federal Policy Fee

Data Element	Field Length	Position	Notes
Record Identifier	3	1-3	Reconciliation records should be identified with the characters RC in the Record Identifier field.
WYO Prefix Code	5	4-8	Company Number
Reconciliation Type Identifier	3	9-11	Net Federal Policy Fee reconciliations should be identified with the characters NFP in the Reconciliation Type Identifier field.
Record Count (11)	12	12-23	
Premium Amount (11)	12	24-35	
Record Count (15)	12	36-47	
Premium Amount (15)	12	48-59	
Record Count (17)	12	60-71	
Premium Amount (17)	12	72-83	
Record Count (20)	12	84-95	
Premium Amount (20)	12	96-107	
Record Count (23)	12	108-119	
Premium Amount (23)	12	120-131	
Record Count (26)	12	132-143	
Premium Amount (26)	12	144-155	

Data Element	Field Length	Position	Notes
Record Count (29)	12	156-167	
Premium Amount (29)	12	168-179	

Reconciliation Record Layout – Net Written Premium

Data Element	Field Length	Position	Notes
Record Identifier	3	1-3	Reconciliation records should be identified with the characters RC in the Record Identifier field.
WYO Prefix Code	5	4-8	Company Number
Reconciliation Type Identifier	3	9-11	Net Written Premium reconciliations should be identified with the characters NWP in the Reconciliation Type Identifier field.
Record Count (11)	12	12-23	
Premium Amount (11)	12	24-35	
Record Count (15)	12	36-47	
Premium Amount (15)	12	48-59	
Record Count (17)	12	60-71	
Premium Amount (17)	12	72-83	
Record Count (20)	12	84-95	
Premium Amount (20)	12	96-107	
Record Count (23)	12	108-119	
Premium Amount (23)	12	120-131	
Record Count (26)	12	132-143	
Premium Amount (26)	12	144-155	
Record Count (29)	12	156-167	
Premium Amount (29)	12	168-179	
Record Count (14)	12	180-191	
Record Count (81)	12	192-203	
Record Count (99)	12	204-215	
Record Count (12)	12	216-227	

Reconciliation Record Layout – Net Paid Losses

Data Element	Field Length	Position	Notes
Record Identifier	3	1-3	Reconciliation records should be identified with the characters RC in the Record Identifier field.
WYO Prefix Code	5	4-8	Company Number
Reconciliation Type Identifier	3	9-11	Net Paid Losses reconciliations should be identified with the characters NPL in the Reconciliation Type Identifier field.
Record Count (31)	12	12-23	
Loss/Paid Recoveries (31)	12	24-35	
Record Count (34)	12	36-47	
Loss/Paid Recoveries (34)	12	48-59	
Record Count (37)	12	60-71	
Record Count (40)	12	72-83	
Loss/Paid Recoveries (40)	12	84-95	
Record Count (43)	12	96-107	
Loss/Paid Recoveries (43)	12	108-119	
Record Count (46)	12	120-131	
Record Count (61)	12	132-143	
Record Count (49)	12	144-155	
Loss/Paid Recoveries (49)	12	156-167	
Record Count (64)	12	168-179	
Loss/Paid Recoveries (64)	12	180-191	
Record Count (84)	12	192-203	
Record Count (87)	12	204-215	
Record Count (52 Recovery)	12	216-227	
Loss/Paid Recoveries (52 Recovery)	12	228-239	
Loss/Paid Recoveries (52 Salvage)	12	240-241	
Loss/Paid Recoveries (52 Subrogation)	12	242-253	
Record Count (67 Recovery)	12	254-265	
Loss/Paid Recoveries (67 Recovery)	12	266-277	
Loss/Paid Recoveries (67 Salvage)	12	278-289	
Loss/Paid Recoveries (67 Subrogation)	12	290-301	

Reconciliation Record Layout – Special Allocated LAE

Data Element	Field Length	Position	Notes
Record Identifier	3	1-3	Reconciliation records should be identified with the characters RC in the Record Identifier field.
WYO Prefix Code	5	4-8	Company Number
Reconciliation Type Identifier	3	9-11	Special Allocated LAE reconciliations should be identified with the characters SAL in the Reconciliation Type Identifier field.
Record Count (71)	12	12-23	
SALAE Amount (71)	12	24-35	
Record Count (74)	12	36-47	
SALAE Amount (74)	12	48-59	

Trailer Record Layout

Data Element	Field Length	Position	Notes
Record Identifier	3	1-3	Trailer records should be identified with the characters TR in the Record Identifier field.
WYO Prefix Code	5	4-8	Company Number
Financial Period	6	9-14	Year/Month (YYYYMM)
Submission Date/Time	14	15-28	Date Submitted Timestamp (YYYYMMDDHHMMSS)
Total Record Count	12	29-40	Total Number of records in this file (including Header, TRRP Transactions, Reconciliation and Trailer Records)

G. Formatting Front-End Balancing Data Elements

The following table provides the formatting specifications for the data elements used in the front-end balancing records. The first column, **Data Element**, provides the name of the data element. The second column, **S**, indicates whether it is a signed field allowing for a negative number. The third column, **\$/¢**, indicates whether dollars and cents, whole dollars, or hundreds of dollars are applicable formats for the financial fields. The last column, **Picture**, presents the picture expected for each element.

In the Picture column, numeric fields, indicated by a 9 or 9s, are right justified and zero filled. The number within the parentheses is the length of the field preceding the decimal position. The V9 or V99 indicates an implied decimal position. For example, 123.45 with a picture of 9(10) V99 would be represented as 000012345 on the file. Note that the field is zero filled with four zeros because the numeric value is not large enough to use up all of the required length.

Alpha and alphanumeric fields, indicated by an X in the picture column, are left justified with trailing spaces. Zeroes, reported in numeric data elements, and blanks, reported in alpha and alphanumeric data, indicate not reported or not applicable.

Data Element	S	\$ / \$¢	Picture
Contact E-mail Address	-	-	X(25)
Contact Name	-	-	X(10)
Contact Telephone Number	-	-	X(50)
Financial Period	-	-	9(6)YYYYMM
Loss/Paid Recoveries (31)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (34)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (40)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (43)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (49)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (64)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (52 Recovery)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (52 Salvage)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (52 Subrogation)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (67 Recovery)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (67 Salvage)	S	\$¢	S9(10)V99
Loss/Paid Recoveries (67 Subrogation)	S	\$¢	S9(10)V99
Premium Amount (11)	S	\$¢	S9(10)V99
Premium Amount (15)	S	\$¢	S9(10)V99
Premium Amount (17)	S	\$¢	S9(10)V99
Premium Amount (20)	S	\$¢	S9(10)V99
Premium Amount (23)	S	\$¢	S9(10)V99
Premium Amount (26)	S	\$¢	S9(10)V99
Premium Amount (29)	S	\$¢	S9(10)V99
Reconciliation Type Identifier	-	-	X(3)
Record Count (11)	-	-	9(12)
Record Count (12)	-	-	9(12)
Record Count (14 and 81)	-	-	9(12)
Record Count (15)	-	-	9(12)
Record Count (17)	-	-	9(12)
Record Count (20)	-	-	9(12)
Record Count (23)	-	-	9(12)
Record Count (26)	-	-	9(12)
Record Count (29)	-	-	9(12)
Record Count (31)	-	-	9(12)
Record Count (34)	-	-	9(12)
Record Count (37)	-	-	9(12)
Record Count (40)	-	-	9(12)
Record Count (43)	-	-	9(12)
Record Count (46 and 61)	-	-	9(12)

Data Element	S	\$ / \$¢	Picture
Record Count (49)	-	-	9(12)
Record Count (52 Recovery)	-	-	9(12)
Record Count (64)	-	-	9(12)
Record Count (67 Recovery)	-	-	9(12)
Record Count (71)	-	-	9(12)
Record Count (74)	-	-	9(12)
Record Count (84 and 87)	-	-	9(12)
Record Count (99)	-	-	9(12)
Record Identifier	-	-	X(3)
SALAE Amount (71)	S	\$¢	S9(10)V99
SALAE Amount (74)	S	\$¢	S9(10)V99
Submission Date/Time	-	-	9(14)YYYYMMDDHHMMSS
Total Amount of Reserves - Case Loss Reserve	S	\$¢	S9(10)V99
Total Loss/Paid Recoveries - Net Paid Losses	S	\$¢	S9(10)V99
Total Premium Amount - Net Federal Policy Fee	S	\$¢	S9(10)V99
Total Premium Amount - Net Written Premium	S	\$¢	S9(10)V99
Total Record Count - Net Federal Policy Fee	-	-	9(12)
Total Record Count - Net Written Premium	-	-	9(12)
Total Record Count - Net Paid Losses	-	-	9(12)
Total Record Count - Special Allocated LAE	-	-	9(12)
Total SALAE Amount - Special Allocated LAE	S	\$¢	S9(10)V99
Total TRRP Transaction Record Count	-	-	9(12)
WYO Prefix Code	-	-	9(5)

XV. TRRP Edit Specifications Changes

A. Transaction Date Processing

WYO companies may send only one transaction per transaction type for a given transaction date and policy term. For instance, if a company wants to make two corrections to a specific policy, it should either combine the two corrections into one Policy Correction transaction (23A) or split the corrections into two transaction dates to ensure proper processing.

This process reflects the fact that many TRRP transactions rely upon the date that is stored in the Data Warehouse for the processing of edits and the validation of data. For instance, an endorsement may validate or update the existing policy information stored in the Data Warehouse. However, if a company sends two endorsements with the same transaction date, the

second endorsement may validate or update information in the first endorsement or it may be updating separate information in the policy. This potential sequencing and processing issue may cause the daily TRRP Cycle to generate a “false” error because the system is not able to process the transactions in the order that was intended.

To enforce this processing, a new edit has been created that will validate the transactions submitted by WYO companies and reject any transactions that have a duplicate policy number, policy term, transaction date, and transaction type.

B. Mid-Term Endorsement Effective Dates

WYO companies are allowed to make changes to policies to change coverage and rating or to correct policy information, as prescribed in the General Change Endorsement section of the NFIP Flood Insurance Manual. Within the rules, these changes may be made effective from the inception date of the policy or they may be made effective mid term. The rules allow for the possibility of making multiple changes to a policy. For example, a policy may have two sequential mid-term endorsements, as in the situation below with an effective date of January 1, 2007, and an expiration date of January 1, 2008.

Transaction Type	Transaction Date	Endorsement Effective Date
Endorsement (20A)	April 1, 2007	March 1, 2007
Policy Correction (23A)	May 1, 2007	April 15, 2007

This situation does not pose any issues with regard to endorsement premium calculation and determining the effective coverage, as the policy coverage endorsed as of March 1, 2007, is updated with the policy corrections effective April 15, 2007.

There may be some situations related to the sequencing of mid-term endorsements. If a company performs multiple mid-term endorsements that have non-chronological endorsement effective dates, it will be difficult, based on the type of coverage and rating changes that are made, to accurately calculate the endorsement premium and determine the appropriate effective coverage. This potential situation is described below for a policy with an effective date of January 1, 2007, and an expiration date of January 1, 2008.

Transaction Type	Transaction Date	Endorsement Effective Date
Endorsement (20A)	March 3, 2007	March 1, 2007
Policy Correction (23A)	April 10, 2007	February 15, 2007

This situation could pose issues with regard to policy rating and coverage determination, as the policy changes that were made effective March 1, 2007, may cause conflicts with the policy changes that are made effective February 15, 2007, by a later transaction.

In order to eliminate any issues, a business rule has been developed that requires policy endorsements or corrections to have an endorsement effective date that is on or after any existing endorsement effective dates. If it is necessary to correct or endorse a policy for an effective date that is earlier than any existing dates, FEMA recommends that companies issue a cancellation and rewrite for the policy.

XVI. Encryption

All WYO companies must encrypt all batch files submitted to the BSA G2B/FTP server. The FEMA ISSO will work with each WYO Company and vendor to implement the NFIP encryption standard beginning in January 2008. All TRRP data files must be encrypted by May 2008 or when a WYO company begins daily TRRP submission cycles.

XVII. Location Validation and Community Master File Dataset

The BSA NFIP IT Location Validation application provides and saves a system-generated latitude and longitude for a valid property's structure to process the Coastal Barrier Resources System (CBRS) and PRP TRRP edits. Currently NFIP systems utilize Q3 dataset maps. Location validation will change to use FEMA Map Modernization Digital Flood Insurance Rate Map (DFIRM) data to validate TRRP edits as DFIRM datum become effective and adopted. For communities that do not have new DFIRM maps or if a policy is grandfathered, the TRRP edits will continued to be processed using Q3 data.

WYO companies will continue to have the same ability to appeal PRP errors and/or flood zone determinations. Beginning in May 2008, WYO companies will submit appeals and supporting documentation through the Web-based Company Profile application using the appeals function. The Company Profile has a built-in automated workflow and tracking system for WYO companies and the BSA to manage, record, and oversee all operations requests. If approved, a company-submitted latitude and longitude for a property's structure will be saved in the Data Warehouse and supersede the system-generated latitude and longitude. The same process is valid for a CBRS appeal, except the approval process will also include U.S. Fish and Wildlife Service (FWS) review for CBRS determination. FWS CBRS determinations will be saved in the Data Warehouse by address, not policy number, preventing the need for repeated CBRS appeals for the same structure.

The BSA Community Master File Dataset provided to the WYO companies (daily and biannual) will continue to be generated in the same format for WYO companies, using both Q3 and DFIRM data. NFIP IT Services will also create an additional report with new columns to provide data source information including the update timeframes and other meta-data.