



# Company Enrollment

This policy addresses the process for a company to get access to SES and the role of state agency users in this process.

In order to initiate a supervisory activity or complaint in the system, the company must be enrolled in the SES environment by a state agency. This process is referred to as "Company User Enrollment." In most cases, a company will only go through this process once. Once a company has been successfully enrolled by a state agency in the system, that company will not likely need to be enrolled again. Once company users are established in SES, it is the responsibility of appointed company account administrators to manage their company's users as personnel and business needs change.

## **Agency Role in the Enrollment Process**

Most agency users have the ability to enroll companies in SES, specifically those with the following user role(s):

- Staff Users
- Staff Directors
- Examiners

It is recommended that each agency establish an internal policy that determines which staff are authorized to enroll companies prior to conducting a supervisory activity or complaint. Agency users performing this action should be aware that enrolling a company user will associate that user to the company account in SES and allow that individual to add other users to the company account. Therefore, it is important that only a confirmed examination or supervision contact at a company is enrolled. If an agency inadvertently enrolls the wrong user to a company, that company user has an option to decline this request, terminating the enrollment process.

## **Enrollment Process – Agency Perspective**

Agency users should contact the company outside of SES prior to initiating the enrollment process in the system. This way, companies can anticipate receiving the system emails that are automatically generated with the enrollment process and will understand their purpose.

The company enrollment process was designed to allow the agency to create the first company user in SES because it is assumed that the agency has the most accurate information about which individual at a company will handle supervisory activities for that company. SES displays the NMLS Contact Person and the NMLS Complaints Contact if provided by the company in NMLS. These listed individuals are for reference only and may be outdated if not updated regularly in NMLS by the company. The agency can use the NMLS contact information to reach out to the company and determine the appropriate contact for supervisory activities. Once this person is identified, the agency will enter the following basic information as part of the enrollment process:

- Email Address
- First Name / Last Name
- Primary Phone Number

### **Enrollment Process – Company Perspective**

The enrolled company user is notified via email that the agency initiated the enrollment process. The company notification provides the steps company users must take to get access to the system.

Company users should make sure they receive SES notifications by [marking the SES email addresses and SES URLs as safe](#).

When following the steps in the initial login email and upon logging in the first time, the company user will be prompted to confirm their association with the company. If the user confirms the relationship with the company, the user will designate the individual(s) they wish to be notified of new exams, investigations, and complaints for their company, designating them as a pair of roles called the "SA Contact" and "Complaints Contact". While initially designated at this step, the "SA Contact" and "Complaints Contact" can be updated when necessary.

If the company user believes they received an enrollment request in error and rejects the association with the company, the system will notify the agency of the rejection and the agency can begin the enrollment process with a different contact person.

### **Re-Enrollment**

If the initial enrollment request was unsuccessful, agency users can initiate another request.