Compliance Reviewer
User Guide

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Table of Contents

Introduction

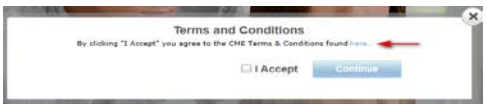
Contract Comply stores, verifies and manages all vendor relevant information in our secure database. Document management includes Insurance Certificates, Contracts, Licenses, Bonds and any additional documentation considered essential by the financial institution in managing third-party service providers. Contract Comply is the industry's only fully integrated solution that interacts with the Lender's and Vendor's system of record. Contract Comply's automated vendor management features offer financial institutions several customizable options; Automated Vendor Notification, Automated Vendor Interaction, Integration with lender and vendor internal assignment management software.

Accessing Contract Comply

To access Contract Comply, log on to https://dgw.re-pros.net/ccws/ContractComply/ContractComply.aspx#/Login.xaml using your web browser. The Contract Comply login page will open. Enter **Username**, **Password**, and click **Login**.

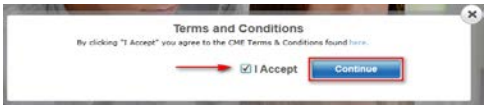
CME Terms and Conditions

Upon first login, the user will be required to accept the Compliance Made Easy Terms and Conditions agreement in order to access the system. To read the TOC's click the **here** link.

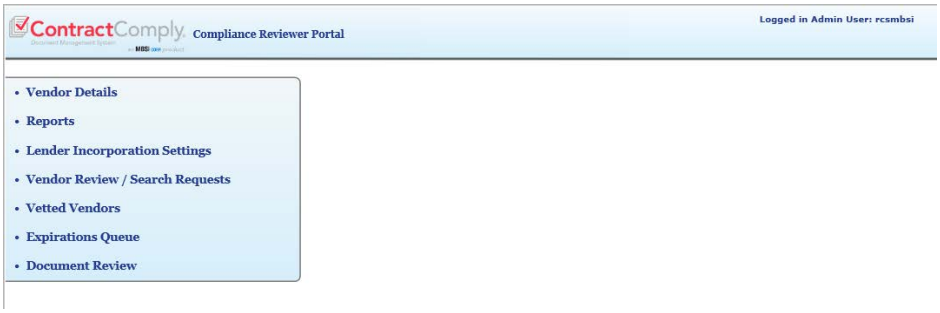


The TOC interface will display.

To accept the TOC's, select the I Accept checkbox and click Continue.



When the TOC's are accepted, the user will gain access to Contract Comply. Upon successful login, the **Compliance Reviewer Portal** page will display. Seven menu options are available.



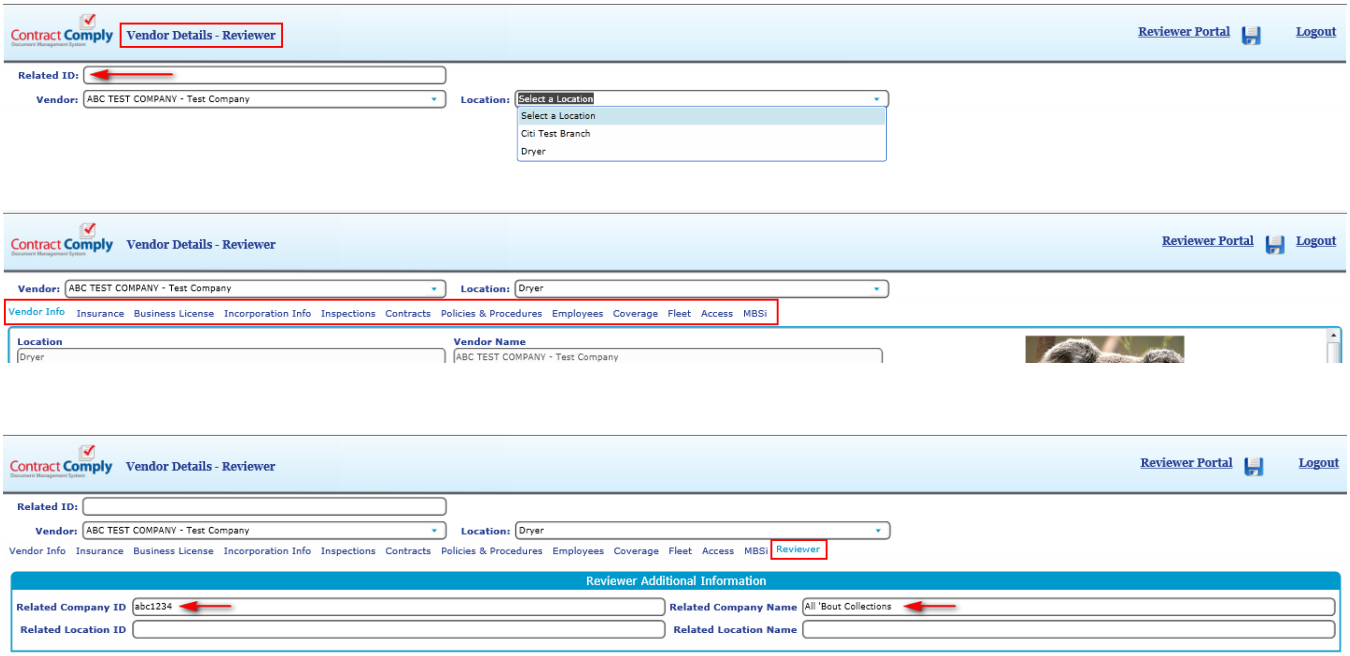
Menu Options

Vendor Details

The Vendor Details section allows the user to navigate through each selected Vendor's company information for review. As a Compliance Reviewer, you will have full control over most of the information input and editing as well as document retention. The only exception will be in the Vendor Information sub-menu page. A majority of the information there is auto-filled from the iRepo assignment system.

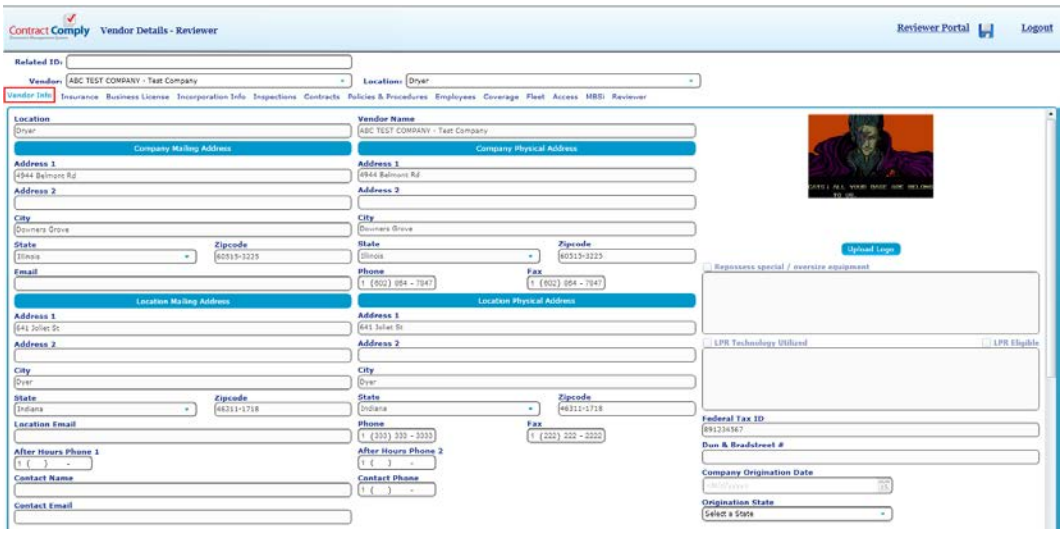
Begin by selecting a Vendor or using a *Related ID, and then a Location. Once this is done the Vendor Information page will appear and a sub-menu will appear across the top pf the page.

*A Related ID is an identifier that may have been used by a company that is different than the identifier MBSi uses, if the Vendor was already an existing MBSi customer prior to the Compliance Review company utilizing Contract Comply as their compliance tracking tool. This unique identifier is set up using the Reviewer tab.



Vendor Info

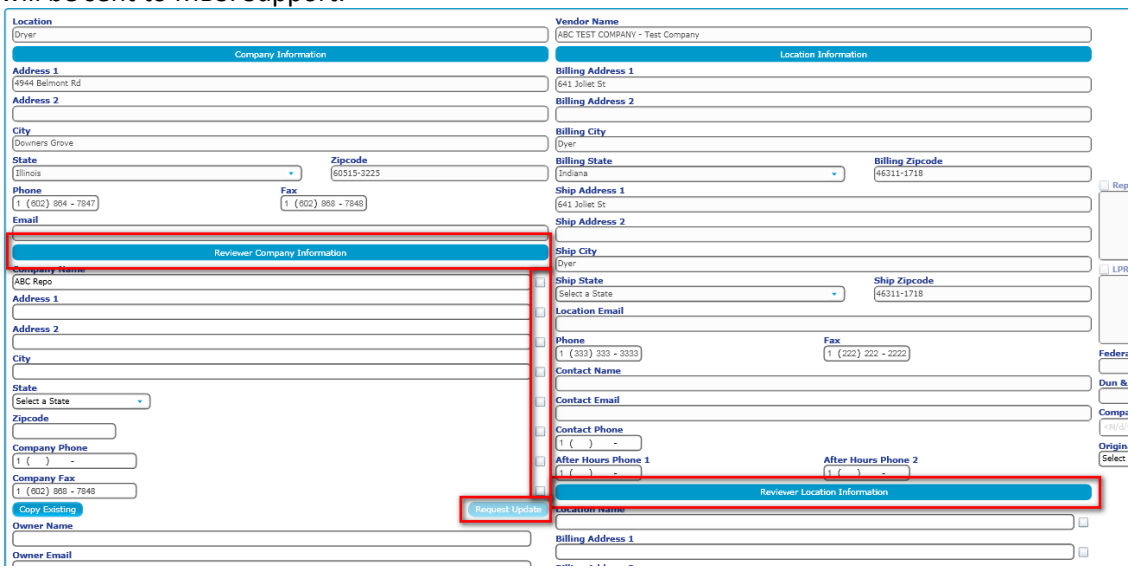
The Vendor Info page houses all basic company information for the selected Vendor, including Systems of Record, that a financial institution may want to review.



Reviewer Company and Reviewer Location Information

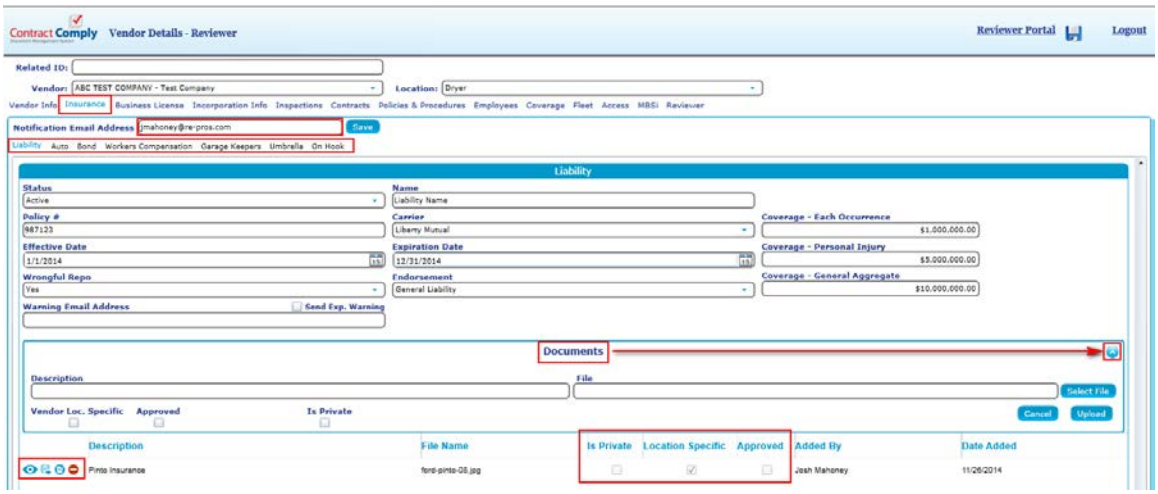
The user will notice on the Viewer Info screen there are 2 sections titled, "Reviewer Company Information" and "Reviewer Location Information". These 2 sections allow the Compliance Reviewer to request a review and change of the existing information in the Vendor Info page, since this information can only be edited directly by MBSi Support personnel. The Reviewer enters the information to be reviewed by MBSi Support and selects the checkbox by that line item. Once all information to be reviewed has been entered and the boxes checked, click the Request Update button. An email will be sent to the MBSi Support Team, information will be reviewed, changed if validated, and MBSi Support will return an email response to the Reviewer.

*NOTE – The Request Update button must be clicked separately for both sections and 2 separate emails will be sent to MBSI Support.



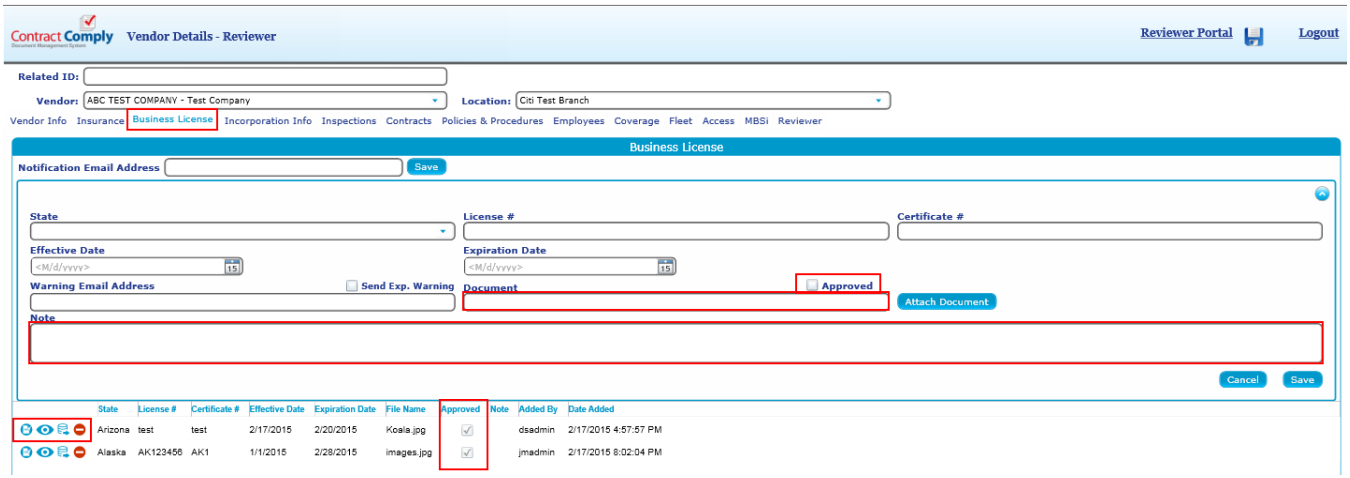
Insurance

The insurance page also has a sub-menu that includes all of the insurance and bond types. This page allows the input of all company insurance and bond information as well as expiration dates, and the ability to notify specific parties concerning expiration dates. Documents can also be uploaded, viewed, and downloaded. To upload a document, clock the dropdown arrow on the right side of the field and a file select field will open. As the compliance reviewer, the user will have full control over input, edit, delete, and document management as well as the ability to mark as Private (to set up so only specific Clients can see the document), mark a document as Vendor Location Specific, and Approve all documents uploaded by a Vendor prior to a Client being able to view the document. Enter an email address in the Notification Email Address field to be notified whenever a Vendor uploads a new document.



Business License

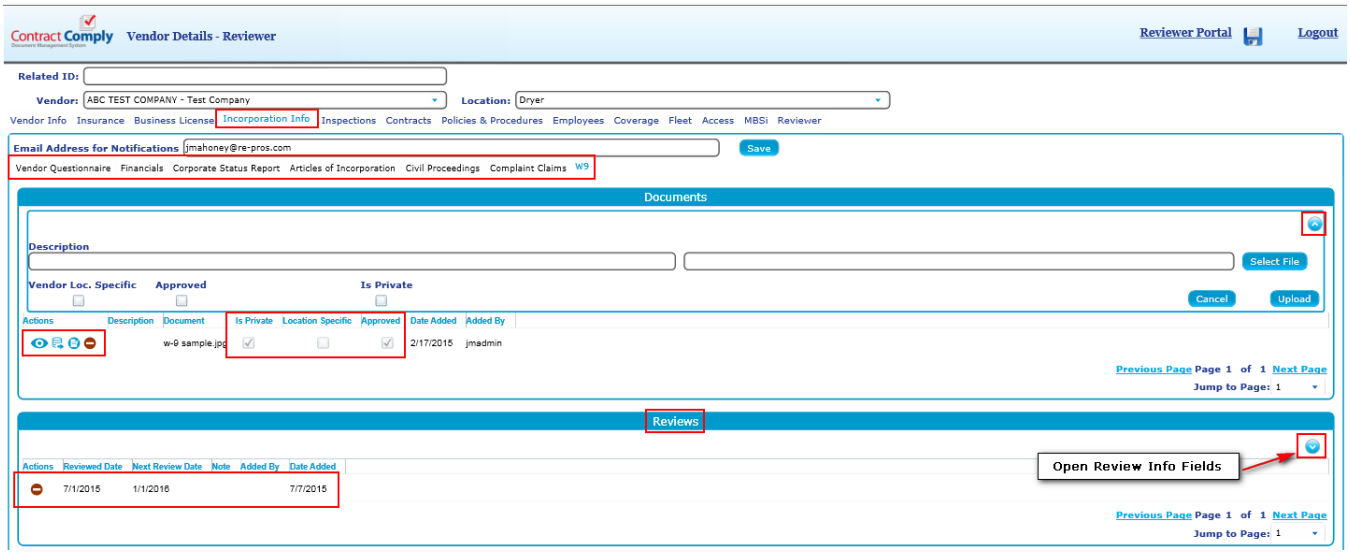
This page will store business license information as well as a copy of the document. The majority of this page is controlled by the compliance review company. When a user logs in and selects a location, if the state, county, or city that location does business in requires a business License, a pop-up will appear notifying you that business license information must be entered here. Documents can be uploaded here by both the Compliance Reviewer as well as the Vendor. If the Vendor uploads a document, it will remain unseen by the Lender client until the reviewer has reviewed and approved the document by checking the Approved checkbox. The line item in the grid will show the Approval. The information and documents are managed by using the action icons to the left of each line item in the grid. There is also a Notes field in case the license is required by the County or City instead of the State.



Incorporation Info

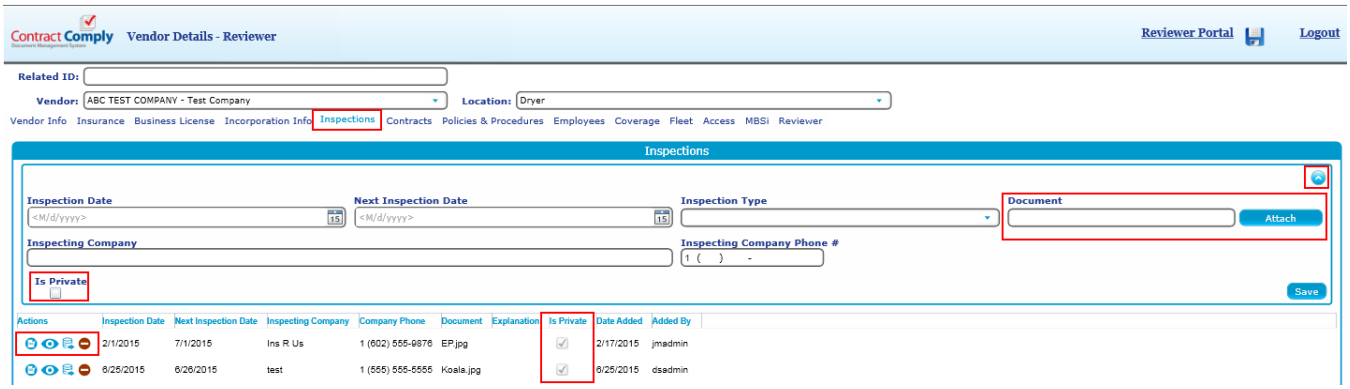
The required information in the Incorporation page will be set by the Lender through the Compliance Reviewer. The required items can include any or all of the following: Vendor Questionnaire, Financials, Corporate Status Report, Articles of Incorporation, Civil Proceedings, Complaint Claims, and W-9. This information will be entered into the system by the Compliance Reviewer. However, the Vendor will also be able to upload documents in each tab by clicking the upload icon button on the upper right corner of the page. Any time a document is uploaded by the Vendor, the individual whose email is set up in the Email Address for Notifications field will receive an email alerting them of the change. The Compliance Reviewer will also have the ability to mark as Private (to set up so only specific Clients can see the document), mark a document as Vendor Location Specific, and Approve all documents uploaded by a Vendor prior to a Client being able to view the document.

Any time an item is reviewed by the Compliance Reviewer, the review information will appear in the Review field below the Documents field. The Compliance Reviewer will review and enter a review date and any notes by opening the Review information fields by clicking the icon on the right side of the Review section.



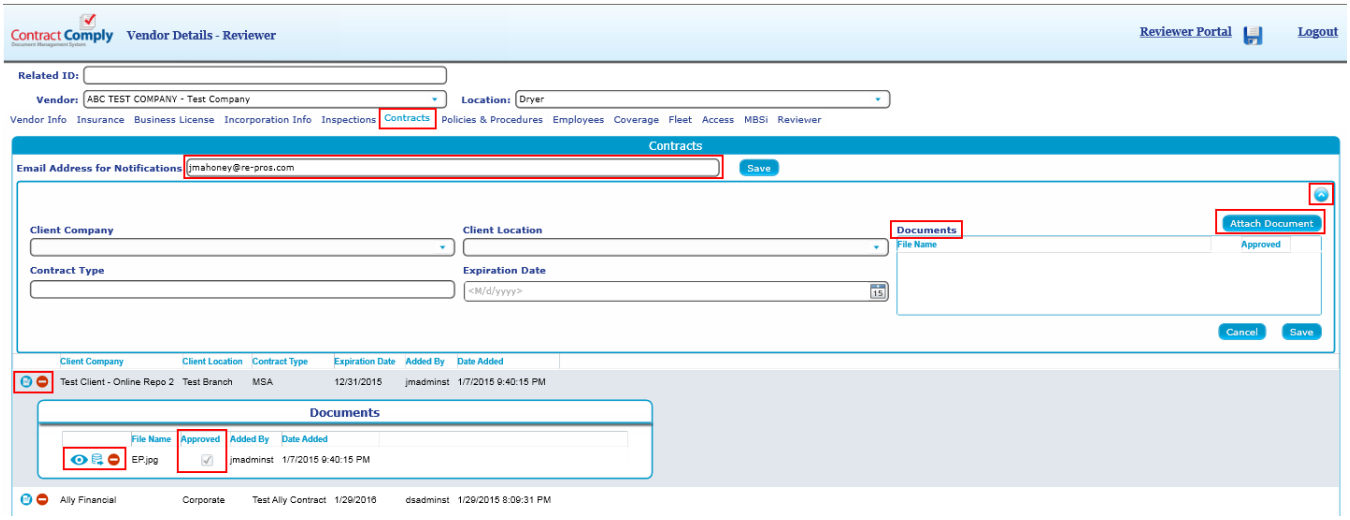
Inspections

In the Inspections page, the compliance reviewer will enter any information on inspections they have completed for the selected Vendor, including the next inspection date as well as attach the inspection documents. The reviewer will also be able to edit, view, download or delete any of the information or documents that have been entered on this page, as well as mark the inspection document as Private for selected Clients by checking the Is Private checkbox. A dropdown table will appear to select the Clients.



Contracts

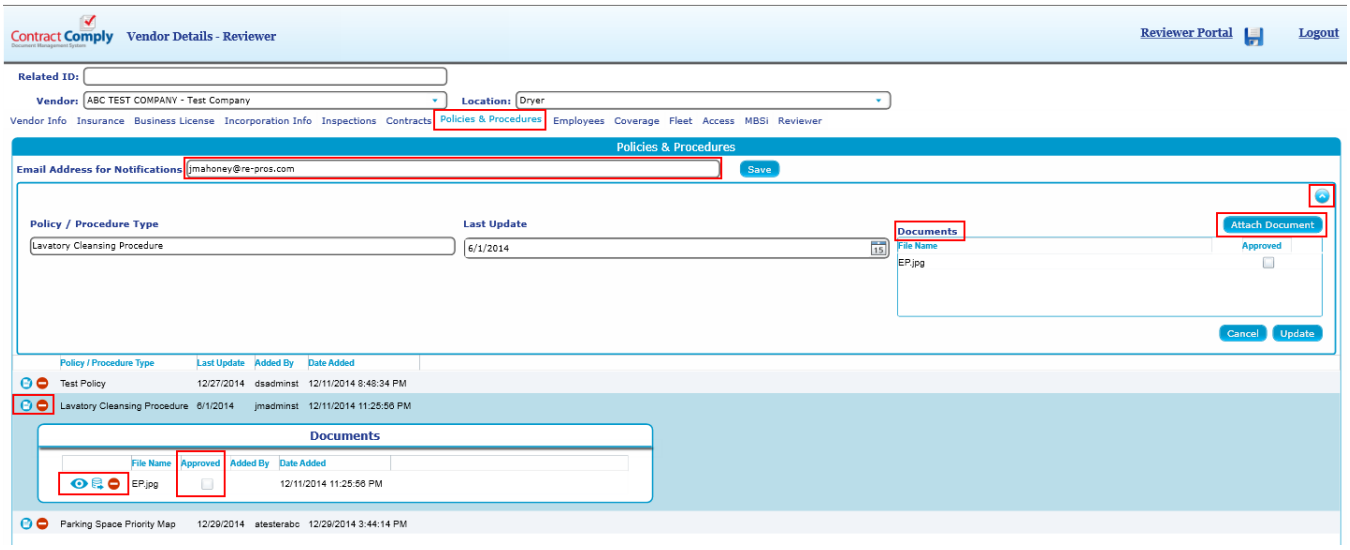
The Contracts page will store all contracts and designate who the contracts are between, along with contract expiration dates and the ability to upload the contracts to the page. In formation can be entered by clicking the icon in the right corner to open the fields, entering the information, attaching a document, and clicking Save/Update. Line items and documents can be edited, viewed, downloaded, or deleted by the compliance review company by using the icons to the left of each line item.



Policies & Procedures

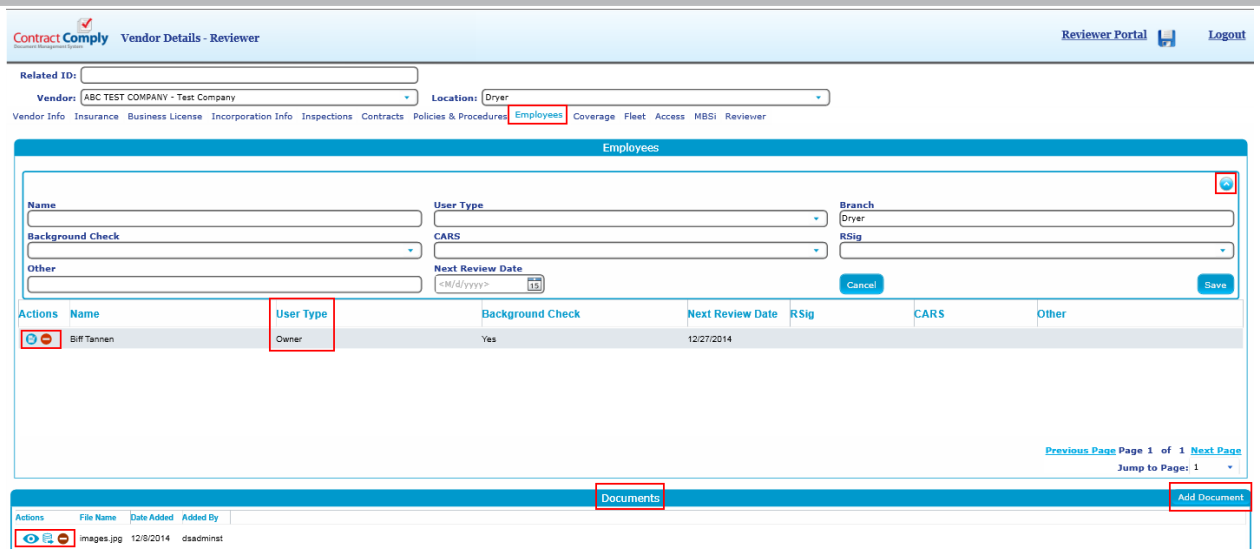
The Policies & Procedures page allows the Vendor or the compliance reviewer to upload all of their company's P&P documents and show when they were last added as well as who added or updated them. When the input fields are opened by clicking the icon in the upper right corner of the page, the user can free-form type the name of the policy or procedure document, the date of the upload and then add the document. Click Save to complete the process. The compliance review company will have the ability then to view, edit, and delete the policy or procedure.

The compliance reviewer will receive an email notification any time the Vendor uploads or changes a document.

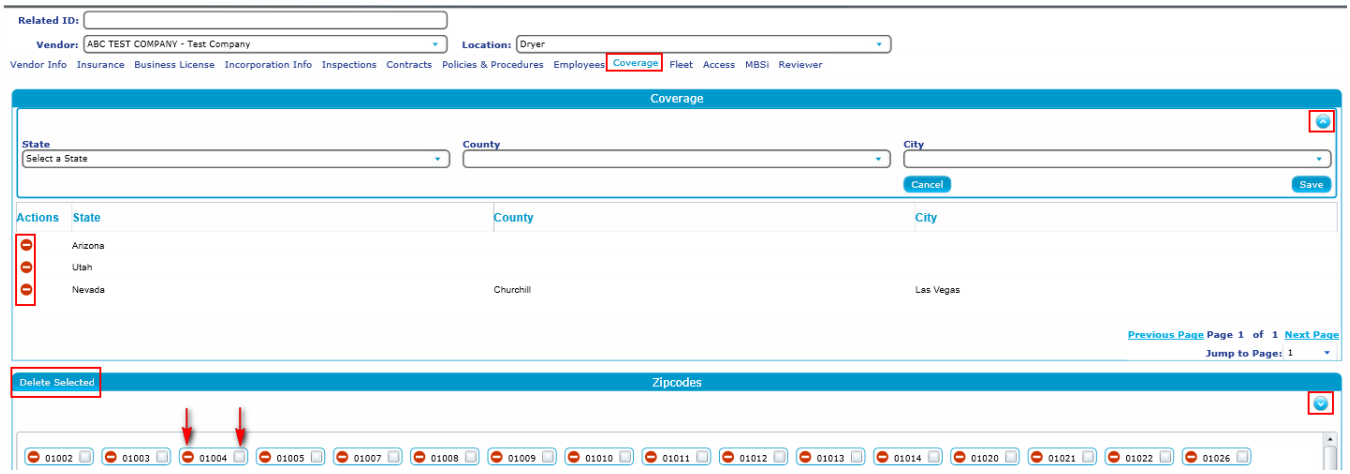


Employees

The Employees page stores important employee information including their role/job title in the company, Background Check status and certifications. To input information on each employee, click the icon in the upper right corner of the page, fill in applicable fields, and click Save. Employee information can be edited or deleted by using the Action icons on the selected grid line item. For the Compliance Review company, there will also be document upload capability for storing current background check documents. This will be a separate field below the Employees field.

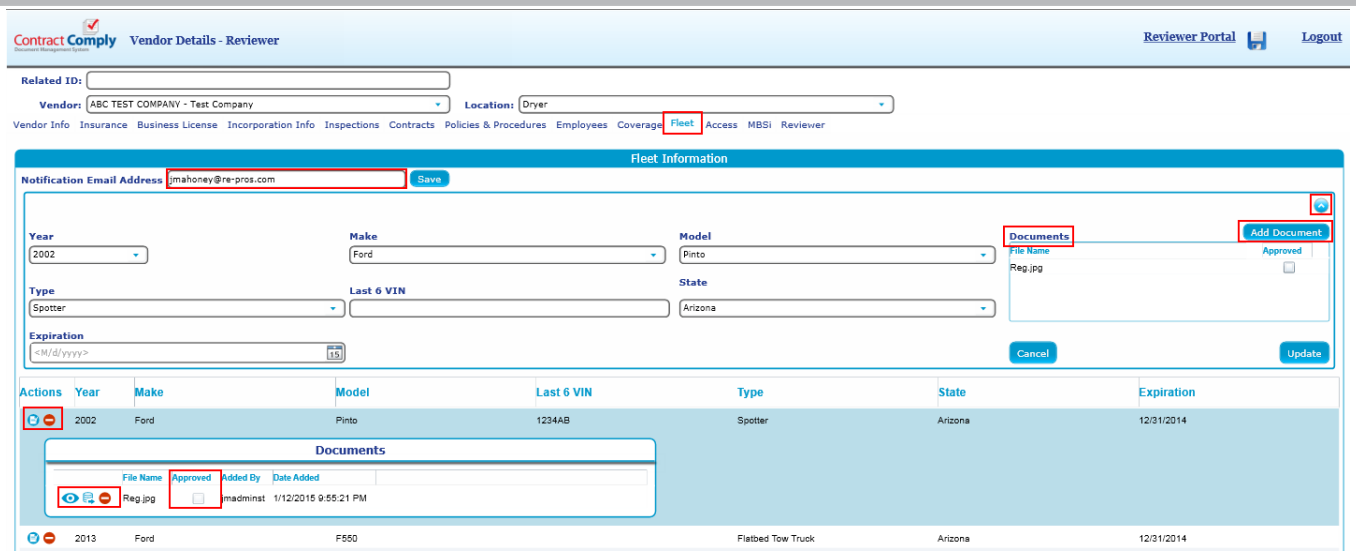


Here the user can input their Coverage areas and a list of all Zip codes they service. Open the input fields by clicking the icon in the upper right corner of the page. Input information and click Save. Coverage line items can be deleted by clicking the red Delete icon. Zip codes can be deleted individually by clicking the red delete icon or in bulk by checking the checkbox of the zip codes to be deleted and clicking the Delete Selected button in the upper left of the Zip Codes field.



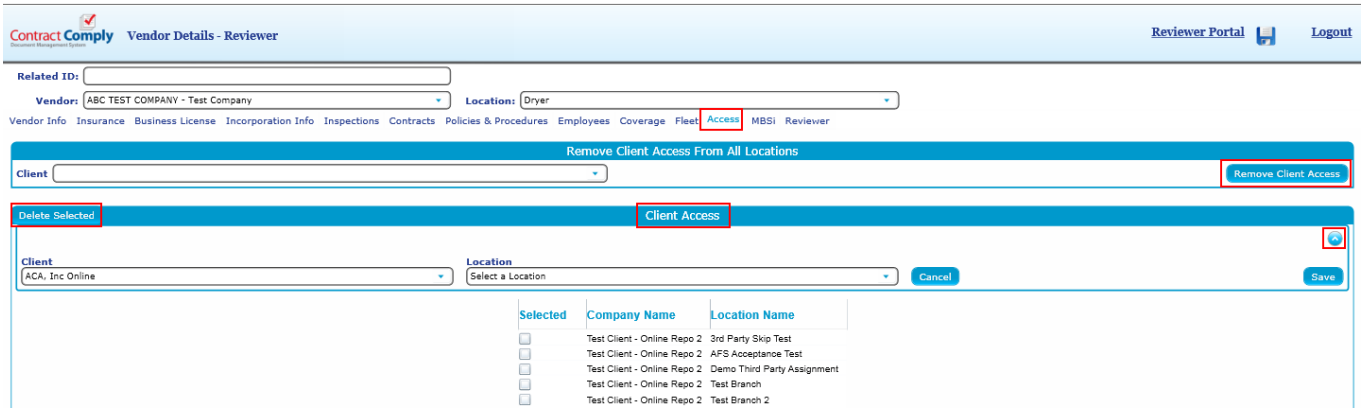
Fleet

The Fleet Information page is where all information is kept and managed concerning company vehicles, including the state in which they are registered (if you have locations outside of your corporate state), last 6 of the VIN#, vehicle registration expiration date, and document upload for the vehicle registration. All input fields are opened by clicking the icon in the upper right corner of the page.



Access

The Access tab allows the Compliance reviewer to select specific Clients to be able to view a Vendors information and documentation. This is done by clicking the icon on the right side of the Client Access section. Selection dropdown tables will appear. Once selected, click Save. To remove Access for specific Client locations use the checkboxes next to the desired Client location and click Delete Selected. To remove Client Access from a Client as a whole, select the client from the Client dropdown table at the top of the page and click Remove Client Access.

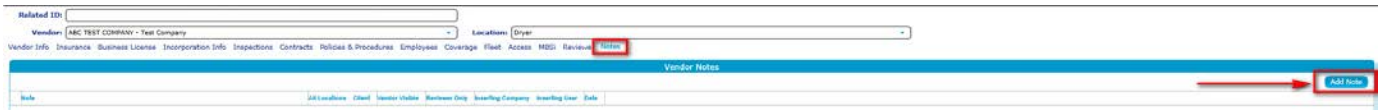


Reviewer

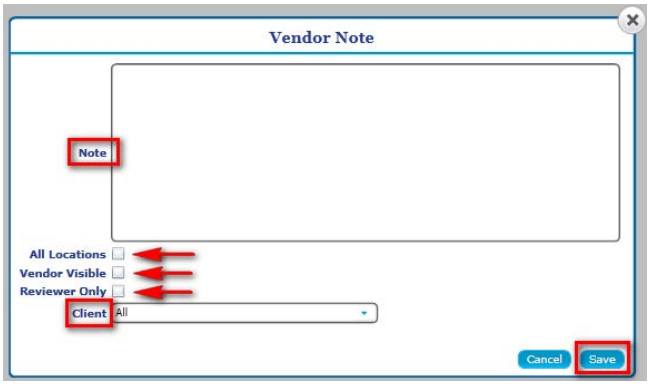
In the Reviewer tab, the user can add Related Company and Location ID's and Names. In many cases the reviewer may have a different variation of the company and or Location name versus what is listed in the iRepo system. This related ID will link the Reviewers Company ID with the iRepo Company name to allow easier and more accurate search ability. The user simply enters their unique ID and/or name and then clicks the Save icon in the upper right corner of the screen.

Notes

The Notes tab gives the Reviewer a place to store and/or send out notes related to the selected Vendor. The Reviewer can specify if the note should be visible to the Vendor by checking the "Vendor Visible" checkbox. They can also specify that the note is for the reviewing company only. With this selection the note will not be visible to the Vendor, Client or Forwarder. If the Reviewer Only checkbox is checked, the vendor visible and client controls will be disabled. Finally, the Reviewer can specify that the note is visible only to a selected Client or Forwarder by selecting that Client or Forwarder in the Client drop down. Click the Add Note button in the upper right corner of the screen.

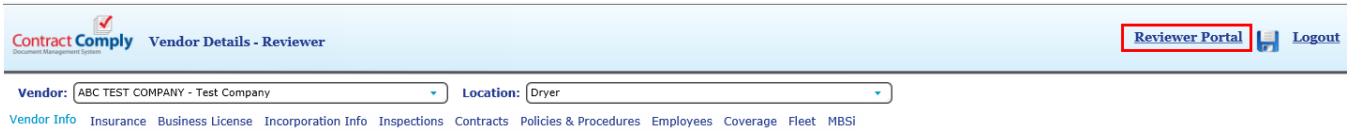


The Vendor Note field will appear. Add the note, make checkbox selections and click Save.



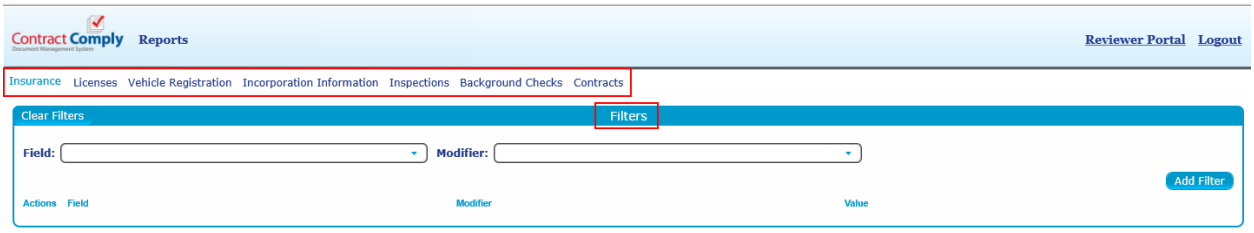
Reviewer Portal

To exit Vendor Details click the Reviewer Portal button in the upper right corner of the page. This will take you back to the Compliance Reviewer Portal menu.

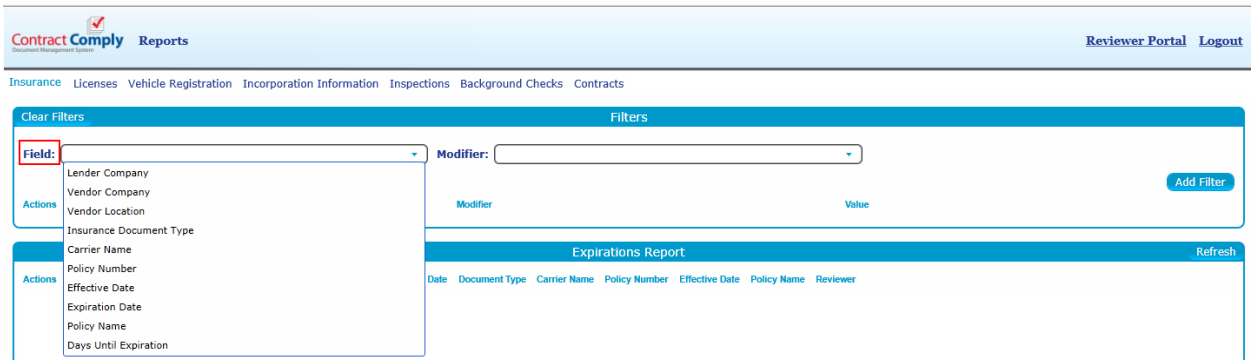


Reports

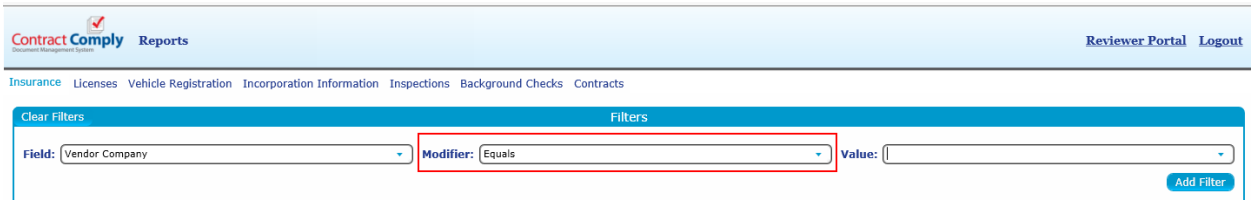
In the Reports menu option, you will find a sub-menu across the top of the Filters field. The Filters field allows you to pull specific expiration reports by selecting certain criteria. Expiration reports can be filtered and pulled for Insurance types, Licenses, Vehicle Registration, Incorporation Information, Inspections, Background Checks, and Contracts.



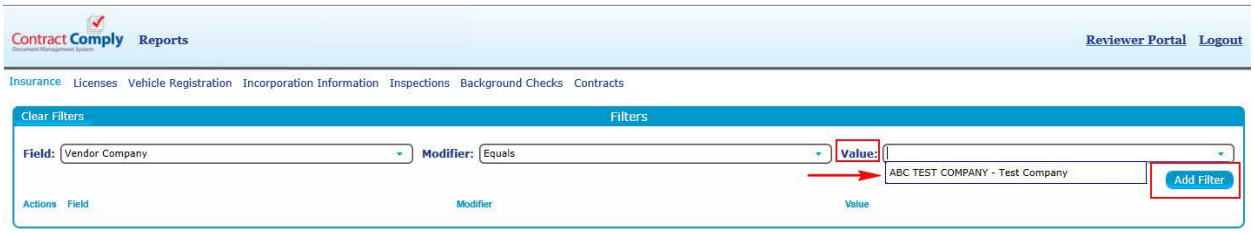
Make a selection from the Field dropdown.



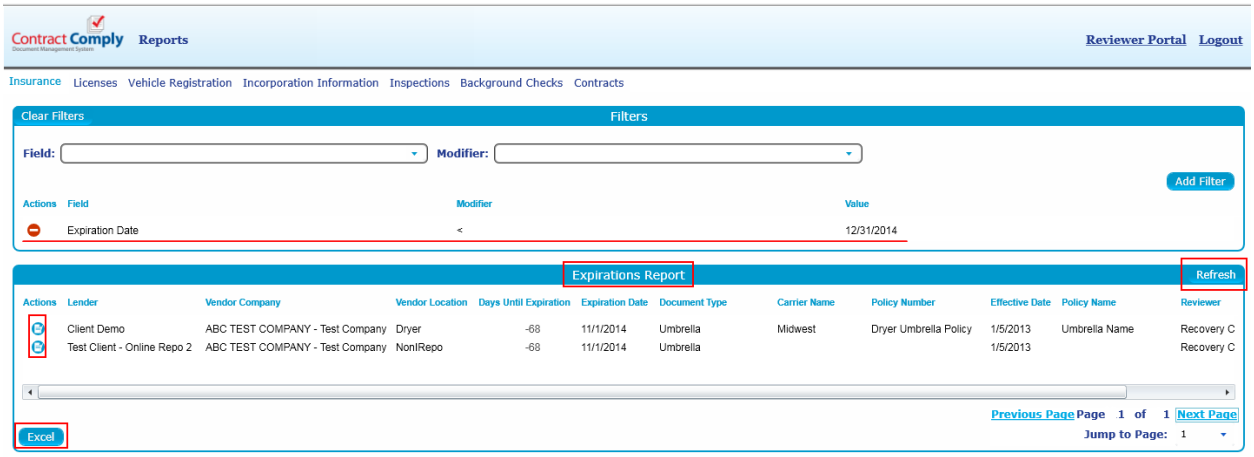
The Modifier table will vary with the Field selections and in many cases will autofill.



Make a Selection from the Value dropdown and then click Add Filter. Note that the Value drop down appears only after the Field selection is made.

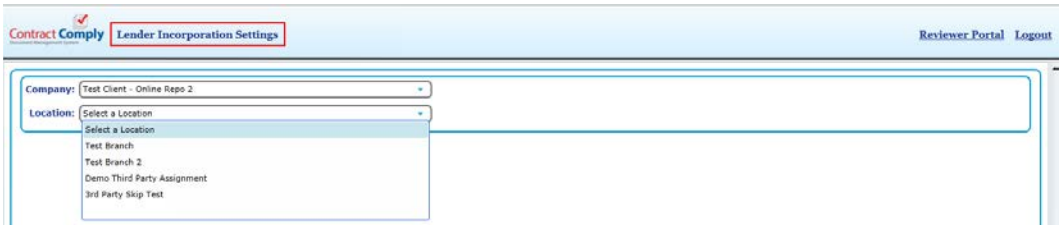


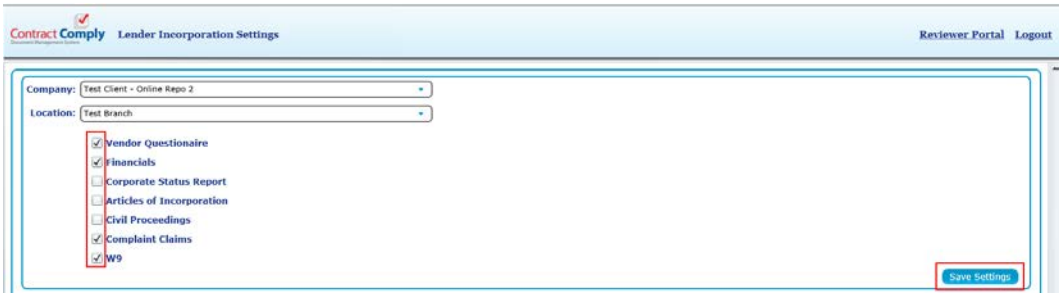
Once the filter has been added it will appear in grid format. Click the Refresh button in the Expirations Report field below the Filters and all applicable items will show up in the report gird. An Actions icon next to each line item allows the user to enter the specific Vendors account for review. The Expirations Report grid can be exported to an Excel spreadsheet by clicking the Excel button at the bottom left of the page.



Lender Incorporation Settings

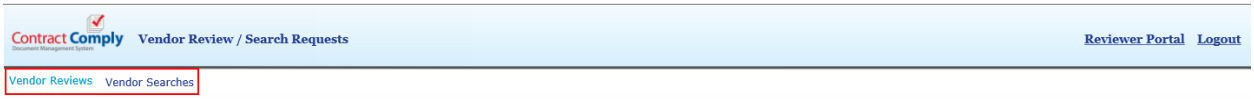
The Lender Incorporation Settings page allows the Lender, through the Compliance Reviewer, to set and show what compliance documentation and information they require on a location specific basis. The Compliance Reviewer controls the Incorporation Info tabs for all of their reviewed Vendor locations. If a Vendor uploads an incorporation document in their own account, the reviewer will receive an email, sent to the Notification Email designated in the box at the top of the Incorporation Info tab in the Vendor Details. This notification email is Vendor location specific, and will need to be set for each location. The reviewer also determines what tabs on the Incorporation Info tab are visible to the Lender.





Vendor Review/Search Requests

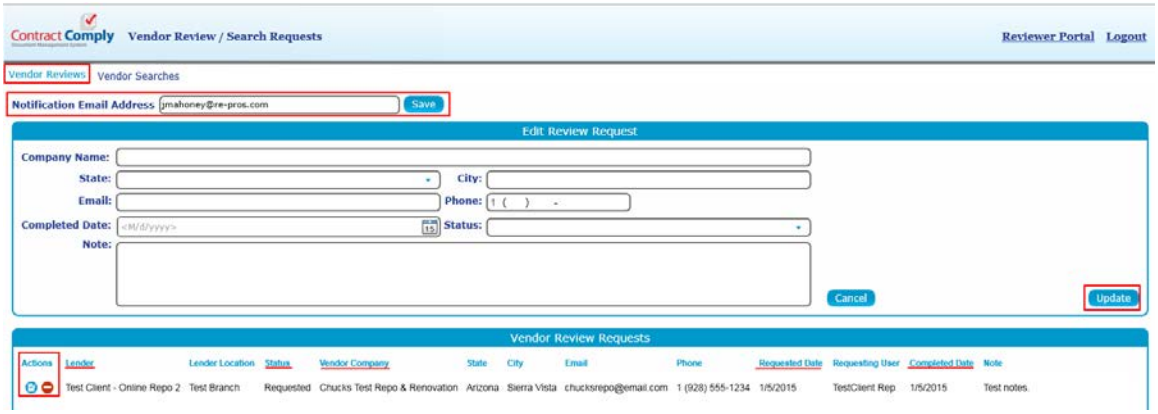
When Vendor Review/Search Requests is selected from the Reviewer Portal menu, a page will open up with 2 sub-menu options; Vendor Reviews and Vendor Searches.



Vendor Reviews

The Vendor Review function allows a Lender to request the review of a Vendor whether it's an existing Vendor in the Lender's network or a potential new Vendor. For the Compliance Reviewer, this page will show a grid of review requests and will include the requesting Lender, the Vendor to be reviewed with their contact information, along with the date and status of the request. Once a request has been completed, the completed date will appear and the reviewer will have the choice of leaving the item on the grid or sending it into a history table. The reviewer can also edit the information for accuracy by clicking the Action icon next to the line item.

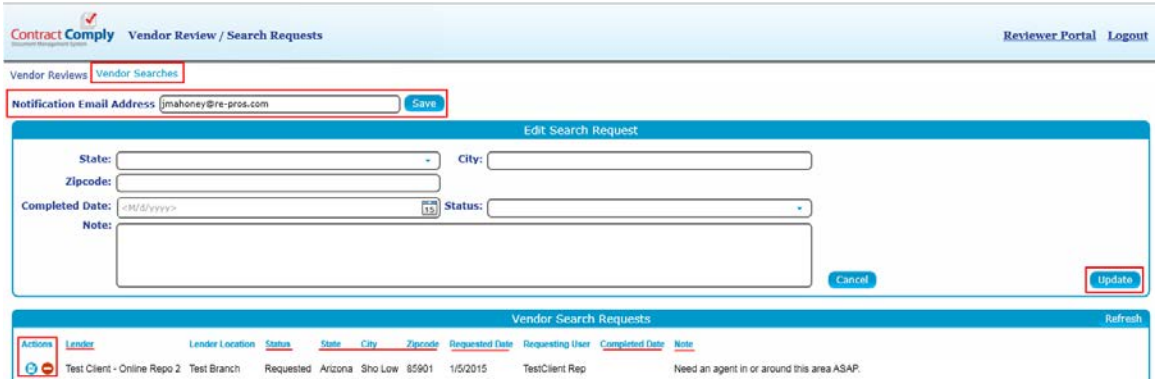
A recipient's email address must be entered in the Notification Email Address field at the top of the page to ensure the request is delivered to the proper party.



Vendor Searches

The Vendor Search function allows a Lender to request a recommendation for existing Vendors already vetted by the Compliance Reviewer in specific areas. For the Compliance Reviewer, this page will show a grid of recommendation requests and will include the requesting Lender, the area the Lender is requesting a Vendor recommendation for along with the date and status of the request and any notes. Once a request has been completed, the completed date will appear and the reviewer will have the choice of leaving the item on the grid or sending it into a history table. The reviewer can also edit the information for accuracy by clicking the Action icon next to the line item.

A recipient's email address must be entered in the Notification Email Address field at the top of the page to ensure the request is delivered to the proper party.

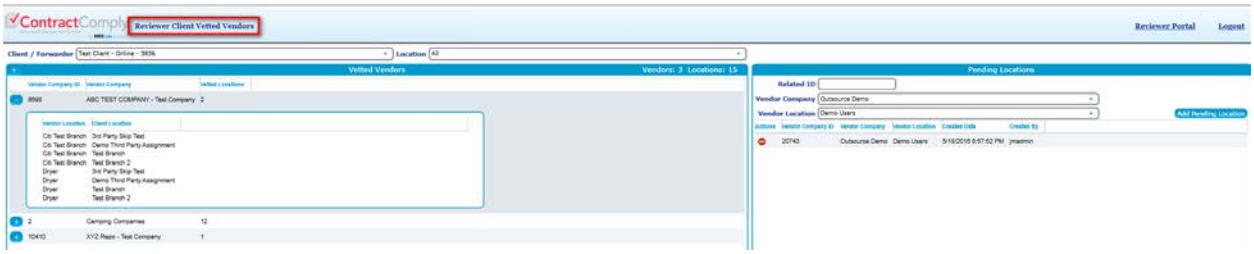


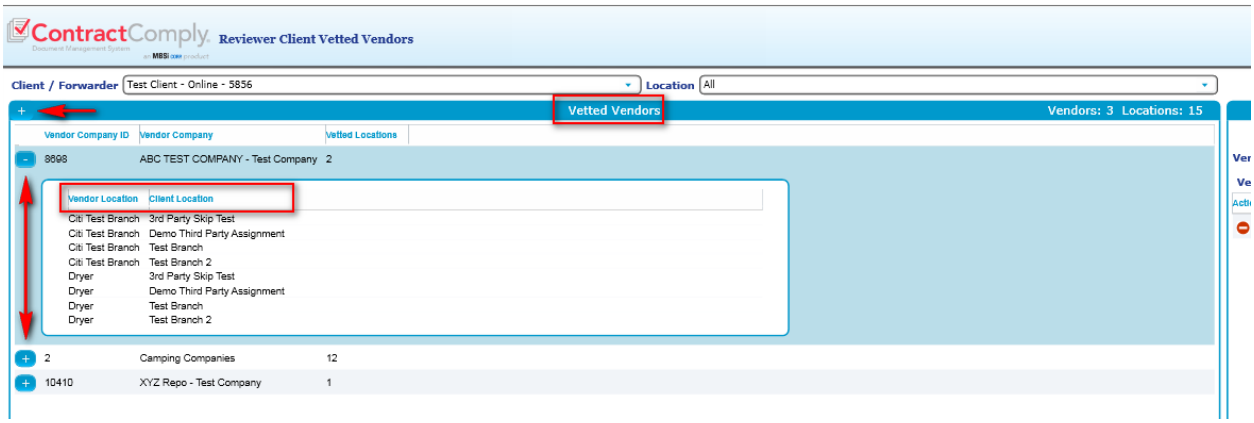
Vetted Vendors

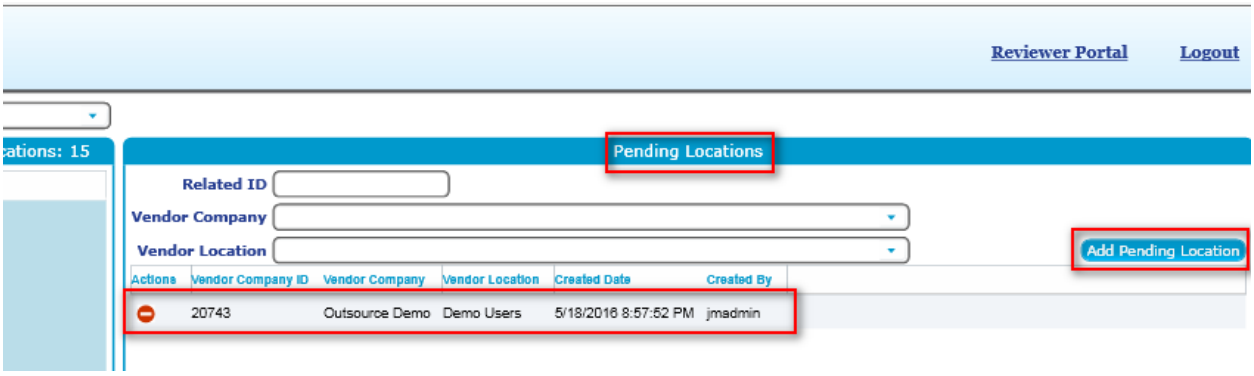
The Vetted Vendors option in the Compliance Reviewer menu allows the user to see a view of all the Vendors they are vetting and their associated Clients or Forwarders.

This screen is divided into 2 sections. In the left section, the user can select a Client / Forwarder company, and then the "Vetted Vendors" grid will be populated with all of the Vendor Companies that are Vetted by the Reviewer, and list the Client / Forwarder locations that have permission to view the Vendor's location. All Client / Forwarder locations are loaded when the Client / Forwarder drop down selection is changed. The user can select a single Client / Forwarder location to narrow the scope of the data in the Vetted Vendors grid by clicking the "+" icon next to the Vendor. An Excel button at the bottom will export the information in the Vetted Vendors grid.

The right side of the screen provides the requested ability to mark a Vendor / Location as pending for a Client / Forwarder. This does not have any function other than the ability to mark and see what has already been marked as pending. When a access is added for a client / forwarder that has a corresponding pending record, the pending record will be removed.







Expirations Queue

From the Compliance Reviewer Portal menu, select Expirations Queue. When the screen opens, the Days Until expiration drop down is set to 30 days, and the Expired/Expiring items are loaded into the grid. Multi Select drop downs for Client and Vendor are located at the top of the grid, and populated only with those Clients / Vendors that appear in the grid. The user can also select one or multiple Client / Vendor companies and then click on the "Filter Selections" button to apply the selected Client / Vendor filters. The Days until expiration also contains a 60 and 90 day selections. At the top right of the Expirations Queue grid is located a "Paging" button. Clicking this button will apply pages to the Expirations Grid, or if the Grid is already in Pages mode the button will read "Scroll" and the user can go back to a scrollable version of the grid. Each Expiration has an "Edit Vendor" button under the "Actions" column. Clicking the Edit Vendor will open the Vendor Details UI for the Vendor / Vendor location of the Selected expiration. Once the Vendor Details window is opened, the correct tab containing the expired / expiring item should be shown (This includes the Sub Tab, so if the expired item is of the type Insurance - Liability then the Vendor Details Should open to the Insurance Tab, and on the Insurance Tab the liability tab should be selected). An excel button at the bottom left allows the user to export the expirations.