



**The Surplus Line Association of Oregon
Oregon Surplus Line Automation Suite
Bulk Data Submission Guide**



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Purpose

The purpose of this document is to provide technical information on the Surplus Line Association of Oregon (SLAOR) bulk data submission process. The bulk data submission process can be used by licensees to electronically submit policy data in bulk to SLAOR. This document describes the bulk data submission process and includes technical specifications.

The intended audience for this document includes technical resources that will work with the licensee to extract policy data from the licensee's data management system for the purpose of creating submissions to SLAOR. Technical resources typically include system architects, designers and developers with computer programming experience. It is assumed the reader of this document has an understanding of XML (Extensible Markup Language) and HTTP protocols.

Additional information on the bulk data submission process, including the XML Schema and example upload files, can be found online within the SLIP section of SLAOR's website (<http://www.oregonsla.org>).

Introduction

The Surplus Lines Information Portal (SLIP) is a web-based system that allows licensees to electronically submit policy information to SLAOR. Within SLIP, licensees have two options to electronically submit policy data:

1. SLIP Manual Method - Data is entered manually through the SLIP website interface.
2. XML Bulk data Submission Method - Data for one or more policies (in the form of an XML Document) is uploaded to SLIP.

The help files and video tutorials contained within SLIP provide instructions for submitting policy data using the Manual Method and will not be addressed in this document.

The XML Bulk Data Submission Method

The XML Bulk Data Submission Method allows licensees to submit policy and transaction data for multiple policies at once in a single bulk data process. This process will especially benefit licensees that file a large amount of policy data with SLAOR since a single XML file may contain information for multiple policies.

Licensees that store data in a centralized data management system can make use of the XML Bulk Data Submission Method. The following list provides a high-level list of the steps contained within the bulk data submission process:



1. The licensee will generate an XML file containing the policy data they wish to submit to SLAOR. Typically, the XML file will include policy data that was added or modified within a specified date range or since the last XML bulk data submission.
2. The licensee may also include any associated policy documentation (PDF is the preferred format) that is associated with the policy data contained within the XML file. The policy documents will be referenced by filename within the XML file.
3. The licensee will create a zip file containing the XML file and the associated policy documentation (again, referenced by filename within the XML file).
4. The licensee will log in to SLIP to upload the zip file containing the XML file and all associated documents.

Prerequisites for the XML Bulk Data Submission Method

Licensees may submit policy data using the XML Bulk Data Submission Method if the following requirements are met:

1. A SLIP user account must exist for a submitting licensee. SLAOR will create one administrative user account for each participating licensee. The administrative user within each licensee will have the ability to create other user accounts for that licensee.
2. SLIP requires Internet Explorer version 8, Firefox 4, or Google Chrome 3 and higher.
3. A License Number is required within the XML file for the submitting licensee. To identify your License Number, please go to the SLAOR website (<http://www.oregonsla.org>) and search for your licensee within the Licensees section.

The XML Bulk data Submission Process

This section identifies the steps required to create and submit policy information using the XML bulk data submission process. The following section (Section 4 - Bulk Data File Guidelines) outlines the requirements of the XML file.

Create Bulk Data File

The bulk data file is a zip file that contains one XML file (including policy data on one or more policies) and policy documentation (electronic copies of Dec Sheets, Supplemental Dec's, Forms List, etc.). The creation of the bulk data file will require the involvement of a technical resource that is familiar with XML and the data management system in use by your licensee. There are several different data management systems in use by licensees throughout the country; therefore, this document cannot provide step-by-step instructions on how to extract policy data from your specific data management system. Rather, this document identifies the structure and formatting requirements of the bulk data submission in its final form.

The first step in the creation of the bulk data file is to identify the criteria in which policy data should be extracted from the licensee's data management system. Typically, licensees extract data based on a specified date range or some other criteria indicating a submission to SLAOR is required.

Once the criteria to extract policy data is identified for your data management system, a technical resource must create the XML file that contains the policy data. For details on the required format and structure of the XML file, please refer to Section 4 – Bulk Data File Guidelines. Also, an XML schema is available on the SLAOR website under the SLIP – Bulk Data Reporting Procedures section. The XML schema identifies technical constraints on the content and structure of the XML file. Also, the XML schema can be used to validate the XML file prior to submission.



In addition to submitting policy data, the licensee may also include policy documentation associated with the policy data contained within the XML file. The policy documentation contained within the bulk data submission must be individually named for each policy transaction (New Business, Additional Premium, Return Premium, etc.) and referenced by filename within the appropriate section of the XML file for each transaction. The file formats that can be accepted within the bulk data file include PDF, TIFF, and JPG. PDF is the preferred format.

Once the XML file is created and the policy documents have been identified and/or extracted from the data management system, all of the files should be included in one zip file for submission to SLAOR.

Note: The system will not accept Microsoft Excel files saved as XML Data or XML Spreadsheet file types. Please follow the XML format described in this document and identified within the XML Schema to create the XML file.

Log in to SLIP

Using Internet Explorer, version 6 or higher, go to the following website: <https://slip.oregonsla.org>. Enter your username and password. This will establish a secure connection and validate your identity.

If you are a surplus lines licensee and you do not have a username and password, please contact SLAOR at (503) 718-6700. SLAOR will create one administrative user for each licensee. The administrative user for each licensee will have the ability to create other users for that licensee.

Upload and Submit the Bulk Data File

Go to the Bulk data Submission page in SLIP. Following the instructions on this page, browse to and select the compressed zip file containing the XML file and associated policy documents (PDF, TIFF, or JPG). Submit the file for upload.

SLIP Validates the File

Upon successfully uploading a bulk data file in SLIP, the system will queue the submission for processing. When the system is ready to process the submission, the validation process will begin.

The first step in the validation process is to validate the format and structure of the XML file as identified in the XML Schema. This step must be successfully completed before any additional processing can take place. If the initial validation process is successful, the XML file will continue to the secondary validation process. The secondary validation process validates the policy data contained within the XML file itself. If either validation process is unsuccessful, the file will be rejected. The XML file format and/or data will have to be corrected and resubmitted.

Whether the file is accepted or rejected, an e-mail will be sent to the submission contact identified within the XML file. If the submission was successful, the email will include the filing number and filing date. If this submission was rejected, the email will contain the date and time the file import was attempted and the reason(s) the file was rejected. In both scenarios, the Bulk Data Submission page within SLIP will display the processing status of any submission.

Monitor the Bulk Data Submission Status

After confirming your bulk data file was successfully uploaded in SLIP, you may monitor the XML filing progress in the SLIP Bulk Data Submission page. The page will contain the date the file was submitted and received by SLAOR. Rejected submissions should be corrected and resubmitted in a timely manner. The following list defines the XML bulk data statuses.



1. Received – The file has been successfully uploaded into SLIP and is waiting for processing.
2. Accepted for Import - The XML file has been validated by the initial validation process (XML schema validation) and is ready for import.
3. Rejected for Import - The XML file failed the initial validation process (XML schema validation) and cannot be imported. An email will be sent identifying the submission error(s).
4. Submission Rejected – The XML file failed the secondary validation process (policy data validation) and cannot be imported. An email will be sent identifying the submission error(s).
5. Submission Accepted with Errors – The XML file was successfully processed and imported; however, there were some acceptable errors. An email will be sent confirming a successful submission.
6. Submission Accepted – The XML file was successfully processed. An email will be sent confirming a successful submission.

Bulk Data File is Accepted or Rejected

If the file has been accepted for import, no further action is required. As mentioned in section 3.5, you may monitor the XML import process on the Bulk Data Submission page.

If the file has been rejected for import, you must correct the issue(s) identified in the rejection email and resubmit the bulk data file. If you have questions regarding bulk data file rejection or resubmission, please contact SLAOR at (503) 718-6700.

Bulk Data File Guidelines

Bulk Data File Size and Structure

The bulk data zip file size cannot exceed 200 MB. The root of zip file should contain one XML file and the policy documents associated with the filings in the XML file. The zip file should not contain any subfolders.

Bulk Data File Name

The file name is limited to 250 characters. There is no required naming convention, however, it is recommended that you create filenames that make it easy to maintain and track your submissions. We suggest that you include the submission date and time in the file name. For example, 20100501_0930_Bulk.zip (*date_time_Bulk.zip* or *CCYYMMDD_HHMM_Bulk.zip*) would indicate the bulk data was created on 05/01/2010 at 9:30 AM.

HTML (XML) Encoding

The complete XML file must be HTML Encoded before it is submitted. Failure to do so may result in processing delays and rejections. A typical rejection error is an “Invalid XML” message.

Several special characters are reserved and cannot be used directly in XML element or attribute data. Replace them with XML Entity references or XML Encoded text. These special characters act as flags to the parser; they delimit the document’s actual content and tell the parser to take specific actions. These special characters, therefore, must be represented in their encoded format:

Character Name	Reserved Character	Entity Reference
Ampersand	&	&
Apostrophe	'	'
Quote	“	"



Less Than	<	<
Greater Than	>	>;

Initial File Validation and Rejection

If the document fails ANY of the validations identified below, the ENTIRE bulk data file will NOT be accepted.

The following items describe the initial file validation process completed by SLIP.

1. Parse the document and check that the document is well-formed.
2. Check the XML file document against the XSD (XML Schema Definition) file.
3. Check the length of all data elements to ensure they do not exceed maximum lengths.
4. Check that all required data elements are present (e.g. policy number, transaction type, coverage code, etc.).
5. Check that values of the specified elements comply with the detailed XML document requirements (Section 4.7) and the XML schema (Section 4.8).
6. Check that the document file names (policy documentation) contained within the zip file match those listed in the XML file.
7. Check that all associated policy document types are PDF, TIFF, or JPG. Any other format will not be accepted.
8. Check that each associated policy document (contained in the zip file) is less than or equal to 2 MB.

If any of the file data is invalid, the system will reject the entire file. An email will be sent to the SLIP user explaining the rejection and requesting resubmission. The user must correct the data file and resubmit it through SLIP. If the data file is valid, the file will be imported into a temporary queue for policy-level data validation.

Policy Data Validation and Rejection

If the policy data contained within the XML file fails ANY of the following validations, the ENTIRE bulk data file will NOT be accepted.

The following items describe the secondary validation process completed by SLIP.



1. Check for complete policy data. Data must be included for all required policy fields.
2. Check for a valid licensee and license number. The license number is the surplus lines licensee license number. The license number can be found online at <http://www.oregonsla.org> under the Licensees section.
3. Check to ensure the XML bulk data file isn't attempting to modify a previously submitted policy transaction that has already been registered by a SLAOR Examiner. For more information, please see Section 4.6 – Updating Previously Submitted Policy Data.
4. Accept and/or reject file. An e-mail will be sent to the submission contact to confirm the acceptance or rejection of the file. If the file has been rejected, the message will contain a detailed description of the problem(s) and instructions to correct and resubmit the file. The user must correct the data file and resubmit it through SLIP.

Updating Previously Submitted Policy Data

The XML bulk data submission process will allow a licensee to update previously submitted policy and transaction data if it has not been registered by a SLAOR Examiner since the initial submission. When policy data is initially submitted through the bulk data submission process, the licensee has the ability to provide a Transaction ID that will uniquely identify a particular policy transaction within SLIP. The Transaction ID will be used to uniquely identify a previously submitted policy transaction allowing the licensee to update selected data.

The Transaction ID is a unique alphanumeric value that will uniquely identify a policy transaction record for a licensee that will never be re-used by the licensee to identify any other policy transaction records for that licensee. Typically, the Transaction ID will be a unique identifier within the data management system used by the licensee.

Proper use of the Transaction ID will allow the licensee to modify data on a previously submitted (non-registered) transaction, with the following exceptions:

- Transaction Type cannot be modified.
- Policy Number cannot be modified if there are any other registered transactions on the policy.

The following rules apply to the use of the Transaction ID to update policy transaction information.

1. If a Transaction ID is provided in a bulk data submission and is not found within SLIP, the transaction will be added as a new transaction.
2. If a Transaction ID is provided in a bulk data submission and is found within SLIP, it will update the existing transaction with the data contained in the bulk data submission provided the existing transaction is unregistered. Registered transactions cannot be modified using the Transaction ID. If you need to change or delete a registered transaction, you may submit a "Backout" transaction through the bulk data submission process or manually through the SLIP interface. For more information about transaction types, please refer to the SLIP help files contained within SLIP.
3. If a Transaction ID is provided in a bulk data submission and is found within the system on a transaction that is already registered, the entire bulk data submission will be rejected.



Table of XML Fields

The table below outlines the specific values for the required elements in an XML schema that is prepared for the Bulk Data Submission Method. In the table, every element is individually addressed and a sample of the XML Structure is provided. The XML Structure provides an example of the hierarchy and structural format that the submitted XML will be validated against. The XML structure is followed by a brief description of the element and the element's occurrence and length requirements

For additional detail on the required format for the XML and/or the allowable values contained within the XML, please refer to the XML Schema file and bulk data upload examples contained within the SLIP – Bulk Data Reporting Procedures section of the SLAOR website (<http://www.oregonsla.org>).

The following table represents the full file XML file, explained, for standard policies.

XML Structure	Description	Occurrence		Length	
		Min	Max	Min	Max
- <Filings xmlns="http://www.oregonsla.org/docs/XMLSchema/Agent" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" Version="1.0">	Consists of all the policies submitted in the bulk data	1	1	-	-
- <Submission_Contact>	Contact information of the person who will submit the XML file	1	1	-	-
- <Full_Name>	Full name of the submission contact	1	1	-	-
<First_Name>Test</First_Name>	First name of the submission contact	1	1	1	50
<Middle_Name>Test</Middle_Name>	Middle name of the submission contact	0	1	0	30
<Last_Name>Tester</Last_Name>	Last name of the submission contact	1	1	1	50
<Suffix_Name>Tester</Suffix_Name>	Suffix of the submission contact	0	1	0	30
</Full_Name>	Ending Element				
<Email>Test@bulkexample.com</Email>	Email address for the submission contact	1	1	1	75
+ <Address>	Address for the submission contact	1	1	-	-
<AddressLine1>1901 Example Lane</AddressLine1>	Street Address (Line1) for the submission contact	1	1	1	50
<AddressLine2>Suite 118</AddressLine2>	Street Address (Line2) for the submission contact	0	1	0	50
<City>Portland</City>	City for the submission contact	1	1	1	30
<State>FL</State>	State for the submission contact (official state abbreviations)	1	1	2	2
<ZipCode>32312</ZipCode>	Zip code for the submission contact (5 digits + optional 4)	1	1	5	9



</Address>
<Phone>8503831011</Phone>
<Phone_Extension>999</Phone_Extension>
<Fax>8503831015</Fax>
</Submission_Contact>
- <Reporting_Agency>

<License_Number>100166412</License_Number>

<Agency_Name>HORIZON INSURANCE GROUP INC</Agency_Name>
- <Policies>

- <Policy Xml_PolicyID="1">

<Policy_Number>SampleStandard511</Policy_Number>

<Inception_Date>2017-01-01</Inception_Date>
<Expiration_Date>2018-01-01</Expiration_Date>

<Until_Cancelled>0</Until_Cancelled>

<Insured_Name>Insured Thing</Insured_Name>
<Master_Policy>1</Master_Policy>
<Multi_State>0</Multi_State>

Ending Element				
Phone number for the submission contact	1	1	1	10
Extension for the submission contact	0	1	0	5
Fax number for the submission contact	0	1	0	10
Ending Element				
Reporting licensee details	1	1	-	-
The license number for the licensee as reported by the NAIC SBS. See the licensee list on the SLAOR website (www.oregonsla.org)	1	1	1	9
The name of the reporting licensee	1	1	1	150
Data about the policies within the bulk file	1	unbounded	-	-
This is the beginning of a policy record. The Xml_Policy ID must be unique for this submission as it is used to communicate the location of possible submission errors.	1	1	-	-
Policy number	1	1	1	50
Inception date of the policy (YYYY-MM-DD)	1	1	10	10
Expiration date of the policy (YYYY-MM-DD)	0	1	10	10
Designates whether the policy is in effect until cancelled (0=false, 1=true). If Until_Cancelled=1 then no Expiration_Date required.	1	1	1	1
Name of insured as appears on policy	1	1	1	150
Designates whether the policy is a Master Policy	1	1	1	1
Designates whether the policy is Multi-State. Must be zero.	1	1	1	1



<Exempt_Commercial_Purchaser>0</Exempt_Commercial_Purchaser>

<Risk_Purchasing_Group>0</Risk_Purchasing_Group>

- <Insurer_List>

- <Insurer Xml_InsurerID="1">

<Insurer_NAIC>10349</Insurer_NAIC>

<Insurer_Name>ACCEPTANCE CASUALTY INSURANCE
COMPANY</Insurer_Name>

<Percentage>100</Percentage>

</Insurer>

</Insurer_List>

- <Transactions>

- <Transaction Xml_TransactionID="1">

<Agency_Transaction_ID>TestTester1</Agency_Transaction_ID>

<Transaction_Type>1</Transaction_Type>

<Effective_Date>2017-02-02</Effective_Date>

- <Diligent_Search_Statement>

<DSS_Producing_Agent>Jane Doe</DSS_Producing_Agent>

<DSS_Agency_Name>Sample Agency</DSS_Agency_Name>

<DSSAcknowledged>1</DSSAcknowledged>

- </Diligent_Search_Statement>

Designates whether the policy is for an Exempt Commercial Purchaser	1	1	1	1
Designates whether the policy is for a Risk Purchasing Group	1	1	1	1
List of insurers for the policy	1	1	-	-
The unique ID for the insurer in the list. This must be unique for the policy.	1	unbounded	-	-
The NAIC Number for the insurer.	1	1	1	10
Name of the insurer	1	1	1	75
Percent participation of the insurer	1	1	1	12
Ending Element				
Ending Element				
Transactions for the policy	1	1	-	-
A unique ID for the transaction, this must be unique within the policy.	1	unbounded	-	-
A unique ID assigned to the transaction by the licensee. Use this number when updating the transaction.	0	1	1	20
The transaction type (must be a SLAOR transaction type)	1	1	1	3
The effective date of the transaction	1	1	10	10
Diligent Search Statement information. Required for these transaction types: New Business (1), Policy Renewal (5), Extension greater than 90 days (9), or Master Certificate (17).	0	1	-	-
The first and last name of the producing agent who is acknowledging that the diligent search was performed.	1	1	1	50
The name of the agency which performed the diligent search.	1	1	1	150
Use 1 to indicate the diligent search has been performed.	1	1	1	1
Ending Element				



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- <Affordable_Housing>

<Qualifies_as_Affordable_Housing>1</Qualifies_as_Affordable_Housing>

- </Affordable_Housing>

- <Locations>

- <Location Xml_LocationID="1">

<State_of_Risk>OR</State_of_Risk>

- <Coverage>

- <Coverage_Codes>

<Coverage_Code>0008</Coverage_Code>

<Premium>150.50</Premium>

</Coverage_Codes>

<Licensee_Fees>20.50</Licensee_Fees>

<Other_Fees>35.25</Other_Fees>

</Coverage>

</Location>

</Locations>

- <Documents>

- <Document Xml_DocumentID="1">

<Document_Name>pdf.pdf</Document_Name>

<Document_Type>1</Document_Type>

</Document>

</Documents>

Affordable Housing instead of Diligent Search Statement. May be applied for these transaction types: New Business (1), Policy Renewal (5), Extension greater than 90 days (9), or Master Certificate (17).	0	1	-	-
Use 1 to indicate the transaction qualifies as affordable housing.	1	1	11	
Ending Element				
The locations where risks are located. As of this writing, each transaction will have one and only one location and that will be within the state of Oregon.	0	1	-	-
A unique ID for the location within the transaction. This value should always be 1.	1	unbounded	-	-
The two character postal abbreviation for state of risk for the location. Only OR (Oregon) is valid.	0	51	2	2
The container for coverage within the location for the transaction.	1	1	-	-
The coverages for the location in the transaction.	1	unbounded	-	-
The coverage code (must use SLAOR coverage type code)	1	1	4	4
Premium for the coverage code	0	1	1	12
Ending Element				
Licensee fees for the location	0	1	1	12
Any other fees for the location in the transaction	0	1	1	12
Ending Element				
Ending Element				
Ending Element				
The documents for the transaction	1	1	-	-
A unique ID for the document	0	unbounded	-	-
The exact name of the document included for the transaction	0	1	1	150
The document type (you must use an approved document type)	0	1	1	2
Ending Element				
Ending Element				



</Transaction>	Ending Element
</Transactions>	Ending Element
</Policy>	Ending Element
</Policies>	Ending Element
</Reporting_Agency>	Ending Element
</Filings>	Ending Element

The following schema illustrates how the Policy node should be configured for a Change Request type transaction:

XML Structure	Description	Occurrence		Length	
		Min	Max	Min	Max
- <Policies>	Data about the policies within the bulk file	1	unbounded	-	-
- <Policy Xml_PolicyID="1">	This is the beginning of a policy record. The Xml_Policy ID must be unique for this submission as it is used to communicate the location of possible submission errors.	1	1	-	-
<Policy_Number>SampleChangeRequest1</Policy_Number>	Policy number	1	1	1	50
<Inception_Date>2017-01-01</Inception_Date>	Inception date of the policy (YYYY-MM-DD)	1	1	10	10
<Expiration_Date>2018-01-01</Expiration_Date>	Expiration date of the policy (YYYY-MM-DD)	0	1	10	10
<Until_Cancelled>0</Until_Cancelled>	Designates whether the policy is in effect until cancelled (0=false, 1=true). If Until_Cancelled=1 then no Expiration_Date required.	1	1	1	1
<Insured_Name>Insured Thing</Insured_Name>	Name of insured as appears on policy	1	1	1	150
<Master_Policy>1</Master_Policy>	Designates whether the policy is a Master Policy	1	1	1	1
<Multi_State>0</Multi_State>	Designates whether the policy is Multi-State. Must be Zero.	1	1	1	1
<Exempt_Commercial_Purchaser>0</Exempt_Commercial_Purchaser>	Designates whether the policy is for an Exempt Commercial Purchaser	1	1	1	1
<Risk_Purchasing_Group>0</Risk_Purchasing_Group>	Designates whether the policy is for a Risk Purchasing Group	1	1	1	1
- <Insurer_List>	List of insurers for the policy	1	1	-	-
- <Insurer Xml_InsurerID="1">	The unique ID for the insurer in the list. This must be unique for the policy.	1	unbounded	-	-



```
<Insurer_NAIC>10349</Insurer_NAIC>

<Insurer_Name>ACCEPTANCE CASUALTY INSURANCE
COMPANY</Insurer_Name>
<Percentage>100</Percentage>
</Insurer>
</Insurer_List>
- <Transactions>
- <Transaction Xml_TransactionID="1">

<Agency_Transaction_ID>TestTester1</Agency_Transaction_ID>

<Transaction_Type>11</Transaction_Type>
<Effective_Date>2017-02-02</Effective_Date>
- <Documents>

<Document Xml_DocumentID="1">

<Document_Name>pdf.pdf</Document_Name>

<Document_Type>1</Document_Type>

</Document>
</Documents>
- <Change_Request>

<New_Policy_Number>SLABATCHSAMPLE2</New_Policy_Number>
<New_Expiration_Date>2017-02-01</New_Expiration_Date>
<New_Insured_Name>Insured Thing Two</New_Insured_Name>
</Change_Request>
</Transaction>
</Transactions>
```

The NAIC Number for the insurer.	1	1	1	10
Name of the insurer	1	1	1	75
Percent participation of the insurer	1	1	1	12
Ending Element				
Ending Element				
Transactions for the policy	1	1	-	-
A unique ID for the transaction, this must be unique within the policy.	1	unbounded	-	-
A unique ID assigned to the transaction by the licensee. Use this number when updating the transaction.	0	1	1	20
The transaction type (must be a SLAOR transaction type)	1	1	1	3
The effective date of the transaction	1	1	10	10
The documents for the transaction	1	1	-	-
A unique ID for the document	0	unbounded	-	-
The exact name of the document included for the transaction	0	1	1	150
The document type (you must use an approved document type)	0	1	1	2
Ending Element				
Ending Element				
The change request transaction information	0	unbounded	-	-
Requested policy number	0	1	1	50
Requested expiration date of the policy	0	1	10	10
Requested name of insured	0	1	1	150
Ending Element				
Ending Element				
Ending Element				



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</Policy>

Ending Element



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XML Schema

An additional XML Schema sample is available on the SLAOR website (<http://www.oregonsla.org>) under the SLIP- Bulk Data Reporting Procedures section.

Frequently Asked Questions

The following list identifies frequently asked questions from technical resources concerning the XML Bulk Data Upload:

Do I need a SLIP account to submit a Bulk Data file?

Answer: Yes, a SLIP account is required to submit policy data using the XML Bulk Data Upload Method.

Can I use Excel to export a file to Bulk Data File?

Answer: The data contained within a bulk data submission must be in XML format. XML is a different way of storing data than Excel. XML is the leading standard for data exchange providing several inherent benefits, including data validation, structural enforcement, and platform independence. Please work with your technical staff to prepare your file appropriately.

What is the "Licensee_Number" element in the XML Schema? Where can I find this information?

Answer: The Licensee Number element refers to a unique identification number that is assigned to each licensee. Your Licensee Number can be found on our website under the Brokers/Carriers section.

What is the "Transaction_ID" element used for in the XML Bulk Data Upload Method?

Answer: The Transaction ID is a unique alphanumeric value provided by the licensee used to uniquely identify a policy transaction submitted using the Bulk Data Upload Method. The purpose of the Transaction ID is to provide the ability for a licensee to update previously submitted policy transactions using the Bulk Data Upload Method. When the Bulk Data Upload Method receives a Transaction ID, it will search for the existence of a previously submitted Transaction ID with the same value. If the Transaction ID is found, it will attempt to modify the previously submitted transaction with the new data provided in the subsequent submission. The Transaction ID should be a unique value spanning all bulk data submissions.

Can the Bulk Data Upload Method modify previously submitted transactions?

Answer: You can modify previously submitted transactions using the Bulk Data Upload Method provided the transaction(s) you wish to modify were previously submitted using the Bulk Data Upload Method, a unique Transaction ID was provided in the initial submission, and the transaction(s) have not already been registered by the Surplus Line Association of Oregon.



How can I generate a bulk data file from our data management system?

Answer: *You will need to work with your IT staff to identify the best method to export data from your data management system in the required format. There are several resources available on our website providing detail about the Bulk Data Upload Method including a Bulk Data Reporting Procedures Manual, example bulk data files, and an XML Schema.*

Can I use the Bulk Data Upload Method and also use the Manual Submission Method?

Answer: *Yes, the system can handle this, but it is recommended you use only one method to avoid the possibility of duplicating filing submissions.*

Can I manually update a policy transaction that has been submitted through the XML Bulk Data Upload Method?

Answer: *Yes, you can manually update transactions in SLIP that were submitted through the Bulk Data Upload Method. However, this cannot work the other way around; you will not be able to modify transactions using the Bulk Data Upload Method unless the transaction was originally entered through the Bulk Data Upload Method and a unique Transaction ID was provided.*

How often can I upload a bulk data file?

Answer: *There is no restriction on how often a bulk data may be uploaded.*

Additional XML Information

XML creation software may help you examine and work within the parameters of the XML schema. These tools include Liquid XML Studio, Stylus XML Studio, XML Spy, and others. XML creation software will also validate your file prior to submission.

The following websites contain valuable information regarding the XML Standard and the UCC XML Standard, as well as some information concerning XML tools.

- <http://www.w3.org/XML>
- <https://www.iaca.org/secured-transactions/xml-technical-specifications/>
- <http://www.xml.org>
- <https://msdn.microsoft.com/en-us/library/aa286548.aspx>
- <http://www.xml.com>
- <http://www.w3schools.com/xml/default.asp>
- https://www.w3schools.com/xml/schema_intro.asp