Commission Import

COMMISSION IMPORT GUIDANCE NOTES

This guide provides information on editing commission details that have been provided in an Excel spreadsheet so that they can be imported to FinPlan. It assumes that Excel 2007 or Excel 2003 is used but this is not a requirement (although some of the short-cuts mentioned may not be available in all versions of Excel). This guide does not attempt to provide full instruction in how to use Excel and it is assumed that the reader is already familiar with the software.

This guide also assumes that the reader is familiar with commission processing procedures in FinPlan R9.0 and later. It is strongly recommended that all users who wish to use Commission Import attend a formal commission training session.

Whilst the focus of this guide is editing an existing file, it is possible to build a spreadsheet from scratch and import it, so long as the data content and formats detailed below are adhered to.

The following table lists the fields that can be included in the import file. Other columns do not need to be removed, their contents will be ignored by the import process.

Where a field is marked 'Mand.' it is mandatory and the import will fail if this information is not present for each row in the table.

Column Name	Excel Cell Format	Max	Mand.	Example Data	Notes
Date	Date – dd/mm/yyyy	-	**Yes**	29/03/2009	The "Statement Date" field.
Amount	Number, no 1000 separator, negative numbers have a leading '-' character.	-	**Yes**	12345.56 -345.50	The "Amount" field. This is a currency value in pounds, for examples 45.67 is £45.67
Type	Text	50	No	Indemnity	The "Commission Type" field.
PaymentReason	Text	50	No	Initial	The payment reason
PolicyAccountNo	Text	100	**Yes**	R4544434	The "Policy / Account Number" field.
SchemeNumber	Text	25	No	S4453222	The "Scheme Number" field.
Provider	Text	100	**Yes**	Scottish Provident	The "Provider" field.
Holder1Forenames	Text	50	No	Mark	The "Client 1 – Forenames" field.
Holder1Surname	Text	50	**Yes***	Johnson	The "Client 1 – Surname" field. *At least one of Holder1Surname and Holder1FullName must be supplied.
Holder1FullName	Text	50	**Yes***	Mark Johnson	The "Client Name" field. Use this field for company names or if forenames and surname is not known.
Holder2Forenames	Text	50	No	Jane	The "Client 2 – Forenames" field.
Holder2Surname	Text	50	No	Johnson	The "Client 2 – Surname" field.
Holder2FullName	Text	50	No	Jane Johnson	The "Client Name" field. Use this field if forenames and surname is not known.

*At least one of Holder1Surname or Holder1FullName must be supplied – but both are not required.

Please Note: Column names are not case sensitive so **Holder1FullName** can be entered as shown, and also as 'holder1fullname'.

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Page 1 of 6

042 R1.2
Nov 2014

Commission Import

SPREADSHEET EDITING EXAMPLE

In the example spreadsheet above, received from Paymentshield:

(1) The _CommMonth column (Column A) would be renamed to **Date**. The format of the date is not valid for import so would need to be replaced with 01/07/2009 for every row. Note, the _StartDate (Column E) is not the correct date to use here. The _StartDate shows when the plan came in to force. The _CommMonth is the 'Statement Date' – the date that the payment is being made for. This date is used to match the commission payment to the correct expectation so that if you have outstanding commission from June, July and August, a 'Date' of 01/07/2009 would match against the July commission.

Tip: To quickly fill in the correct date in all rows: Enter the date '01/07/2009' and select the cell for copy (Ctrl-C). Move down to the next cell and press Shift-Ctrl-Down (the down cursor key) and this will select to the last row in the table. Then press Ctrl-V to paste the value that's been copied to all cells.

(2) The _Reference column (Column B) appears to be the policy number for the plan. This would be renamed to **PolicyAccountNo**. This will be used to match the commission to the plan held in FinPlan and should need no editing.

(3) The _ClientName column (Column D) would be renamed to **Holder1FullName**.

Note: Whilst renaming this column to **Holder1FullName** provides a quick edit to import the details it is not necessarily the best solution. If you are confident that the majority of the policies included in the spreadsheet are already recorded in FinPlan, the commission record will be located via the policy number and the client name does not need to 'match' the client exactly. If you expect that you have *not yet* recorded the policy number, it is better to split the client name into its component parts so that *if the client already exists in FinPlan* it can be identified and the policy details recorded against the correct client. The client name 'Ms Gloria Wilson' will never automatically match with a client as FinPlan cannot identify that 'Wilson' is the surname being searched for. See 'Editing Tips' below for details of how to split the client name into its component parts.

(4) Within this spreadsheet, there is no **Provider** detail (as all payments have come from the one provider Paymentshield). As Provider is a mandatory column we need to add it to the sheet. To do this we:
Insert a new column (anywhere –order of columns is irrelevant).

> Type '**Provider**' as the column title.
> Type 'Paymentshield' as the first cell in the column.
> We then need to copy this cell to all rows of the table. In Excel 2007/2003 this can be done by simply 'double-clicking' with the mouse in the bottom-right corner of the cell.

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Page 2 of 6

042 R1.2
Nov 2014

(5) The _CommType column (Column H) contains the commission type. If we rename it to **Type** it will mean that the commission type will be included in the import. Providers often have different terminology for commission and some may show Initial, Indemnity, Earn Off, New etc which all mean the same thing. The commission types in FinPlan are hard-coded and cannot be changed. Providing the 'correct type' as detailed in FinPlan will assist the commission matching to allocate the commission to the correct expectation; e.g. if you have an Indemnity commission and a Renewal commission outstanding for the same plan, by providing the commission Type the system will be able to assign the commission to the correct expectation. You could use 'Search & Replace' to convert the commission names used in the spreadsheet to 'FinPlan Commission Types' but it is not required.

(6) The **Amount** column is currently labeled as _CommDue (Column L).

(7) Now that the spreadsheet has been updated we need to SAVE IT AS A CSV FILE. FinPlan cannot import the details from a .xls file.
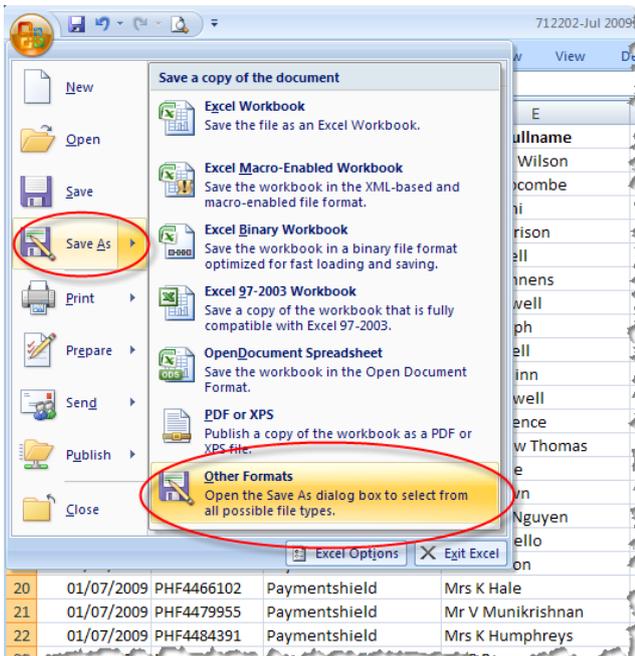
In Excel 2007/2003, you chose the 'Save As' option, select 'Other Formats' and then choose the 'CSV (comma delimited) (*.csv)' option.

This file can now be imported to FinPlan and will appear as a new Commission Session which can be approved by the Commission Manager once the payment has been received.

Note: Rows containing a zero value (or are blank) in the **Amount** column are ignored and are NOT imported to the Commission Session.

(8) Before you import the file it is worth totalling the commission within Excel to get the statement value (some providers/networks will calculate this figure and the 'Total' they show may not be the sum of all the payments due to rounding errors).

(9) When you have imported the Commission Session, the Session Total will match the calculated total from Excel.

BLUECOAT SOFTWARE

www.bluecoatsoftware.com
0845 226 0720

Page 3 of 6

042 R1.2
Nov 2014

Commission Import

DEALING WITH CLIENT NAMES

21									
22	User	Client	Client Ref	Certificate	Cover	Premium	Date	Status	Commission
23									
24	1	PAGE David		541802046	2108.39	54.66	Jul-09		16.4
25	1	WHITE John		641802047	1961.43	52.59	Jul-09		15.78
26	1	SUTHERLAND Jane		641802100	676.24	26.56	Jul-09		7.97
27	1	MATTOCKS Stephen		841802102	898	20.55	Jul-09		6.16
28	1	CAMPOS Ricardo		941802130	775	0	Apr-09	T	
29	1	WRIGHT Steven		41802131	1188.45	55.82	Jul-09		16.75
30	1	REED Nick		141802132	450	10.14	Jul-09		3.04
31	1	JOHNSTON Nicola		241802133	1000	22.54	Jul-09		6.76
32	1	WEBB Andrew		341802134	757	21.33	Jul-09		6.4
33	1	HOULDING Lee		441802135	735	16.57	Jul-09		4.97
34	1	WRIGHT Fiona		541802136	261.5	19.12	Jul-09		5.83

In the example spreadsheet above, the client name is provided as a single field with the Surname followed by the Forename(s).

We need either the full name (David Page) or separate fields for the Surname and the Forenames.

Excel 2007/2003 has functions to achieve this (and earlier versions may have similar functions).

The sequence of events to convert these entries to separate fields is:

(1) Insert 3 new columns to the right of the names field. These will be used to store the 'split' names. We need 3 as some names may be 'Fleming Robert Paul John' and these will split into four columns (the first is the original column we are splitting). If we do not insert enough 'blank' columns, the data may over-write other data we require for the import.

(2) Select the cells containing the combined names. To do this click on the first cell, then press Shift-Ctrl-Down to select to the last entry in the column.

(3) Go to the 'Data' functions in Excel and find the 'Text to Columns' button/menu option.

(4) Choose 'Delimited' and press the Next button.

(5) Tick the 'Space' Delimiter and tick the 'Treat consecutive delimiters as one' option.

(6) Press the Finish button.

(7) You will now have the original column with the 'Surname' and the other columns will have the subsequent forenames.

(8) Rename the first column as **Holder1Surname**.

(9) Rename the second column as **Holder1Forenames.**

(10) Delete the additional columns with the additional names which are not required.

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Page 4 of 6

042 R1.2
Nov 2014

REMOVING ADDITIONAL DETAILS

(1) When you receive data from a network and some providers it can contain additional details that are not required (and need to be excluded from) the CSV file created for import.

The first line of the file should include only the column names for the table. All address or other summary details should be deleted.

(2) Spreadsheets will often contain summary rows that total the commission payments, these need to be deleted from the file prior to saving.

(3) In the example sheet shown above, the column titles are on row 22 so the previous rows need to be deleted. In addition, there is a gap between the column titles and the data (Row 23), this row needs to be deleted as well.

FORMATTING DATES

The date information provided must fit to 'Short Date' format of DD/MM/YYYY so a date of Jul-09 should be represented at 01/07/2009 within the Date column.

Using Excel 2007 formatting you can quickly convert all dates to the correct format by selecting the Date column and choosing 'Short Date' as the format. If your system is not configured with DD/MM/YYYY as your 'Short Date' format you can choose the correct format template from the available options.

QUICKLY ADDING A PROVIDER OR COMMISSION TYPE COLUMN

If the source spreadsheet does not contain a Provider column this can be quickly added by:

	C	D	E	F	G	H	I	J	K
21									
22	Holder1Forenames	Provider	Client Ref	Certificate	Cover	Premium	Date	Status	Commission
23									
24	David	Keystone		541802046	2108.39	54.66	01/07/2009		16.4
25	John			641802047	1961.43	52.59	01/07/2009		15.78
26	Jane			641802100	676.24	26.56	01/07/2009		7.97
27	Stephen			841802102	898	20.55	01/07/2009		6.16
28	Ricardo			941802130	775	0	01/04/2009	T	
29	Steven			41802131	1188.45	55.82	01/07/2009		16.75
30	Nick			141802132	450	10.14	01/07/2009		3.04
31	Nicola			241802133	1000	22.54	01/07/2009		6.76
32	Andrew			341802134	757	21.33	01/07/2009		6.4

(1) Inserting a column in the sheet called 'Provider'

(2) Typing the provider name into the first cell.

(3) Double-clicking on the bottom-right corner of the cell (circled above).

(4) This will copy the cell and paste to the bottom of the table.

Tip: If you insert the new column, choose a location where every row has data in the left-adjacent column. When you use the auto-fill function it will stop at the first cell (to the left of the column you are filling) that does not contain a value.

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Page 5 of 6

042 R1.2
Nov 2014

DEALING WITH LEADING ZEROS

In the example spreadsheet above, Row 29 for 'Steven' has a policy number 41802131. Based on the other policy numbers provided it appears that the plan is likely to have been **0**41802131 but that Excel has stripped off the 'leading' zero as it is displaying the column in a Number format and not as Text. To correct this for the whole column you can set the format of the cells to '000000000' which tells Excel that you always want 9 digits for the number and to show leading zeros if they are not there.

Your alternative is to change your FinPlan policy number to remove the leading zero.

If you do correct this issue before import the commission will fail the match process (as the policy numbers will not match) and the commission receipt will appear in the 'No Policy or Mortgage' section of the Commission Workflow.

DEALING WITH NETWORK COMMISSION

If you are a member of a Network, it is likely that whilst you work in Gross figures within FinPlan, you receive Net payments from the Network. E.g. You write a case for £1000, the Network deducts 10% and so you receive a payment (from them) for £900 in respect of the case which is 'full payment'.

If you are processing a statement from a Network, it is important that the **Amount** figure used is the **Gross** amount of commission that was paid by the Provider if you are recording the Gross commission when the business is written. If you use the Net figure that the Network has paid to your firm, you will ALWAYS show a mismatch between the received and expected figures and you will incorrectly represent the value of the case.

If the Network does not provide you with details of the Gross commission, you will need to calculate the figure based on their retention rate and use this column for the import.

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Page 6 of 6

042 R1.2
Nov 2014