

COMPLIANCE Education Platform



LIMRA's Compliance Education Platform (CEP) is a one-stop-shop for LIMRA's industry-approved compliance training programs:

- Anti-Money Laundering Awareness (AML)
- Understanding Best Interest (BI)
- Recognizing Financial Exploitation (RFE)

Important Dates

- June 10, 2019 – LIMRA will begin processing using CEP. Companies will be able to view enrollment and completion data more promptly!
- July 3, 2019 – The CEP Customer Portal will be available and company access to the CFM website (www.knowledge.limra.com) will be removed.
- July 31, 2019 – LIMRA will STOP
 - Accepting comma-delimited enrollment files.
 - Producing status reports in the current file format.

If your company cannot meet these dates, please call us at 888-577-5522 or email CEP@LIMRA.com.

Sending/retrieving compliance program data to LIMRA

- The automated feeds to and from LIMRA's secure File Transfer Protocol (SFTP) servers will remain the most common way for companies to send and retrieve their compliance training program enrollment requests and course completion data.
- LIMRA will produce a Progress Report each U.S. business day after 4:00 PM Eastern Time. The cumulative Progress Report showing the status of your company's enrollments is available on your FROM_LIMRA folder to retrieve at your convenience.

File layout changes – Very important information for your IT folks

- **Enrollment files (See Attachment A):** The comma (",") has replaced with the pipe ("|") as the delimiter in the enrollment request file.
- **Reporting files (See Attachment B):** The **Progress Report** replaces the Status Report. While the basic layout and information remains very similar, the new CEP Progress Reports differ from the current Status Reports in multiple ways:
 - The data is pipe delimited instead of comma delimited.
 - The file is formatted as a text file (.TXT).
 - The file includes a header record.
 - The file includes NEW columns for Program, Course ID (numeric value), Percent Complete, Integration Key. *Please see Attachment B of the CEP Overview.*
 - Each course enrollment (base course, company course, refresher course) appears on a separate row.
 - Course status is reported as
 - Enrolled, Not Started
 - Started
 - Completed
 - Student name (first, last, middle) may change over time, because students control their own individual information through the Learning Portal.

AML users: Note that Refresher courses may now appear on the Progress Report with an “Enrolled, Not Started” status. In addition, if your company uses a Company Page, the Company Page completion status will appear as a separate course and completion status rather than incorporated with the base course completion status.

LIMRA added two additional columns of data to the report: Percent complete and Integration Key.

- **Termination files:** Termination requests are submitted in an MS Excel file. The file should include only one column, specifically, the UserID (generally the NPN) from the Progress Report.
- The **NewIDs** file contents are very similar, but differ from the current file as follows:
 - Contains a Header row, with column names delimited by the pipe character (|)
 - Contains pipe delimiters in place of comma delimiters
 - Includes fields not surrounded by quotation marks

LIMRA no longer produces this file unless your company expressly requests it. Please call us at 888-577-552 or email CEP@LIMRA.com to request the NewIDs file.

Report file name changes - Very important information for your IT folks

Report file names have four or five components, separated by underscores (_), depending on the report type:

Program Name	AML – Anti-Money Laundering Awareness	RFE – Recognizing Financial Exploitation	BI – Understanding Best Interest
Report Type	Progress Report – completion status report	NewIDs – newly created student Login IDs for your company <i>(optional)</i>	
Company number	LIMRA’s CEP code identifying your company		
SFTP folder name	The SFTP folder associated with your company		
Date/time stamp	Identifies the report creation date/time	<i>For the New ID file only</i>	

Please let us know if you need specific company information for file naming.

Both the Progress Report and New IDs files will be sent in Text file format (.txt).

For example, the file name for Sample Company’s AML Progress Report would be:

AML_ProgressReport_999_DayHillLife.txt

CEP Customer Portal (Available July 3, 2019)

The CEP Customer Portal gives authorized company users gives the ability to:

- View a transcript showing your company’s view of the student – that is, courses in which you’ve enrolled the student and the student’s progress in those courses.
- Enter a single student enrollment request or upload a spreadsheet containing a list of student enrollment requests.
- Enter single student terminations or upload a spreadsheet containing a list of terminations. The Termination request file should contain only the student Login ID (Username) – one Login ID (Username) per row, if sending multiples. A termination request applies to all CEP programs in which your company has enrolled the student.
- Retrieve the company’s daily Progress Report.

- LIMRA will process enrollment requests throughout the day, translating to faster availability for students to log in and complete the requested course on the same day. Our goal is to make the course available in two hours or less, as compared to the current two business day turnaround.

LIMRA will no longer support receiving enrollment requests or sending Progress Reports via email.

Main Contact and Authorized Users

Once the CEP Customer Portal is available (July 3, 2019), company access to the CFM website will be removed.

Authorized users will use the CEP Customer Portal to add enrollments, view student progress and transcripts, and retrieve daily progress reports. Current company contacts will not automatically carry-over to the new CEP Customer Portal.

- The Main Contact should be able to provide LIMRA with current and future CEP Customer Portal Authorized Users. The Main Contact may also receive information from LIMRA about the CEP Customer Portal and should be able to distribute it throughout your company.
- Authorized users will have access to the CEP Customer Portal to search student activity and transcripts, submit enrollments and retrieve reports. Your company can have multiple Authorized Users.

Please tell us who will be your Main Contact and all Authorized Users by emailing their name and email address to:

CEP@LIMRA.com

“Last Access” is now “Auto-Certification”

Auto-Certification is an optional service that allows your company to automatically purchase Refresher Course completions for your students. Currently, LIMRA’s AML program offers annual Refresher Courses. Auto-certification can be triggered by either of the following two events:

1. A **new course enrollment request** is submitted for a student (producer/home office employee).

The CEP auto-certification process checks to see if the student completed refresher courses other than those that your company previously enrolled them for, and then adds those completed courses to the student’s enrollments automatically.

2. A student (producer/home office employee) **completes a refresher course**.

When a student that you’ve already enrolled completes any other refresher course, the CEP auto-certification process automatically updates the student’s transcript for your company. CEP adds a new enrollment to your company transcript for that student automatically.

By participating in the auto-certification service, a company ensures that it maintains the most current refresher course certifications for every one of its registered producers/home-office employees.

Auto-Certification and Completion Lookback

Each company using Auto-Certification can choose a **“Completion Lookback”** value which defines how recent the refresher course completion must be before it is assigned. Here’s how it works:

A company chooses the default “Completion Lookback” value of 24 months. When the auto-certification service detects that one of the company’s students has completed a refresher course that the company hasn’t already enrolled them for, the CEP will assign the new enrollment for that completed course only if the refresher course was completed within the last 24 months.

The Completion Lookback value will filter out older refresher course completions that no longer meet your company’s refresher requirements.

For companies already using the Last Access option, LIMRA set the Completion Lookback period to 60 months, which will go into effect on 6/10/2019. Please call us at 888-577-5522 or email CEP@LIMRA.com if you would like to set your Completion Lookback value differently.

Compliance Education Portal – Enrollment Request File Layout

The standard input layout for all course enrollment requests, regardless of program, is noted below:

Sequence	Description	Data Type / Notes
1	Company or Subsidiary	Nvarchar(255) / Optional
2	Agency or Division	Nvarchar(255) / Optional
3	Last Name	Nvarchar(255) / Required
4	First Name	Nvarchar(255) / Required
5	Middle Name	Nvarchar(255) / Optional
6	Individual ID	Nvarchar(255) / Optional (*)
7	Course ID	Nvarchar(255) / Required
8	Optional 1	Nvarchar(255) / Optional / DO NOT pass SSN values
9	Optional 2	Nvarchar(255) / Optional / DO NOT pass SSN values
10	NPN	Numeric / Optional (*)
11	CRD	Nvarchar(255) / Optional (*)
12	IARD	Nvarchar(255) / Optional (*)
13	Resident State Code	Char(2) / Optional (use 2-character USPS state codes)
14	Resident State License #	Nvarchar(255) / Optional
15	LMS Integration Key <i>(new)</i>	Nvarchar(255) / Optional / DO NOT pass SSN values Use: Key to link student back to company's internal LMS/HRIS/Internal tracking system.

Notes:

- (*) indicates that at least one of the 4 optional ID fields is required.
- *(new)* indicates that this input field is not part of the current state layout.
- Data columns are pipe-delimited (“|”)
- All 15 columns are required, optional values may be left blank (empty string)

Compliance Education Portal – Progress Report File Layout

Sequence	Description	Data Type / Notes
1	Company Name	NVarchar(255) / Client company
2	Company or Subsidiary ID	NVarchar(255) / Provided with enrollment request
3	Agency or Division	NVarchar(255) / Provided with enrollment request
4	Last Name	NVarchar(255)
5	First Name	NVarchar(255)
6	Middle Name	NVarchar(255)
7	Login ID (Username)	NVarchar(50)
8	Optional 1	NVarchar(255) / Provided with enrollment request
9	Optional 2	NVarchar(255) / Provided with enrollment request
10	Enroll Date	Datetime / Date & time of student enrollment Format: 2019-04-19 10:00:05
11	Program <i>(new)</i>	AML; RFE; DOL; BI
12	Course ID <i>(new)</i>	NVarchar(255) / Course ID Number
13	Course Name	NVarchar(255) / Course Name
14	Progress Status <i>(new)</i>	“Enrolled, Not Started; Started; Completed”
15	Status Date	Datetime / last status change by the student; indicates completion date if Percent Complete = 100. Format: 2019-04-19 10:00:05
16	Percent Complete <i>(new)</i>	Integer / 0-100
17	Integration Key <i>(new)</i>	NVarchar(255) / Provided with enrollment request. Key to link student back to company’s internal LMS/HRIS/Internal tracking system.

Notes:

- *(new)* indicates that this input field is not part of the current state layout.
- Data columns are pipe-delimited (“|”)
- The name of the return files will change.
 - Example: The AML Progress Report file name for the sample company will be:
AML_ProgressReport_999_DayHillLife.txt