



Workflow & Event Triggers Manual

Contents

1. Introduction.....	3
2. Getting Started	3
2.1 Sales	4
2.2 Tasks.....	4
2.3 Additional Tasks Tool.....	6
2.4 Changing Your Reported View.....	6
3. Configuring a Workflow Schedule	7
4. Event Triggers.....	10
5. Manually Adding a Case into 360.....	11
5.1 Adding More than One client	13
6. Adding a Sale Event.....	13
6.1 Sale Details and History	15
7. Adding a Mortgage	16
8. Adding a Buildings and Contents Policy	19
9. Adding a Life Policy	20
10. Adding an Income Protection Policy	22
11. Adding a Pension.....	24
12. Adding an Investment Policy.....	26
13. Deleting	27
13.1 Deleting Sale Events/Products.....	27
13.2 Deleting a Case Record	28
14. Case Merge	29
14.1 How to Use the Case Merge Tool	29

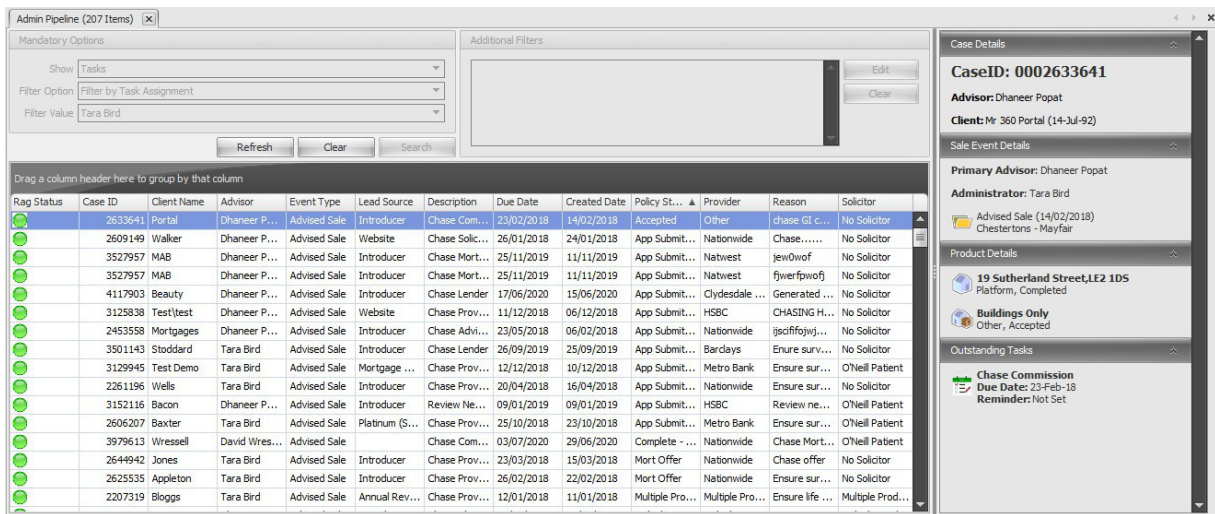
1. Introduction

The Workflow/Office module allows you to be automatically and instantly informed that a sales process has been imported from Workbench and track your cases right up until completion. You can filter by administrator, advisor, lender etc. to see reviews and tasks which need completing across a number of cases. This tool allows you to centrally manage pipeline, across a number of advisors, through the tasks set against each of your cases and policy records at a pipeline status. All of the above is achieved through using the 'Admin Pipeline' and/or 'Tasks' section of the system.

2. Getting Started

Begin by double clicking on the Office Icon which should be located on your Desktop.

Your login page should now open, allowing you to enter your credentials. Once you enter your Username and Password, the Office landing page will now open as per below:



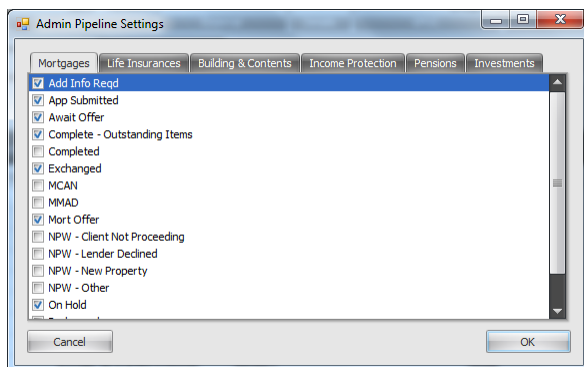
Rag Status	Case ID	Client Name	Advisor	Event Type	Lead Source	Description	Due Date	Created Date	Policy St...	Provider	Reason	Solicitor
	2633641	Portal	Dhaneer P...	Advised Sale	Introducer	Chase Com...	23/02/2018	14/02/2018	Accepted	Other	chase GI C...	No Solicitor
	2609149	Walker	Dhaneer P...	Advised Sale	Website	Chase Solic...	26/01/2018	24/01/2018	App Submit...	Nationwide	Chase.....	No Solicitor
	3527957	MAB	Dhaneer P...	Advised Sale	Introducer	Chase Mort...	25/11/2019	11/11/2019	App Submit...	Natwest	fewofwof	No Solicitor
	3527957	MAB	Dhaneer P...	Advised Sale	Introducer	Chase Mort...	25/11/2019	11/11/2019	App Submit...	Natwest	fjwerfwofj	No Solicitor
	4117903	Beauty	Dhaneer P...	Advised Sale	Introducer	Chase Lender	17/06/2020	15/06/2020	App Submit...	Clydesdale ...	Generated ...	No Solicitor
	3125838	Test(test	Dhaneer P...	Advised Sale	Website	Chase Prov...	11/12/2018	06/12/2018	App Submit...	HSBC	CHASING H...	No Solicitor
	2453558	Mortgages	Dhaneer P...	Advised Sale	Introducer	Chase Advi...	23/05/2018	06/02/2018	App Submit...	Nationwide	jscoffojvj...	No Solicitor
	3501143	Stoddard	Tara Bird	Advised Sale	Introducer	Chase Lender	26/09/2019	25/09/2019	App Submit...	Barclays	Enure surv...	No Solicitor
	3129945	Test Demo	Tara Bird	Advised Sale	Mortgage ...	Chase Prov...	12/12/2018	10/12/2018	App Submit...	Metro Bank	Ensure sur...	O'Neill Patient
	2261196	Wells	Tara Bird	Advised Sale	Introducer	Chase Prov...	20/04/2018	16/04/2018	App Submit...	Nationwide	Ensure sur...	No Solicitor
	3152116	Bacon	Dhaneer P...	Advised Sale	Introducer	Review Ne...	09/01/2019	09/01/2019	App Submit...	HSBC	Review ne...	O'Neill Patient
	2606207	Baxter	Tara Bird	Advised Sale	Platinum (S...	Chase Prov...	25/10/2018	23/10/2018	App Submit...	Metro Bank	Ensure sur...	O'Neill Patient
	3979613	Wressell	David Wres...	Advised Sale	Chase Com...	Chase Com...	03/07/2020	29/06/2020	Complete - ...	Nationwide	Chase Mort...	O'Neill Patient
	2644942	Jones	Tara Bird	Advised Sale	Introducer	Chase Prov...	23/03/2018	15/03/2018	Mort Offer	Nationwide	Chase offer	No Solicitor
	2625535	Appleton	Tara Bird	Advised Sale	Introducer	Chase Prov...	26/02/2018	22/02/2018	Mort Offer	Nationwide	Ensure sur...	No Solicitor
	2207319	Bloggs	Tara Bird	Advised Sale	Annual Rev...	Chase Prov...	12/01/2018	11/01/2018	Multiple Pro...	Multiple Pro...	Ensure life ...	Multiple Prod...

The Workflow function can now be opened under the 'Tools' tab in Office and selecting 'Admin Pipeline'. The new view for this is a mandatory view but will allow for much more extensive visibility of the outstanding work that needs to be done, including client details, sale details, product details and an outstanding tasks overview screen.

The majority of the entries in this overview section can be selected which will direct you to that area of the relevant case record. This will look like the below.

The first dropdown you will see is 'Show'. This is split into two parts, 'Sales' and 'Tasks'. Further filters can be created by using the 'Filter Option' under 'Show', and you will get the options to select 'Show Outstanding Tasks (No Filter)', 'Filter by Administrator/Advisor/Servicing Advisor/Task Type/Task Assignment'. If one starting with 'Filter' is selected, the Values box underneath will open allowing you to further filter the Tasks or Sales in scope. You can also add Additional Filters by selecting 'Edit' in the screenshot below, and filtering on Product Type, Provider, Solicitor, Introducer, Task Date and Lead Source.

2.1 Sales



This will show you all records which holds a policy record at a Pipeline Policy Status e.g. 'In Progress', 'App Submitted' or 'On Hold'. The Sales which appear within this area are driven by the policy status and the Filters selected. Please note that you can decide which policy statuses should be reported within Admin Pipeline Cases

by entering Office, Maintenance, General and Admin Pipeline Settings. Those statuses ticked will then result in policy records with a matching policy status appearing against the Administrator/Case Owner in Admin Pipeline Cases.

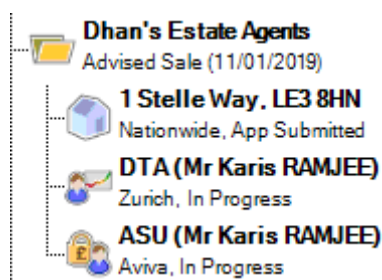
2.2 Tasks

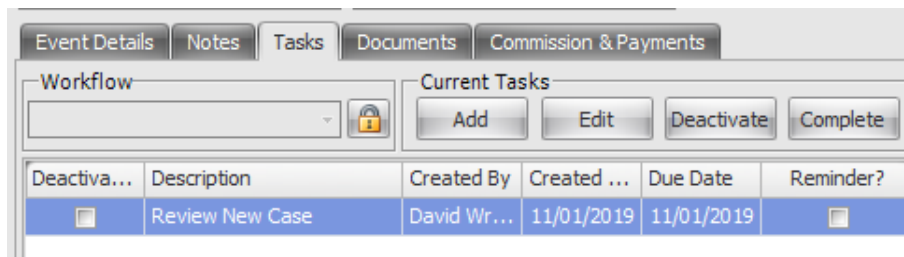
This will show you all the records where a Task has been added, but not yet completed.

2.2.1 Creating A Task

To add a task to your **Admin pipeline**:

Open the relevant case record and click onto the 'Vanilla' sale event folder.

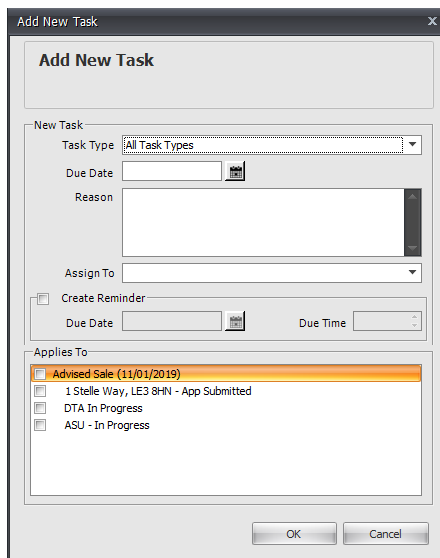




Deactiva...	Description	Created By	Created ...	Due Date	Reminder?
☐	Review New Case	David Wr...	11/01/2019	11/01/2019	☐

Select the Tasks tab and click 'Add'.

You will be presented with this window:



Add New Task

New Task
Task Type: All Task Types
Due Date:
Reason:
Assign To:
☐ Create Reminder
Due Date: Due Time:
Applies To:
☒ Advised Sale (11/01/2019)
☐ 1 Stelle Way, LE3 8HN - App Submitted
☐ DTA In Progress
☐ ASU - In Progress

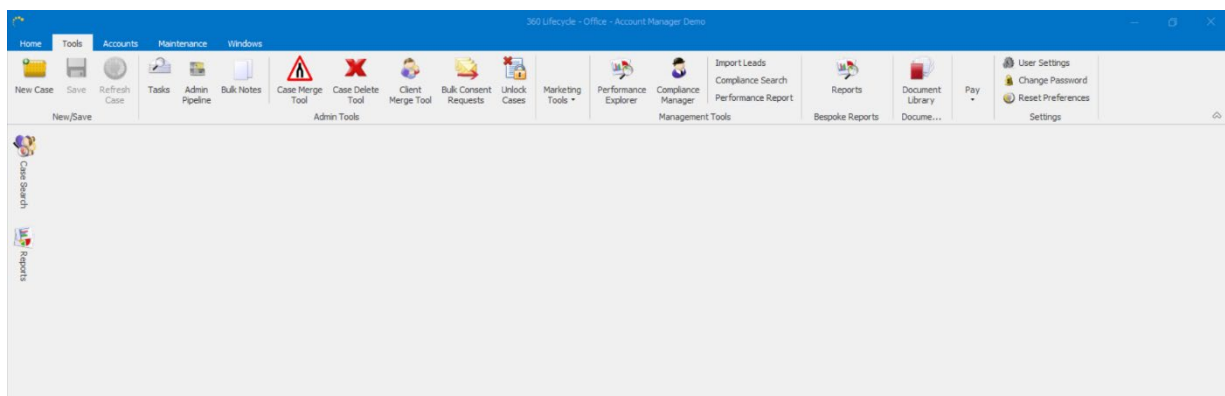
OK Cancel

- Complete the details of the Review by selecting the relevant 'Task Type' from the drop-down menu and enter the 'Due Date'. Please note that you can add your own Task Types by entering Office, Maintenance, General and Task Types.
- You can enter some further notes if applicable within the Reason section.
- Select the user you want the task to go to in the 'Assign To' dropdown.
- If you check the box to 'Create Reminder' this will set a pop-up reminder against who the task is assigned to at the relevant date/time. This is a useful 'alarm' function for when you need to make contact at a specific time (e.g. Doctor Surgery which can only be contacted at certain hours). The reminder will pop up in 'Office' at the time and date specified where you have the option to snooze, dismiss or open.
- Tick the box next to the policy which the review corresponds to, (or whole sale event) and set by clicking 'OK'.
- You can come back into this screen to 'Edit', 'Complete' or 'Deactivate' the review by clicking on either of the respective buttons. Completing closes the task, removes this from Admin Pipeline and updates the Notes section showing that the task has been completed, this retaining a full audit history.

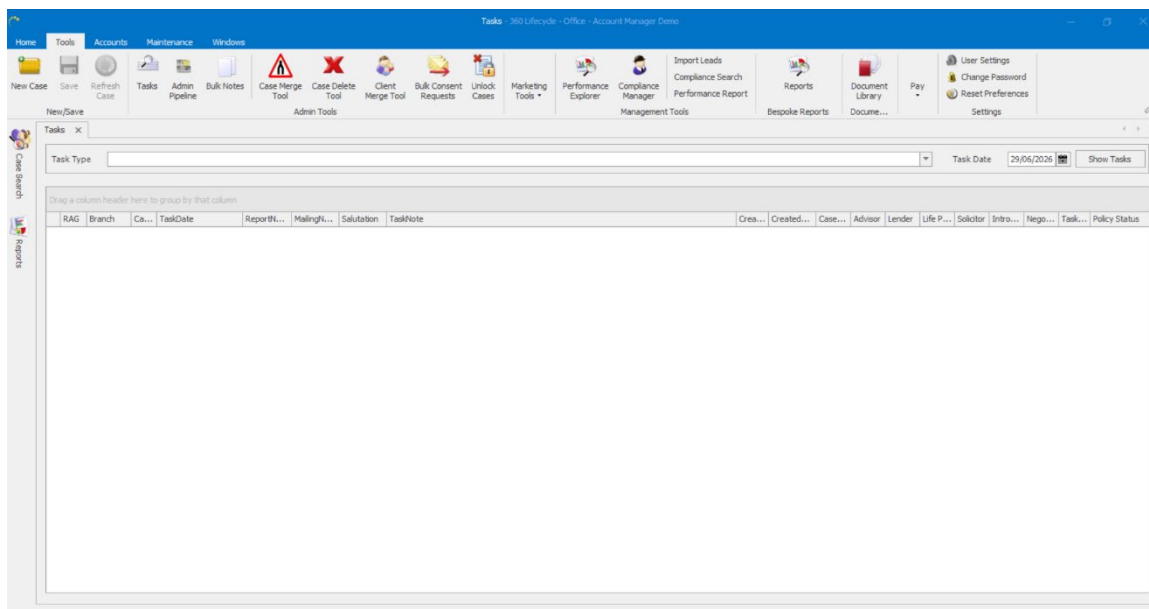
Deactivating the task removes the task from the Admin Pipeline but stays in the task screen.

2.3 Additional Tasks Tool

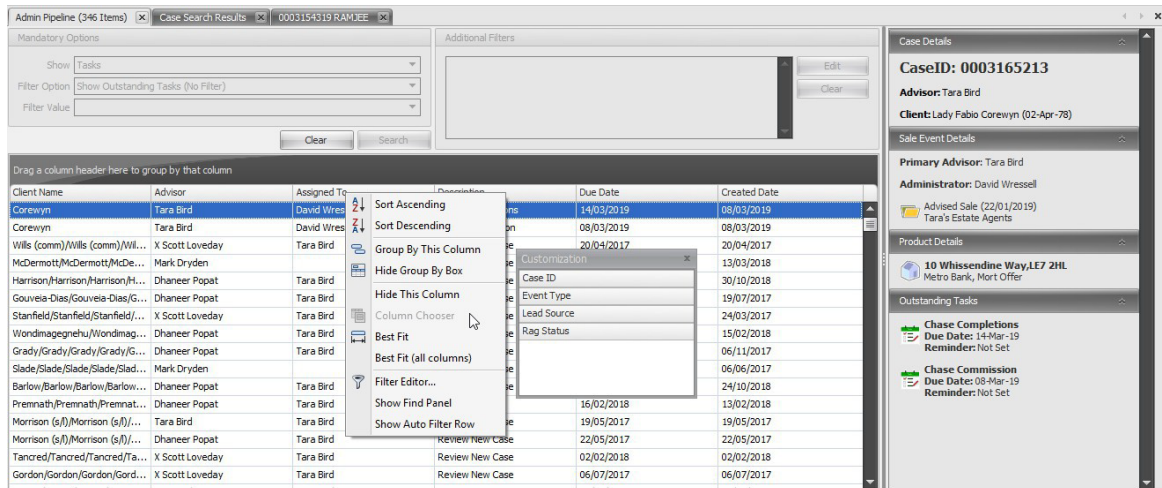
There is also a Task option within Tools that allows you to filter and show all outstanding Tasks filtered by Task Type & Due Date, irrespective of who the Case Owner/Administrator is. This can be used in instances where it is the role of one individual within the business to focus on one particular task/review type e.g. chasing medicals, irrespective of who the default Administrator or Case Owner is.



2.4 Changing Your Reported View



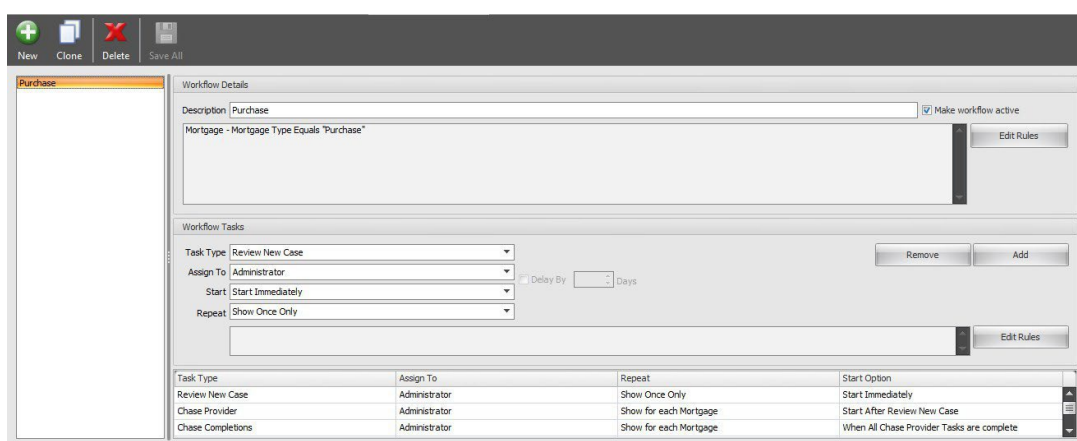
Please note that as per elsewhere within the system you can bespoke and amend your view of either Admin Pipeline Cases/Reviews or Tasks display by 'right clicking' on the columns and being presented with various options. This will allow you to 'Sort', 'Filter' and add or remove the columns and information you are presented with, please see the below screenshot.



3. Configuring a Workflow Schedule

In 360 Lifecycle, you can configure 'Workflow' schedules, which will allow for tasks to 'pop up' based on your existing Post-Sale administration process.

To access this configuration screen, go into 360 Office > Maintenance > General > Workflow > Workflow Configuration. You will be greeted with the below screen.

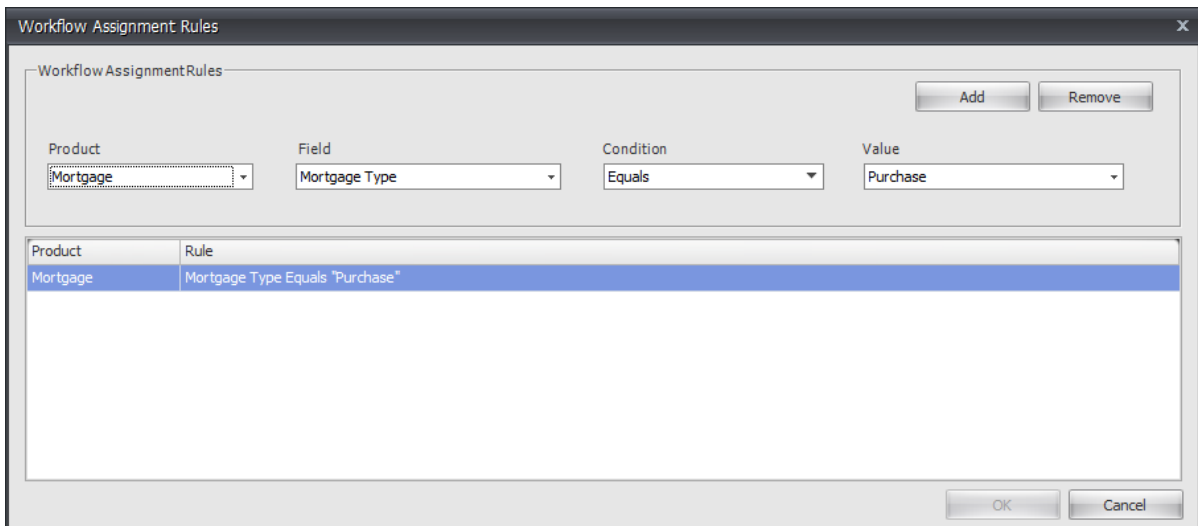


To add a new schedule, click 'New'. This will open a blank screen allow for you to now configure your schedule.

The first thing you will need to do is name your schedule. This could be as generic as 'Mortgage Workflow', or you could delve deeper into this and call it 'Residential Purchase with Halifax'.

To the right of this, you have an option to 'Make Workflow Active'. This allows you to make changes to your scheduling without this affecting people using this in Case Records. Unticking this will prevent users selecting this Workflow.

You will then get the option to create 'Rules' for your Workflow schedule. These will assist in assigning your schedule to a Sale Event upon Submission of a FactFind and will look at the Submitted FactFind to confirm whether this Workflow is useable for this sale.



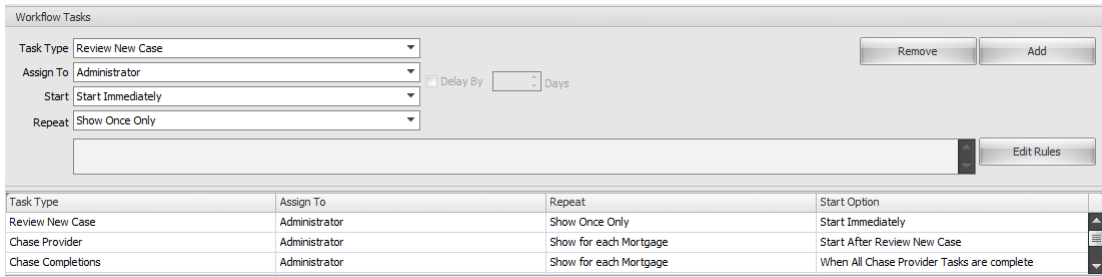
Product	Field	Condition	Value
Mortgage	Mortgage Type	Equals	Purchase

Product	Rule
Mortgage	Mortgage Type Equals "Purchase"

The 'Product' dropdown allows you to select different policy types, along with Case, Client and Sale details. The 'Field', 'Condition' and 'Value' dropdowns then will differ depending on the Product selected, until you have all fields filled in. Once completed, click 'Add', and then 'Ok' at the bottom of the window to save your rules.

Please note, if you have a FactFind submitted that fits multiple Workflows, you will have to select the relevant Workflow from the dropdown on the task screen.

From here, you can then build your schedule by adding tasks in to appear at certain points.



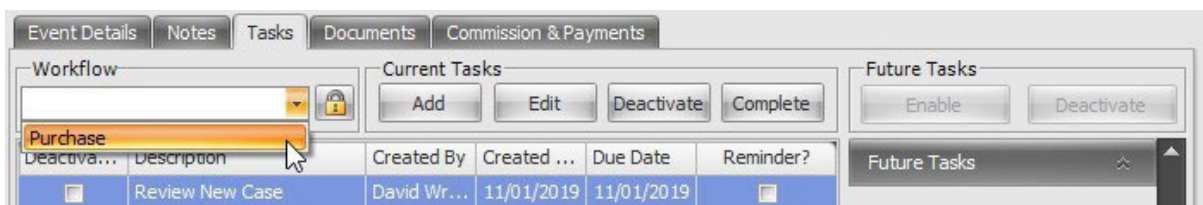
Task Type	Assign To	Repeat	Start Option
Review New Case	Administrator	Show Once Only	Start Immediately
Chase Provider	Administrator	Show for each Mortgage	Start After Review New Case
Chase Completions	Administrator	Show for each Mortgage	When All Chase Provider Tasks are complete

When you select 'Add', you will be able to fill in the following dropdowns:

- Task Type – this is the type of task being generated.
- Assign To – from here, you can select which user on a said Sale Event receives allocation of this task.
- Start – you can use this to schedule effectively. You will have the option to 'Start Immediately', i.e. allocation of the Workflow to the Sale, or after other tasks have been completed. If you prompt this to start after another task, you can tick a box on the right to 'Delay' this generating and input a number of days.
- Repeat – this will dictate how many times this task will show. For example, to Review the Sale, this would show once only. If you had multiple mortgages on a Sale, you can prompt a task to appear for each of these to manage the policies effectively.

You can also add rules to individual tasks if you need to, in the same way as you can with the Workflow schedule itself.

Once you have completed your schedule editing, click 'Save All' and this will save your changes. If you need to delete a Workflow at any point, click 'Delete', and if you want to replicate a Workflow but make some subtle changes, you can 'Clone' these which will create a duplicate for you to amend accordingly.

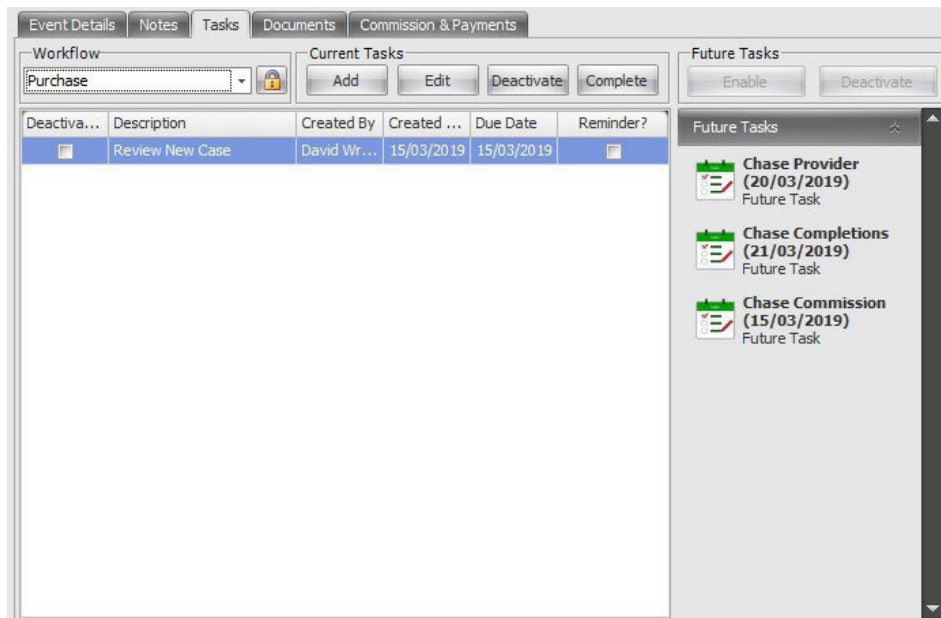


Deactiva...	Description	Created By	Created ...	Due Date	Reminder?
☐	Review New Case	David Wr...	11/01/2019	11/01/2019	☐

After a Workflow has been made 'Active', you can then select this within the 'Tasks' section of a Sale Event folder.

If you select this, your Workflow will then be implemented to that Sale. Please note, if you already have one selected, this will overwrite your existing tasks and replace these with those in the new schedule.

You should then see a screen like the below:

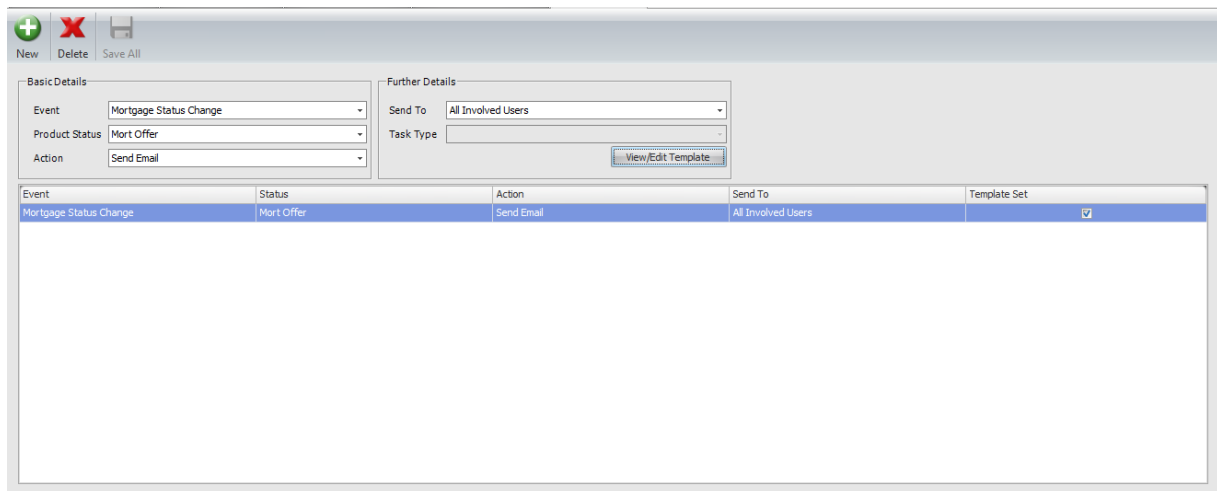


The tasks in the middle of the screen are your 'Active Tasks', and those in the right-hand tab are the 'Future Tasks' which are due to become Active after the completion of previous entries. If you want to bring these forwards, simply click on a future task and click 'Enable' above the list. If the task scheduled is no longer relevant, simply click 'Deactivate' and this will prevent it from appearing in the future. Otherwise, upon Completion of active tasks, these will then transfer into your Active Tasks list automatically.

4. Event Triggers

Event Triggers in 360 are a platform to prompt automation within your Sales Process. This may be an Email or SMS upon the booking of an Appointment, or a Task being created upon Submission of a FactFind.

To add these in, go to 360 Office > Maintenance > General > Common Settings > Event Triggers. You will see a screen like the below:



To add a new Event Trigger, click 'New' and this will open a new line in the trigger section.

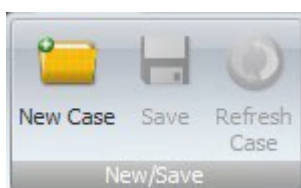
You will need to select an 'Event', a 'Product Status' (if applicable) and an 'Action' that will be generated upon completion of the Event. These dropdowns will differ depending on the Event selected.

Depending on the Action selected, the 'Further Details' section will allow you to send templated Emails/SMS Messages to users on a Case Record or create a certain Task. If you are sending out automated content, you will have the ability to 'View/Edit Template' and add in several Merge Fields to pre-populated this. This can be directed to Clients on Status Changes if required and will pick up on the relevant owner(s) of the policy as to who to send this to.

Once you are happy with your Event Trigger, click 'Save All' and this will commit your changes. If you need to remove a Trigger, highlight the line you want to remove, and select 'Delete'.

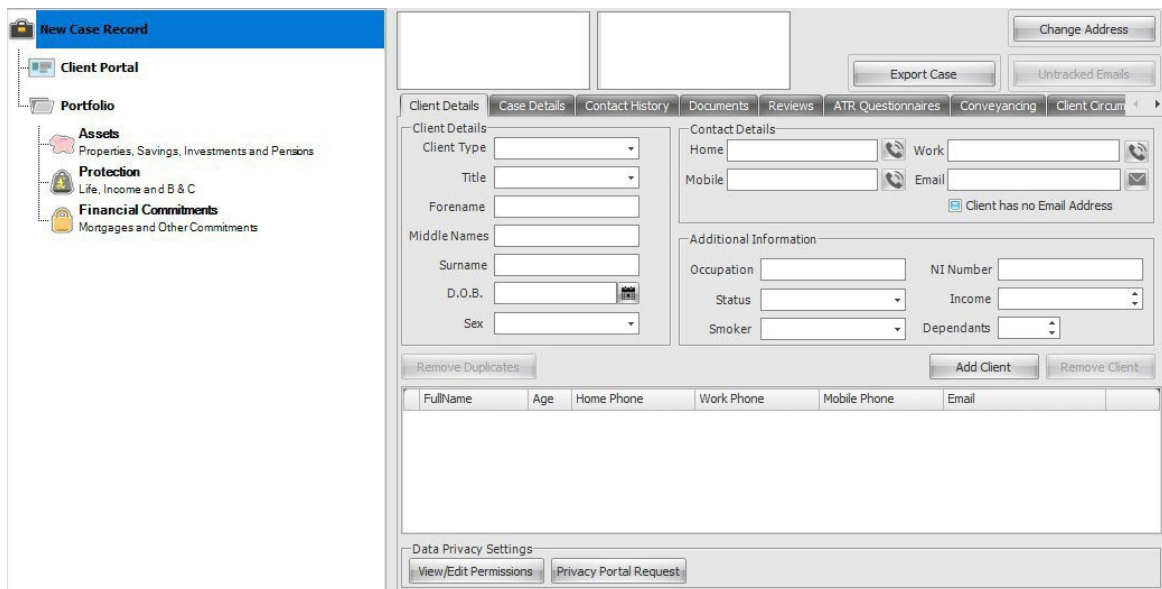
5. Manually Adding a Case into 360

The below will show you how to manually add a client/case record for any new business which you have carried out for a client.

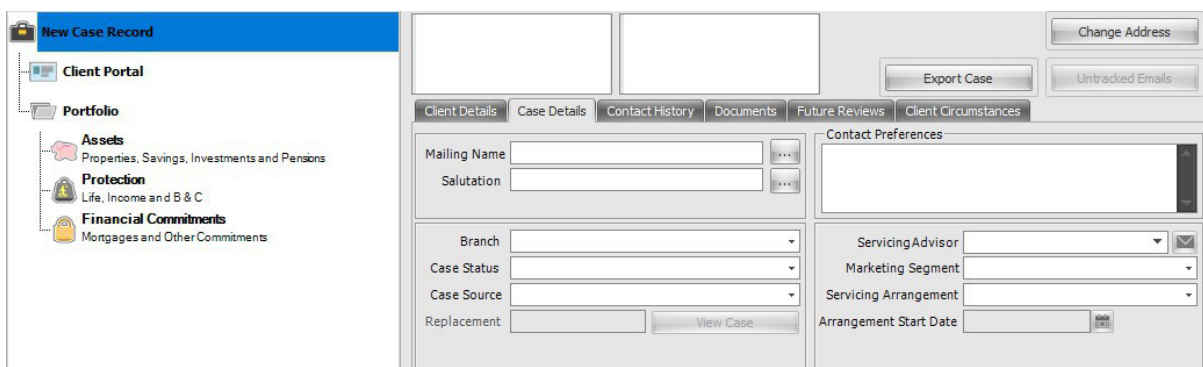


To add a case manually you need to be logged into 360 Office. Once logged in you will need to navigate to the Home tab, clicking on the 'Add New Case' icon.

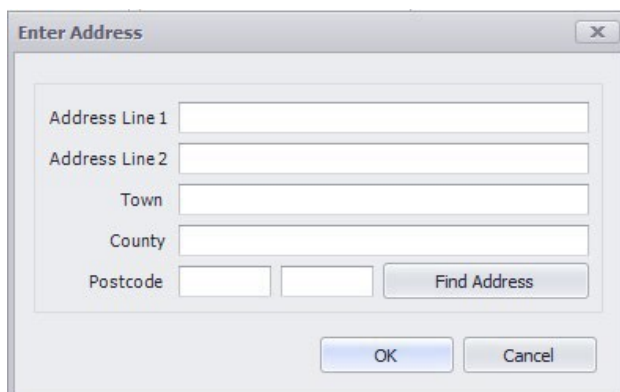
This will bring up a screen where you will add routine client information:



Populate the 'Mailing Name' and 'Salutation' fields by clicking on the '...' buttons.



Enter in as much information that is asked as you can. To enter the address, click on the 'Change Address' button at the top right-hand section of the case screen.



The box to the left will appear.

Here all you need to add is the house or flat number in 'Address Line 1' along with the postcode. Click on 'Find Address' and the system will search and populate the rest of the address fields. Click 'Ok' and the address will populate the case record.

Once you are happy that you have entered in all information, click on the save icon underneath the home tab.

5.1 Adding More than One client

To add another client to the same case simply click on the 'Add' button underneath the email field. This will bring up a new blank record where you repeat the same steps you went through with the first client.

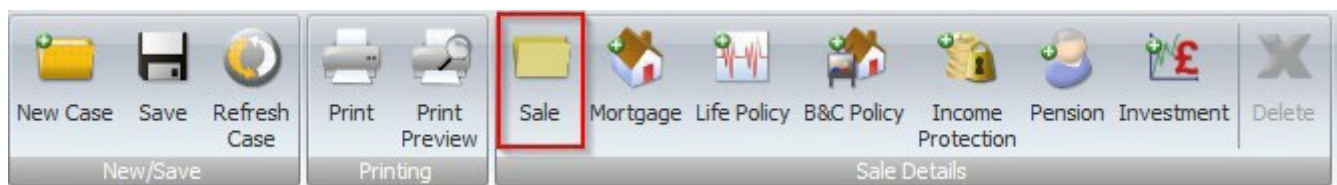
NB: Remember to update the 'Salutation' and 'Mailing Name' by clicking on the '...' buttons. This will ensure that the case record is kept up to date but will also update the Portfolio Report (discussed further here) to reflect the additional client.

To remove a client, click on the 'Remove' button to the right of the 'Add' button remembering to click save. *NB: You cannot remove a client if there is only one left on the case record.*

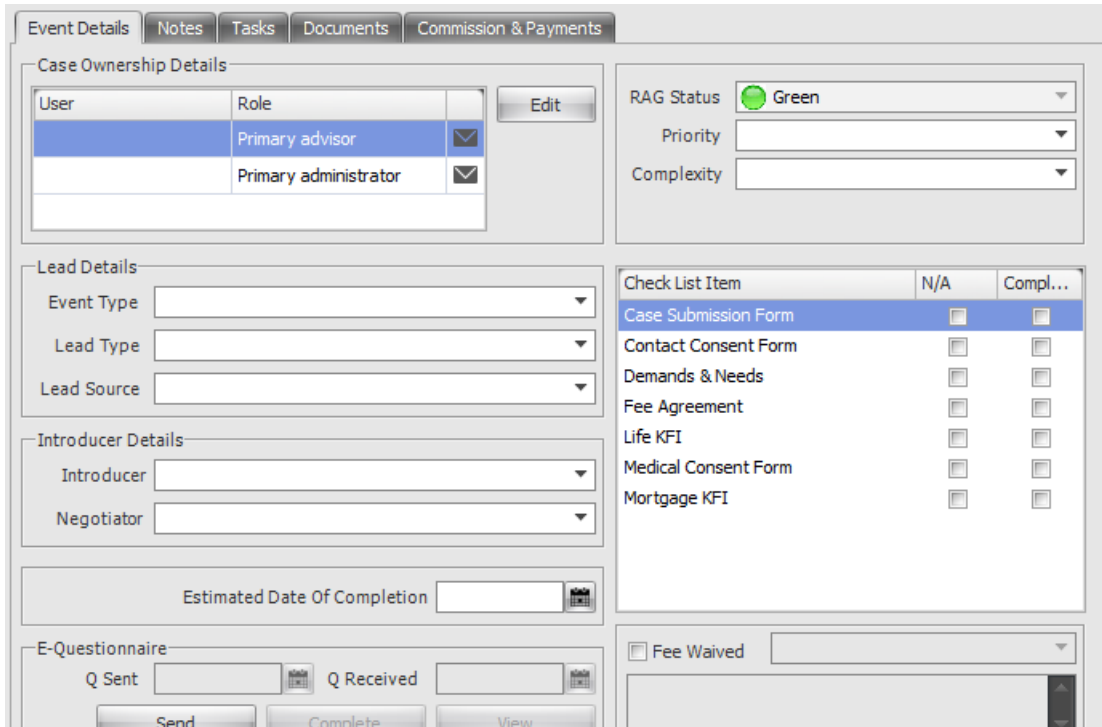
Remember to click the 'Save' icon next to the 'Add New Case' icon to save your information and changes.

6. Adding a Sale Event

Once you have completed the above you will be able to add the sale event folder. It is here that you will save details of the advisor and administrator of the case along with details of the event type.



To add the sale folder, click on the 'Sale' icon. This will take you to the event screen.



The screenshot displays the 'Event Details' tab of the 360 lifecycle software. The interface is divided into several sections:

- Case Ownership Details:** A table with columns 'User' and 'Role'. It lists 'Primary advisor' and 'Primary administrator', each with a checkbox. An 'Edit' button is present.
- RAG Status:** A dropdown menu currently set to 'Green'.
- Priority:** A dropdown menu.
- Complexity:** A dropdown menu.
- Lead Details:** Fields for 'Event Type', 'Lead Type', and 'Lead Source'.
- Introducer Details:** Fields for 'Introducer' and 'Negotiator'.
- Estimated Date Of Completion:** A date picker field.
- E-Questionnaire:** Fields for 'Q Sent' and 'Q Received', each with a 'Mark Done' button. Below are 'Send', 'Complete', and 'View' buttons.
- Check List Item:** A table with columns 'Check List Item', 'N/A', and 'Compl...'. It lists items like 'Case Submission Form', 'Contact Consent Form', 'Demands & Needs', 'Fee Agreement', 'Life KFI', 'Medical Consent Form', and 'Mortgage KFI', each with checkboxes.
- Fee Waived:** A checkbox and a dropdown menu.

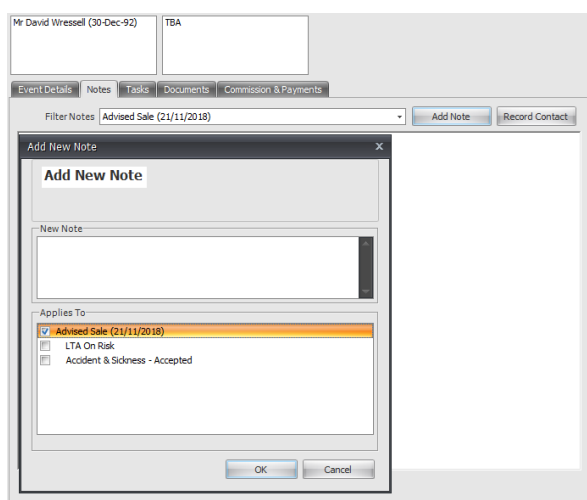
- Case Ownership Details refer to the Advisor responsible for the case.
- Primary Administrator is the administrator who handles the case. This may be the same person as the Advisor in some cases. You can have multiple Advisers and/or Administrators on these folders.
- Lead Details contains Event Type (e.g, Purchase, re-mortgage), Lead Type (e.g, Purchaser, Vendor, Applicant) and Lead Source (e.g, Website, Yellow pages).
- Introducer Details can be selected if the sale has been introduced to the advisor.
- RAG Status (Red Amber Green) indicates the urgency of the case.
- Priority is High, Medium or Low.
- Complexity is Simple or Complex.
- Check List is a tick list of what has been gathered for the sale so far.
- Fee Waived – tick this box if you have an agreement for this sale to be exempt from fees. Using the drop-down menu select the Manager who has authorized the exemption and then complete the text box with a reason for the exception.
- Estimated Date of Completion. Whilst this is simple to know for a re-mortgage, if at the time of creating the case you do not know an estimated date of completion it will need to be updated or filled in when known.

NB: Many fields trigger reports or reviews. E.G, when a date of completion is entered this will appear in the Completed Business Report.

6.1 Sale Details and History

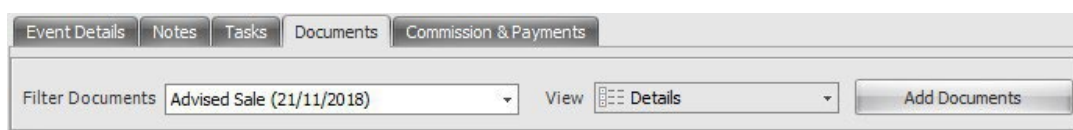
When you click on the sale folder there are a number of tabs you can use: Event Details (which were detailed on the previous pages), Notes, Reviews, Documents and Commission & Payments.

Notes are used as an audit trail/sequence of events for the sale within the case. They can be added at any time during the sale progression.



- Select the 'Notes' tab and click 'Add Note'.
- Type the details of the note and check the relevant box(es) to which the note applies to, clicking the 'OK' button when you have done so.
- You can filter notes using the drop-down menu. Notes are also colour coded: Red=Mortgage, Green=Life, Purple=GI, Black=Pension, Investment and IP.

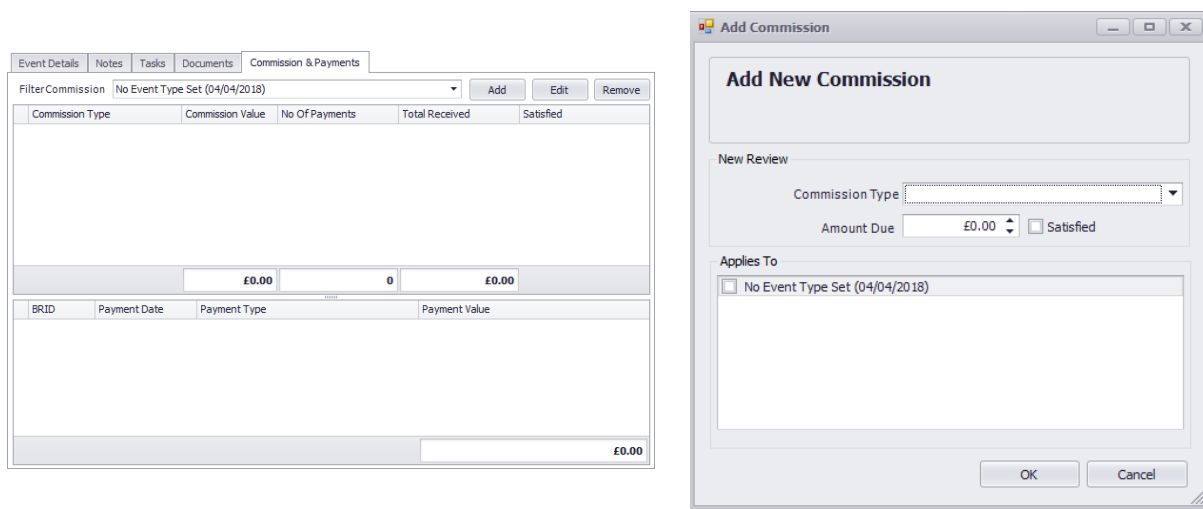
Documents are uploaded and saved to 360 Lifecycle System from your document folder. You can use the facility to scan documents to your computer and eliminate paper copies.



- Select the 'Documents' tab and select 'Add Document'.
- Locate the document from your system.
- Click 'OK'. Your document has now been uploaded.
- You can also upload documents in bulk. Simply select the documents you wish to upload and select ok as before.

Commission and Payments can be added manually as shown below. They are updated automatically by the loading process used by accounts when payments are received and checked off against statements.

- Select the 'Commission and Payments' tab and click the 'Add' button.
- Select the 'Commission Type' from the drop-down menu and the 'Amount Due'.
- Tick the appropriate event the commission belongs to (if you attach a commission to the sale event, e.g client review, this commission will not be shown in product specific commission reports, e.g a mortgage commission report. To achieve this, you need to tick the box next to the mortgage product to pull over into the mortgage commission report.



The image shows two screenshots from the 360 lifecycle software. On the left is the 'Commission & Payments' tab in the main application window. It features a table with columns: Commission Type, Commission Value, No Of Payments, Total Received, and Satisfied. Below this is another table with columns: BRID, Payment Date, Payment Type, and Payment Value. On the right is the 'Add Commission' dialog box. It has a 'New Review' section with a 'Commission Type' dropdown and an 'Amount Due' field set to £0.00. There is a 'Satisfied' checkbox. Below this is an 'Applies To' section with a checkbox labeled 'No Event Type Set (04/04/2018)'. At the bottom are 'OK' and 'Cancel' buttons.

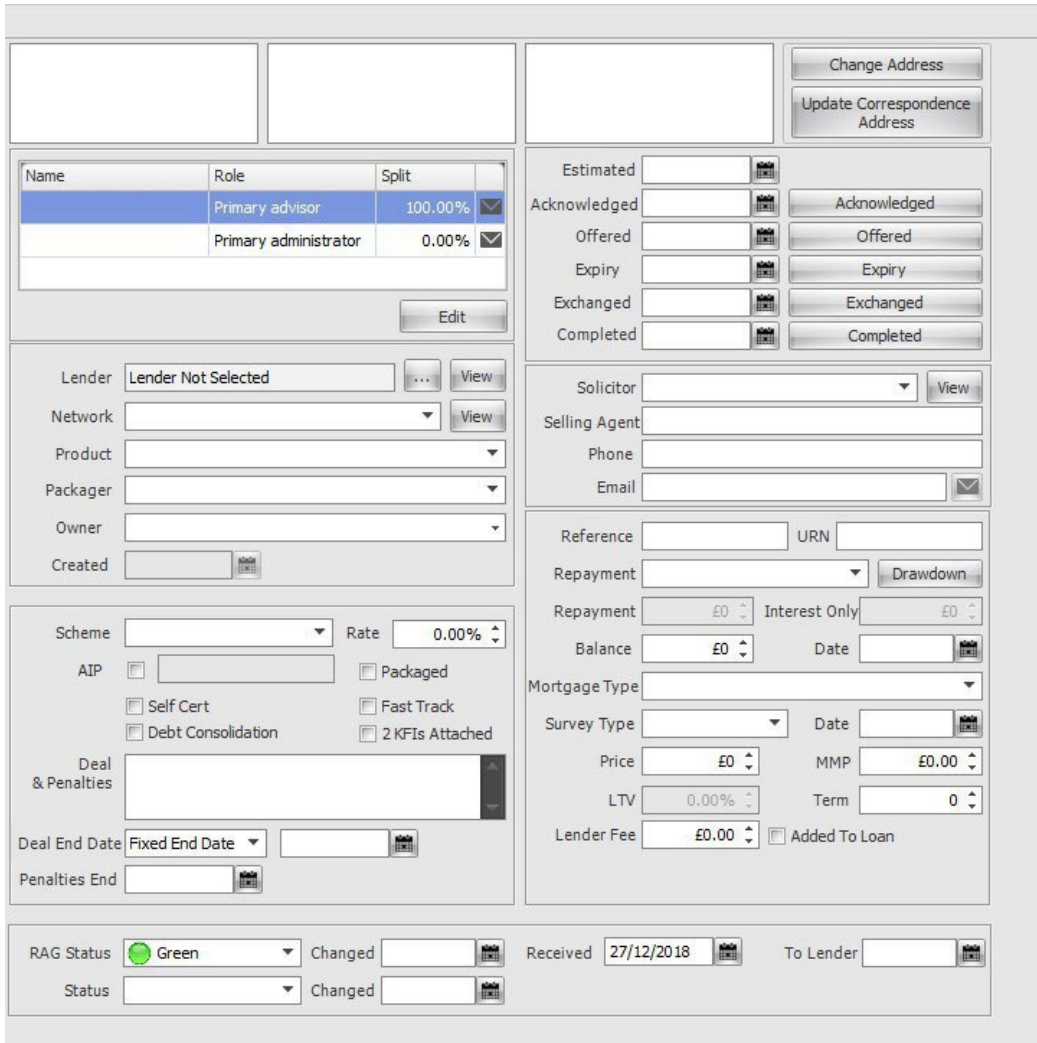
7. Adding a Mortgage

Click on the 'Mortgage' icon. A product will fall in the case tree under the sale event folder, and a mortgage detail screen will open for you to add the details. You need to have added a sale event to be able to add a mortgage. Please refer to adding a sale_for a guide on how to do this.



The 'Advisor' and 'Referrer' fields are automatically populated from the names selected in the sale event screen. You cannot edit these names from a mortgage screen, you will need to refer to the sale event screen and edit them from here.

If there is a referrer for the sale you can edit the commission expectations by changing the percentages next to their name in the mortgage screen.



The screenshot displays a complex form for mortgage management. It includes sections for user roles (Primary advisor, Primary administrator), lender selection, network, product, packager, and owner. There are also fields for scheme, rate, AIP, packaged, self-cert, fast track, debt consolidation, and 2 KFI's attached. The form also features a table for commission expectations, a section for mortgage details (Reference, Repayment, Balance, Date, Mortgage Type, Survey Type, Price, LTV, Term, Lender Fee), and a bottom section for RAG Status, Status, Received date, and To Lender.

- Select **'Lender'** by clicking on the '...' button and selecting the appropriate option from the drop-down menus.
- Ensure **'Network'** is correctly selected. This will assist accounts without any delay should there be any need to chase up payments.
- Select the **'Product'** from the drop-down menu.
- Select the **'Packager'** of the mortgage from the drop-down menu.
- Select the **'Owner'** of the mortgage. This drop-down menu is populated from the clients entered and saved in the top-level part of the case record. The owner itself refers to the name(s) on the mortgage agreement.
- Select the **'Scheme'** from the drop-down menu.
- Enter the interest **'Rate'** as a percentage.

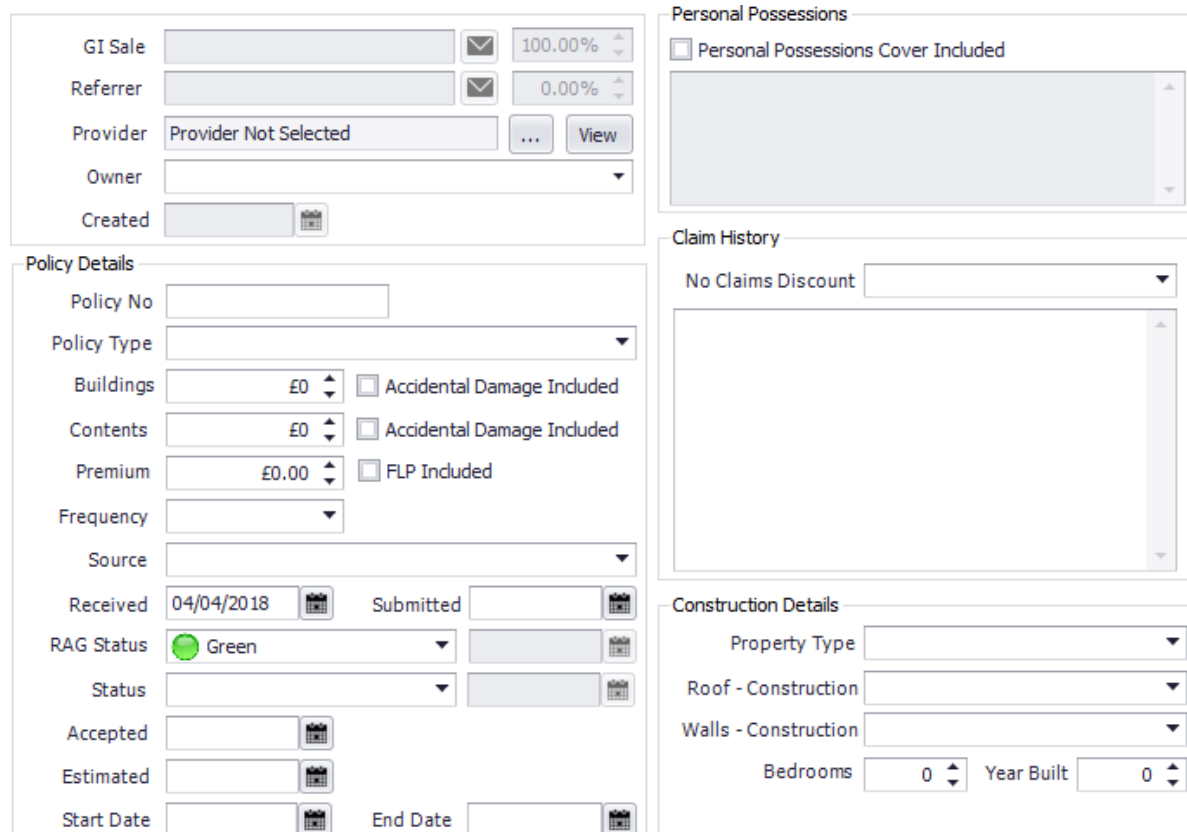
- Tick **'AIP'** if the mortgage is agreed in principle and check the correct box for the type of mortgage it is.
- **'Deal & Penalties'** can contain information regarding redemption penalties, how much and when.
- **'Deal End Date'** is a dropdown field that can either be 'Fixed End Date', 'Initial Period' or 'No End Date'. This will amend the next option accordingly between a date field, an option to input years and months, or remove it completely.
- **'End Date'** and **'Penalties End'** dates need to be entered when known, as these trigger the re-mortgage campaign report and activate Hotbox entries.
- Select the **'RAG Status'** from the drop menu. This indicates the urgency of the case.
- Choose the **'Status'** of the application, e.g 'In Progress' from the drop-down menu. It is important that you keep this status updated as the case progresses, so it appears on the relevant reports.
- **Acknowledged/Offered/Exchanged/Completed.** Enter the correct dates for the corresponding options. Once a Mortgage Sale has a completed date it will no longer appear in the Admin Pipeline. NB: The completed date on a mortgage will trigger the annual review of the case.
- You can enter the details of the solicitor (if there is one) using the drop-down menu to select the appropriate Solicitor company and filling in the **'Selling Agent'** and their **'Phone'** and **'Email'**.
- Complete the mortgage **'Reference Number'** and the **'URN'** (Unique Reference Number) if relevant.
- Select the method of **'Repayment'** along with the **'Repayment Amount'** (The whole amount the client has to pay back) as well as the 'Mortgage and Survey Type' e.g, 'Full Structural, Basic, Home buyers.
- The **'Balance'** is the amount left outstanding on the mortgage with the
- **'Date'** field being the date that this figure was taken.
- Input the property **'Price'** and the **'LTV'** (Loan to Value ratio).
- Add in **the 'Terms, Lender Fee and MMP (Monthly Mortgage Payment)**. If the fee is to be added to the loan tick the **'Added to Loan'** box.

To add the property the clients are purchasing (same procedure for re-mortgage) click on the 'Change Address' button at the top right of the screen and enter the address in the same way as their correspondence address. Once the case has been completed, click on 'Update Correspondence Address' button and this will automatically correct the system. On completion of the move, simply click on 'Update Correspondence Address' and this will notify the

system where the client can be contacted. If it is a buy to let case, then you will not need to update the correspondence address.

8. Adding a Buildings and Contents Policy

To add a buildings and contents policy click on the 'B&C' icon under the home bar. To be able to add a buildings and contents policy you first will have needed to add the case record and the sale event folder. Please see above for a guide on how to do this.



- The **'GI Sale'** is the advisor selling the policy. This field is pre-populated by the advisor selected in the sale event folder. It is here that you can edit the advisor selected.
- Select the **'Provider'** by clicking on the '...' button.
- Select the **'Owner'** of the policy (the client whose name is written on the terms of the buildings and contents policy) from the drop-down menu.
- Enter the **'Policy No'** (if known)
- Select the **'Policy Type'** from the drop-down menu.
- **'Buildings'** and **'Contents'** refers to the amount of cover given for each. In some cases, only one of these needs be filled in.

- Tick the boxes next to these fields if **'Accidental Cover is Included'**.
- Enter the **'Premium'** the client is to pay each time, ticking the box if **'FLP is Included'** in this.
- Select the **'Source'** of the policy from the drop-down menu. E.g, is the property a main residence, or a buy to let, etc.
- The **'Received Date'** is the date that ... and the 'Submitted Date' is the date that the policy was submitted to the provider.
- **'RAG Status'** indicates the urgency of the case with green being not urgent and red being extremely urgent.
- Select the **'Status'** of the policy application from the drop-down menu. It is important that you keep this as up to date as possible so that the policy appears on the correct reports and in the correct categories in Performance Explorer.
- The **'Accepted'** date is the date the provider accepted the policy. The 'Start' date is the date the policy goes live with the 'End Date' being the date the policy is due to expire.
- If the policy is a buy to let you may need to add a new address to reflect this. You can do so by clicking on the **'Add Address'** button
- If **'Personal Possessions Cover'** is included tick the check box and in the details box list any items the client has asked for in particular to be covered.
- Detail any information regarding claims in the **'Claims History'** box
- Select the construction of the house using the drop-down menus.
- Remember to **save** the policy as you go to avoid any loss of details.

9. Adding a Life Policy

To add a life policy, click on the Life Policy icon under the home tab. To be able to add a buildings and contents policy you first will have needed to add the case record and the sale event folder. Please see above for a guide on how to do this.

Once you have clicked on the icon a screen will appear for you to add the relevant details.

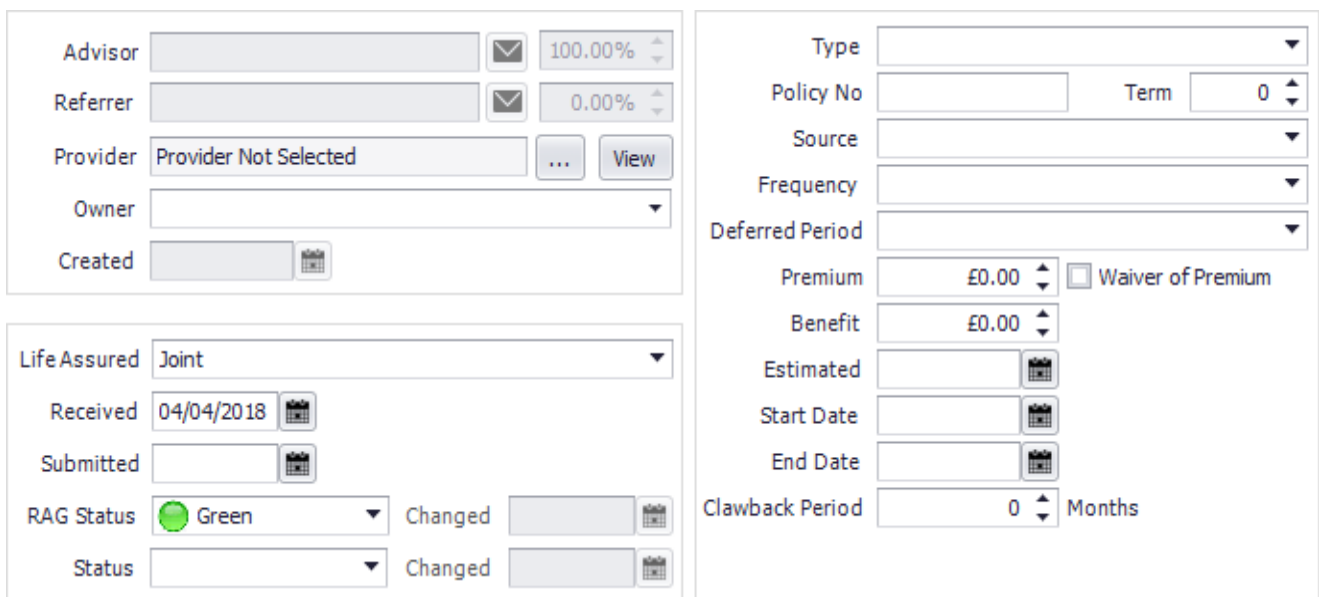
- The 'Advisor' and 'Referrer' fields are prepopulated from the details entered and selected in the sale event part of the case record. It is here that you will need to change or amend any details.
- Select the 'Provider' of the policy by clicking on the '...' button.
- Select the 'Owner' of the policy (the name of the client taking out the policy)
- Select the 'Policy Type' from the drop-down menu.
- Select the 'Purpose' of the life policy from the drop-down menu.
- If applicable enter the 'Solis Number'.
- Select the 'Premium' the client is to pay choosing the 'Frequency' from the drop-down menu.
- Enter the 'Sum Assured'. This is the whole amount the client is covered by.
- Depending on the type of the policy you may need to enter a term. You can do this by selecting the 'Term' from the drop-down menu.
- Select the 'RAG Status'. By default, the system puts this as green, but you may need to change it.
- Select the 'Status' of the application. It is important that you keep this as up to date as possible, so it appears on the correct reports and in the correct columns in performance explorer.
- The 'Received Date' is the date that the client first came to you.
- The 'Submitted' date is the date you have submitted the policy application to the provider.
- Select the 'OnLife' from the drop-down menu. This refers to the clients who are covered by this policy.
- If the policy has been rated, you will need to enter the extra premium that the policy has been rated by within 'L1/L2 Rated'. This can be done for either

client. Please ensure that the premium and relevant commissions are updated.

- The 'Accepted' date is the date the policy is accepted by the provider and the 'Expires' date is when the acceptance terms for the policy may expire.
- The 'Start Date' is the date the policy is due to go live.
- Select from the 'Authorised' drop-down menu.
- Enter the 'Auth Date' along with the 'Clawback Period'.
- Tick the box for replacing previous policy if it is relevant with a brief explanation along with the policy number of the plan which needs to be cancelled.
- Tick the box if the policy is written 'In Trust', filling in the 'Trustee Details'.
- If this is a first policy, then the doctor's details need to be entered.

10. Adding an Income Protection Policy

To add an income protection policy, click on the 'Income Protection' icon under the home tab. This will bring up a screen for you to enter the details of the policy.



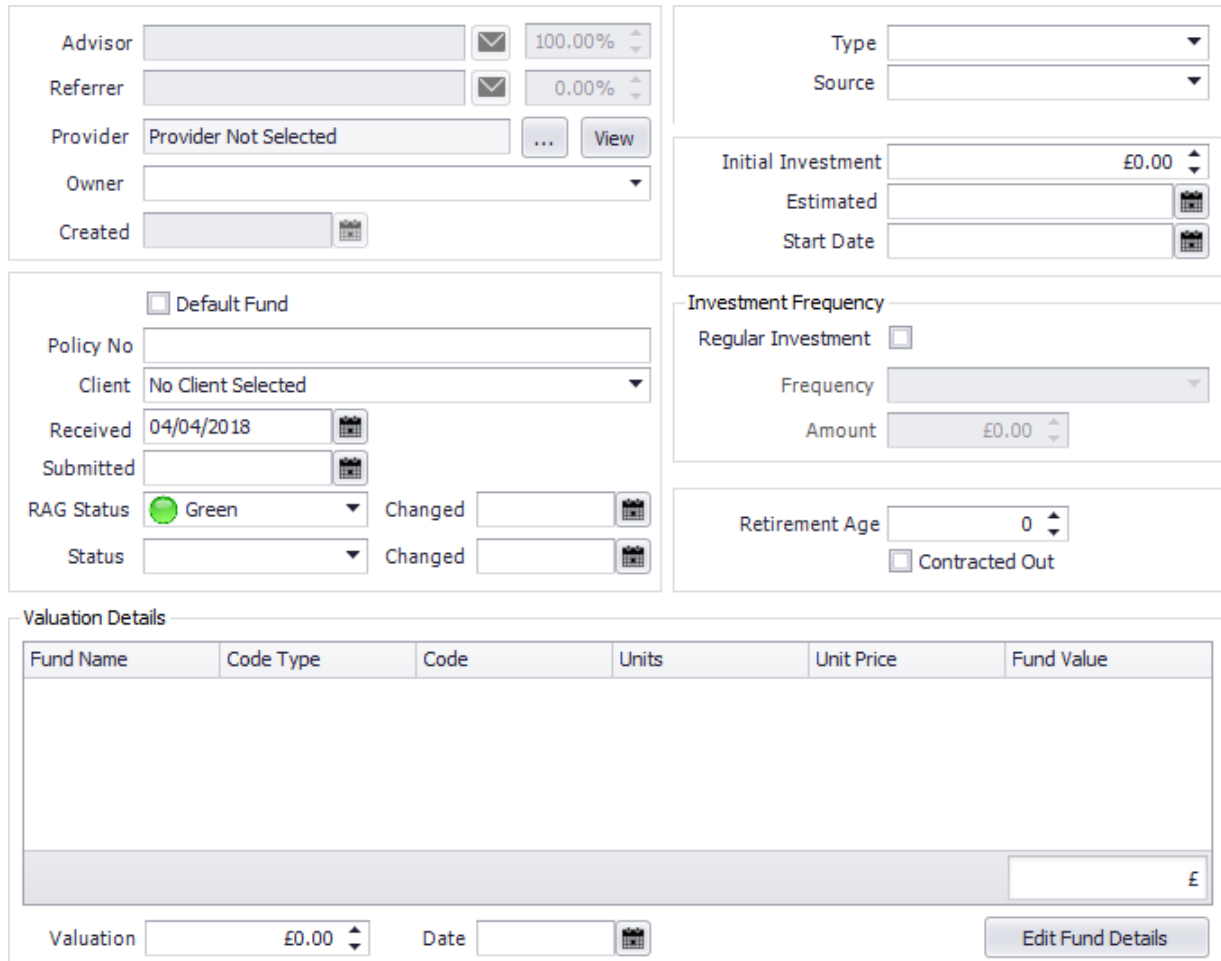
The screenshot shows a form for adding an income protection policy, divided into two main sections. The left section contains fields for 'Advisor' (with a dropdown and a 100.00% commission rate), 'Referrer' (with a dropdown and a 0.00% commission rate), 'Provider' (a dropdown menu currently showing 'Provider Not Selected' with a 'View' button), 'Owner' (a dropdown menu), and 'Created' (a date field). Below these are 'Life Assured' (a dropdown menu set to 'Joint'), 'Received' (a date field set to '04/04/2018'), 'Submitted' (a date field), 'RAG Status' (a dropdown menu set to 'Green' with a 'Changed' button), and 'Status' (a dropdown menu with a 'Changed' button). The right section contains 'Type' (a dropdown menu), 'Policy No' (a text field) and 'Term' (a dropdown menu set to '0'), 'Source' (a dropdown menu), 'Frequency' (a dropdown menu), 'Deferred Period' (a dropdown menu), 'Premium' (a text field set to '£0.00' with a 'Waiver of Premium' checkbox), 'Benefit' (a text field set to '£0.00'), 'Estimated' (a date field), 'Start Date' (a date field), 'End Date' (a date field), and 'Clawback Period' (a dropdown menu set to '0' with a 'Months' label).

- The 'Advisor' and 'Referrer' fields are prepopulated from the details selected and saved in the sale event part of the case record.
- Select the 'Provider' from the drop-down menu.
- Select the 'Owner' of the policy from the drop-down menu. This is prepopulated from the clients you have entered and saved at the top-level part of the case record. The owner here is referring to the name written on the policy terms.

- Select the 'Life Assured'. This refers to the clients who are to be protected by this policy.
- Enter the 'Received Date' (the date the clients came to you to take out the policy)
- The 'Submitted Date' is the date you sent the application to the provider.
- 'RAG Status' indicates the urgency of the case, green being that the case is progressing in good time, red being that the case needs to be pushed through quickly.
- Select the 'Status' of the application. It is important that you keep updating this as the policy progresses so that it appears in the correct reports and in the correct fields in performance explorer, etc.
- Select the policy 'Type' from the drop-down menu.
- Enter the 'Policy Number' along with the 'Term' of the policy in years.
- Select the 'Source' of the policy from the drop-down menu.
- Select the 'Frequency' of the premium from the drop-down menu.
- If there is a deferred period, you can specify this using the options in the drop-down menu.
- Enter the 'Premium' the client is to pay to keep this policy.
- If 'Waiver of Premium' is included, please tick this box.
- For any 'Benefits' you can add this as an amount in the benefit field
- The 'Start Date' is the date the policy goes live and the 'End Date' is the date that the policy will expire. It is important that these dates are entered as they trigger the reviews for the case.

11. Adding a Pension

To add a pension policy, click on the Pension icon under the home tab. This will bring up a screen for you to enter the policy details.



Top Left Section:

Advisor: [Text Field] [Email Icon] 100.00% [Up/Down Arrow]
 Referrer: [Text Field] [Email Icon] 0.00% [Up/Down Arrow]
 Provider: [Text Field: Provider Not Selected] [...] View
 Owner: [Dropdown Menu]
 Created: [Text Field] [Calendar Icon]

Top Right Section:

Type: [Dropdown Menu]
 Source: [Dropdown Menu]
 Initial Investment: [Text Field: £0.00] [Up/Down Arrow]
 Estimated: [Text Field] [Calendar Icon]
 Start Date: [Text Field] [Calendar Icon]

Middle Left Section:

☐ Default Fund
 Policy No: [Text Field]
 Client: [Dropdown Menu: No Client Selected]
 Received: [Text Field: 04/04/2018] [Calendar Icon]
 Submitted: [Text Field] [Calendar Icon]
 RAG Status: [Dropdown Menu: Green] Changed: [Text Field] [Calendar Icon]
 Status: [Dropdown Menu] Changed: [Text Field] [Calendar Icon]

Middle Right Section:

Investment Frequency
 Regular Investment: ☐
 Frequency: [Dropdown Menu]
 Amount: [Text Field: £0.00] [Up/Down Arrow]
 Retirement Age: [Text Field: 0] [Up/Down Arrow]
☐ Contracted Out

Bottom Section: Valuation Details

Fund Name	Code Type	Code	Units	Unit Price	Fund Value

Valuation: [Text Field: £0.00] [Up/Down Arrow] Date: [Text Field] [Calendar Icon] [Edit Fund Details]

- The 'Advisor' and 'Referrer' fields are prepopulated from the names you have selected in the sale event folder of the case record. It is here that you can make any amendments to the names entered.
- Select the 'Provider' of the policy by clicking on the '...' button.
- Select the 'Owner' (the client whose name the policy is in) from the drop-down menu. This field is populated by the clients you have entered in the top-level part of the case record.
- Enter the 'Policy Number' in the field provided.
- Select the 'Client(s)' who the pension is to cover.
- The 'Received Date' is the date that the clients came to you to start their pension application.

- The 'Submitted' date is the date you submitted the policy to the provider.
- 'RAG Status' indicates the urgency of the case, green being that the case is progressing in good time, red being that the case needs to be pushed through quickly.
- Select the 'Status' of the policy. It is important that you keep this status updated as the case progresses so that it appears on the relevant reports and in the correct columns in performance explorer.
- Select the 'Type' of the pension from the drop-down menu.
- Select the 'Source' of the pension (why has the client(s) come to you wishing for a pension? Is it a new pension, a pension transfer, etc.)
- Input the 'Initial Investment' of the pension
- The 'Start Date' is the date the pension goes live. It is important that this date is entered as it triggers reviews of the policy in the future to fall into your Hotbox.
- If the pension is to be 'Regularly Invested' into tick the box, selecting the 'Frequency' from the drop-down menu along with the 'Amount' that is paid per time.
- If you need to enter any valuation details you can do so by entering the 'Valuation' (how much is held in the pension) along with the 'Valuation Date' (the date that this figure was taken)
- Enter the 'Retirement Age' (the age that the client wishes to retire)
- The 'Fund Details' area allows you to add in any funds the client currently possesses.
- Remember to save your progress.

12. Adding an Investment Policy

Advisor

100.00%

Referrer

0.00%

Insurer

Provider Not Selected

...

View

Owner

Created

Objective

Type

Source

Initial Investment

£0.00

Interest Rate

0.00%

Estimated

Start Date

Maturity Date

Investment Frequency

Regular Investment

Frequency

Amount

£0.00

In Trust

Trustee Details

☐ Default Fund

Policy No

Term

0

Received

04/04/2018

Submitted

RAG Status

Green

Status

Changed

Changed

Valuation Details

Fund Name	Code Type	Code	Units	Unit Price	Fund Value
					£

Valuation

£0.00

Date

Edit Fund Details

- To add an investment policy, click on the investment icon under the home tab. This will bring up a screen for you to enter the policy details.
- The 'Advisor' and 'Referrer' fields are prepopulated from the names you have selected in the sale event folder of the case record. It is here that you can make any amendments to the names entered.
- Select the 'Insurer' by clicking on the '...' button.
- Select the 'Owner' of the policy from the drop-down menu. This is the client(s) whose name is written on the policy terms.
- Tick the box if the policy is the 'Default Fund'.
- Enter the 'Policy Number' along with the 'Term' of the policy.
- The 'Received' date is the date the clients have come to you wishing to take out this policy.
- The 'Submitted' date is the date you have sent the policy application to the provider/insurer.
- 'RAG Status' indicates the urgency of the case, green being that the case is progressing in good time, red being that the case needs to be pushed through quickly.
- Select the 'Status' of the application from the drop-down menu. It is

- important that you keep this field updated as the case progresses so that it appears in the correct reports and the correct performance explorer fields.
- Select the 'Objective' of the investment from the drop-down menu.
- Select the 'Type' of investment.
- Select the 'Source' of the investment. Why has the client come to you wishing for an investment? Is it a new investment? Is it a change of agency?
- Enter the amount of the 'Initial Investment' along with the 'Interest Rate'.
- Enter the 'Start Date' (the date the policy goes live)
- Enter the 'Maturity Date'
- If the investment is regularly added to tick the 'Regular Investment' box, along with the 'Frequency' of the payments and the payment 'Amount' that is added each time.
- The 'Fund Details' area allows you to add in any funds the client currently possesses.
- If the investment has been valued, you can enter the details in the 'Valuation Details' section of the policy record.

13. Deleting

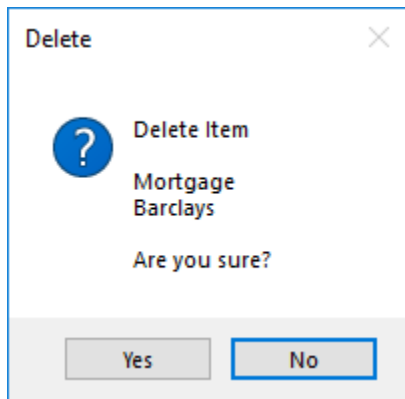
There are two delete buttons in 360 Office. One is for deleting specific case policies and one is for deleting entire case records. We strongly recommend that you are careful using the following tools. Accidental deletion is both time consuming and costly which is why being able to delete is permission based.

13.1 Deleting Sale Events/Products

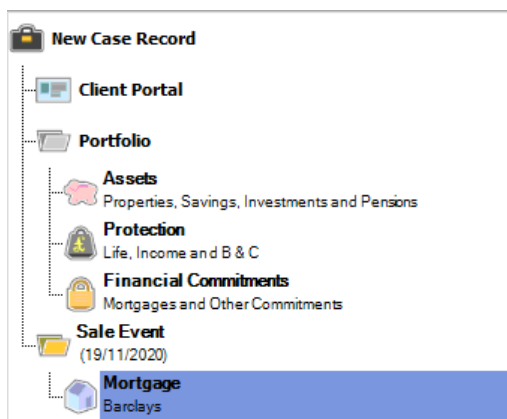


To delete a sale event, you need to have open the case record. Make sure that you have selected the correct policy to delete. Click on the 'Delete' button located under the home tab.

When you have selected the policy, a dotted square will appear around it. Click the 'Delete' button indicated above.



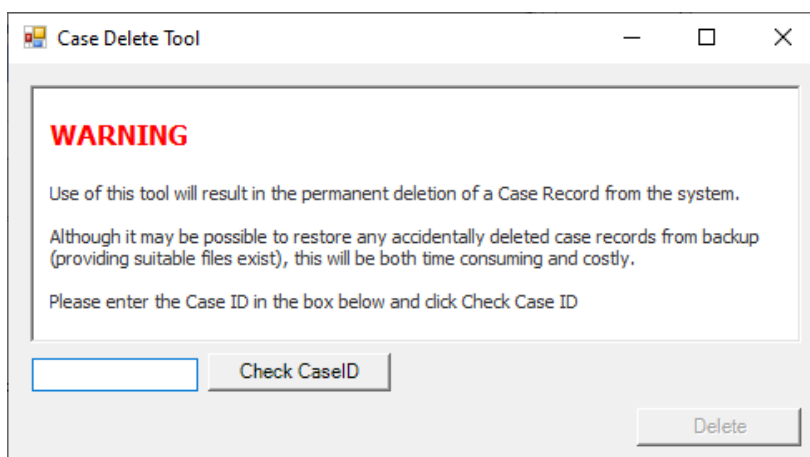
A prompt will appear asking you to confirm your deletion.



Once you have clicked yes remember to save the deletion. If you wish to delete a sale event folder, you do so using the same steps as above but be aware that deleting a sale folder will delete all the policies attached to that sale event.

13.2 Deleting a Case Record

To delete a whole case record you need to log into 360 Office and select 'Case Delete Tool' under the Tools menu. Please note you may not have the 'Case Delete Tool' option as this is permission based. If not please speak to your system administrator.



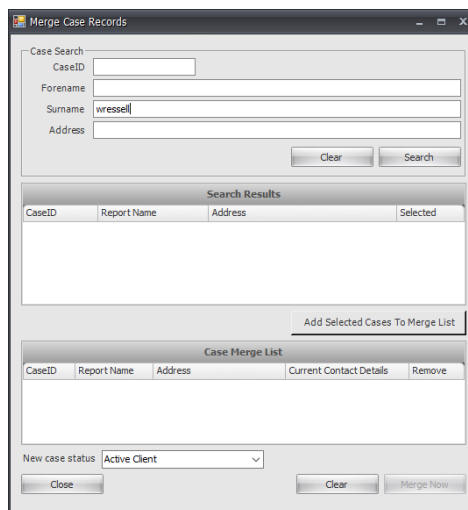
Selecting 'Case Delete Tool' will bring up the Case Delete Toolbox.

Simply enter the CaseID of the record you wish to delete into the field and select 'check CaseID'. Once you are happy that the correct case is selected for deletion select 'Delete'.

14. Case Merge

The 'Case Merge Tool' can be found within 'Tools' in 360 Office. This allows you to merge multiple cases together where the client(s) exist on more than one case. If duplicate clients have been created for any reason, through Case Merge you can create one record with all your client information within and resulting in no loss of data.

14.1 How to Use the Case Merge Tool



Case Search

CaseID

Forename

Surname wressell

Address

Clear Search

Search Results

CaseID	Report Name	Address	Selected
--------	-------------	---------	----------

Add Selected Cases To Merge List

Case Merge List

CaseID	Report Name	Address	Current Contact Details	Remove
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New case status Active Client

Close Clear Merge Now

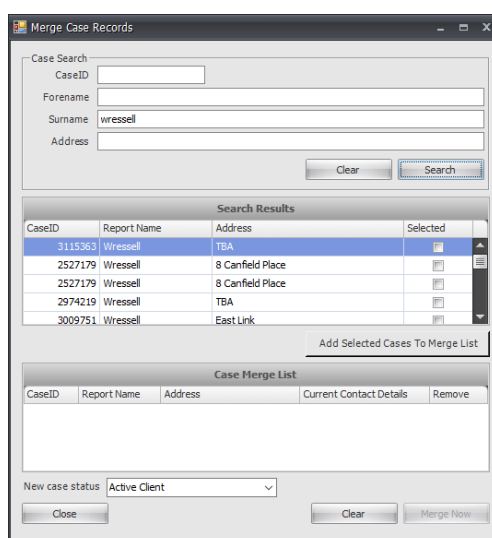
1. Open both cases which you would like to merge by simply searching for the cases and select the case.

2. Go to 'Tools' within the tabs at the top, then click on 'Case Merge Tool' and the screen below will appear.

3. Enter the 'Case ID, Forename, Surname or Address' within the 'Case Search' Section and click on 'Search' button, then the case will be displayed in the 'Search Results' section as displayed on the next page.

4. Tick the 'Selected' tick box and click on 'Add Selected Cases to Merge List', then click on 'Clear' button and enter the other 'Case ID, Forename, Surname or Address' within the 'Case Search' Section again.

5. Click on 'Search' button, then the case will be displayed in the 'Search Results' section as displayed above and tick the 'Selected' tick box and click on 'Add Selected Cases to Merge List' and both cases will be displayed in the 'Case Merge List' section as shown below.



Case Search

CaseID

Forename

Surname wressell

Address

Clear Search

Search Results

CaseID	Report Name	Address	Selected
3115363	Wressell	TBA	☒
2527179	Wressell	8 Canfield Place	☐
2527179	Wressell	8 Canfield Place	☐
2974219	Wressell	TBA	☐
3009751	Wressell	East Link	☐

Add Selected Cases To Merge List

Case Merge List

CaseID	Report Name	Address	Current Contact Details	Remove
--------	-------------	---------	-------------------------	--------

New case status Active Client

Close Clear Merge Now

Merge Case Records

Case Search

CaseID

Forename

Surname

Address

Search Results

CaseID	Report Name	Address	Selected
3115363	Wressell	TBA	☒
2527179	Wressell	8 Canfield Place	☐
2527179	Wressell	8 Canfield Place	☐
2974219	Wressell	TBA	☒
3009751	Wressell	East Link	☐

Case Merge List

CaseID	Report Name	Address	Current Contact Details	Remove
3115363	Wressell	TBA	☐	<input checked="" type="button" value="x"/>
2974219	Wressell	TBA	☐	<input checked="" type="button" value="x"/>

New case status

6. Tick the case you would like to keep the contact details for by ticking on 'Current Contact Details' tick box as shown on the next page.

7. Once happy with the cases you wish to merge select 'Merge Now'. Cases will be automatically deleted when the new case record is created.

Information Classification Procedure

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