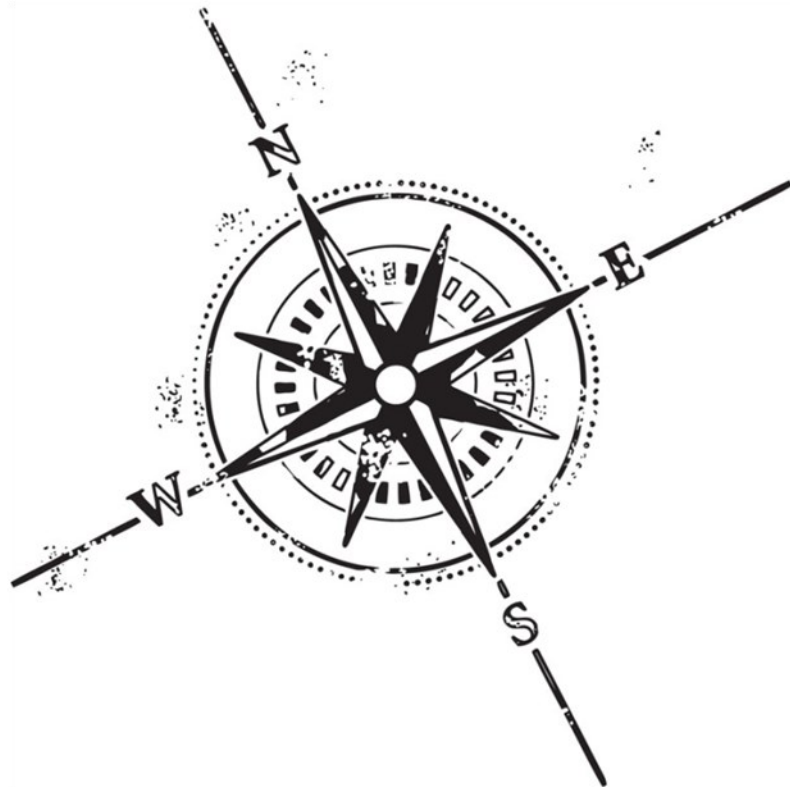




NAVIGATION GUIDE

Manage Company Work List



Purpose

This navigation guide is designed to provide Company users with an understanding of the functionality available in the Company Work List section of NMLS.

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Resources

Resources for NMLS:

- NMLS Resource Center at: <http://mortgage.nationwidelicensingsystem.org>
- NMLS Call Center at: 1-855-NMLS-123 (1-855-665-7123)

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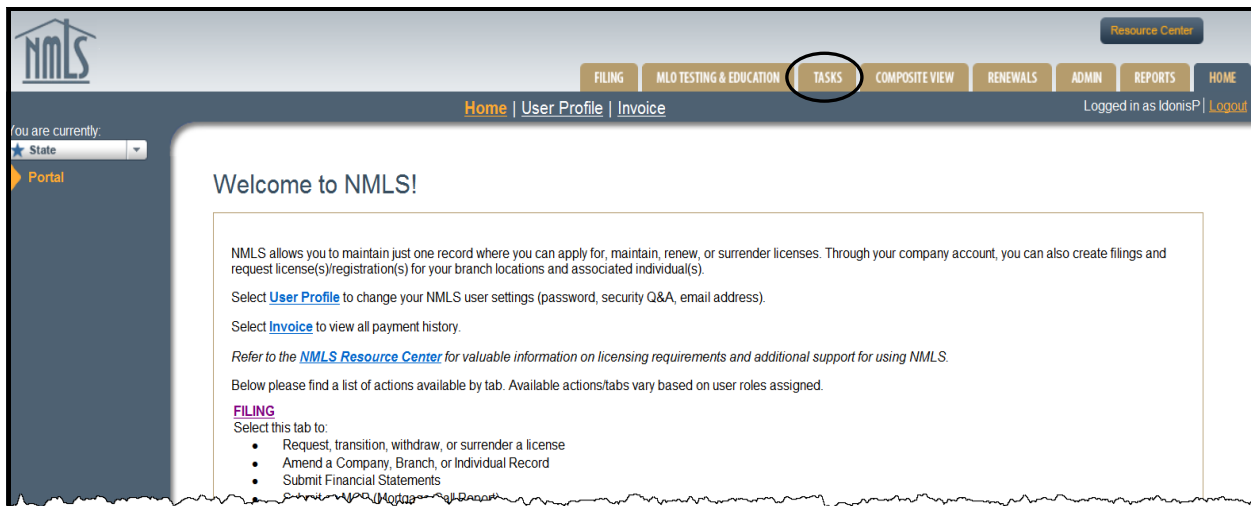
Company Work List

A Company Work Item is generated as a result of a regulator adding a jurisdiction requirement or a deficiency to a license. NMLS may also add deficiencies based on regulator deadlines or SAFE Act Requirements, for example, not submitting a required Mortgage Call Report (MCR). Work items will systematically be deleted from the Work List when the jurisdiction requirement or deficiency is cleared manually by the regulator or automatically by the system when the required action has been completed (e.g., a system set MCR deficiency will be removed when the company submits the required MCR).

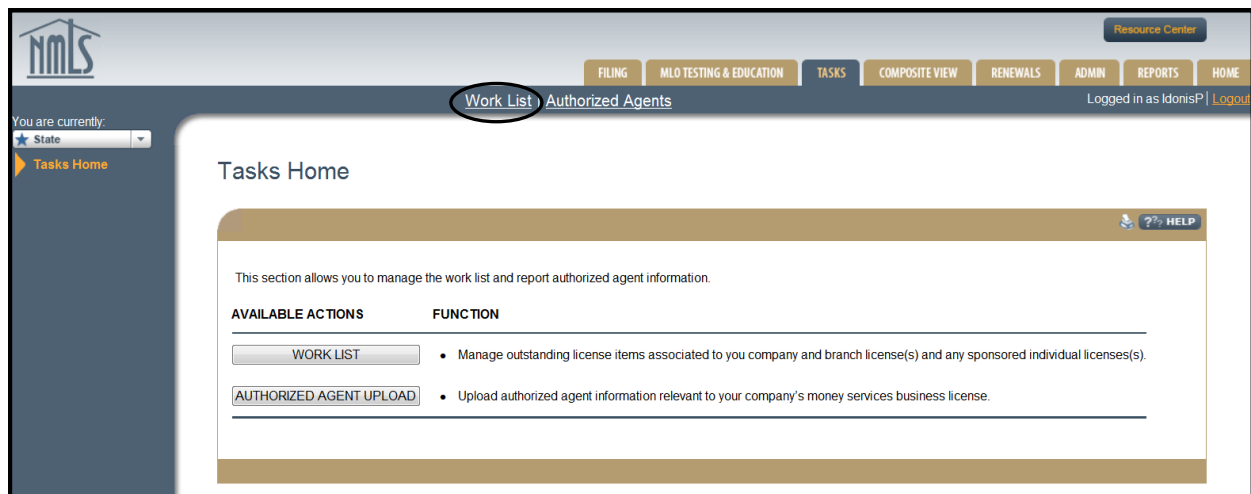
Accessing the Work List

To access the company Work List:

1. From the *NMLS Home* screen, click the **Tasks** tab.



2. Click **Work List** on the sub-menu.



[Result:] The *Company Work List* screen displays.

The Company Work List is defaulted to display all incomplete items. The Work List is sorted by the most recent, to the oldest work item.

Users have a choice of filtering and/or sorting work items from the Work List to display specific information.

Filtering the Work List

The Work List can be filtered to display a certain list of work items, as chosen by the company user, using the filter option.

- Entity ID - a unique identifier created by NMLS. An entity may be a company, branch, or individual. The Entity ID is a system-generated ID for every entity within the system
- Entity Type - options in the drop-down menu: Branch, Company, or Individual
- Review Item Type - option to specify Deficiency or Requirement
- Assignment - list of all enabled users within a company that have been given the work item role
- Entity Name - the full legal name of an individual or company
- Regulator - list of all participating regulators in NMLS
- All Items/Complete Items/Incomplete Items - work items marked complete/incomplete by a company user

To display the filtered Work List:

1. Enter **filter criteria** on the *Company Work List* screen.
2. Click **Filter**.

The screenshot shows the 'Company Work List' interface. At the top, there is a navigation bar with 'State' and 'Work List' options. The main content area is titled 'Company Work List' and includes a 'HELP' button. Below the title, there is an explanatory paragraph: 'Below is a list of all outstanding license items associated to your company, branch, or sponsored individual(s) license(s) that have been set by your regulator or the system. The work list allows you to manage license items. Select [icon] to assign, review, or manage the license item. You may be required to submit information to your regulator outside NMLS or update your filing.' Below this text is a 'Filtering Options' form with fields for Entity ID, Entity Name, Entity Type, Regulator, Review Item Type, and Assignment. There are also radio buttons for 'Show' options: All Items, Completed Items, and Incomplete Items. A 'Filter' button is circled in red. Below the form is a table with columns: Assignment, Entity ID, Type, Name, License Name, and Review Item Type. The table contains three rows of data for 'The Hills Mortgage Company' with 'Maryland Mortgage Lender License' and 'Requirement' or 'Deficiency' review item types. At the bottom of the table, it says 'Company Work Items 1 - 3 of 3'.

NOTE: A license request or sponsorship request may generate multiple review items in the Work List.

Sorting the Work List

The Work List can be sorted by the column headings. Click the column heading once to sort in descending order or twice to sort in ascending order. Sorting by the column heading only sorts the current screen, not the entire Work List.

Column Headings:

- Assignment - displays the user that has been assigned to review a work item. The column will appear blank if a user has not been assigned
- Entity ID - the unique identifier for the individual, branch, or company
- Type - displays the entity type
- Name - displays the name of the entity that submitted the work item
- License Name - displays the name of the regulator and license type
- Review Item Type - displays the type of license item (deficiency or jurisdiction requirement) set by a regulator

Company Work List

Below is a list of all outstanding license items associated to your company, branch, or sponsored individual(s) license(s) that have been set by your regulator or the system. The work list allows you to manage license items. Select to assign, review, or manage the license item. You may be required to submit information to your regulator outside NMLS or update your filing.

Filtering Options

Entity ID: Entity Name:

Entity Type: Regulator:

Review Item Type: Show All Items Completed Items Incomplete Items

Assignment:

Assignment	Entity ID	Type	Name	License Name	Review Item Type
	978594	Company	The Hills Mortgage Company	Maryland Mortgage Lender License	Requirement
	978594	Company	The Hills Mortgage Company	Maryland Mortgage Lender License	Deficiency
	978594	Company	The Hills Mortgage Company	Maryland Mortgage Lender License	Deficiency

Company Work Items 1 - 3 of 3

Company Work Item

A Company Work Item is generated as a result of a regulator adding a jurisdiction requirement or a deficiency to a license. NMLS may also add deficiencies based on regulator deadlines or SAFE Act Requirements, for example, not submitting a required Mortgage Call Report (MCR). Work Items will systematically be deleted from the Work List when the regulator clears the jurisdiction requirement or deficiency from the license. Work items set by the system will be systematically deleted when the required action has been completed (e.g., a system set MCR deficiency will be removed when the company submits the required MCR).

To access a specific work item, click the **View icon** on the *Company Work List* screen.

Below is a list of all outstanding license items associated to your company, branch, or sponsored individual(s) license(s) that have been set by your regulator or the system. The work list allows you to manage license items. Select to assign, review, or manage the license item. You may be required to submit information to your regulator outside NMLS or update your filing.

Filtering Options

Entity ID: Entity Name:
 Entity Type: Regulator:
 Review Item Type: Show All Items Completed Items Incomplete Items
 Assignment:

Assignment	Entity ID	Type	Name	License Name	Review Item Type
	978594	Company	The Hills Mortgage Company	Maryland Mortgage Lender License	Requirement
	978594	Company	The Hills Mortgage Company	Maryland Mortgage Lender License	Deficiency
	978594	Company	The Hills Mortgage Company	Maryland Mortgage Lender License	Deficiency

Company Work Items 1 - 3 of 3

NOTE: To return to the *Company Work List* screen, click the Work List link on the sub-menu.

[Result:] The *Company Work Item* screen displays.

The *Company Work Item* screen is broken down into 3 sections:

1. **Assignment** - this area enables users, who have been given the work item role, to assign a work item to themselves or another staff member, from the drop-down menu, who also has the work item role.
2. **Review Item** - this area allows the user to:
 - a. Mark a review item complete - click the checkbox next to "Review Complete?" to mark an item complete. Marking an item as complete indicates the Work Item has been reviewed by the company. If a Work Item is marked as complete by the company, the Work Item will only display in the Work List when it is filtered by completed items. Marking an item as complete does not mean that the regulator has been satisfied and may still require some actions outside of NMLS. Requirements or deficiencies that are cleared by a regulator are viewable in the *Composite View* screens and will no longer appear in the Work List.
 - b. Add a completion date - this field is optional and will only accept a prior or current date in the following format: MM/DD/YYYY.
 - c. Company Internal Note - this field is optional and only viewable by internal users of the company when viewing the work item. There is no limit on the number of characters that can be entered by the user. Internal notes are specific to the work item. Notes are used to add information about a work item for other reviewers, such as a message regarding the status of a review.
3. **Current License Items** - this field displays information regarding the jurisdiction requirements and deficiencies for a specific license. Regulators use the External Notes section to provide additional information, specific to the requirement or deficiency, that is viewable by company users.

Below is an example of a Company Work Item.

The screenshot displays the 'Company Work Item' interface for 'The Hills Mortgage Company (978594)'. The main content area includes a header for the company name and a 'HELP' icon. Below this, there is a descriptive paragraph about assigning work items. The 'Maryland Mortgage Lender License' section shows it was approved on 11/28/2012. The 'Assignment' dropdown menu is open, showing options: 'Gattens, Baily', 'Hetfield, James', and 'Koons, Patmck'. The 'Review Item' section features a 'Review Complete?' checkbox (unchecked) and a 'Completion Date' field. A 'Company Internal Note' field is also present. At the bottom, the 'Current License Items' table lists three items:

Entity Name	License Item Type	Category	Created Date	External Note
The Hills Mortgage Company (978594)	Disclosure	Requirement	12/12/2012	
The Hills Mortgage Company (978594)	MCR-Standard-Financial Condition	Deficiency	12/12/2012	
The Hills Mortgage Company (978594)	Organizational Chart	Deficiency	12/12/2012	

A 'Save' button is located at the bottom of the form.

Key Terms

Company Review Item - A company review item is an outstanding deficiency or jurisdiction requirement for an application/license. A review item is associated with a Work Item which displays in the Company Work List.

Company Work Item - Company work items are action items assigned by regulators and reflect outstanding jurisdiction requirements or deficiencies. Each regulator requirement or deficiency on a filing will display in the Company Work Queue as a separate Work Item. Work items can be associated with company, branch, or individual licenses sponsored by a company.

Company Work List - A Company Work List contains all the work items assigned to a company by regulatory agencies. Once a work item has been cleared by a regulator, it is automatically removed from the company's Work List.

Entity - An entity is a company, branch, or individual with a record in the system. This includes all MU1 companies, MU3 branches and MU2 and MU4 individuals.

License Item - A deficiency or a jurisdiction requirement indicating further action is required by the licensee/applicant to satisfy the regulator's review of the filing. Deficiencies are different from Jurisdiction Requirements in that something is unacceptable versus merely expected.

Deficiency - A type of license item set by the regulator or the system to inform the applicant that a license/application is **lacking required** information or documentation provided is insufficient or incorrect and further action is required by the licensee. Only certain deficiencies can be set by the by the system (e.g. Funds Pending, Financial Statement Net Worth, Financial Statement Insufficient and Financial Statement Not Submitted). Deficiencies set by the system can be cleared by the regulator with the exception of the Funds Pending Deficiency.

Jurisdiction Requirements - A type of license item set by the regulator or the system to inform the applicant that additional information/documentation is required. This additional information must be sent to the regulator outside NMLS before the regulator can approve the filing.

License Item Cleared Date - The date and time a license item was cleared by the regulator or the system.

License Item External Note - A note entered by a regulator and associated to a license item that can be viewed by regulator users and the company or individual to which the license item is assigned.

Key Terms

Mortgage Call Report (MCR) - A single report which may contain one or both of corporate and state specific information, through the Financial Condition (FC) Report and one or more Residential Mortgage Loan Activity (RMLA) Reports. The MCR may be Expanded (E-MCR) or Standard (S-MCR).

Mortgage Call Report Filing - A form type used to manage Mortgage Call Report submissions within NMLS.