



*Mississippi Surplus Lines Association*

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## **Batch Submission Manual for Agents**



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## 1. Purpose

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The purpose of this document is to familiarize surplus lines agents with the MSLA XML import system. Agents may use this system to exchange policy data electronically with MSLA. This document includes technical specifications for the system.

**System architects, designers and developers with computer programming experience should use the details in this document to prepare batch files for submission to MSLA. We assume the reader has an understanding of the XML and HTTP protocols.**

This document is divided into several sections, including the filing process and XML guidelines. The XML schema will be available on the MSLA website <http://www.msla.org/producers/batch-submission-for-producers/> under the Batch Reporting Procedures heading. Please refer to the FAQ section at on this page for additional information.



## 2. Introduction

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MSLA released the web-based Surplus Lines Information Portal (SLIP) in 2008 to facilitate efficient policy filing for agents.

Agents have the following options for policy data submission via SLIP:

1. Manual Method - enter data manually through the SLIP interface; or
2. XML Import Method - submit data for one or more policies electronically as an XML document through HTTPS.

The SLIP help file and the online tutorials (<http://www.msla.org/resources/tutorials/>) contain instructions for the manual method. This document focuses on the XML import method.

### 2.1 The XML Import Method

The XML (Extensible Markup Language) Import method allows agents to submit policy data in a single batch process instead of individually entering policies and transactions through SLIP. The method will be especially beneficial to agents filing a large amount of data with MSLA. A single XML file may contain information for multiple policies.

**Agents who store policy data in a central database may take advantage of the XML (Extensible Markup Language) Import function.**

The XML Import requires the following two-step process:

1. The agent's computer system generates an XML text file that contains his/her filing information. Optionally it also generates policy documentation (electronic copies of Dec Sheets).
2. The agent or his/her representative uploads the zipped version of the XML text file through SLIP. A single ZIP file should contain only one XML file with one or many policies. In addition to submitting policy data, the agent may also include policy documentation associated with the policy data contained within the XML file. The policy documentation contained within the batch 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 batch file include PDF, TIFF, GIF, PNG and JPG. PDF is the preferred format. Please see section 3 for more details.

The XML Import Method provides an asynchronous message based dialogue that can programmatically converse from application to application. Some key features are: open standards of XML, HTTPS submission options, reliable messaging, and secure messaging with Digital Certificates.



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## 2.2 Prerequisites for the XML Method

Agents may submit policy data using the MSLA XML Import Method after the following technical requirements are met:

1. A permanent SLIP account must exist for agent or agent's representative. MSLA will email a SLIP username and password to the SLIP user. The username and password must be assigned and provided to the SLIP user.
2. Confirm that Internet Explorer version 8 or greater is installed on your computer.
3. Go to <http://www.msla.org/insurers/msla-agency-list/> to obtain your agency's MSLA ID number. An MSLA Agency ID number will be required for your reporting agency/agencies.

## 2.3 Data Requirements for Lloyd's of London Policies

Agents must provide contract number and coverholder / U.S. wholesaler details for Lloyd's of London policies.

### Contract Number

The contract number is provided by the US Wholesaler or Lloyd's. This number is also known as the Binding Authority number and the Lloyd's Unique Market Reference (UMR).

To locate the contract number on a declaration page, look for fields titled Authority Reference Number, Reference Number, or Contract Number. If none of these fields exists on your declaration page, and if your policy is a binding authority policy, please contact your U.S. Wholesaler to obtain the contract number. If the policy is an open market policy, please enter the policy number in the contract number field.

### Coverholder / U.S. Wholesaler

A coverholder / U.S. wholesaler is an agency authorized by a managing agent to enter into a contract or contracts of insurance, underwritten by the members of a Lloyd's syndicate, in accordance with the terms of a binding authority. For binding authority policies, the coverholder has the authority to bind specific lines of coverage. As policies are bound, the coverholder provides declaration pages, which should include the contract number/binding authority number.

The countersignature agency is the coverholder / U.S. wholesaler. This agency should be named at the bottom of the declaration page with the countersigning agent's name and signature.

- If you cannot find the agency in the dropdown menu, please contact MSLA at 888-867-5633 for assistance.



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- If you find more than one agency with the same name, city and state, please refer to the Lloyd's Coverholder List on the MSLA website (<http://www.msla.org/producers/lloyds-coverholder-list/>). This list includes street addresses for each Lloyd's of London Coverholder. Locate the agency from the list, note the MSLA Coverholder Number, and use the number to select the agency from the SLIP dropdown menu.

### **Coverholder Number**

The Coverholder Number is an identification number issued by MSLA. This number is required for policies insured by Lloyd's of London.

- To obtain the identification numbers for your coverholders, please download the Lloyd's Coverholder List from the MSLA website (<http://www.msla.org/producers/lloyds-coverholder-list/>).
- If a coverholder is not listed, please contact MSLA at 888-867-5633 for assistance.



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## The XML Import Process

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This section includes an outline of the XML Import Method. Section 4 contains specifics about file creation.

### 2.4 Create XML file.

Use the information contained in this document and the XML tool of your choice to create an XML file with the required policy information. Validate the file using the MSLA XML batch schema. See the file guidelines in Section 4 to get started.

**Note: The system will not accept Microsoft Excel files saved as XML Data or XML Spreadsheet file types. Please follow the format described in this document to create the XML file from your database.**

### 2.5 Create ZIP file

Combine the XML file created in the previous section and all of the policy document files (scanned images/documents of the policy documents) in one ZIP file.

### 2.6 Login to SLIP.

Go to <https://slip.msla.org>. Enter the username and password provided by MSLA. This will establish a secure connection and validate your identity.

If you are a surplus lines agent and you do not have a username and/or password, contact MSLA at (601)713-1111 or (888)867-5633. Alternatively, if you are working on behalf of a surplus lines agent, the agent may create an account for you in SLIP.

### 2.7 Upload and submit the XML document.

Go to the upload page in SLIP, browse your PC, select a compressed file (.zip) created in step 3.2, and submit it to MSLA.

### 2.8 SLIP validates the file.

SLIP will validate the XML file before further processing can take place. If the validation is successful, the file will be considered for import. If the validation is unsuccessful, the file will be rejected. You must correct the data and resubmit the file.

Whether the file is accepted or rejected, an e-mail will be sent to the submission contact. The message will contain (a) accepted files: the filing number and filing date if the file was accepted, or (b) rejected files: the date and time the file was received and the rejection description. The Status screen in SLIP will also list the processing status.



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## **2.9 Monitor the status of the submission table on the Status page.**

Confirm that your submissions are received and processed by reviewing the submission table on the SLIP status page. The status table will contain the date the file was processed and acknowledged. Rejected submissions must be corrected and resubmitted in a timely manner.

In addition to providing insight into file acceptance and/or rejection, the status table confirms that the file is received and processed.

## **2.10 Accepted file: End of process / Rejected File: Return to 3.1**

Follow this process (from 3.1 forward) when resubmitting rejected files.

Contact MSLA at (601) 713-1111 or (888) 867-5633 with questions regarding file rejection and resubmission.





## 3. XML/ZIP File Guidelines

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### 3.1 File Size

Please limit the size of the zip file containing the XML file (and the policy documents) to less than or equal to 1GB. The zip file should contain one and only one XML file. The zip file may contain many policy documents associated with the filings in the XML file. The zip file should not contain any folders.

### 3.2 File Type

The allowable file types for the policy document files contained in the zip file are - PDF, PNG, JPG, JPEG, GIF, TIF and TIFF.

### 3.3 File Name

The file name character limit is 250 characters. There is no requirement for the naming convention, but it should be easy to maintain and track across all of your submissions. We suggest including the date and time in the name. For example, *121108\_0810\_bob\_smith.zip* follows a *date\_time\_agent.zip* naming convention.

### 3.4 HTML (XML) Encoding

The complete XML document 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:

Reserved Character	Entity Reference	Character Name
&	&amp;	Ampersand
'	&apos;	Apostrophe
“	&quot;	Quote
<	&lt;	Less Than
>	&gt;	Greater Than



### 3.5 File Validation & Rejection

Items 4.4.1-4.4.6 describe the file validation process.

If the document fails ANY of these validations, the ENTIRE batch file will NOT be accepted. If errors are detected, error messages will be e-mailed to allow the user to identify the problem, correct, and resubmit the file.

1. Parse the document and check that the document is well-formed.
2. Validate the parsed document against the XSD (XML Schema Definition) file.
3. Check data elements to be sure they do not exceed maximum lengths.
4. Check for required data elements (policy number, transaction type, coverage code).
5. Check that values of particular elements comply with the detailed XML document specifications (Section 4.6) and the XML schema (Section 4.7).

If the data file is invalid, the system will reject the entire file. An email will be sent to the SLIP user to explain the rejection and request resubmission. The SLIP user can click on the rejected status to view the reasons for the rejection in a pop-up window. Rejected submissions must be corrected and resubmitted in a timely manner.

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 validation.

### 3.6 Policy Validation and Rejection

If the policy data fails ANY of the following validations, the ENTIRE batch file will NOT be accepted. An e-mail will be sent to the submission contact. The message will contain a detailed description of the problem and instructions to correct and resubmit the file.

1. Check for complete policy data. Data must be included for all required fields.
2. Check for valid agent and agency identification numbers. The agent identification number is the surplus lines agent license number. The agency identification number is issued by MSLA, and can be found online at <http://www.msla.org/insurers/msla-agency-list/>.
3. Accept and/or reject file. An e-mail will be sent to the submission file to confirm the acceptance or rejection of the file.

**NOTE:** Do not resubmit accepted XML files. This will result in duplicate policy data. The submission contact will be required to correct duplicate data manually through SLIP.



### 3.7 Table of XML Fields

For additional details, please refer to the XML Schema file and examples, located online at <http://www.msla.org/producers/batch-submission-for-producers/>.

#### Section 1: Submission Contact

Outline Level	Group Element / XML Schema Name	Field Name	Description	Type	Min Occurrence	Max Occurrence	Min Length	Max Length	Required	Refer to XML schema for valid data
1	Submission_Contact	-	Contact information for the person who will submit the XML file.	-	1	1	-	-	Y	-
1.1	Name	-	Name of the person who will submit the XML file.	ContactNameType	1	1	-	-	Y	-
1.1.1	First_Name	First Name	The first name of the submission contact.	PersonNameType	1	1	1	50	Y	-
1.1.2	Middle_Name	Middle Name	The middle name of the submission contact.	PersonNameType	0	1	0	30	N	-
1.1.3	Last_Name	Last Name	The last name of the submission contact.	PersonNameType	1	1	1	50	Y	-
1.1.4	Suffix	Suffix	The suffix of the submission contact.	PersonNameType	0	1	0	30	N	-
1.2	Email	Email	The email address for the submission contact.	EmailAddressType	1	1	1	75	Y	-
1.3	Address	-	Address for the submission contact.	USAddressType	1	1	-	-	Y	-
1.3.1	AddressLine1	Address Line 1	Street Address (line 1) for the submission contact.	StreetAddressType	1	1	1	50	Y	-
1.3.2	AddressLine2	Address Line 2	Street Address (line 2) for the submission contact.	StreetAddressType	0	1	0	50	N	-



## Sections 1 & 2: Submission Contact & Reporting Agency

Outline Level	Group Element / XML Schema Name	Field Name	Description	Type	Min Occurrence	Max Occurrence	Min Length	Max Length	Required	Refer to XML schema for valid data
1.3.3	City	City	City for the submission contact.	CityType	1	1	1	30	Y	-
1.3.4	State	State	State for the submission contact. Official state abbreviations only.	StateType	1	1	2	2	Y	X
1.3.5	ZipCode	Zip Code	Zip code for the submission contact. (5 digits + optional 4)	ZipCodeType	1	1	5	9	Y	-
1.4	Phone	Phone	Phone number for the submission contact.	USPhoneNumberType	1	1	1	10	Y	-
1.5	Phone_Extension	Phone Extension	Extension for the submission contact.	PhoneExtensionType	0	1	0	5	N	-
1.6	Fax	Fax	Fax for the submission contact.	USFaxNumberType	0	1	0	10	N	-
2	Reporting_Agency	-	Reporting agency details.	-	1	1	-	-	Y	-
2.1	Agency_Number	Agency Number	<a href="#">The agency identification number issued by MSLA . See the Agency List on the msla website for details. (www.msla.org)</a>	AlphaNumericType (MS + 6-digit number)	1	1	8	8	Y	-
2.2	Name	Name	The name of the reporting agency.	BusinessName Type	1	1	1	150	Y	-



### Section 3: Billing Contact

Outline Level	Group Element / XML Schema Name	Field Name	Description	Type	Min Occurrence	Max Occurrence	Min Length	Max Length	Required	Refer to XML schema for valid data
3	Billing_Contact	-	Billing Contact details.	-	0	1	-	-	N	-
3.1	Name	-	Name of the billing contact.	ContactNameType	0	1	-	-	N	-
3.1.2	First_Name	First Name	The first name of the billing contact.	PersonNameType	0	1	0	50	N	-
3.1.3	Middle_Name	Middle Name	The middle name of the billing contact.	PersonNameType	0	1	0	30	N	-
3.1.4	Last_Name	Last Name	The last name of the billing contact.	PersonNameType	0	1	0	50	N	-
3.1.5	Suffix	Suffix	The suffix for the billing contact.	PersonNameType	0	1	0	30	N	-
3.2	Email	Email	The email address for the billing contact.	EmailAddressType	0	1	0	75	N	-
3.3	Address	-	Address for the billing contact.	USAddressType	0	1	-	-	N	-
3.3.4	AddressLine1	Address Line 1	The first line of the street address for the billing contact.	StreetAddressType	0	1	0	50	N	-
3.3.5	AddressLine2	Address Line 2	The second line of the street address for the billing contact.	StreetAddressType	0	1	0	50	N	-



**Section 3, Part 2**

Outline Level	Group Element / XML Schema Name	Field Name	Description	Type	Min Occurrence	Max Occurrence	Min Length	Max Length	Required	Refer to XML schema for valid data
3.3.6	City	City	The city for the billing contact.	CityType	0	1	0	30	N	-
3.3.7	State	State	The state for the billing contact. Official state abbreviations only.	StateType	0	1	0	2	N	X
3.3.8	ZipCode	Zip Code	The zip code for the billing contact. (5 digits + 4 optional)	ZipCodeType	0	1	5	9	N	-
3.4	Phone	Phone	The phone number for the billing contact.	USPhoneNumberType	0	1	0	10	N	-
3.5	Phone_Extension	Phone Extension	The extension for the billing contact.	PhoneExtensionType	0	1	0	5	N	-
3.6	Fax	Fax	The fax number for the billing contact.	USFaxNumberType	0	1	0	10	N	-



## Section 4: Reporting Agent

Outline Level	Group Element / XML Schema Name	Field Name	Description	Type	Min Occurrence	Max Occurrence	Min Length	Max Length	Required	Refer to XML schema for valid data
4	Reporting_Agent	-	Reporting agent details.	-	1	1	-	-	Y	-
4.1	License_Number	License Number	License number for the reporting agent.	AlphaNumericType	1	1	1	10	Y	-
4.2	Name	-	Name of the reporting agent.	ContactNameType	1	1	-	-	Y	-
4.2.1	First_Name	First Name	The first name of the reporting agent.	PersonNameType	1	1	1	50	Y	-
4.2.2	Middle_Name	Middle Name	The middle name of the reporting agent.	PersonNameType	0	1	0	30	N	-
4.2.3	Last_Name	Last Name	The last name of the reporting agent.	PersonNameType	1	1	1	50	Y	-
4.2.4	Suffix	Suffix	The suffix for the reporting agent.	PersonNameType	0	1	0	30	N	-
4.4	Policies	-	Details about policies placed within the reporting period.	-	1	1	-	-	Y	-
4.4.1	Policy	-	This element has an attribute: Xml_AgentID. This number is a unique sequence number within the file.	-	1	unbounded	-	-	Y	X



**Section 4, Part 2**

Outline Level	Group Element / XML Schema Name	Field Name	Description	Type	Min Occurrence	Max Occurrence	Min Length	Max Length	Required	Refer to XML schema for valid data
4.4.1.1	Policy_Number	Policy Number	The policy number.	StringType	1	1	1	50	Y	-
4.4.1.2	Insured_Name	Insured Name	The name of the insured.	InsuredNameType	1	1	1	150	Y	-
4.4.1.3	Insured_Address	-	The address for the insured.	USAddressType	1	1	-	-	Y	-
4.4.1.3.1	AddressLine1	Address Line 1	The first line of the street address for the insured.	StreetAddressType	1	1	1	50	Y	-
4.4.1.3.2	AddressLine2	Address Line 2	The second line of the street address for the insured.	StreetAddressType	0	1	0	50	N	-
4.4.1.3.3	City	City	The city for the insured.	CityType	1	1	1	30	Y	-
4.4.1.3.4	State	State	insured. Official state abbreviations only.	StateType	1	1	2	2	Y	X
4.4.1.3.5	ZipCode	Zip Code	The zip code for the insured. (5 digits + optional 4)	ZipCodeType	1	1	5	9	Y	-





**Section 4, Part 3**

Outline Level	Group Element / XML Schema Name	Field Name	Description	Type	Min Occurrence	Max Occurrence	Min Length	Max Length	Required	Refer to XML schema for valid data
4.4.1.4	County_of_Risk	County of Risk	The name of the county of risk for the policy. Must be a MS county.	CountyType	1	1	1	-	Y	X
4.4.1.5	Producing_Agent	-	Producing Agent details.	-	1	1	-	-	Y	-
4.4.1.5.1	License_Number	License Number	The producing agent's license number.	AlphaNumericType	1	1	1	10	Y	-
4.4.1.5.2	Name	-	The producing agent's name.	ContactNameType	1	1	-	-	Y	-
4.4.1.5.2.1	First_Name	First Name	The first name of the producing agent.	PersonNameType	1	1	1	50	Y	-
4.4.1.5.2.2	Middle_Name	Middle Name	The middle name of the producing agent.	PersonNameType	0	1	0	30	N	-
4.4.1.5.2.3	Last_Name	Last Name	The last name of the producing agent.	PersonNameType	1	1	1	50	Y	-
4.4.1.5.2.4	Suffix	Suffix	The suffix for the of the producing agent.	PersonNameType	0	1	0	30	N	-
4.4.1.6	Expiration_Date	Expiration Date	The expiration date of the policy. (CCYY-MM-DD)	date	1	1	1	10	Y	-



Section 4, Part 4

Outline Level	Group Element / XML Schema Name	Field Name	Description	Type	Min Occurrence	Max Occurrence	Min Length	Max Length	Required
4.4.1.7	Comments	Comments	Comments regarding the policy.	ShortExplanationType	0	1	0	255	N
4.4.1.8	Transactions	-	Details about transactions relating to a policy.	-	1	1	-	-	Y
4.4.1.8.1	Transaction	-	Details for a single transaction.	-	1	unbounded	-	-	Y
4.4.1.8.2	Insurer_NAIC	Insurer NAIC	The reporting insurer's NAIC number.	AlphaNumericType	1	1	1	10	Y
4.4.1.8.3	Insurer_Name	Insurer Name	The name of the insurer.	BusinessNameType	1	1	1	75	Y
4.4.1.8.4	Coverage_code	Coverage Code	The type of coverage provided. Must be a MSLA coverage code.	CoverageCodeType	1	1	1	4	Y
4.4.1.8.5	Transaction_Type	Transaction Type	The transaction type. Must be a MSLA transaction type.	TransactionType	1	1	1	2	Y
4.4.1.8.6	Effective_Date	Effective Date	The effective date of the transaction. (CCYY-MM-DD)	Date	1	1	1	10	Y
4.4.1.8.7	Net_Premium	Net Premium	The amount charged/returned to the insured minus any fees. May be positive or negative.	DecimalAmountType	1	1	1	12	Y
4.4.1.8.8	Policy_Fees	Policy Fees	Fees charged/returned to the insured. May be positive or negative.	DecimalAmountType	1	1	1	12	Y
4.4.1.8.9	Documents	-	Details about documents relating to a transaction.	-	0	1	-	-	N
4.4.1.8.9.1	Document_Name	Document_Name	Details for a single document.	DocumentNameType	1	unbounded	1	255	N



Section 4, Part 5

Coverholder\_Number, Coverholder\_Name, and Contract\_Number are required for Lloyd's of London policies. See section 2.3 for details.

Outline Level	Group Element / XML Schema Name	Field Name	Description	Type	Min Occurrence	Max Occurrence	Min Length	Max Length	Required	Refer to XML schema for valid data
4.4.1.8.10	Coverholder_Number	Coverholder Number	<b>Required when Insurer = Lloyd's of London</b> MSLA-generated coverholder number. See section 2.3 for details.	AlphaNumericType (CH + 6-digit number)	0	1	8	8	Y - Lloyd's N - NonLloyd's	-
4.4.1.8.11	Coverholder_Name	Coverholder Name	<b>Required when Insurer = Lloyd's of London</b> Name of the coverholder / US Wholesaler. See Section 2.3 for details.	BusinessName Type	0	1	1	150	Y - Lloyd's N - NonLloyd's	-
4.4.1.8.12	Contract_Number	Contract Number	<b>Required when Insurer = Lloyd's of London</b> Contract Number or Binding Authority Number. See Section 2.3 for details.	StringType	0	1	1	50	Y - Lloyd's N - NonLloyd's	-



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### 3.8 XML Schema

The XML Schema for Agents is available online at <http://www.msla.org/producers/batch-submission-for-producers>.

### 3.9 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 sites 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/>
- <http://www.xml.org>
- <https://msdn.microsoft.com>
- <http://www.xml.com>
- <http://www.w3schools.com/xml/default.asp>
- [https://www.w3schools.com/xml/xml\\_schema.asp](https://www.w3schools.com/xml/xml_schema.asp)