

#11 - Federal Registration (Institution)

Version 2, Delivered 3/16/17

Personas:



Kim
Institution Organization
User (Federal)

Background: Kim, an Institution Organization User (Federal), wishes to submit a filing for federal registration for her institution, a process completed just once when an institution initially wishes to become registered. Kim has previously been assigned permission to set up the institution's record. After setting up the record, Kim selected the option to file for federal registration. Kim initiates the filing, which is automatically and completely populated from the institution's record. Kim reviews the filing to ensure accuracy, pays the federal registration fee, and submits to the federal registry.

Journey Map



User Experiences:

- I am able to quickly and easily navigate throughout the different sections of the filing and the on-screen status bar keeps track of my progress.*
- I can come back to the filing later and my information will be saved, even if I get timed out.*
- The system performs a completeness check and notifies me of any missing information before allowing me to submit.*
- If I have a question while I am completing the filing, I can access specific help resources right on the screen I am working on.*
- When I log in, I know exactly where to go based on the activity I want to complete.*
- I am able to complete all steps of the filing process within NMLS, including communicating with other users and uploading/submitting all documents.*
- When filing for federal registration, the system automatically populates the filing from the institution record.*
- The system pre-populates my filing by pulling information stored in the institution record.*
- I receive a notification that my filing was successfully submitted.*
- I am able to delegate registration activities to members of my staff.*

#11 - Federal Registration (Institution)

NMLS 1.0 Pain Points:

- Registrants are often unsure of where to start in the registration process.
- The filing workflow is complex, not intuitive, and does not provide transparency on where the applicant is in the process.
- Difficulty locating help resources on the Resource Center.
- Unable to communicate with other users in the system.
- Users do not receive confirmation that their filing has been successfully submitted.

NMLS 2.0 Capabilities:

- Ability for users to assign roles and permissions.
- Ability to initiate tasks based on user actions, another user's actions (who created a task for you), or system generated activities.
- Ability to assign tasks to individuals/groups.
- Ability for companies to control what steps individuals have access to.
- Ability to have role-based security access.
- Ability to combine logical workflow components to facilitate the user experience and reduce confusion / duplication (e.g., streamlined, intuitive user interface).
- Ability to see progress while completing the filing (e.g., visually represent with a status bar where the user is in the overall filing workflow).
- Ability to leave and come back to a filing and resume in the same location (i.e., save and continue).
- Ability to populate form data from existing data in NMLS or based on business rules based on the action being taken or the form being completed.
- Ability to integrate with third party data sources during data entry/upload to validate data (SSN, addresses, etc.).
- Ability to assist users with a step in the process based on the stage of the process and also directly on the page (i.e., contextual help resources).
- Ability to provide access to FAQs, quick reference guides, job aids, training videos and tutorials.
- Ability to upload and tag documents with metadata in the document upload section based on workflow and context.
- Ability to communicate with other users within the system.
- Mobile capability for core licensing workflow functionality (smartphone, tablet).
- Ability to provide e-signature capability for any forms / documents requiring a signature.
- Ability to make multiple payments in one invoice similar to a shopping cart concept.
- Users are able to withdraw a filing at any time in the process.
- Ability to send multiple notifications to different parties when actions are taken (e.g. registration is submitted).

#13 - Federal Renewal (Institution)

Version 2, Delivered 3/16/17

Personas:



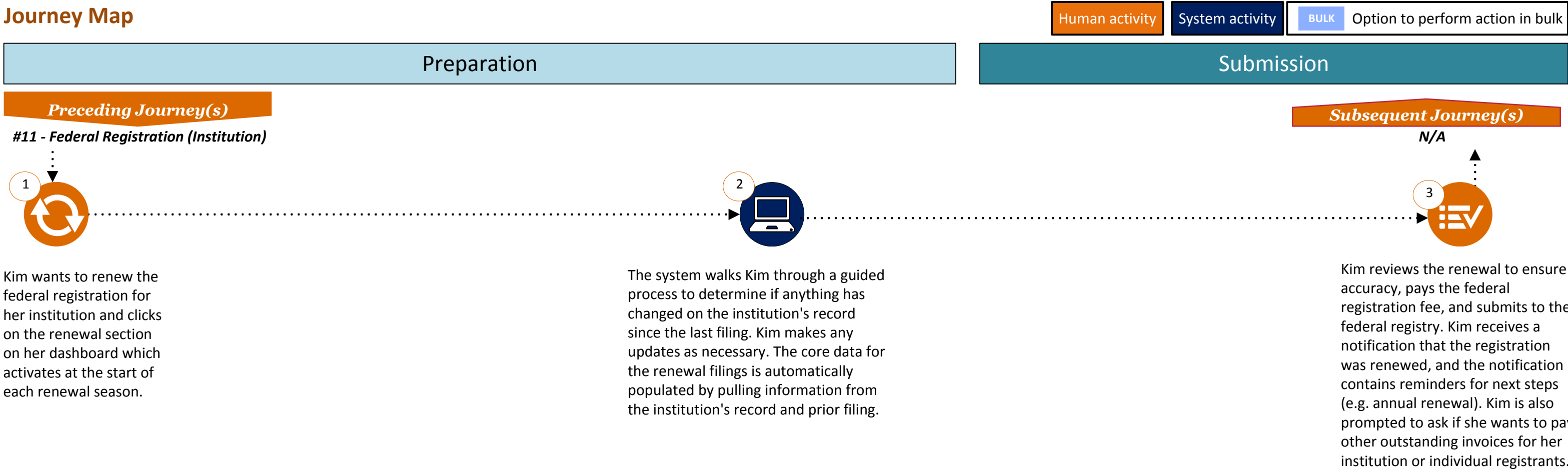
Kim
Institutional Organization User (Federal)

Background: Kim, an Institution Organization User (Federal), wishes to renew the federal registration for her institution, a process completed annually. Kim has previously been assigned permission to renew the institution's filing. Kim clicks on the renewal section on her dashboard which activates at the start of each renewal season to initiate the renewal. Kim is guided through a process to determine if anything has changed since last year, making any updates as necessary. Once the filing is complete, Kim pays the federal renewal fee, and the renewal is submitted to the federal registry.










Note: This journey also applies to late renewal, which is the same process as renewing a registration, but occurs after the renewal deadline has passed. Late renewal also requires the payment of a late fee.

Note: Institutions that have been acquired or merged into another company prior to renewal need to terminate their registration.

Journey Map



User Experiences:

-  *The system performs a completeness check and notifies me of any missing information before allowing me to submit.*
-  *I am able to quickly and easily navigate throughout the different sections of the renewal and the on-screen status bar keeps track of my progress.*
-  *I can come back to the filing later and my information will be saved, even if I get timed out.*
-  *The system pre-populates my renewal filing by pulling information stored in the institution's record.*
-  *I receive a notification that my renewal was successfully submitted.*
-  *I am able to complete all steps of the filing process within NMLS, including communicating with other users and uploading/submitted all documents.*
-  *If I have a question while I am completing the filing, I can access specific help resources right on the screen I am working on.*
-  *I am able to delegate renewal activities to members of my staff.*
-  *When renewing my institution's registration, the system provides me with a streamlined process to renew.*

#13 - Federal Renewal (Institution)

NMLS 1.0 Pain Points:

- Registrants are often unsure of where to start in the registration process.
- The filing workflow is complex, not intuitive, and does not provide transparency on where the applicant is in the process.
- Difficulty locating help resources on the Resource Center.
- Unable to communicate with other users in the system.
- Users do not receive confirmation that their filing has been successfully submitted.



NMLS 2.0 Capabilities:

- Ability for users to assign roles and permissions.
- Ability to initiate tasks based on user actions, another user's actions (who created a task for you), or system generated activities.
- Ability to assign tasks to individuals/groups.
- Ability for companies to control what steps individuals have access to.
- Ability to have role-based security access.
- Ability to combine logical workflow components to facilitate the user experience and reduce confusion / duplication (e.g., streamlined, intuitive user interface).
- Ability to see progress while completing the filing (e.g., visually represent with a status bar where the user is in the overall filing workflow).
- Ability to leave and come back to a filing and resume in the same location (i.e., save and continue).
- Ability to populate form data from existing data in NMLS or based on business rules based on the action being taken or the form being completed.
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- Ability to make multiple payments in one invoice similar to a shopping cart concept.
- Ability to send multiple notifications to different parties when actions are taken (e.g. renewal is submitted).