# INCOMING CORRESPONDENCE AND FUNDS RECEIVED

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INCOMING CORRESPONDENCE AND FUNDS RECEIVED (ICFR) SYSTEM

This is the User Guide for the Incoming Correspondence and Funds Received system which is the system GOAS reviewers use to complete and submit Housed ICFR logs, as well as review and submit Detached ICFR Logs. Agency Reviewers and Managing Partners use this system to review and sign off on Housed and Detached ICFR logs. This online system is accessible via the below link.

ICFR System

You will be presented with the below screen when you log into the ICFR system. The Navigation bar on the main screen displays 3 tabs – Home, Office, and User. You will see 4 Title Buttons within the ’Home’ tab.

The Title Buttons you will see depend on your role:

<table>
<thead>
<tr>
<th>Role</th>
<th>Title Buttons</th>
</tr>
</thead>
<tbody>
<tr>
<td>GOAS Reviewer</td>
<td>Current Logs, Late/Delinquent, Red Flags/Deficiencies, and Logs Awaiting Review</td>
</tr>
<tr>
<td>Agency Reviewer</td>
<td>Logs Awaiting AR Review, Late/Delinquent, Red Flags/Deficiencies, and Logs Awaiting Review</td>
</tr>
<tr>
<td>Managing Partner</td>
<td>Logs Awaiting MP Review, Late/Delinquent, Red Flags/Deficiencies, and Logs Awaiting Review</td>
</tr>
</tbody>
</table>

The definitions of each Title Button are:

- **Current Logs**: These are either housed logs that need to be completed and submitted, or detached logs that need to be reviewed and forwarded to the AR or MP. Housed logs will have a status of ‘open’ or ‘in progress.’ Detached logs will have a status of ‘submitted.’ The tile will also include housed logs that have not been submitted by their due dates (statuses of ‘submission – late’ or ‘delinquent’).

- **Late/Delinquent**: These are late logs that are not submitted by their due date. These logs also appear in the Current Logs tile for a GOAS reviewer only.

- **Red Flags/Deficiency**: These are logs that have open ‘red flags’ or ‘deficiencies.’

- **Logs Awaiting Review**: These are logs that require review. They have the following statuses: ‘Submitted;’ ‘GOAS Review – Late;’ ‘GOAS Review – Completed;’ or ‘Agency Review – Completed.’ We will be enhancing this tile to include all logs that are not yet in the ‘closed’ status.

- **Logs Awaiting AR Review**: These are logs that require AR review.

- **Logs Awaiting MP Review**: These are logs that require MP review.
For a GOAS Reviewer, logs that need to be completed will be listed in your 'Current Logs' tile. Click 'Current Logs' and you will be presented with the logs you need to complete and submit, or review and forward.

You will see the same 8 columns in all 4 tiles. The definitions of each column are:

<table>
<thead>
<tr>
<th>Column</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Log Name</td>
<td>This column displays the name of the log. For Housed logs, you will see the General Office or Sales Office name plus the date of the log. For Detached logs, you will see the RR's Name, Code Number, the word 'Primary,' 'MBO1,' 'MBO2,' etc., depending on the number of detached locations, and the start date of the log (Saturday).</td>
</tr>
<tr>
<td>Log Type</td>
<td>This column displays the type of log – Housed or Detached.</td>
</tr>
<tr>
<td>Submission Due Date</td>
<td>This column displays the GOAS reviewer's due date for a Housed log. This column also displays a Detached RR's due date for a Detached log. If the log is not submitted by the due date, the log appears in red font.</td>
</tr>
<tr>
<td>GOAS Review Due Date (Detached)</td>
<td>This column displays the GOAS reviewer's due date for a Detached log. If the log is not submitted by the due date, the log appears in red font. This field will be blank for a Housed log.</td>
</tr>
<tr>
<td>Status</td>
<td>This column displays the status of the log. Examples include: open, in progress, submitted, GOAS review – completed, Agency Review – completed, MP review – completed, closed.</td>
</tr>
<tr>
<td>D</td>
<td>This column reflects whether or not there is a deficiency connected to the log.</td>
</tr>
<tr>
<td>RF</td>
<td>This column reflects whether or not there is a red flag connected to the log.</td>
</tr>
<tr>
<td>Assign To</td>
<td>This column displays who the log is assigned to (Detached RR, GOAS reviewer, Agency Reviewer, or Managing Partner).</td>
</tr>
</tbody>
</table>

Click on the blue log name to begin completing/reviewing the log. The log name will appear in pink once it is selected.
The below screen shot is an image of the **Housed** Incoming Correspondence/Funds Received Log Form.

- The **RR Name** displays ‘All (All)’ for all Housed logs.
- The **Office** field displays the General Office or Sales Office name.
- The **Bates From,** **Bates To,** and **Total Bates Received** fields automatically populate based on what is entered into the log.
- The **Log Type** displays Housed for all Housed logs.
- The **Log Ending** date displays the ending date of the log.
- The **Submission Due Date** is the GOAS reviewer’s due date (1 business day after the Log Ending Date).
- The **Final Review Due Date** is the due date for the Agency Reviewer and Managing Partner (10 business days after the date the GOAS reviewer submits the log).
- The log status displays dates once each stage of the process is completed. You can see below that the log was opened on 8/8/17. The date and reviewer name will populate under GOAS Review, Agency Reviewer Review, and Managing Partner Review once each person completes his/her review of the log.
- Messages will appear at the bottom of the log, in red or green font, in order to provide you with information to assist you in completing the logs.
- You have the ability to view additional logs awaiting your review from this Log Form page by clicking the arrows that may appear on the left and right hand sides of the screen.

In rare circumstances of an office closure, you have the ability to disable a log. To disable a log, simply click the ‘Disable Log’ link and enter a reason for disabling the log. You can only disable a log when the log status is ‘open,’ which means before details are entered into the log.

You have two options for where to send a completed log. You can either forward the log to the Agency Reviewer or to the Managing Partner. The process of forwarding logs will be addressed later in this User Guide. The buttons will appear greyed out until the log is completed.
The below screen shot is an image of the **Detached** Incoming Correspondence/Funds Received Log Form.

- The 'RR Name' field displays the RR’s Name and Code number for all Detached logs.
- The 'Office' field displays the RR Name, RR code number, and the word Primary for his/her primary MBO, MBO 1 for his/her secondary MBO, etc.
- The 'Location' field displays the RR’s Branch Office Address.
- The 'Bates From,' 'Bates To,' and 'Total Bates Received' fields automatically populate based on what is entered into the log.
- The 'Log Type' field displays 'Detached' for all Detached logs.
- The 'Log Ending' field displays the ending date of the log.
- The 'Submission Due Date' displays the Detached RR’s due date (1 business day after the Log Ending Date).
- The 'GOAS Review Due Date (Detached)' displays the GOAS reviewer’s due date (1 business day after the Detached RR submits his/her log).
- The 'Final Review Due Date' displays the due date for the Agency Reviewer and Managing Partner (10 business days after the date the GOAS reviewer forwards the log).
- The log status will display dates once each stage of the process is completed. You can see below that the log was opened on 7/29/17 and the Detached RR submitted the log on 7/31/17. The additional dates and reviewer names will populate under GOAS Review, Agency Reviewer Review, and Managing Partner Review once each person completes his/her review of the log.
- You have the ability to view additional logs awaiting your review from this Log Form page by clicking the arrows that may appear on the left and right hand sides of the screen.

You have three options for where to send a completed log. You can forward the log to the Agency Reviewer, forward the log to the Managing Partner, or reject the log back to the Detached RR. The process of forwarding logs and rejecting logs will be addressed later in this User Guide.
If there is NTR (for a Housed Log)

You can check the ‘Nothing Received’ checkbox(es) if there is no Covered Correspondence and/or Funds Received on that particular day. Once both boxes are checked, you will see the two forward log buttons become enabled. By selecting one of the forward log buttons, the log is sent to the next reviewer for review.
Completing the Covered Correspondence Section

You can add Covered Correspondence onto the log by selecting the ‘add new’ button next to the Covered Correspondence Disposition Form.
Once the ‘add new’ button is selected, you will then be presented with the below image (the Details View screen).

You are required to complete the following fields:

**Registered Rep:** Select the RR’s name associated with the correspondence. Please note, text cannot be entered into this field. If the RR’s name is not in the drop down, select ‘Other’ and another box will appear where the RR’s name should be typed in.

**Bates:** Enter the bates number in the bates field.

**Date Received:** Select the calendar icon to pick the appropriate date or type in the date in the following format DD/MM/YYYY.

**Customer:** Enter the customer name.

**Type:** Select the drop down arrow to see the 7 available options. Please note, text cannot be entered into this field.

**Attachments:** Add the correspondence by selecting ‘Browse’ in this section and locating the scanned correspondence on your computer.

Please note: Only PDF type file attachments are acceptable for use in this application.

**IMPORTANT:** A physical scanner attached to your computer must be used to scan the correspondence. A multifunction printer or a flat bed scanner are recommended. Smartphone or tablet scanning apps are not allowed and cannot be used as they may store the scanned documents in unapproved cloud services.
Once the details of the bates entry have been entered, you have three options:

1. **SAVE**: This saves the details of the entry and brings up 3 additional fields.
2. **SAVE & ADD**: This saves the details of the entry and displays a blank Details View in order for you to enter details of another bates entry.
3. **Close**: This closes the details of the entry without saving what was entered.

If you need to delete the attachment added into the details of the bates entry, you can do so by selecting the trash can symbol circled below.
After hitting the ‘SAVE’ button, you will see the below 3 sections. These 3 sections are explained in detail later in this User Guide. You should hit the ‘Close’ button or the ‘x’ at the upper right-hand side of the screen to be taken back to the Log Form Page.
The details of the bates entry are now displayed under the Covered Correspondence Disposition Form section of this Log Form. If you want to delete the bates entry, you can hit the trash can symbol circled below.
Completing the Funds Received Section

You can add funds onto the log by selecting the ‘add new’ button next to the Funds Received Log.
Once the ‘add new’ button is selected, you will be presented with the below image (the Details View screen).

You are required to complete the following fields:

**Registered Rep:** Select the RR’s name associated with the funds. Please note, text cannot be entered into this field. If the RR’s name is not in the drop down, select ‘Other’ and another box will appear where the RR’s name should be typed in.

**Bates:** Enter the bates number in the bates field.

**Date Received:** Select the calendar icon to pick the appropriate date or type in the date in the following format DD/MM/YYYY.

**Check #:** Enter the check number. If the check number is not known, enter ‘Unknown’ in the field.

**Product Type:** Select the type of product.

**Payer:** Enter the payer.

**Payee:** Select the payee from the list of drop down options. Please note, text cannot be entered into this field. If the payee is not one of the listed options, select ‘Other’ and another box will appear where the Payee name should be typed in.
**Amount:** Enter in the amount of the funds.

**Type:** Select the fund's type from the list of drop down options. Please note, text cannot be entered into the drop down field. If the type is not one of the listed options, select 'Other' and another box will appear where the type should be typed in.

**Sent To:** Select where the funds are being sent from the list of drop down options. Please note, text cannot be entered into the drop down field. If the location is not one of the listed options, select 'Other' and another box will appear where the location should be typed in.

**Date Funds Sent:** Select the calendar icon to pick the appropriate date or type in the date in the following format DD/MM/YYYY.

**Existing Account:** Check this box if the funds are for an existing non NYL account.

**Attachments:** Add the copy of the funds by selecting 'Browse' in this section and locating the scanned funds on your computer.

Please note: Only PDF type file attachments are acceptable for use in this application.

**IMPORTANT:** A physical scanner attached to your computer must be used to scan the funds. A multi-function printer or a flat bed scanner are recommended. Smartphone or tablet scanning apps are not allowed and cannot be used as they may store the scanned documents in unapproved cloud services.

Once the details of the bate entry have been entered, you have three options:

1. **SAVE:** This saves the details of the entry and brings up 3 additional fields.
2. **SAVE & ADD:** This saves the details of the entry and displays a blank Details View in order for you to enter details of another bates entry.
3. **Close:** This closes the details of the entry without saving what was entered.
If you need to delete the attachment added into the details of the bates entry, you can do so by selecting the trash can symbol circled below.
After hitting the ‘SAVE’ button, you will see the below 3 sections. These 3 sections are explained in detail later in this User Guide. You should hit the ‘Close’ button or the ‘x’ at the upper right-hand side of the screen to be taken back to the Log Form Page.
Red Flag/Deficiency

After entering the details of a bates entry and hitting SAVE, you will see the below 3 sections. The red flag and deficiency section will be explained now.

**RED FLAG** section: If you find a ‘red flag’ in the correspondence or funds, you have 3 fields to populate:

- **Red Flag**: Select the appropriate red flag from the drop down list. Please note, text cannot be entered into this field. If the red flag isn’t in the drop down, select ‘other.’ Another field will populate where you can enter the red flag.
- **Action**: Enter what action is taken in this field.
- **Close Red Flag**: This check box MUST be checked in order to close out a red flag. This should only be checked once the red flag is closed.

Press ‘SAVE Red Flag’ to save the detail you added into the entry. You can add additional red flags and/or actions as needed. All of your red flag entries will remain displayed on the screen. A log with an open red flag can be forwarded to the Agency Reviewer and Managing Partner. If there are multiple ‘red flags’ select ‘other’ and enter various actions as appropriate. If you want to add a statement of explanation connected to the ‘red flag,’ attach the statement in the communication section explained later in this User Guide.

**DEFICIENCY** section: If you find a ‘deficiency’ in the correspondence or funds, you have 3 fields to populate:

- **Deficiency**: Enter the deficiency name.
- **Action**: Enter what action is taken in this field.
- **Close Deficiency**: This check box MUST be checked in order to close out a deficiency. This should only be checked once the deficiency is closed.
Press ‘SAVE Deficiency’ to save the detail you added into the entry. You can add additional deficiencies and/or actions as needed. All of your deficiency entries will remain displayed on the screen. A log with an open deficiency can be forwarded to the Agency Reviewer and Managing Partner. If you want to add a statement of explanation connected to the ‘deficiency,’ attach the statement in the communication section explained later in this User Guide. The deficiency section should note clerical errors.
Communication Feature

After entering the details of a bates entry and hitting SAVE, you will see the below 3 sections. The communication section will be explained now.

There are 2 ways to provide additional communication in a bates entry:

**Option 1: Add a communication without sending an email:** You can add specific comments in the message/comments field. You can also add an attachment via the browse button. Once all detail has been added, you can press the ‘SAVE/SEND’ button to save the communication. Hitting ‘CANCEL’ will not save the entry. The screen shot below displays what a saved communication looks like.
**Option 2: Add a communication and send an email:** You can add specific comments and/or an attachment as explained above in option 1. In addition, you can direct those comments and attachment to one or more individuals in the GO by checking the recipients' names in the 'To Respondent' field drop down. In addition, the 'Send Email' checkbox must be checked in order for an email to be sent.

Once all detail has been added, you can press the 'SAVE/SEND' button to save/send the communication. Hitting 'CANCEL' will not save the entry. The screen shot below displays what a saved email communication looks like.
If you want to include an attachment in a communication that was already added to the details of the bates entry, you can simply check the checkbox as shown below and send the communication as described above.

A communication can be sent until a log has been closed and sent to archive, which is explained in the Audit Trail section of this User Guide.
Viewing/Modifying Existing Entries

If you want to view or edit a previously created entry, click the ‘Edit’ buttons on the Log Form to be taken to the Details View screen of that particular entry.
If you want to edit that entry, click the 'Edit' button to change any one of the existing fields. Make any necessary changes and enter a reason in the 'Revision Comments' field before saving your changes.

The initial entry will move to the top of the screen and your edits will appear below.
Once the Log is Complete

Once the Log Form is complete, click on the ‘Forward Log for AR Review’ to send the log to the Agency Reviewer or ‘Forward Log for MP Review’ if there is no Agency Reviewer in your office.
If you select 'Forward Log for MP Review,' you'll be asked to enter a reason for skipping the Agency Reviewer. Choose from the available drop-down list. If you select ‘vacation,’ you will be asked to provide details in the free form text box - enter vacation dates in that field. You will also be asked to provide details if you select ‘other.’ Once the reason has been entered, hit ‘Save’ to send the log to the MP.
If you select 'Forward Log for AR Review,' the Log Status changes to 'GOAS Review – Completed' and the log is then 'InProgress' with the AR Reviewer.

If you select 'Forward Log for MP Review,' the Log Status changes to 'Agency Review – Completed' and the log is then 'InProgress' with the MP.
At times, the Agency Reviewer or Managing Partner may need to forward (reject) the log back to you for you to make edits to the log. You can identify a rejected log by 1) the Log Status – the log is back in your ‘Current Logs’ tile with a log status of ‘InProgress’ and 2) the reason for rejection appears in yellow highlight on the Log Form page.

Make any necessary changes and resubmit the log to the Agency Reviewer or the Managing Partner as explained earlier in this section.
Reviewing a Detached Log

A detached log can be identified by the 'Log Name,' the 'Log Type,' and the 'Status.'

- **Log Name:** RR's name, Code Number, Primary/MBO1/MBO2/etc, and the start date of the log
- **Log Type:** Displays the word detached for all Detached logs.
- **Status:** Detached logs have a status of 'Submitted' when they are submitted to the GO

If there is 'nothing received' in both the covered correspondence and funds received sections, you have the option of reviewing and forwarding the detached log to the Agency Reviewer via the box circled below, without opening the log. This can be accomplished by checking that box and hitting 'Approve.' After hitting the 'Approve' button, the log will disappear from your queue.
If there is Covered Correspondence or Funds Received entries on the log, you must click on the log name to review the detached log. You will then be presented with a completed Log Form page. Like with a Housed log, you can review the details of the log via the edit buttons and you can forward the log to the Agency Reviewer or the Managing Partner. See the section called 'Once the Log is Complete' for more detail on forwarding the log.
You also have the option of sending the log back to the Agent. Click on the 'Reject Log' button and enter a reason for the rejection in the Reason field. Press 'Reject Log' in this new box to send the log back to the Detached RR for changes. The Agent (and his/her staff, if applicable) will receive an email once the log has been rejected.
You can tell the log has been rejected because 1) the Log Status updates to 'InProgress,' 2) the reason for rejection appears in yellow highlight, and 3) the log is out of your 'Current Logs' tile.
Additional Direction for the Agency Reviewer

If there are any ‘Late/Delinquent logs,’ the Agency Reviewer’s default Home screen will be the ‘Late/Delinquent’ tile and it will be highlighted in yellow.
Otherwise, the default view for an Agency Reviewer will be the 'Logs Awaiting AR Review' tile – see below.

If there is 'nothing received' in both the Covered Correspondence and Funds Received sections, the Agency Reviewer has the option of approving the log via the box circled above, without opening the log. This can be accomplished by checking that box and hitting 'Approve.' The Agency Reviewer can review a specific log by clicking on the Log Name and subsequently clicking on the edit buttons in the Covered Correspondence and Funds Received sections.
The Agency Reviewer can make changes to the log via the edit feature addressed previously in this User Guide and he/she can add/modify/close out red flags and deficiencies. Once the log is reviewed, the Agency Reviewer can:

- complete the review of this log **
- send the log to the MP for review
- send the log to the Zone for review
- reject the log

If the Agency Reviewer sends the log to the MP or to the Zone for review, the log status will update to ‘AR Review – Completed.’ If the Agency Reviewer selects the ‘Complete Review’ button, the log status updates to ‘MP Review – Completed’ and the review of the log is complete.

** The ‘Complete Review’ button will only appear if 1) there are no red flags or deficiencies connected to the log, 2) the Agency Reviewer has obtained Zone permission to sign logs in lieu of the MP, and 3) Home Office Agency Standards has updated the ICFR system for the particular office.
If the Agency Reviewer forwards the log to the Zone, he/she will see the below screen. The Agency Reviewer will be asked to enter a reason for skipping the MP Review. Choose from the available drop-down list. If ‘vacation’ is selected, the Agency Reviewer will be asked to provide details in the free form text box - enter vacation dates in that field. The Agency Reviewer will also be asked to provide details if ‘other’ is selected. Once the reason has been entered, hit ‘Save’ to send the log to the Zone.
If the Agency Reviewer notices that changes need to be made to the log, he/she can select the ‘Reject Log’ button and enter a reason for the rejection. If the Agency Reviewer selects a Housed log to be rejected, the log will be sent to the GOAS reviewer. If the Agency Reviewer selects a Detached log to be rejected, the log will be sent to the Detached RR. The Agent (and his/her staff, if applicable) will receive an email once the detached log has been rejected.
By selecting the 'Reject Log' button, the log status changes back to 'InProgress' and the reason for the rejection is shown below the log status and in the Log Workflow History. The log then needs to be reviewed, revised, and resubmitted by the GOAS Reviewer or Detached RR.
Additional Direction for the Managing Partner

If there are any ‘Late/Delinquent logs,’ the Managing Partner’s default Home screen will be the ‘Late/Delinquent’ tile and it will be highlighted in yellow.
Otherwise, the default view for a Managing Partner will be the ‘Logs Awaiting MP Review’ tile – see below.

If there is ‘nothing received’ in both the covered correspondence and funds received sections, the MP has the option of approving the log via the box under the Approve column, without opening the log. This can be accomplished by checking the box circled above and hitting ‘Approve.’ The MP can review the entries completed by the GOAS reviewer, and reviewed by the Agency Reviewer, by clicking on the link of the Log Name and subsequently clicking on the edit buttons in the Covered Correspondence and Funds Received sections.
The MP can make changes to the log via the edit feature and he/she can add/modify/close out red flags and deficiencies, both of which are addressed earlier in this User Guide. Once the log is reviewed, the MP can either select ‘MP Review Complete’ or reject the log. If he/she selects ‘MP Review Complete,’ the log status will update to either ‘MP Review – Completed’ or ‘Closed.’ If there are open red flags or open deficiencies, the log status will remain ‘MP Review – Completed’ until all outstanding items are resolved. At that time, the log status will update to ‘Closed.’
If the Managing Partner notices that changes need to be made to the log, he/she can select the 'Reject Log' button and enter a reason for the rejection. If the Managing Partner selects a Housed log to be rejected, the log will be sent to the GOAS reviewer. If the Managing Partner selects a Detached log to be rejected, the log will be sent to the Detached RR. The Agent (and his/her staff, if applicable) will receive an email once the detached log has been rejected.
By selecting the 'Reject Log' button, the log status changes back to 'InProgress' and the reason for the rejection is shown below the log status and in the Log Workflow History. The log then needs to be reviewed, revised, and resubmitted by the GOAS Reviewer or Detached RR.
Adding Multiple Branch Office Locations

If a RR has a Multiple Branch Office location that requires an ICFR log to be completed and submitted, the GOAS Reviewer, the Agency Reviewer, or the Managing Partner must enter that MBO location in the ICFR system. The steps below explain how to create this Multiple Branch Office entry.

Step 1: Click on the ‘User’ tab

Step 2: Use the Office Search to find the Agent. Once found, hit the blue SEARCH button

Step 3: Click on the carrot symbol next to ‘Primary Office/Branch Office

Step 4: Type in the Agent’s Branch Office address, Phone Number (if known), and effective date. You can only enter a current or future date in the effective date field.

Step 5: Hit Save

Once you save your data, the log will appear for the RR to complete 1 day after your effective date. For example, if you add an MBO on 10/22 with 10/23 as the effective date, the log for week ending 10/26 should generate in the system on 10/23. If the MBO is not added by Friday, an MBO log will not appear in the system for week ending 10/26.

If the MBO is no longer used by the RR, hit the trash can symbol next to the MBO to stop log generation for that location.
Audit Trail

**Workflow Reversal:** If the Agency Reviewer (signing in lieu of the MP), Managing Partner, or Zone Standards Officer mistakenly signed off on a log and would like the log’s status reverted back to what it was before signing, please reach out to ICFR_System@newyorklife.com for assistance. The Home Office can change the status of the log, via a workflow reversal feature available to Home Office employees. However, this workflow reversal feature cannot change the status of a log that is already closed. What this means is the status of a log can only be changed the day of the unintentional signing.

**Log Comments:** You have the ability to add general comments about the log by clicking on the blue ‘Log Comments’ link. The below pop up will appear once you click on that link. Hit the ‘SAVE Log Comments’ button to save your comments and then hit ‘Close.’
**Archived Logs:** The view of a log changes once a log has been archived – see below. Once a log has been archived, changes to the log can only be made as an addendum.

Click on the 'Addendums' button marked above in red and you will see the below pop up. You can add any desired text in the free form field and/or you can add an attachment via the browse button. Hit 'SAVE Addendum' once all comments/attachments have been added.
In addition, if you select Log Workflow History, you will see a trail of what steps were taken for the specific log. In this case, 'Nothing to Report' was selected for both Covered Correspondence and Funds Received and the Agency Reviewer’s review was skipped because there was no Agency Reviewer in the office.

Lastly, you have the ability to print the entire log, including the attachments, by selecting the print button at the top of the Log Form page.
Click on the down arrow next to your name to log out of the system.

If you have any system related questions, or see anything missing from this User Guide, please send an email to ICFR_system@newyorklife.com. Any procedure related questions should continue to be asked to your Service Leader or Agency Standards Manager.
**Housed Office Override**

In case a Sales Office is without a GOAS employee for an extended time period, the system allows for an override to be entered to treat those RRs in that location as detached, if needed. The system will generate Detached logs for all those RRs in that location.

Click on the ‘Office’ tab and check the box circled below to access this override.
You will then be presented with the below pop up. Enter the start and end dates of this override, using the calendar icon or in DD/MM/YYYY format, and enter why the override is being entered in the ‘Override Explanation’ field. Only future dates can be selected for this override and the override must cover more than 1 day.

If the RRs in the location will be completing detached logs, make sure to check the box next to ‘Housed RRs will be completing Detached Log during this period.’

Hit ‘SAVE’ once all detail has been entered.

You will then see your detail within the override section as shown below. The ‘Current Association Type’ will update once the override is effective.
Email Communications

Various emails are sent from the system based on either specific actions taken within the ICFR system, or on the status of a log. The GOAS Reviewer, Agency Reviewer, and/or Managing Partner may receive the following:

- **Out of Office Emails** – A Detached RR can enter Out of Office (OOO) entries within the ICFR system. Once an OOO entry is saved, an email is automatically sent to the designated primary GOAS Reviewer and primary Agency Reviewer informing them of the RR’s absence. This email will inform the GO when the RR will be out of the office and whether or not that RR’s staff will be submitting logs on the RR’s behalf during that absence. If the RR deletes that OOO entry, another email will be sent to the primary GOAS Reviewer and primary Agency Reviewer informing them of the deletion.

- **New Communication Email** – If you are selected as a ‘Respondent’ in the communication section and the ‘Send Email’ box was checked, you will receive an email from ‘noreply’ titled ‘New Communication for Log Name.’ The email will contain the message/comments that were entered as part of the communication, as well as any attachments that may have been added to the communication. A link to the system will also be included in this email.

- **ICFR Log Pending MP Signature** - If the Agency Reviewer has Zone permission to sign logs in lieu of the MP, and the Agency Reviewer forwards a log to the MP for review/signature, the MP will receive an email informing him/her of the requirement to review/sign this log.

- **Logs Awaiting Agency Reviewer Review Reminder** – The person designated as the primary Agency Reviewer in the system will receive this email if a log is not yet signed by him/her and the log is 5 days away from its final review due date. The sender of the email will be AgencyStandards@newyorklife.com and the email will include the log name(s). Each log name will appear as a hyperlink that you can click to access that particular log within the ICFR system. These emails continue daily until the log is signed.

- **Logs Awaiting Managing Partner Review Reminder** – The Managing Partner will receive this email if a log is not yet signed by him/her and the log is 2 days away from its final review due date. The sender of the email will be AgencyStandards@newyorklife.com and the email will include the log name(s). Each log name will appear as a hyperlink that you can click to access that particular log within the ICFR system. These emails continue daily until the log is signed.

- **Delinquent Log** – The GOAS reviewer, Agency Reviewer, and Managing Partner will receive this email if a log is in the ‘delinquent’ status. A detached log is in the ‘delinquent’ status if the log has not been submitted 10 business days from the RR’s submission due date. A housed log is in the ‘delinquent’ status if the log hasn’t been submitted by the Agency Reviewer and Managing Partner due date.
# Search Functionality

You can search by any one of six drop down fields and you can select multiple fields for each search – these six fields are defined below. Once you have selected the desired values, you can run the search by hitting the blue magnifying glass. If you want to clear the selected values, you can hit the blue funnel symbol; however, you must hit the blue magnifying glass again for the search results to update.

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Office</strong></td>
<td>The General Office(s), Sales Office(s), and Detached RR assigned to you.</td>
</tr>
<tr>
<td><strong>Period</strong></td>
<td>The time period you want to specify – current year, prior year, past 4 quarters (includes the current quarter), previous 6 months, or previous 12 months</td>
</tr>
<tr>
<td><strong>Log Type</strong></td>
<td>Housed or Detached Logs</td>
</tr>
</tbody>
</table>
| **Status**     | The log status you want to specify –  
  • Any – provides you with any of the below statuses  
  • Open – logs have been created but not yet handled by any reviewer or Detached RR  
  • In progress – the log is being completed by the GOAS reviewer or Detached RR  
  • Delinquent – log not submitted by the delinquent date  
  • Submission late – log not submitted by the GOAS Reviewer’s due date for housed logs or by the Detached RR’s due date for detached logs.  
  • Submitted – a detached log has been submitted to the GOAS Reviewer  
  • GOAS Review – Late - logs not reviewed by the GOAS due date  
  • GOAS Review – Completed – GOAS reviewer has completed the log and sent it to a reviewer  
  • Agency Review – Late – the Agency Reviewer has not reviewed the log by the due date  
  • Agency Review – Completed – the Agency Reviewer has completed his/her review of the log and sent it to a reviewer  
  • MP Review – Late – the MP has not reviewed the log by the due date  
  • MP Review – Completed – the Managing Partner has completed his/her review of the log and the log has open deficiencies and/or red flags  
  • Closed – the log has been reviewed by all necessary parties and there are no open red flags or deficiencies |
| **Red Flag**   | Any, none, open, closed                                                     |
| **Deficiency** | Any, none, open, closed                                                     |
FAQs

- **Why can’t I upload my attachment?**

  1. You are trying to attach a non-pdf document. You can only attach pdf documents. If you receive the below error message, convert your document to a pdf and upload it again. OR

  ![Error Message]

  2. You are trying to add an attachment that is too large. The size of 1 attachment can not be more than 4 MB and the size of the attachments for the entire log can not total more than 10 MB. If you receive the below error message, your attachment is too large. If you are trying to upload a very large attachment, only upload 10 pages of the document into the log entry and indicate in the communication section where the entire document was sent. In addition, there are various scanner settings that dramatically increase the size of an attachment. You may need to change the setting on your scanner in order to prevent this problem from occurring.

  ![Error Message]

- **Why is my entry not saving?**

  This may be due to the fact you are using a previously entered bates number. If you receive the below error message, enter a bates number not already used.

  ![Error Message]
• **Why can't I save my 'edited' entry?**

This may be due to you not providing a reason in the ‘Revision Comments’ field. Several fields do require details to be added. You will see similar messages throughout the ICFR system.

![Image of details section with a red circle highlighting the 'Revision Comments' field](image)

• **Why can't I send the log to the AR, or MP, or Zone?**

It may be due to the fact you haven't completed the Covered Correspondence Form, the Funds Received Log, you are missing attachments, or you are missing bates numbers. Be sure to check the red messages that appear at the bottom of the Log Form. They provide you with direction to assist you in correctly completing the logs.

![Image of Log Form with red messages highlighted](image)

**Missing Attachments:** All bates entries must have an attachment connected to it in order to send the log to the GO. The red 'None' value underneath the paperclip icon in the Funds Received section reflects there is no attachment connected to this bates entry. The system also provides you with that information in red at the bottom of the Log Form screen. You can either click on the edit symbol to go into the log or you can click on the blue link to be taken directly into the log entry to add the missing attachment.

![Image of Log Form with red messages highlighted](image)
Missing Bates Entries: If a bates number is missing, the system asks you to explain the gap. In this example, a bates #1 was not entered. The system asks you to address this by clicking on the blue link labeled 'here.' You will be presented with the below screen where you can enter comments to address the missing bates number. Hit ‘SAVE Missing Bates Comments’ to save the comments and then hit ‘Close.’

• Is the ICFR System compatible with an iPhone?

Yes, this system is compatible with most mobile browsers (Android and Apple phones).

All other questions should be sent to ICFR_system@newyorklife.com.