

VENDOR MANAGEMENT REQUESTS: SHAREPOINT GUIDE



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HOW TO SUBMIT A VENDOR REQUEST : MANAGER GUIDE

Cheat Sheet for Tiers: This is not a list of all items that are needed for vetting. This is merely a cheat sheet to set basic expectations. For a full explanation of tiers and for items required for vetting please refer to the Vendor Management Policy.

Tier 1

Critical- Service providers that will have access to secure information of our customers or employees or both. The vendor would pose a severe hardship to the continued functioning of the company if the vendor was unable to operate. This vendor is vetted by our contracted third party. Vetting turn time 2-4 Weeks.

Examples of Vendors for this tier:

- Encompass
- Velocify
- Paycor

Items required for vetting but are not limited to:

- All items from tiers 2,3,4 & 5
- YTD financials
- Information Security Policy
- Contract
- Disaster contingency plan
- Quality control Policies

Tier 2

High- Service providers that will have access to secure information of our customers or employees or both. The vendor would not pose a severe or long term hardship to the continued functioning of the company if the vendor was unable to operate. Service providers that have contracts that are 2 years or longer will automatically fall under this tier Vetting turn time 1-2 weeks.

Examples of Vendors for this tier:

- Jungo (CRM)
- Consulting Companies (with access to secure company information)
- Bank VOD (verification companies)

Items required for vetting, but are not limited to:

- All items for tiers 3,4 & 5
- Information Security Policy
- Contract
- Disaster Contingency Plan
- Secretary of State Search
- Business license (if required by state)

Tier 3

Medium - Service providers that may have access to or affect essential systems or data of the company. The vendor would not impair or disrupt the daily operations of the company if the vendor was unable to operate. These service providers will not have access to private information of consumers or employees. These providers may require NMLS licensing. Contracts that are a year or longer will automatically fall into this tier. Vetting turn time 1-2 Weeks

Examples of Vendors for this tier:

- Zillow, Boomtown
- Bold Leads
- Best Rate Referrals

Items required for vetting, but are not limited to:

- All items for tiers 4&5
- E&O insurance
- Contract or terms and conditions

Tier 4

Low- Service providers that do not have access to company systems, facilities, or data: are not essential or necessary for continued business operations; are readily replaceable. These companies are providing us information with nothing in return and do not require NMLS licensing or security matters. Vetting turn time 1 week

Examples of Vendors for this tier:

- Cleaning companies
- Lead companies (only posting data to the CRM through HPML or Dropbox outside our systems)
- Faxing services (only collecting page counts and not storing copies of the faxes)
- Advertising (must be approved by Marketing first).
Items we typically request:

Items required for vetting but are not limited to:

- Signed W9
- Contract or Terms and Conditions
- Geographic areas of service
- We will also perform a BBB and Secretary of State search

Tier 5

No VETTING REQUIRED - These companies do not affect day to day operations in any manner, leave zero room for exposure, and are not contractually obligated in any manner.

Examples of Vendors for this tier:

- Monthly informational subscriptions
- Promotional products (with approval from marketing)

Items required for vetting but are not limited to:

- Signed W9

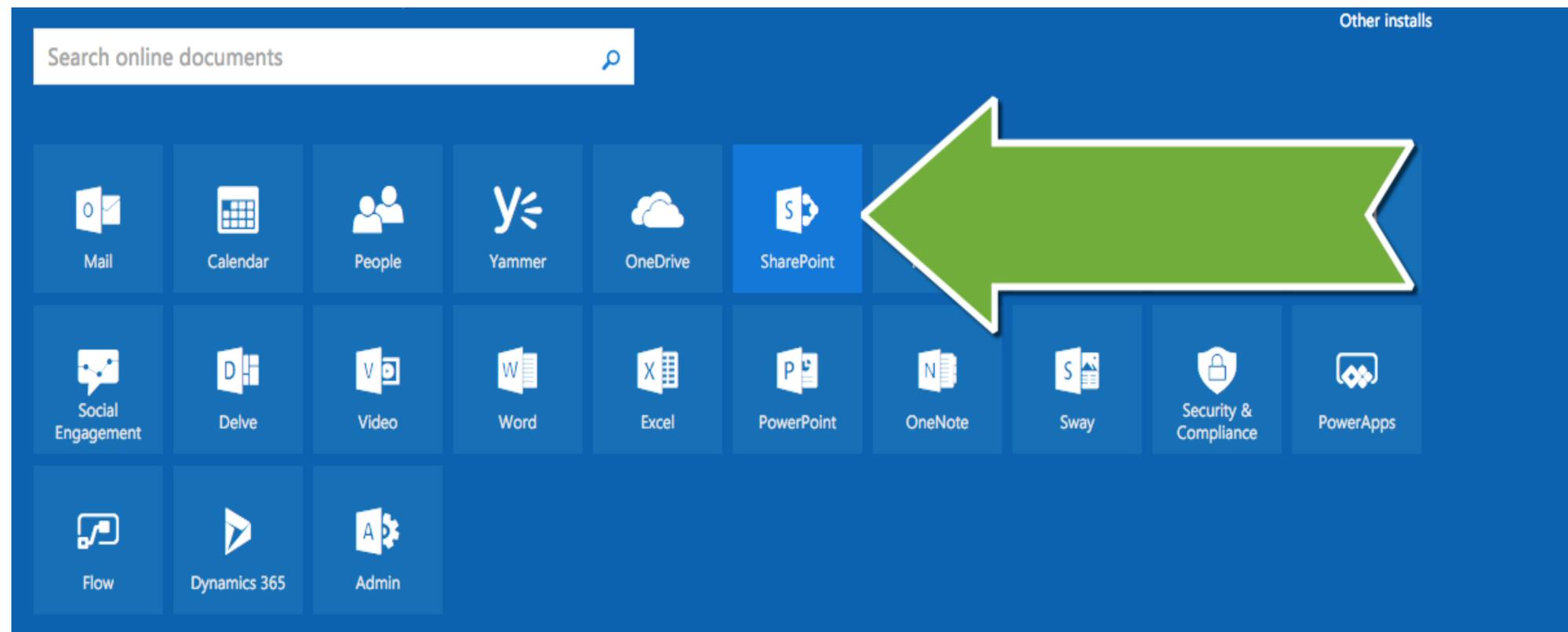
Important note, vendors that do not respond to multiple vendor management requests will be suspended after 10 days. The requestor will be notified through the SharePoint ticketing system. The requestor must get involved for the vetting to continue.

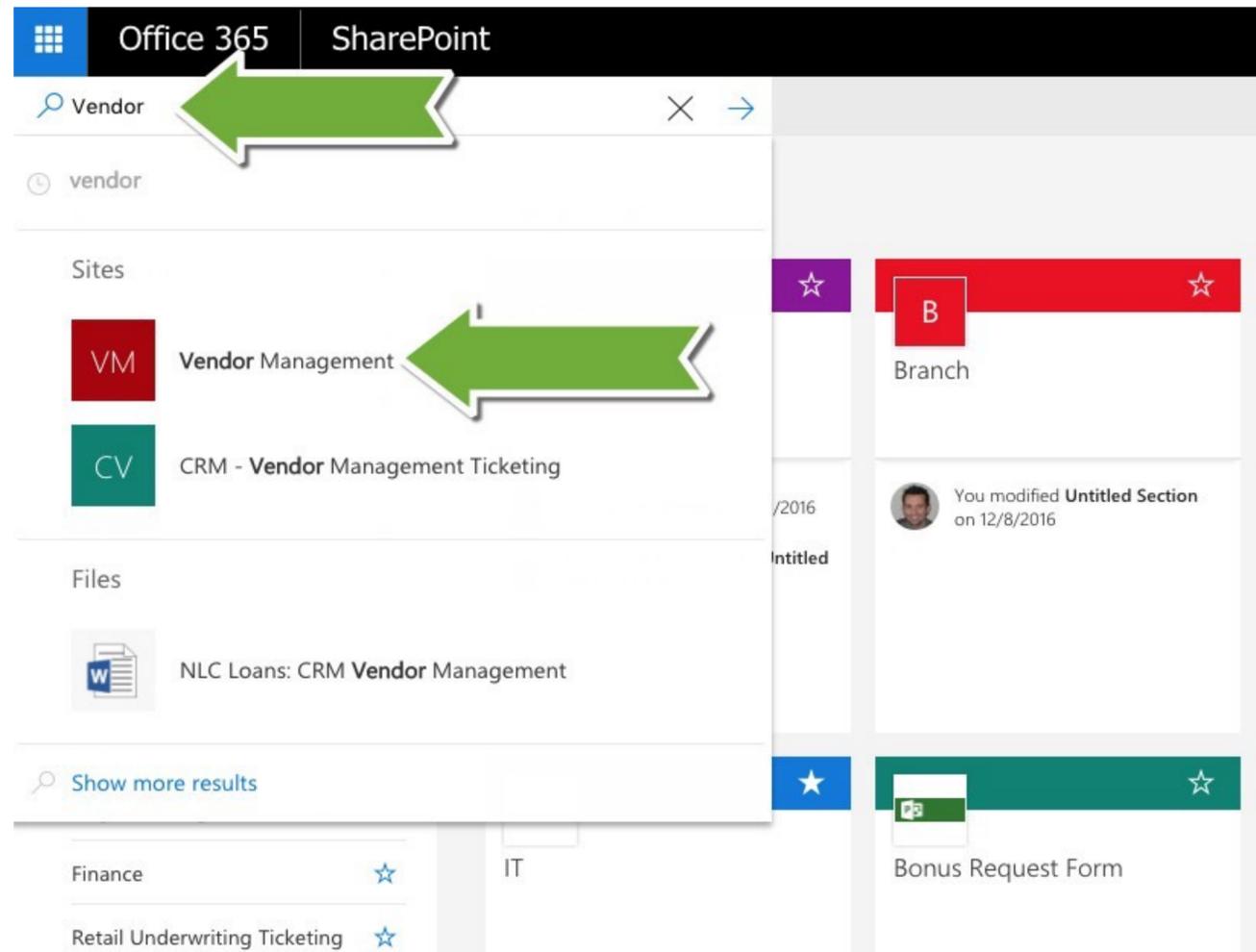
Below are the steps to SUBMIT a VENDOR request:

Where to locate Vendor Requests on SharePoint:

Login to SharePoint using your company username and password. Once logged into the homepage, select the

SharePoint tile. Type "Vendor Management" into the search bar located in the upper left corner of the page.





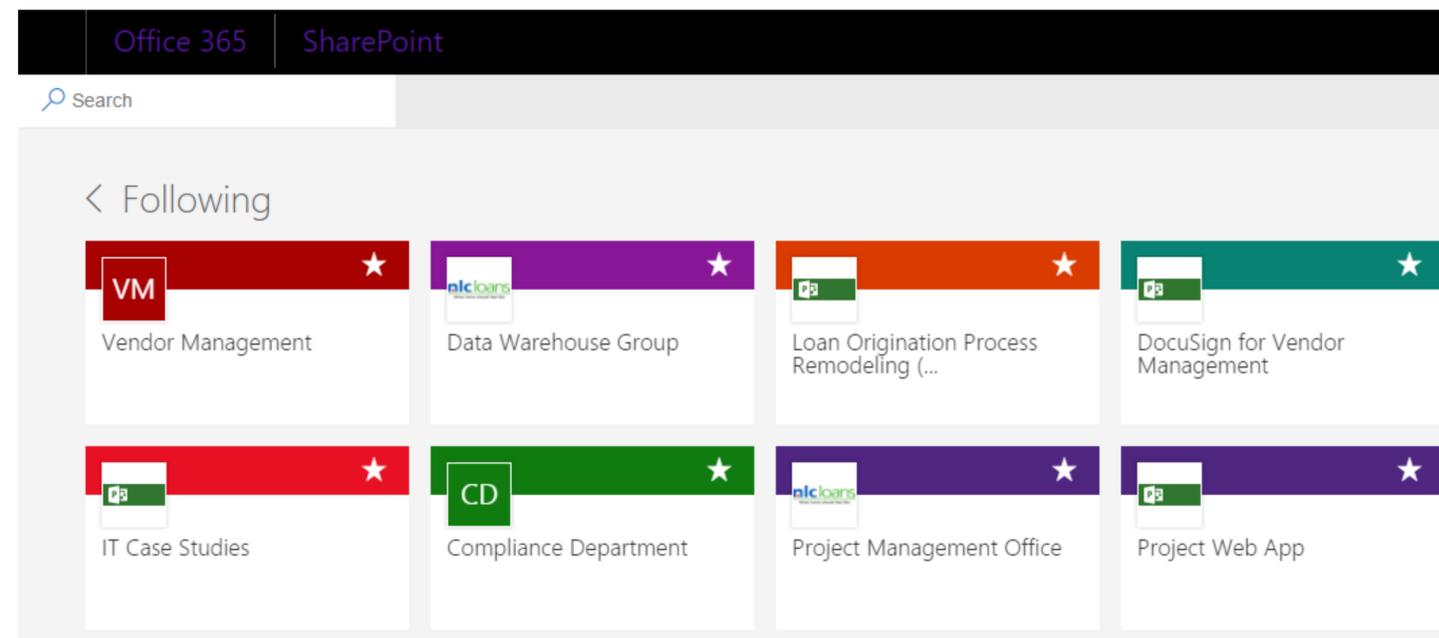
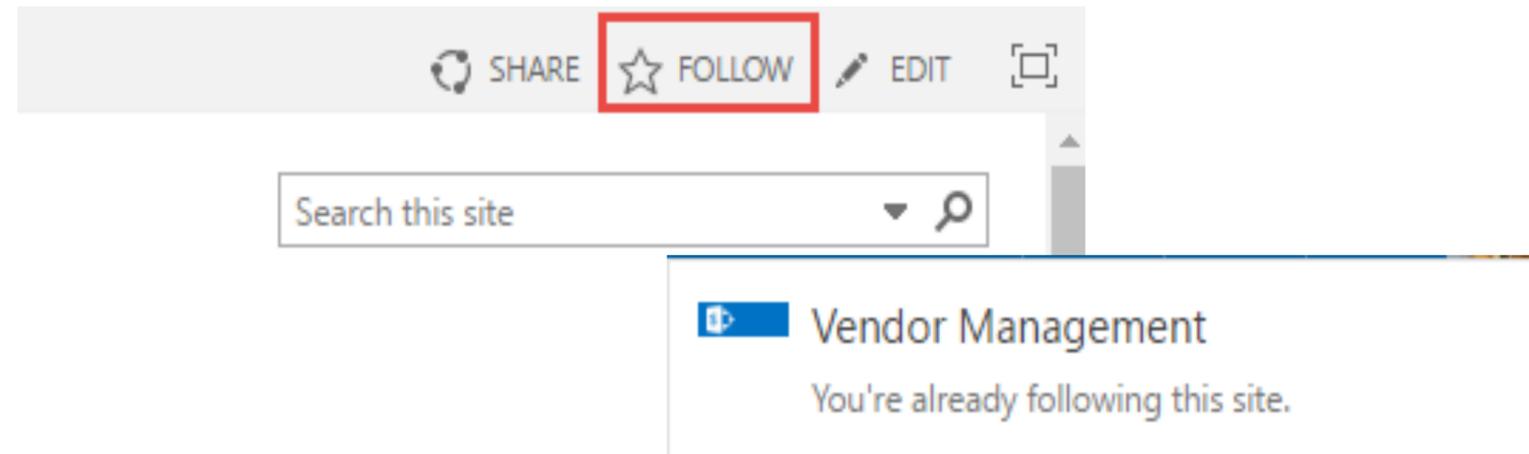
NOTE: if the site does not appear within your search, you can select enter on your keyboard and it Vendor Management should be listed in your results.

Next, you will be brought to the Vendor Management site where you will be able to enter your request.

The screenshot shows a SharePoint site titled "Vendor Management". The top navigation bar includes "Office 365" and "SharePoint". Below the navigation bar, there are options for "BROWSE", "DOCUSIGN", and "PAGE". The main content area is divided into several sections:

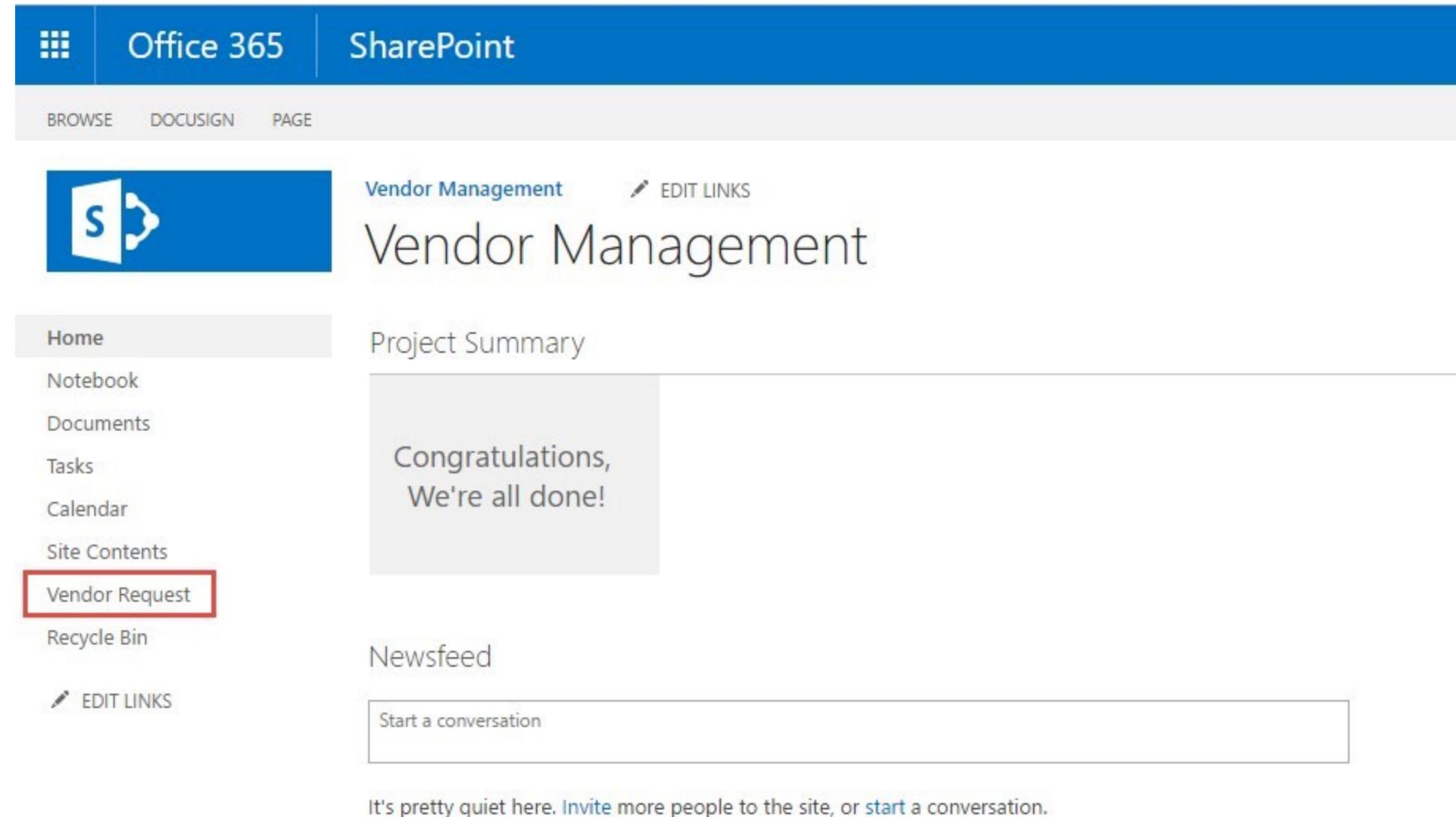
- Project Summary:** A large grey box with the text "Congratulations, We're all done!". To the right of this box are links for "+ ADD TASK" and "EDIT LIST".
- Newsfeed:** A section with a "Start a conversation" input field and the text "It's pretty quiet here. Invite more people to the site, or start a conversation."
- Documents:** A list of documents with columns for "Name" and "..." (options menu). The documents listed are:
 - Signed Vendor Requests
 - 6. VM Declined Vendors
 - 1. VM Prospect & Pending Approval
 - 6. VM Declined & Inactive Vendors
 - 5. VM Approved Vendors
 - 8. VM Risk Reviews
 - 4. VM Probation Vendors
 - Watch List- SI
 - Tony's Project
 - 7. Secure Insight Title Vetting
 - Title Company Questionnaires
 - MQMR Site Backups
 - VM Accounts Payable Lists
 - QuickChecks
 - Vendor Categories

NOTE: You can opt to follow the Vendor Management page. This allows you to quickly locate the page upon login to SharePoint. To follow the Vendor Management page, navigate to the top right-corner of your window, and select FOLLOW.



After selecting to follow the site, Vendor Management will now show within the list of other SharePoint sites you may follow.

STEP# 1 - Located in the upper right-hand corner of your screen; select **Vendor Request** from the list of options.



The screenshot shows a SharePoint interface. At the top, there is a blue header with the Office 365 logo and the text 'Office 365' and 'SharePoint'. Below the header, there is a navigation bar with 'BROWSE', 'DOCUSIGN', and 'PAGE' options. The main content area is titled 'Vendor Management' and includes a 'Project Summary' section with a message: 'Congratulations, We're all done!'. Below this is a 'Newsfeed' section with a 'Start a conversation' button. The left-hand navigation menu includes 'Home', 'Notebook', 'Documents', 'Tasks', 'Calendar', 'Site Contents', 'Vendor Request', and 'Recycle Bin'. The 'Vendor Request' option is highlighted with a red box. There are also 'EDIT LINKS' options in the top right and bottom left of the main content area.

STEP# 2 – Next, you will be taken to the Vendor Request dashboard. From this view you will need to select (+) new item to enter your request.

NOTE: Any previously entered requests will be visible from the dashboard view. You can track your request from the request dashboard. You will only have access to view requests you have created.

Office 365 | SharePoint

BROWSE | DOCUSIGN | ITEMS | LIST

Vendor Management EDIT LINKS

Vendor Request

+ new item or edit this list

All Items eddie analyst Find an item

ID	Edit	Name of Vendor	Vendor Type	Lead Vendor	Compliance Status	Compliance VP Status	Compliance Officer Status	IT Review Needed	IT Status	Marketing Review Needed
13		don test	Operations	No	Status Not Selected	Status Not Selected	Status Not Selected	No	Status Not Selected	No

Home
Notebook
Documents
Tasks
Calendar
Site Contents
Vendor Request
Recycle Bin

STEP# 3 – Beginning at the top of your request form, enter in the necessary information regarding your vendor.

NOTE: Any sections marked with an asterisk (*) must be completed.

Request

Current Business with Vendor Contract or Agreement with Vendor? Please select ▼

What type of data/service will the vendor be used for? *

** if lead gen or CRM include NMLS licenses & URLs for the landing pages

What is the contact info for the vendor?

Name of Vendor *

Contact Name *

Address *

City *

State * Zip *

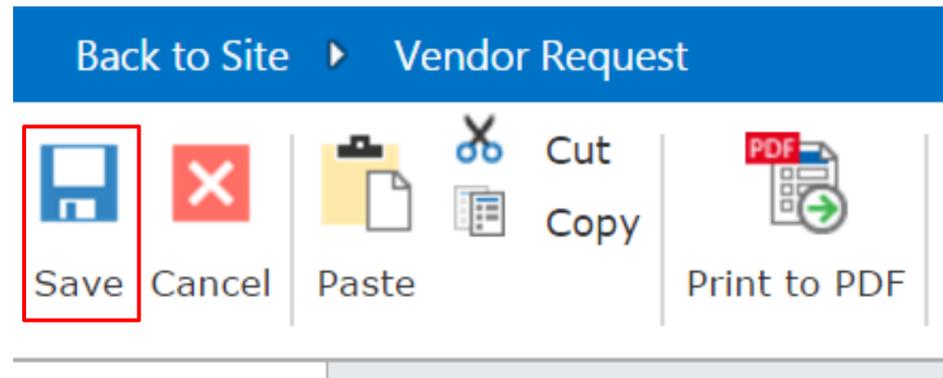
Contact Phone *

Contact Email *

After populating the necessary vendor information within the first half of the request form, continue to the second half of the request form to provide additional information regarding your vendor.

Access to our Systems? *	Please select ▼	
		If yes, what exact info will the vendor have access to?
Relationship *	Please select a value... ▼	
Why use this vendor		
What will the proposed relationship accomplish for NLC?		
General Comments Fee schedule or pricing plan		

STEP# 4 – Your request will be sent to the Compliance team once you have selected Save. You will be brought back to the Vendor Request dashboard. The vendor team will send you the vendor documentation request form for your team to send to the vendor and to collect.



The status of your request will be "ON HOLD" until you have collected the needed items.

Vendor Management

Vendor Request

+ new item or edit this list

Compliance Analyst All Requests Kelly ... Find an item

ID	Edit	Name of Vendor	Compliance Status	Created	Created By
Count= 6					
93		8769834 Canada Inc.	... On Hold	March 30	<input type="checkbox"/> Kirsten Soos
91		iLeads.com LLC	... On Hold	March 29	<input type="checkbox"/> Kirsten Soos
89		Donald Hackman	... On Hold	March 29	<input type="checkbox"/> Don Hackman
88		Active Campaign	... On Hold	March 21	<input type="checkbox"/> Lori Ropchock

STEP# 5- After you have collected the entire package you will need to log into the Vendor Management Share Point Site. On the dashboard locate your ticket and click on your ticket.

Vendor Management

Vendor Request

+ new item or edit this list

Compliance Analyst All Requests Kelly ... Find an item

ID	Edit	Name of Vendor	Compliance Status	Created	Created By
Count= 82					
104		The Lenders Hub	... Work in progress	Yesterday at 3:43 PM	<input type="checkbox"/> Lori Ropchock
103		Brynn Lucas	... Work in progress	5 days ago	<input type="checkbox"/> Stephanie Yu
102		FullBeaker	... Work in progress	April 25	<input type="checkbox"/> Kirsten Soos
101		Wrightside Consulting	... Work in progress	April 24	<input type="checkbox"/> Lori Ropchock

STEP# 6- Click "EDIT ITEM"

Back to Site ▸ Vendor Request

Edit Item Delete Item Close Print to PDF

Edit this item.



Request

Current Business with Vendor Contract or Agreement with Vendor? No

What type of data/service will the vendor be used for? * testing

** if lead gen or CRM include NMLS licenses & URLs for the landing pages

What is the contact info for the vendor?

STEP# 7- Scroll all the way to the bottom of the page below the legal comments section and select "ADD ATTACHMENT"

Legal

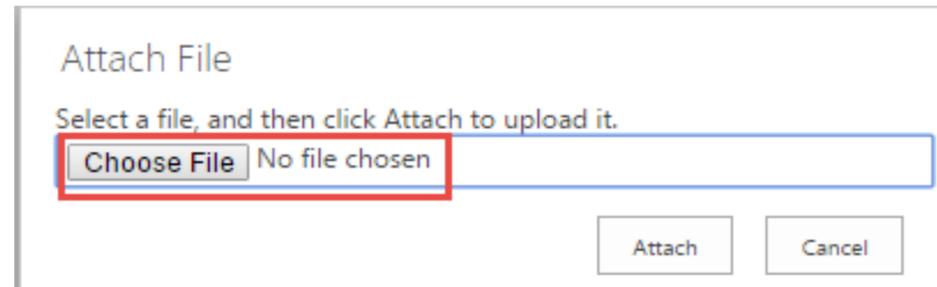
Status * Status Not Selected

Comments

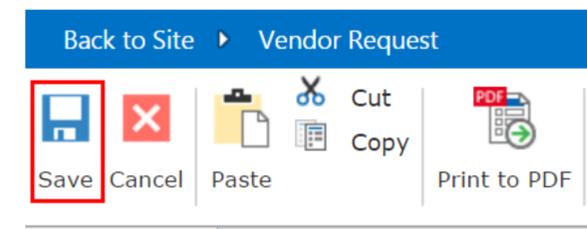
Attachments [+ Add Attachment](#)

SAVE CANCEL

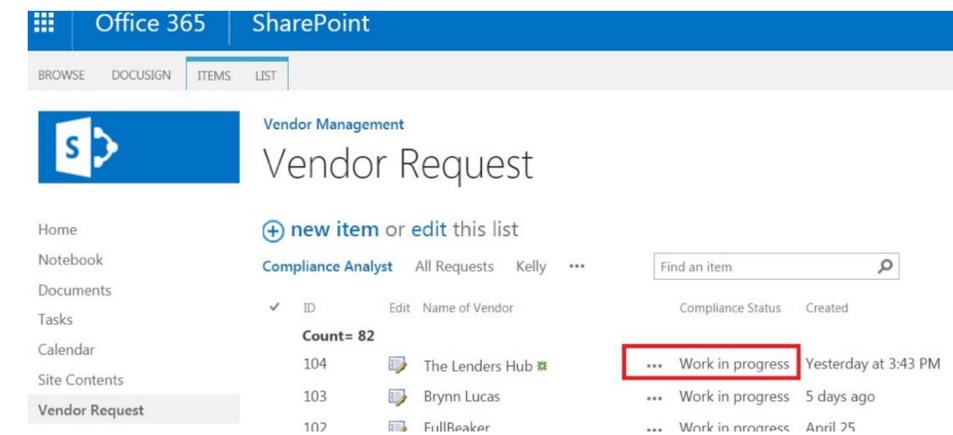
STEP# 8- Select Choose File, to locate the file within your system. Once it is found, select Attach to append your document to the request form.



NOTE: If you may need to navigate away from the request page, be sure to save your work. Once you have completed your request form, and attached the necessary documentation; select Save. This will close your form.



STEP# 9- Your request will be sent to the Compliance team once you have selected Save. You will be brought back to the Vendor Request dashboard. Once the vendor team receives the items they will change the status to “WORK IN PROGRESS”. THIS STATUS WILL BE THE START DATE OF YOUR REQUEST.



STEP# 10- Once the vendor is approved, the "Compliance Status" will show Complete.

NOTE: You can view all your ongoing requests from the Vendor Request dashboard. To check on the progress of your request, or to update any information within your form; be sure to check the "Compliance Status" from the dashboard to best determine your request's status.

NOTE: If you need to make edits or corrections to your request, do so by selecting the Edit icon. This will re-open your request to make your necessary corrections.

The screenshot shows the Office 365 SharePoint interface for Vendor Management. The top navigation bar includes 'Office 365' and 'SharePoint'. Below it, there are tabs for 'BROWSE', 'DOCUSIGN', 'ITEMS', and 'LIST'. The main content area is titled 'Vendor Management' and 'Vendor Request'. A sidebar on the left contains navigation options: Home, Notebook, Documents, Tasks, Calendar (highlighted), Site Contents, Vendor Request, and Pages. The main area shows a list of vendor requests with columns for ID, Edit, Name of Vendor, Vendor Type, Lead Vendor, Compliance Status, and Created. A search bar is present above the list. The 'Compliance Status' column for the first item is highlighted with a red box.

ID	Edit	Name of Vendor	Vendor Type	Lead Vendor	Compliance Status	Created
98		Spring Cleaning of Ocala	...	No	Complete	April 7
96		SoftVu	...	No	Complete	April 5