



**Conference of  
State Bank  
Supervisors**

# **CSBS Accreditation Online System (AOS)**

**State Agency User Guide**

**Updated  
6/23/17**

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If you are unable to find what you need, please contact [accreditation@csbs.org](mailto:accreditation@csbs.org).

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## SYSTEM OVERVIEW

The CSBS Accreditation Application was built on the world's #1 CRM cloud-based software platform – Salesforce. The system automates many of the day-to-day activities that impact the CSBS Accreditation Process. The features of the system include:

- Management of Agency Users
- Accreditation Review Scheduling
- Self-Evaluation Questionnaire Submission Process
- Review Team Process
- Performance Standards Committee Approval Process
- Email Notifications

This guide is designed to assist the Agency Point-Of-Contact (POC) and Agency Users in how to navigate the system. If there is ever an issue that you need assistance with, please contact us at [accreditation@csbs.org](mailto:accreditation@csbs.org).

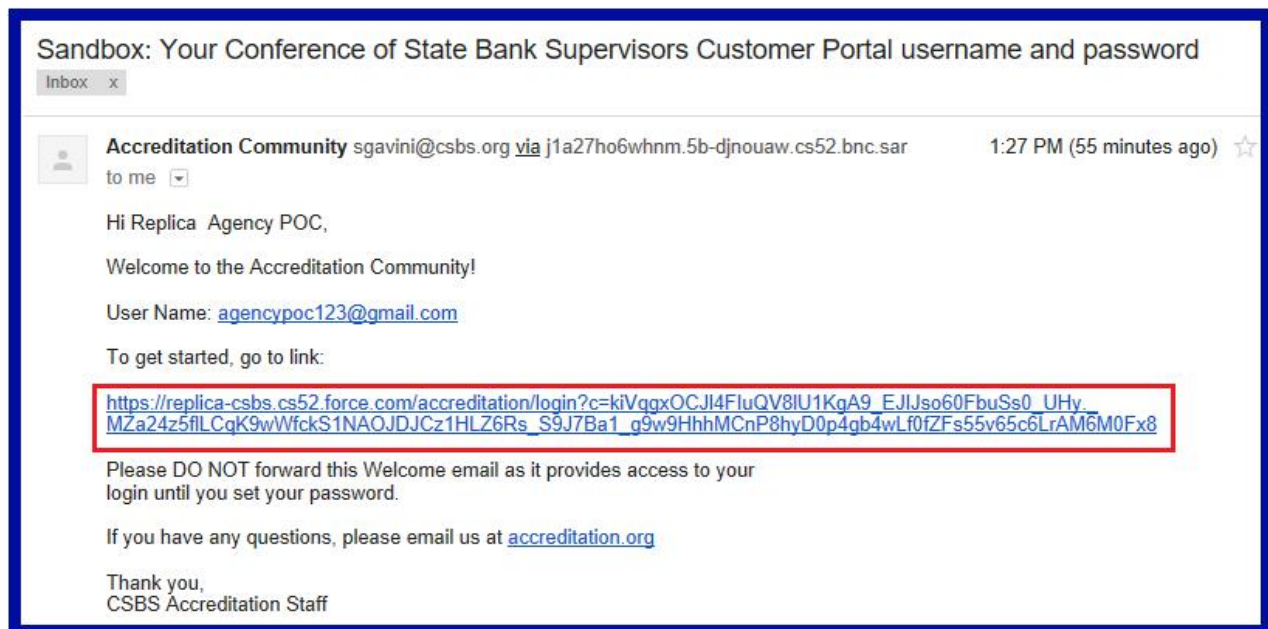
## LOGGING IN AS AGENCY POC



**Note:** If you already have a Salesforce account with CSBS, you CANNOT use your existing account.

When a CSBS Staff member adds you to the Accreditation Community, you will receive an email similar to the one below. The link you will use to access the Accreditation Community is <https://csbs.force.com/accreditation>. The link you will see in the email is longer because it includes the steps to set up your password.

1. Click on the link in the email.



2. Enter your password in the **New Password** and **Confirm New Password** box.
3. Click on “**Change Password**” button.

salesforce

### Change Your Password

Enter a new password for **agency poc@gmail.com**.  
Your password must have at least:

- ☐ 8 characters
- ☐ 1 letter
- ☐ 1 number

\* New Password

\* Confirm New Password

Change Password

Password was last changed on 6/19/2017 7:43 AM.

4. Agency POC Accreditation Community page is displayed.

Accreditation Community

Logged in as Maryland Agency POC (agency poc1@gmail.com) | Sandbox: replica

### Accreditation Community

Home | Contacts

Welcome to the CSBS Accreditation Program

[Enter Accreditation System >>>](#)

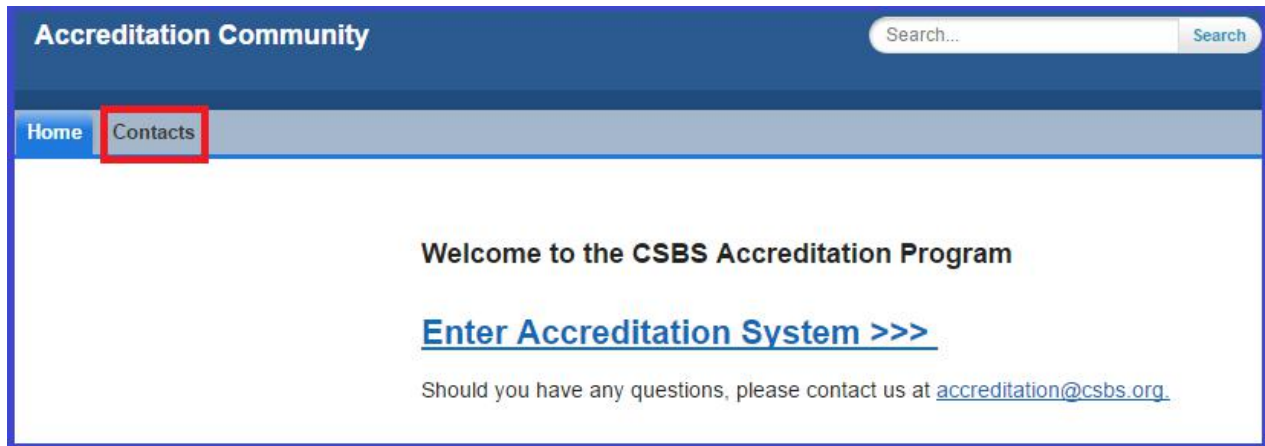
Should you have any questions, please contact us at [accreditation@csbs.org](mailto:accreditation@csbs.org).

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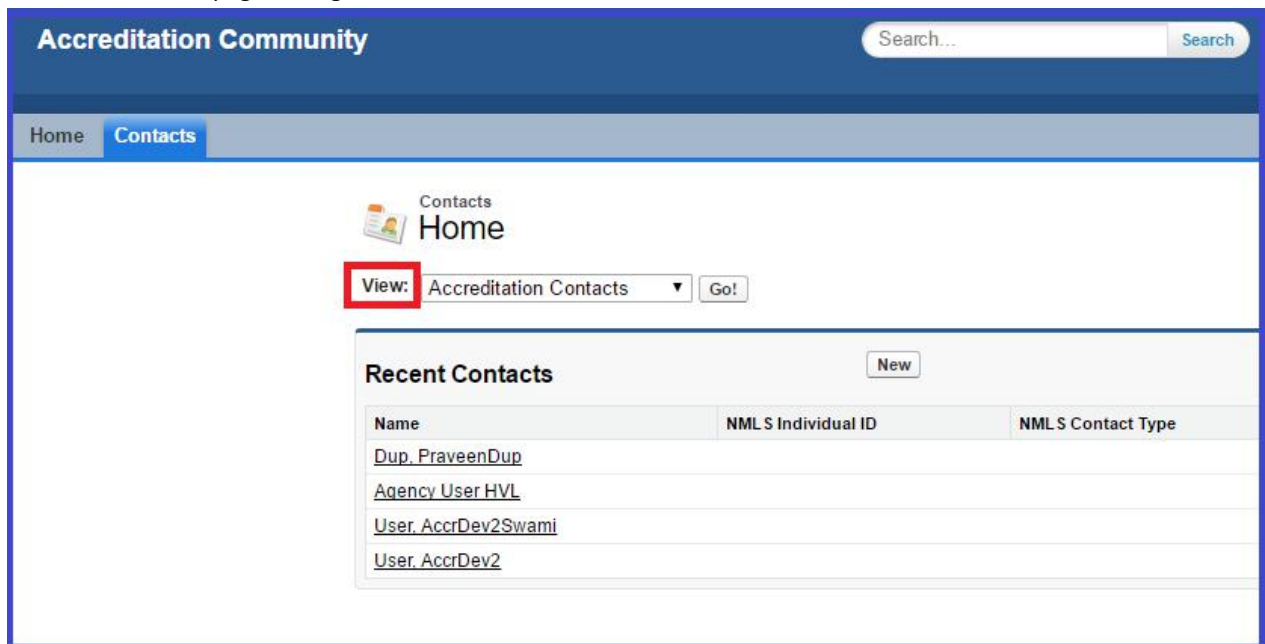
5. You may click on the ‘Enter Accreditation System’ link or at this point you may want to create the Agency Users & assign sections to them. Next steps on this document will start with the latter.

## VIEW EXISTING AGENCY USERS

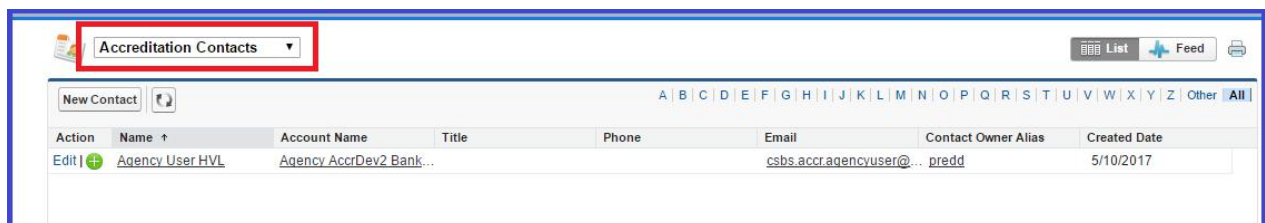
1. To view existing users of AOS from your agency, start by selecting the “Contacts” tab.



2. From the Contacts page, change the “View” to “Accreditation Contacts” and Select “Go”.



3. The Accreditation Contacts View will display any Contacts from your agency that are in AOS.



## CREATE A NEW AGENCY USER



**Note:** This action can only be done by an Agency POC.

1. To setup an agency user, click on the 'Contacts' Tab.

The screenshot shows the 'Accreditation Community' header with a search bar. Below the header, there are two tabs: 'Home' and 'Contacts'. The 'Contacts' tab is highlighted with a red rectangular box. The main content area displays a welcome message: 'Welcome to the CSBS Accreditation Program', followed by a link 'Enter Accreditation System >>>' and contact information: 'Should you have any questions, please contact us at [accreditation@csbs.org](mailto:accreditation@csbs.org)'.

The screenshot shows the 'Accreditation Community' header with a search bar. Below the header, there are two tabs: 'Home' and 'Contacts'. The 'Contacts' tab is active and highlighted. The main content area displays a 'Contacts' section with a 'Home' link and a 'View: Accreditation Contacts' dropdown menu. Below this, there is a 'Recent Contacts' table with a 'New' button.

Name	NMLS Individual ID	NMLS Contact Type
<a href="#">Dup, PraveenDup</a>		
<a href="#">Agency User HVL</a>		
<a href="#">User, AccrDev2Swami</a>		
<a href="#">User, AccrDev2</a>		

- Click on '**New**' button to create a new Contact.

The screenshot shows the 'Accreditation Community' interface. At the top, there's a header with 'Accreditation Community' and a search bar. Below the header, there's a navigation bar with 'Home' and 'Contacts' tabs. The 'Contacts' tab is selected. On the left, there's a sidebar with 'Accreditation External UI' and 'Accreditation External UI'. The main content area shows 'Contacts Home' with a 'View: All Contacts' dropdown and a 'Go!' button. Below this, there's a 'Recent Contacts' section with a 'New' button (highlighted with a red box) and a 'Recently Viewed' dropdown. A table with columns 'Name', 'NMLS Individual ID', 'NMLS Contact Type', 'Account Name', and 'Last Activity' is partially visible.

- Enter the correct information for the user you are setting up.
- Click on the "**Save**" button.



**Note:** The applicable fields for Accreditation are: First Name, Last Name, Middle Name, Email, and Contact Type. Contact Type is a required field and must be set to "Accreditation".

The screenshot shows the 'New Contact' form. At the top, there's a 'Contact Edit' section with 'Save', 'Save & New', and 'Cancel' buttons. Below this, there's a 'Contact Information' section with a legend indicating that red fields are required. The form contains the following fields: 'Contact Owner' (Praveen Reddy), 'First Name' (dropdown menu), 'Last Name' (text field), 'Middle Name' (text field), 'Account Name' (Agency AccrDev2 Banking Dept), 'NMLS Individual ID' (text field), 'NMLS Contact Type' (dropdown menu), 'Phone' (text field), 'Email' (text field), and 'Contact Type' (dropdown menu set to 'Accreditation'). The 'Save' button at the bottom is highlighted with a red box.

5. Click on **Manage External User** and then Select **“Enable Customer User”** from the drop-down.


There are no updates.

✓ Contact has been saved.

« Back to List: Contacts

Accounts [0]

**Contact Detail** Edit Clone Manage External User ▼

Contact Owner  Accreditation Staff User [Change] Email agencyuser321@gmail.com

Name Test Agency User

Middle Name

Account Name Maryland State Agency

Account Type State Agency

Unit/Division/Section

NMLS Individual ID

NMLS Contact Type

Description

Edit Clone Manage External User ▼

Enable Customer User

Enable Partner User

6. You will be presented with the following screen.



**Note:** If the user already exists in the system, the “Username” and “Nickname” must be unique.  
The Username should be the user’s email followed by “.accred”. For example: Joe@Alaska.gov.accred.

Accreditation Community

Logged in as Maryland Agency POC (agencypoct1@gmail.com) Sandbox: replica

Home Contacts

Accreditation External UI

Accreditation External UI

**Manage External User** Save Cancel

**User Information** Required Information

Username agencyuser321@gmail.c

Time Zone (GMT-04:00) Eastern Daylight Time (America/New\_York)

Locale English (United States)

Language English

Alias tagen

Nickname agencyuser321

Email Encoding General US & Western Europe (ISO-8859-1, ISO-LATIN-1)

Role None

User License High Volume Customer Portal

Profile Accreditation Customer Portal Agency User HVL

Active ☒

Generate new password and notify user immediately ☒

**Contact Information**

First Name Test

Last Name Agency User

Title

Email agencyuser321@gmail.c

Phone

Extension

Fax

Mobile

**Address Information**

Street 20th Street

City Washington

State/Province DC

Zip/Postal Code 20000

Country USA

Save Cancel



7. Using the drop down to the right:
  - a. Change User License to **“High Volume Customer Portal”**.
  - b. Profile will default to **“Accreditation Customer Portal Agency User HVL”**.
  - c. Ensure the Active checkbox is checked.

Accreditation Community

Home Contacts

Accreditation External UI

Manage External User

User Information

Username: agencyuser321@gmail.com

Time Zone: (GMT-04:00) Eastern Daylight Time (America/New\_York)

Locale: English (United States)

Language: English

Alias: tagen

Nickname: agencyuser321

Email Encoding: General US & Western Europe (ISO-8859-1, ISO-LATIN-1)

Role: [None]

User License: High Volume Customer Portal

Profile: Accreditation Customer Portal Agency User HVL

Active: ☒

Generate new password and notify user immediately: ☐

Contact Information

First Name: Test

Last Name: Agency User

Title:

Email: agencyuser321@gmail.com

Phone:

Extension:

Fax:

Mobile:

Address Information

Street: 20th Street

City: Washington

State/Province: DC

Zip/Postal Code: 20000

Country: USA

Save Cancel

8. Click on the **“Save”** button.

Accreditation Community

Home Contacts

Accreditation External UI

Manage External User

User Information

Username: agencyuser321@gmail.com

Time Zone: (GMT-04:00) Eastern Daylight Time (America/New\_York)

Locale: English (United States)

Language: English

Alias: tagen

Nickname: agencyuser321

Email Encoding: General US & Western Europe (ISO-8859-1, ISO-LATIN-1)

Role: [None]

User License: High Volume Customer Portal

Profile: Accreditation Customer Portal Agency User HVL

Active: ☒

Generate new password and notify user immediately: ☐

Contact Information

First Name: Test

Last Name: Agency User

Title:

Email: agencyuser321@gmail.com

Phone:

Extension:

Fax:

Mobile:

Address Information

Street: 20th Street

City: Washington

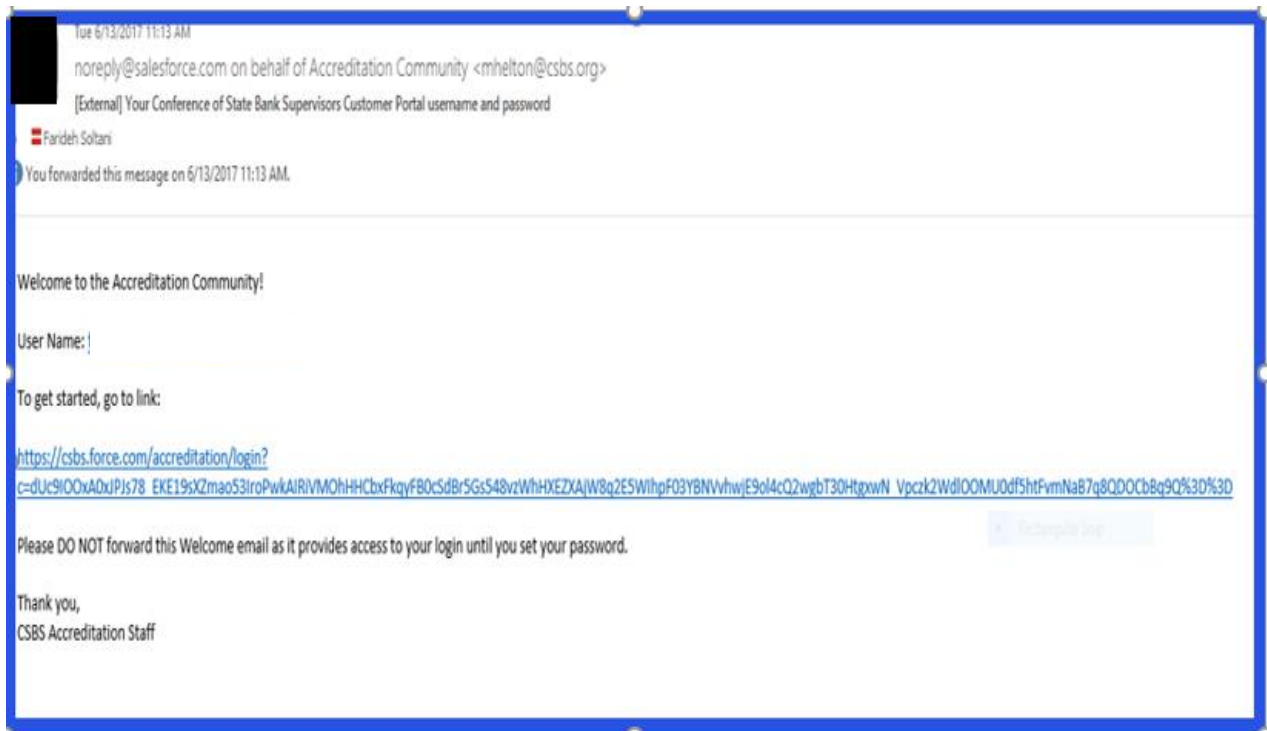
State/Province: DC

Zip/Postal Code: 20000

Country: USA

Save Cancel

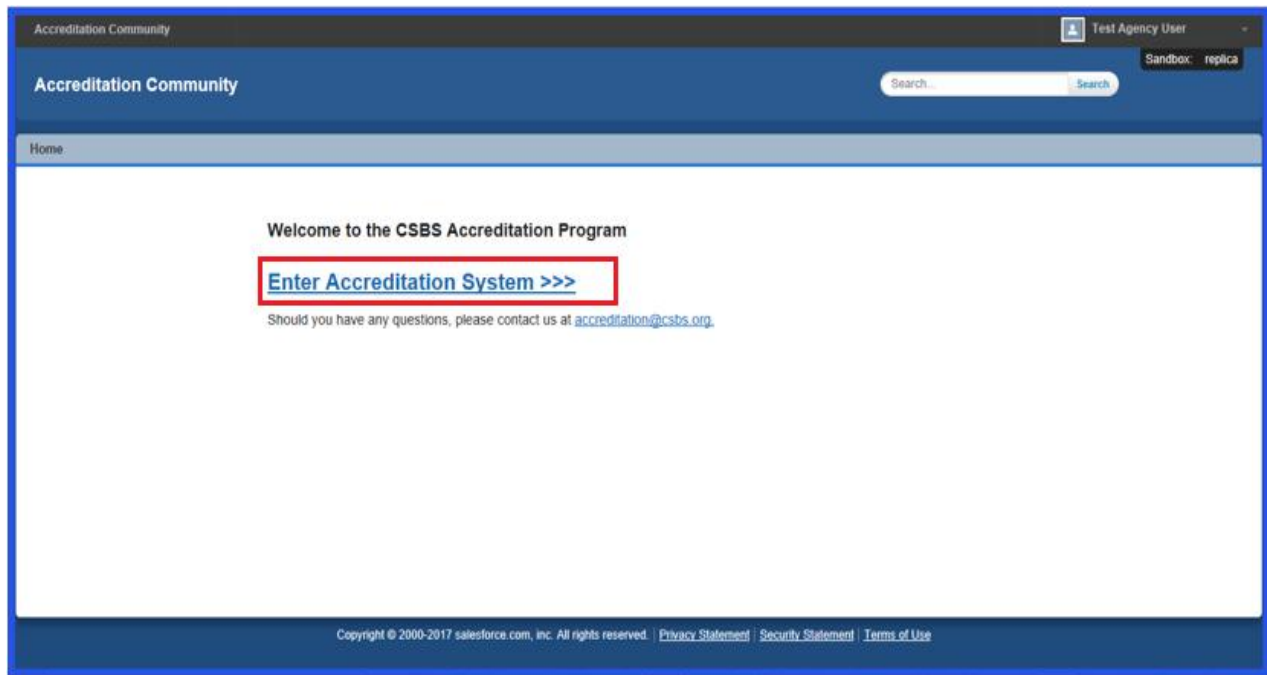
9. User will receive a welcome email. Example shown below.



10. The Agency User(s) may click on the link, and will be presented with a Salesforce window to set up a password.  
 11. From this screen you may set your password and log in.

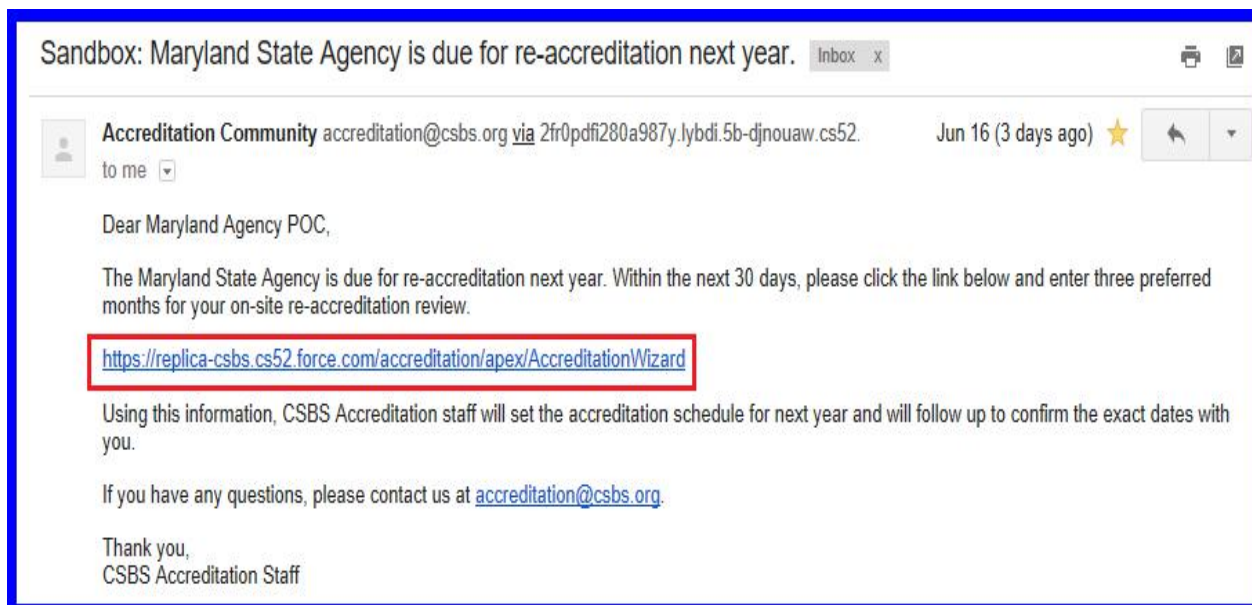
The screenshot shows the Salesforce 'Change Your Password' page. At the top is the Salesforce logo. Below it, the title 'Change Your Password' is displayed. The main content area says 'Enter a new password for **agencyuser3@gmail.com**. Your password must have at least:' followed by three radio button options: '8 characters', '1 letter', and '1 number'. Below these are two input fields: '\* New Password' and '\* Confirm New Password'. At the bottom is a 'Change Password' button. A footer note states 'Password was last changed on 6/19/2017 8:05 AM.'

12. User will be presented with the following screen.

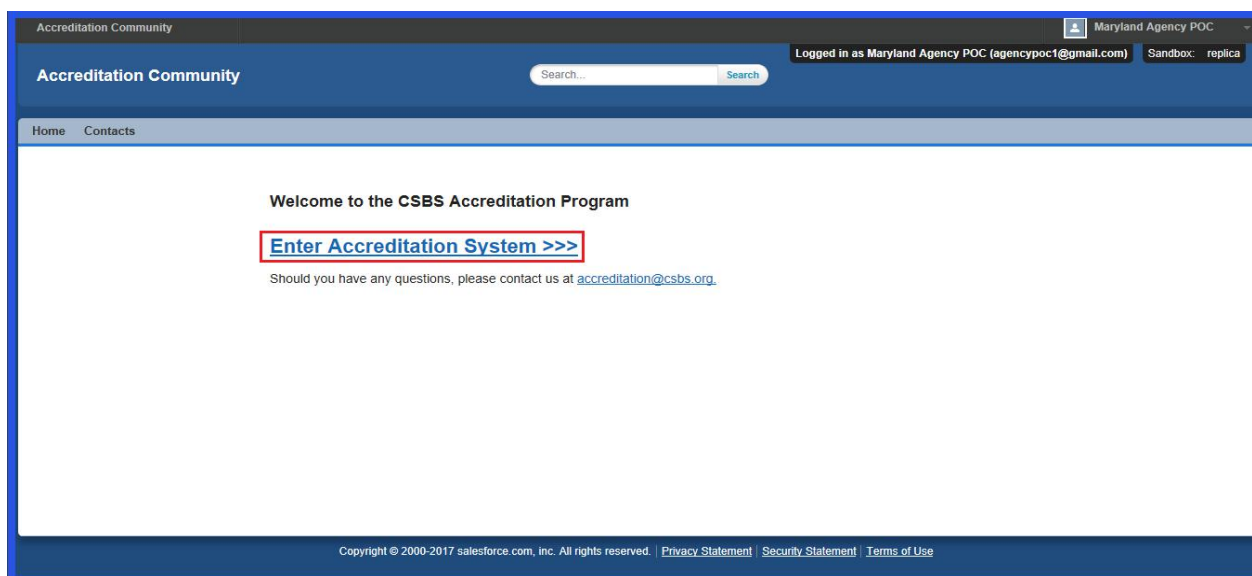


## AGENCY POC ENTERS PREFERRED MONTHS

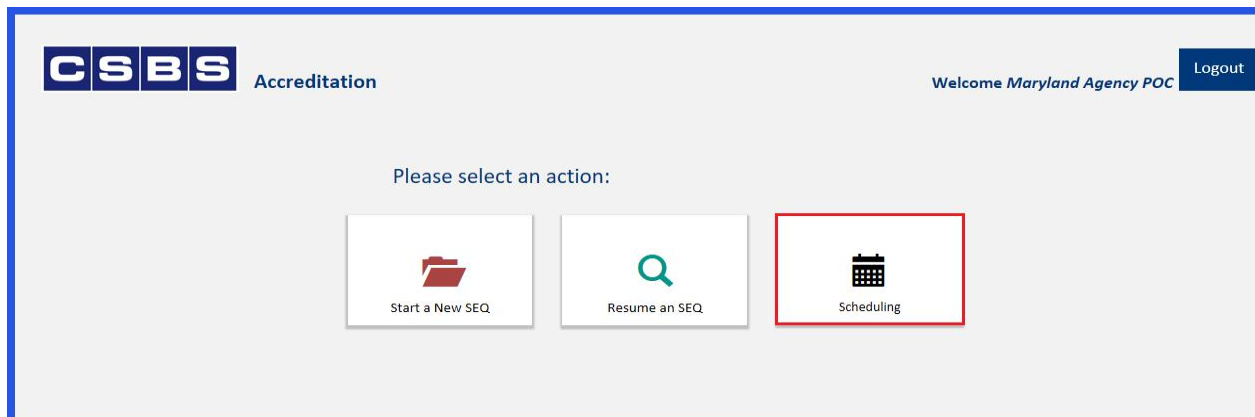
Agency POCs receive notifications a year before Accreditation expiration date. Below is an example of the email the Agency POC receive. Only Agency POCs can schedule preferred months.



1. Click on the link provided on this email.
2. Login as the Agency POC.
3. Click on 'Enter Accreditation System' link.



4. Select the “Scheduling” Icon.



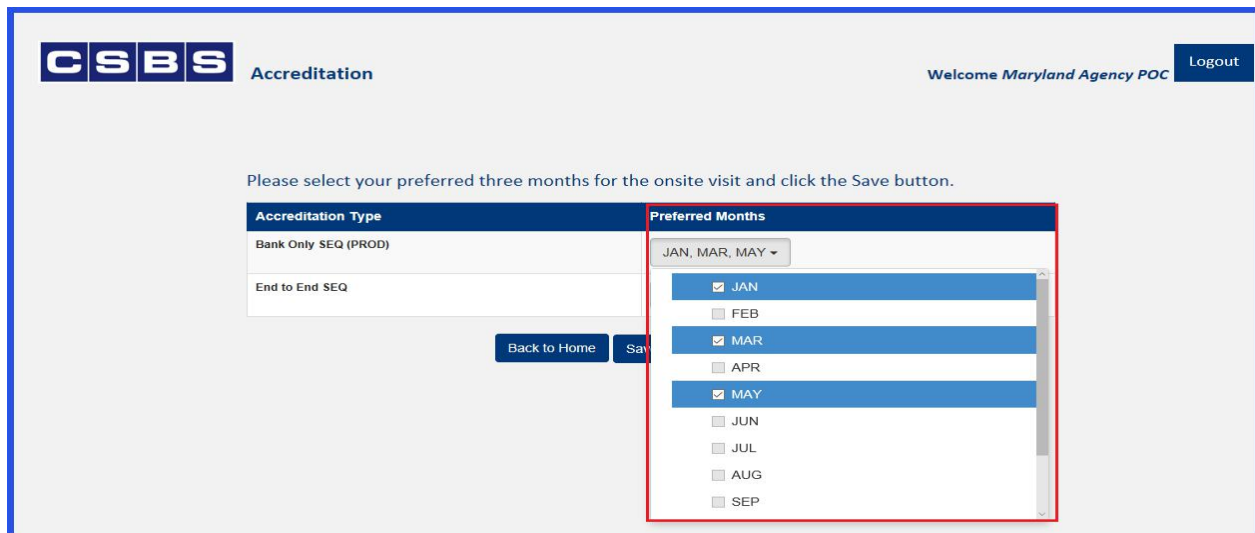
CSBS Accreditation

Welcome Maryland Agency POC Logout

Please select an action:

Start a New SEQ Resume an SEQ Scheduling

5. Enter 3 Preferred Months from the dropdown.



CSBS Accreditation

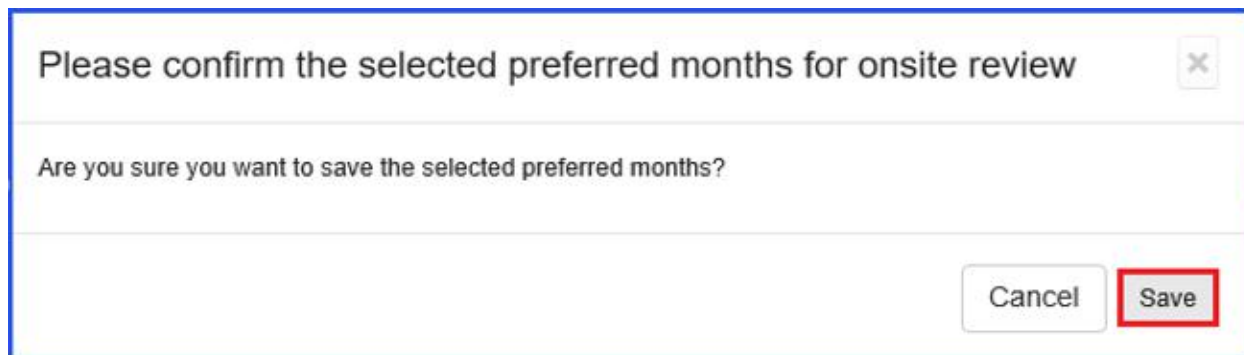
Welcome Maryland Agency POC Logout

Please select your preferred three months for the onsite visit and click the Save button.

Accreditation Type	Preferred Months
Bank Only SEQ (PROD)	JAN, MAR, MAY
End to End SEQ	<input checked="" type="checkbox"/> JAN <input type="checkbox"/> FEB <input checked="" type="checkbox"/> MAR <input type="checkbox"/> APR <input checked="" type="checkbox"/> MAY <input type="checkbox"/> JUN <input type="checkbox"/> JUL <input type="checkbox"/> AUG <input type="checkbox"/> SEP

Back to Home Save

6. Click on the ‘Save’ button and you will see a pop up window.
7. Click on the ‘Save’ button on the popup window.



Please confirm the selected preferred months for onsite review

Are you sure you want to save the selected preferred months?

Cancel Save

8. The Agency selected preferred months is now saved.

The screenshot shows the CSBS Accreditation interface. At the top, there is a header with the CSBS logo and the word 'Accreditation'. On the right, it says 'Welcome Maryland Agency POC' and has a 'Logout' button. Below the header, there is a message: 'Please select your preferred three months for the onsite visit and click the Save button.' Below this message is a table with two columns: 'Accreditation Type' and 'Preferred Months'. The first row is 'Bank Only SEQ (PROD)' and the second row is 'End to End SEQ'. The 'Preferred Months' dropdown for 'Bank Only SEQ (PROD)' is open, showing 'JAN, MAR, JUN' selected. The 'End to End SEQ' dropdown shows 'None selected'. At the bottom, there are two buttons: 'Back to Home' and 'Save'.

Accreditation Type	Preferred Months
Bank Only SEQ (PROD)	JAN, MAR, JUN
End to End SEQ	None selected

Back to Home Save

9. Selecting the “Back to Home” button will take you back to the Home page.


This screenshot is identical to the previous one, showing the CSBS Accreditation interface with the 'Preferred Months' dropdown menu selected for 'JAN, MAR, JUN'. The 'Back to Home' button is highlighted with a red box.

Accreditation Type	Preferred Months
Bank Only SEQ (PROD)	JAN, MAR, JUN
End to End SEQ	None selected

Back to Home Save

## START A NEW SEQ

After selecting the months an Agency POC need to follow the following steps to create and complete their Agency’s SEQ.

 **Note:** This action can only be done by an Agency POC.

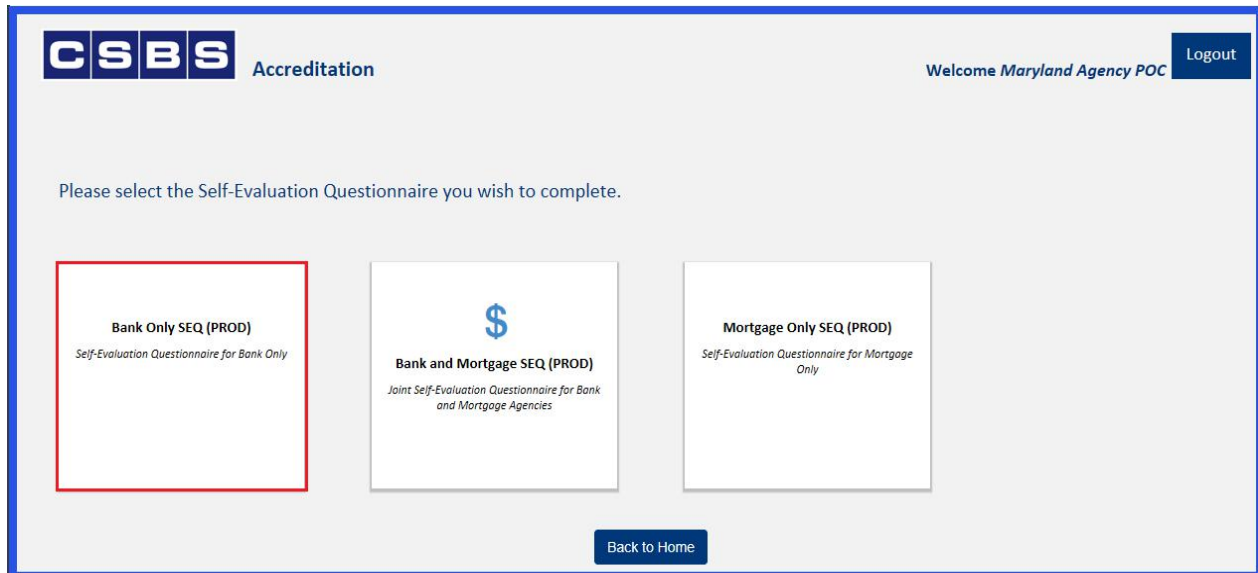
1. From the Landing page, select “Enter the Accreditation System”.
2. Click on the “Start a New SEQ” icon.

The screenshot shows the CSBS Accreditation interface. At the top, there is a header with the CSBS logo and the word 'Accreditation'. On the right, it says 'Welcome Maryland Agency POC' and has a 'Logout' button. Below the header, there is a message: 'Please select an action:'. Below this message are three icons: a folder icon labeled 'Start a New SEQ', a magnifying glass icon labeled 'Resume an SEQ', and a calendar icon labeled 'Scheduling'. The 'Start a New SEQ' icon is highlighted with a red box.

Please select an action:

Start a New SEQ Resume an SEQ Scheduling

3. Select the SEQ.

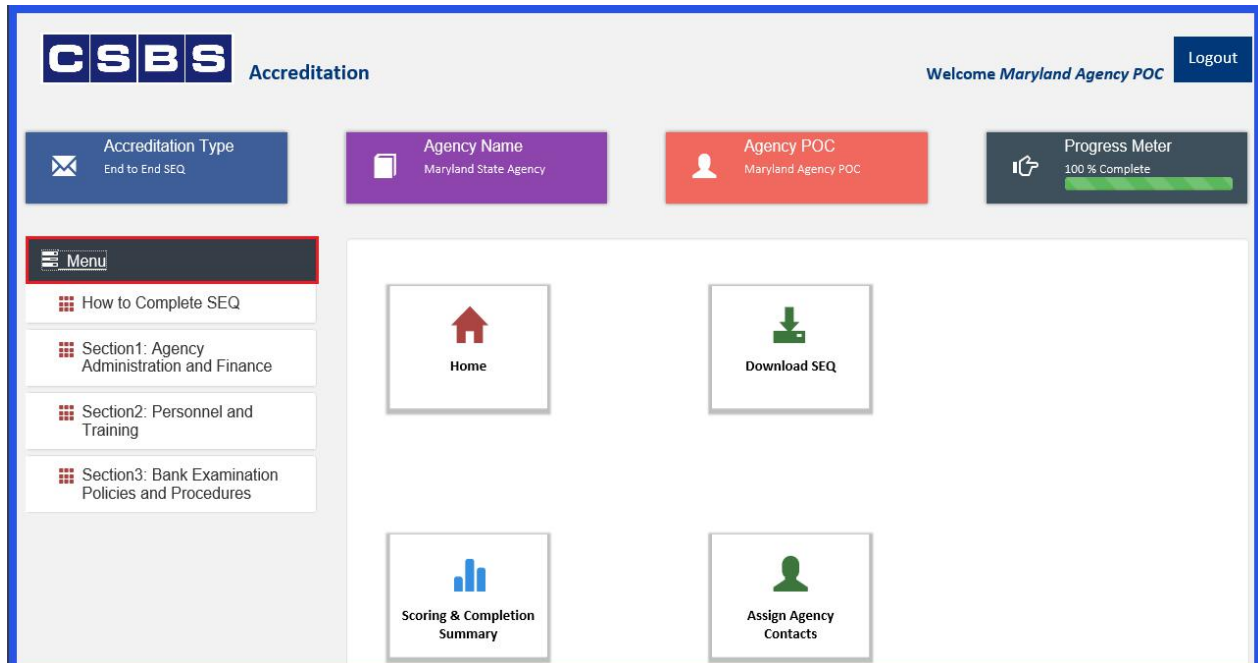


The screenshot displays the CSBS Accreditation Online System interface. At the top left is the CSBS Accreditation logo. At the top right, it says "Welcome Maryland Agency POC" with a "Logout" button. The main heading reads "Please select the Self-Evaluation Questionnaire you wish to complete." Below this, there are three selectable options, each in a box:

- Bank Only SEQ (PROD)**  
Self-Evaluation Questionnaire for Bank Only
- Bank and Mortgage SEQ (PROD)**  
Joint Self-Evaluation Questionnaire for Bank and Mortgage Agencies
- Mortgage Only SEQ (PROD)**  
Self-Evaluation Questionnaire for Mortgage Only

At the bottom center, there is a "Back to Home" button. The "Bank Only SEQ (PROD)" option is highlighted with a red border.

4. Agency POC User Interface is displayed.



The screenshot displays the CSBS Accreditation Online System Agency POC User Interface. At the top left is the CSBS Accreditation logo. At the top right, it says "Welcome Maryland Agency POC" with a "Logout" button. Below the header, there are four status boxes:

- Accreditation Type**: End to End SEQ
- Agency Name**: Maryland State Agency
- Agency POC**: Maryland Agency POC
- Progress Meter**: 100 % Complete

Below these boxes, there is a "Menu" section with a red border, containing the following items:

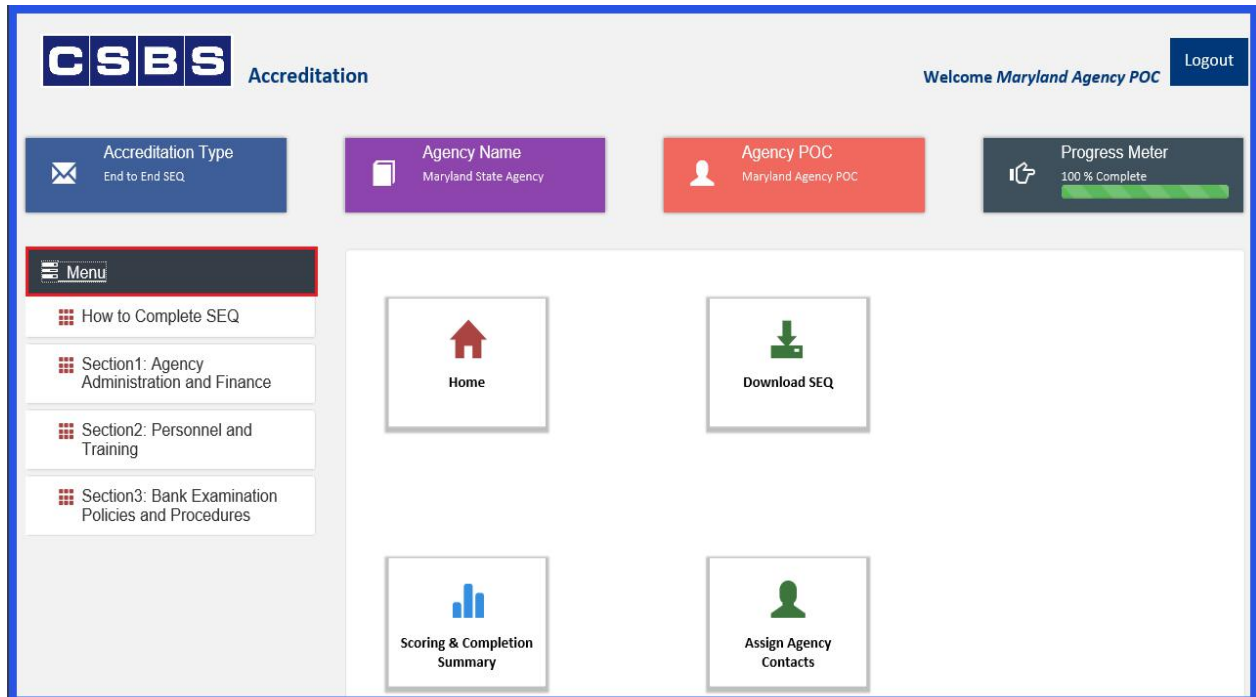
- How to Complete SEQ
- Section1: Agency Administration and Finance
- Section2: Personnel and Training
- Section3: Bank Examination Policies and Procedures

To the right of the menu, there are four main action buttons:

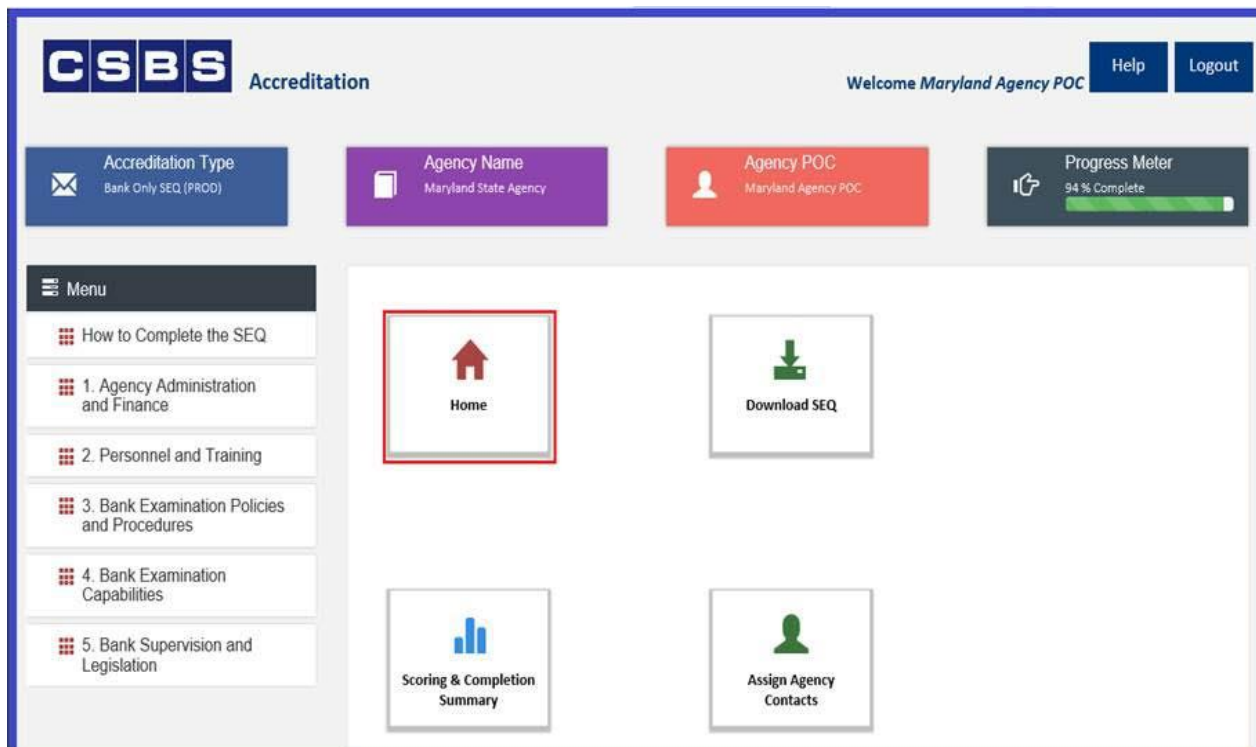
- Home** (with a house icon)
- Download SEQ** (with a download icon)
- Scoring & Completion Summary** (with a bar chart icon)
- Assign Agency Contacts** (with a person icon)

## NAVIGATING THE ACCREDITATION COMMUNITY

Clicking the “Menu” button (outlined in red) will always take you back to this Menu screen below.

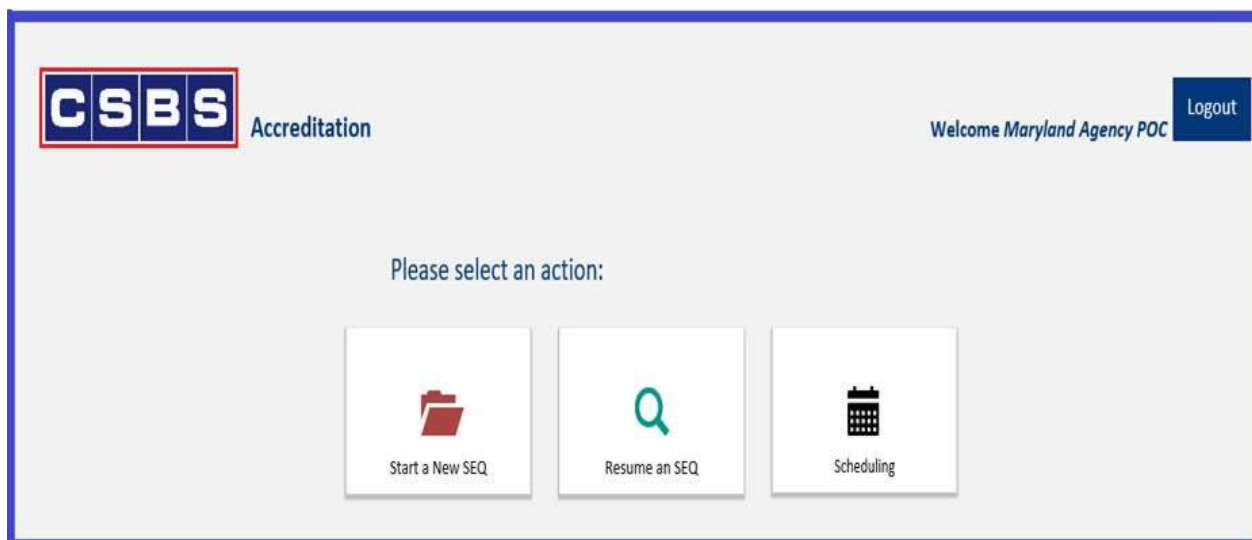


Clicking the “Home” button (outlined in red) will take you back to the Home screen displayed in the next picture.

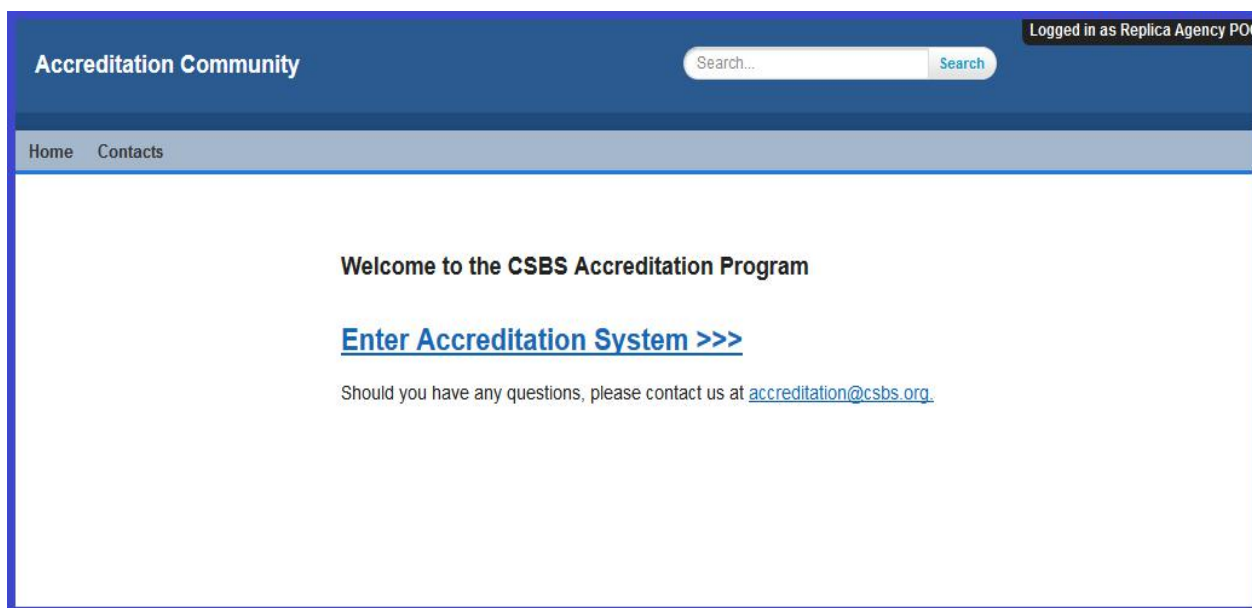




This is the screen you will see after selecting “Home”. To Navigate back to the Landing Page. Select the CSBS Logo in the upper left hand corner (outlined in red).



This is the Accreditation Landing Page and is the first page you will see when logging in.

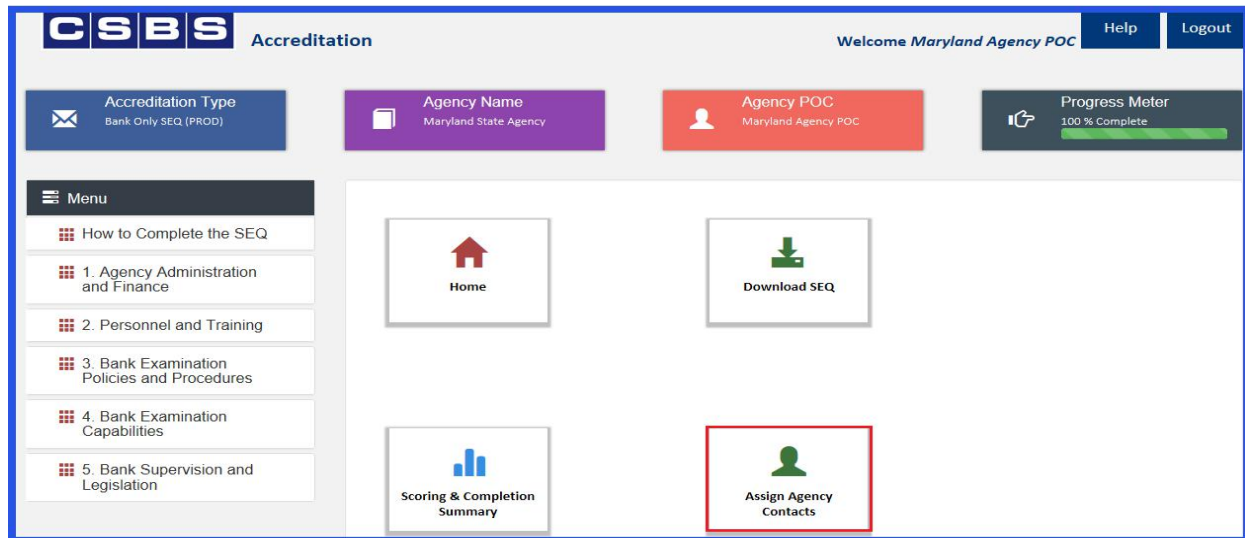


## ASSIGNING SECTION(S) TO AGENCY CONTACTS/USERS



**Note:** This action can only be done by an Agency POC.

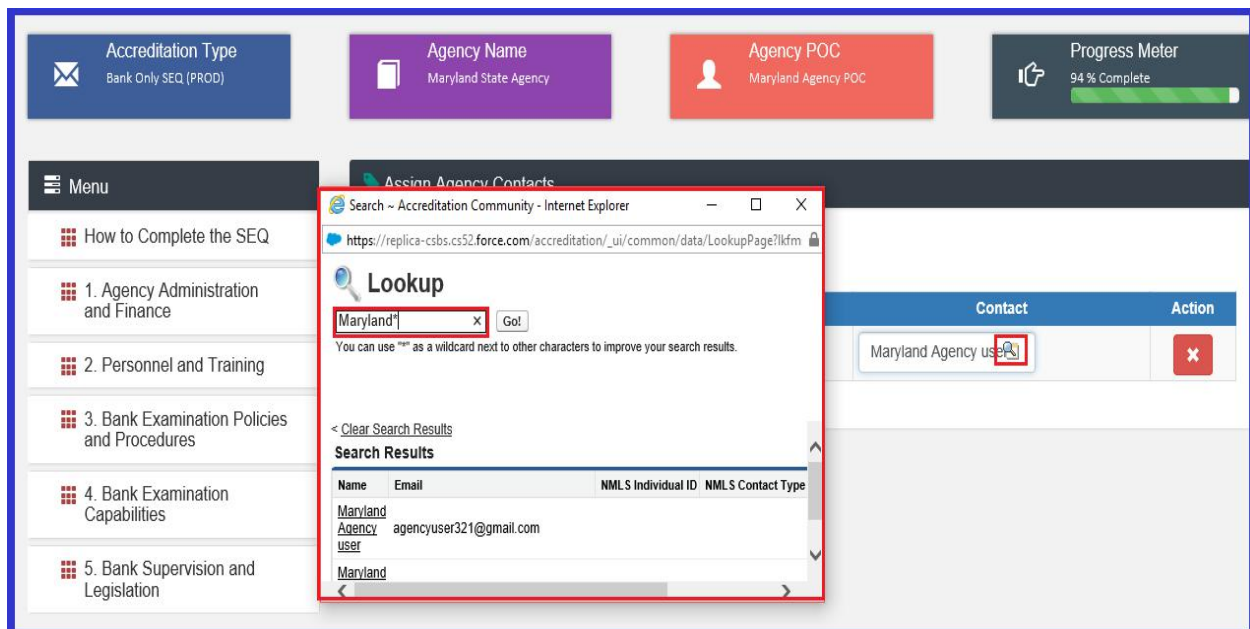
1. Click on the “Assign Agency Contacts” icon.



2. Select the Agency Contact from the **Look Up** field and Assign Sections to the Agency Contact.
  - a. Using the **Search icon** (magnifying glass), select the name of the Agency Contact.



**Note:** This lookup is filtered to only return Accreditation users from your Agency.



- b. Click on the drop down menu under the Section Title.
- c. Select the appropriate sections you wish the Agency Contact to complete.
- d. Click on the 'Save' button.

Accreditation Type: Bank Only SEQ (PROD)

Agency Name: Maryland State Agency

Agency POC: Maryland Agency POC

Progress Meter: 94 % Complete

Menu

- How to Complete the SEQ
- 1. Agency Administration and Finance
- 2. Personnel and Training
- 3. Bank Examination Policies and Procedures
- 4. Bank Examination Capabilities
- 5. Bank Supervision and Legislation

Assign Agency Contacts

+ Save

Section Title	Contact	Action
1. Agency Administration and Finance, 2....	Maryland Agency user	X

☐ Select all

- ☒ 1. Agency Administration and Finance
- ☒ 2. Personnel and Training
- ☒ 3. Bank Examination Policies and Procedures
- ☐ 4. Bank Examination Capabilities
- ☐ 5. Bank Supervision and Legislation



**Note:** This is for informational purposes only and allows the Agency POC to know who is working on which section. To remove the agency user, you may click on 'X' under Action.

3. To add more Agency Contacts to the SEQ, click on the "+" icon and repeat steps a to c above (Assigning Agency Contacts).

CSBS Accreditation

Welcome Maryland Agency POC

Help Logout

Accreditation Type: Bank Only SEQ (PROD)

Agency Name: Maryland State Agency

Agency POC: Maryland Agency POC

Progress Meter: 94 % Complete

Menu

- How to Complete the SEQ
- 1. Agency Administration and Finance
- 2. Personnel and Training
- 3. Bank Examination Policies and Procedures

Assign Agency Contacts

+ Save

Section Title	Contact	Action
1. Agency Administration and Finance	Maryland Agency user	X

## SCORING & COMPLETION SUMMARY TABLE

The Scoring and Completion Summary Table gives you an overall snapshot of which topics have been completed and how they were rated.

1. Click on the “**Scoring & Completion Summary**” Icon from the Menu Page.

2. Scoring & Completion Summary table displays the following information:

### For Banking /Mortgage Only:

Scoring & Completion Summary						
Section/Topic Title	Max Score	Value	Agency Rating	Agency Score	Agency Score %	Status
1. Agency Administration and Finance	240			155	64.58	Incomplete
1-A. Mission Statement, Strategic Plan and Organizational Chart	24	8	3	24	100.00	Complete
1-B. Internal Communication	15	5	0	0	0.00	Complete
1-C. Communication with Other Regulatory Agencies	15	5	1	5	33.33	Complete
1-D. Communication with Industry	15	5	2	10	66.67	Complete
1-E. Consumer Education / Financial Literacy	12	4	3	12	100.00	Complete
1-F. Access to Legal Assistance	15	5	0	0	0.00	Complete
1-G. Agency Facilities	9	3	3	9	100.00	Complete
1-H. Business Continuity Plan	15	5	3	15	100.00	Complete
1-I. Technology Infrastructure and Cybersecurity	48	16	2	32	66.67	Incomplete
1-J. Budget Revenue Source / Contingency Plan	36	12	3	36	100.00	Incomplete



**Note:** From this table, Agency users may click on the blue hyperlink to navigate to a specific topic.

**For Joint SEQ (Banking & Mortgage):**

**CSBS Accreditation** Welcome Maryland Agency POC [Help](#) [Logout](#)

**Accreditation Type**  
Bank and Mortgage SEQ (PROD)

**Agency Name**  
Maryland State Agency

**Agency POC**  
Maryland Agency POC

**Progress Meter**  
1 % Complete

**Menu**

- How to Complete the SEQ
- 1. Agency Administration and Finance
- 2. Personnel and Training
- 3. Bank Examination Policies and Procedures
- 4. Bank Examination Capabilities
- 5. Bank Supervision and Legislation
- 6. Mortgage Examination Program

**Scoring & Completion Summary**

**Banking** **Mortgage**

Section/Topic Title	Max Score	Value	Agency Rating	Agency Score	Agency Score %	Status
1. Agency Administration and Finance	240			24	10.00	Incomplete
1-A. Mission Statement, Strategic Plan and Organizational Chart	24	8	3	24	100.00	Complete
1-B. Internal Communication	15	5			0.00	Incomplete
1-C. Communication with Other Regulatory Agencies	15	5			0.00	Incomplete
1-D. Communication with Industry	15	5			0.00	Incomplete
1-E. Consumer Education / Financial Literacy	12	4			0.00	Incomplete
1-F. Access to Legal Assistance	15	5			0.00	Incomplete
1-G. Agency Facilities	9	3			0.00	Incomplete
1-H. Business Continuity Plan	15	5			0.00	Incomplete
1-I. Technology Infrastructure and Cybersecurity	48	16			0.00	Incomplete
1-J. Budget/Revenue Source / Contingency Plan	36	12	0	0	0.00	Incomplete



**Note:** The tabs outlined in red above represent the SEQ subject areas. For Banking or Mortgage, there will be one table without any tabs. For joint SEQs, there will be multiple tabs. Each tabs will contain sections appropriate to it's subject area.

4. Bank Examination Capabilities	750			0	0.00	Incomplete
4-A. Ability to Examine and Rate - Bank Assessment of CAMELS	120	40			0.00	Incomplete
4-B. Ability to Examine and Rate – Trust (companies and departments)	60	20			0.00	Incomplete
4-C. Ability to Examine and Rate – IT Examination and Cybersecurity	60	20			0.00	Incomplete
4-D. Ability to Examine and Rate – Large Bank Supervision	NA	15	NA	NA	NA	Incomplete
4-E. Ability to Examine and Rate – International Banking	45	15			0.00	Incomplete
4-F. Ability to Examine and Rate – Capital Markets	30	10			0.00	Incomplete
4-G. Ability to Examine and Rate – Bank Holding Companies	30	10			0.00	Incomplete
4-H. Ability to Examine and Rate – Third-party Service Providers (TSPs)	30	10			0.00	Incomplete
4-I. Ability to Examine and Rate – Compliance with Laws and Regulations	30	10			0.00	Incomplete
4-J. Ability to Examine and Rate – Consumer Compliance	30	10			0.00	Incomplete
4-K. Problem Identification/Migration Analysis	30	10			0.00	Incomplete
4-L. Follow-up/Correction of Problems	60	20			0.00	Incomplete



**Note:** if the 'Topic Not Applicable' checkbox is selected, then N/A is displayed in each of the column for that topic (except for the Value & Status columns)



3. Selecting a Topic hyperlink from the Scoring & Completion Summary table will take you to that Topic.

Welcome Maryland Agency POC
Help
Logout

Accreditation Type  
Bank Only SEQ (PROD)

Agency Name  
Maryland State Agency

Agency POC  
Maryland Agency POC

Progress Meter  
94 % Complete

Menu

How to Complete the SEQ

1. Agency Administration and Finance

2. Personnel and Training

3. Bank Examination Policies and Procedures

Scoring & Completion Summary

Section/Topic Title	Max Score	Value	Agency Rating	Agency Score	Agency Score %	Status
1. Agency Administration and Finance	240			155	64.58	Incomplete
1-A. Mission Statement, Strategic Plan and Organizational Chart	24	8	3	24	100.00	Complete
1-B. Internal Communication	15	5	0	0	0.00	Complete
1-C. Communication with Other Regulatory Agencies	15	5	1	5	33.33	Complete
1-D. Communication with Industry	15	5	2	10	66.67	Complete

Welcome Maryland Agency POC
Help
Logout

Accreditation Type  
Bank Only SEQ (PROD)

Agency Name  
Maryland State Agency

Agency POC  
Maryland Agency POC

Progress Meter  
94 % Complete

Menu

How to Complete the SEQ

1. Agency Administration and Finance

2. Personnel and Training

3. Bank Examination Policies and Procedures

1. Agency Administration and Finance

1-C. Communication with Other Regulatory Agencies
Bookmark Topic?

Your agency's ability to communicate effectively with your federal counterparts and other states is key to the coordination of examinations and sharing of information. This topic will highlight what you do in this important area. It should be noted the statements and questions below only address communication with other regulatory agencies, not interstate examination policies and procedures.

1. \*The agency participates in regular meetings with other state bank/mortgage regulatory agencies to discuss regulatory issues and share best practices in state regulation (i.e. CSBS District meetings).

Answer:

Yes

4. In order to return to the Scoring & Completion Summary Table, select the “Menu” button (outlined in red below).

The screenshot displays the CSBS Accreditation Online System interface. At the top, there are four status boxes: 'Accreditation Type' (Bank Only SEQ (PROD)), 'Agency Name' (Maryland State Agency), 'Agency POC' (Maryland Agency POC), and 'Progress Meter' (94 % Complete). Below these, a 'Menu' button is highlighted with a red outline. The main content area shows '1. Agency Administration and Finance' with a sub-section '1-C. Communication with Other Regulatory Agencies'. The text describes the importance of communication with federal counterparts and other states. A 'Bookmark Topic?' checkbox is visible. Below the text, there is a question '1. \*The agency participates in regular meetings with other state bank/mortgage regulatory agencies to discuss regulatory issues and share best practices in state regulation (i.e. CSBS District meetings).' and an 'Answer:' field with a dropdown menu set to 'Yes'.

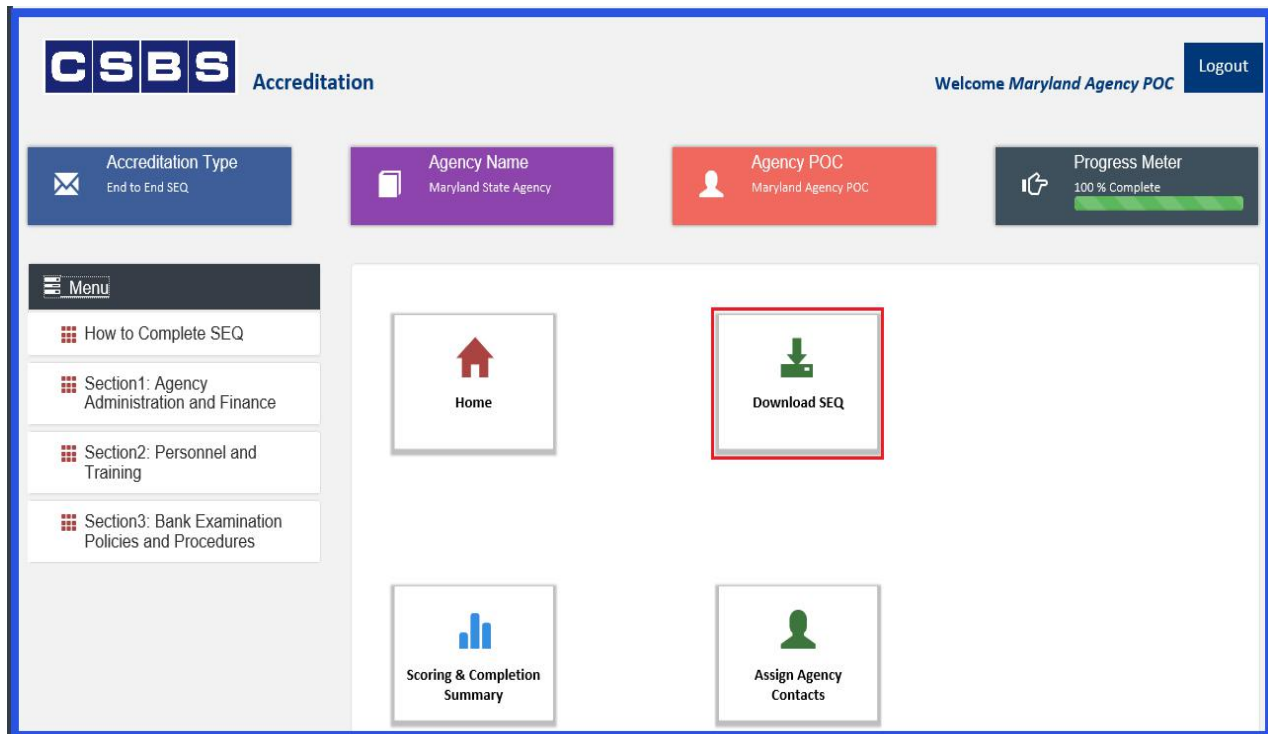
5. The Main Menu page will now display and you can select the button “Scoring & Completion Summary” to return to the table.

The screenshot displays the CSBS Accreditation Online System Main Menu page. At the top, there is a 'CSBS Accreditation' logo and a 'Welcome Maryland Agency POC' message with 'Help' and 'Logout' links. Below these, there are four status boxes: 'Accreditation Type' (Bank Only SEQ (PROD)), 'Agency Name' (Maryland State Agency), 'Agency POC' (Maryland Agency POC), and 'Progress Meter' (94 % Complete). The main content area features a 'Menu' button and a list of navigation options: 'How to Complete the SEQ', '1. Agency Administration and Finance', '2. Personnel and Training', '3. Bank Examination Policies and Procedures', '4. Bank Examination Capabilities', and '5. Bank Supervision and Legislation'. Below the menu, there are four large buttons: 'Home', 'Download SEQ', 'Scoring & Completion Summary' (highlighted with a red outline), and 'Assign Agency Contacts'.

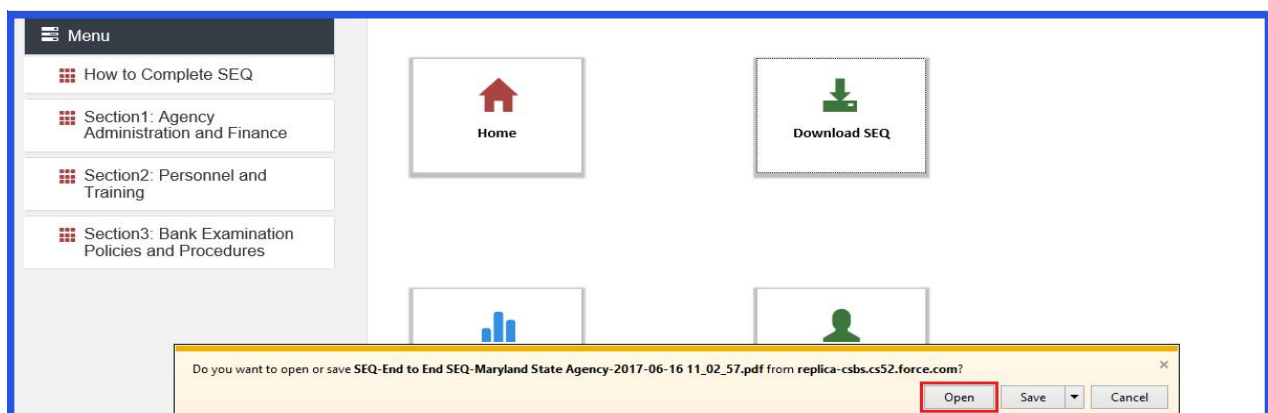
## DOWNLOAD SEQ – PDF

You may download the SEQ in PDF format at any time. The PDF is updated as responses are provided to each topic. To download the SEQ follow the steps below.

1. Click on the “**Download SEQ**” Icon.



2. Click on the “**Open**” button:






3. The PDF will display.



**Note:** Depending on the browser used, the process for viewing a PDF may vary.

  
CONFERENCE OF STATE BANK SUPERVISORS

Agency SEQ

---

Account: Maryland State Agency  
Agency POC: Maryland Agency POC  
Date Submitted: 06/16/2017

SEQ Type: End to End SEQ  
Record Number: RBA-000678  
Record Type: Accreditation

---

How to Complete SEQ:

**Menu Page** - There are several actions available on the "Menu" page:

1. You can download your SEQ into a PDF, including any answers you've already entered.
2. Agency POCs can make SEQ assignments to the users that are associated to your account.
3. You can check on the status and scores using the "Scoring & Completion Summary",
4. or you can exit out of this SEQ by clicking the "Home" button

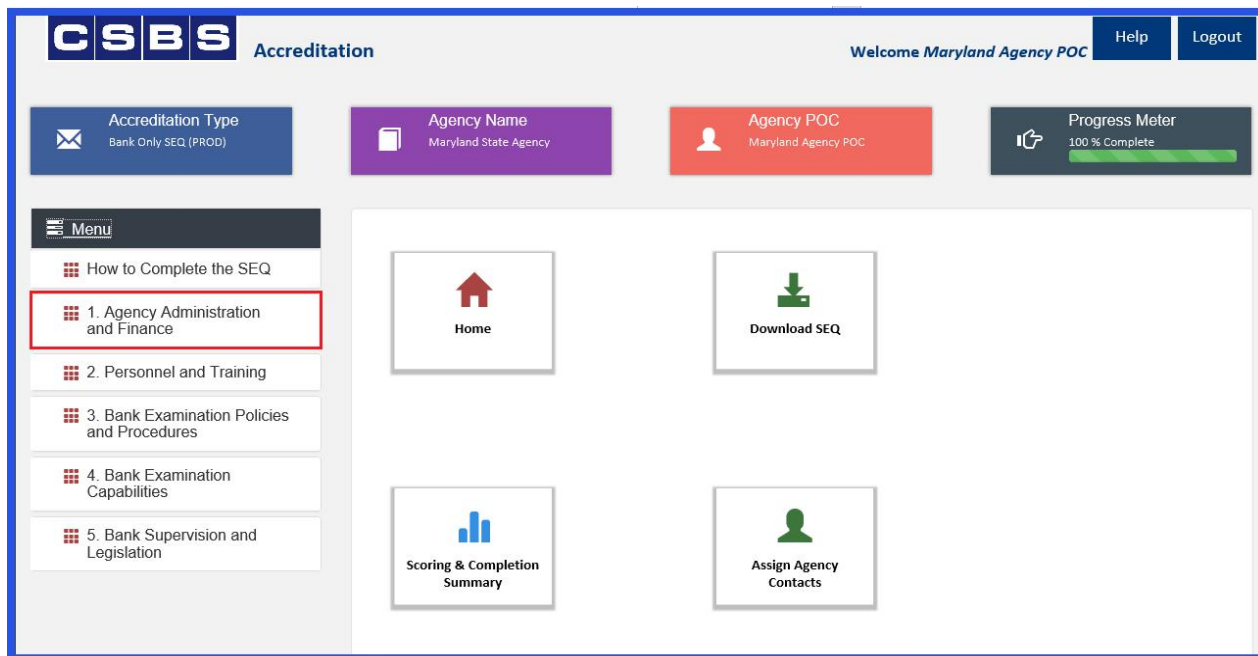
**Completing a Topic**

1. Using the left navigation, select the section and topic you would like to complete
2. Answer all questions to the best of your ability. Required questions will include a red asterisk (\*) next to the question number.
3. You may use the optional comment box at the end of each topic to explain any of your answers.
4. Following answering all required questions or optional responses you would like to provide, you may type additional explanatory text in the comment box to support your answers and/or rating.
5. You also may upload any documents to support your answers/rating using the upload button towards the bottom of the topic. All uploaded documents for the topic will appear at the very bottom of the page in the "..." box.
6. Read the Standard and rate your agency against that standard using the scale below.
7. Once you've answered all required questions, uploaded all required documents, and entered your rating, you may complete the topic by selecting the "Topic Complete" button at the bottom of the topic.
8. If you wish to bookmark the topic to come back to later, select the "bookmark topic" checkbox towards the top right hand side of the page.

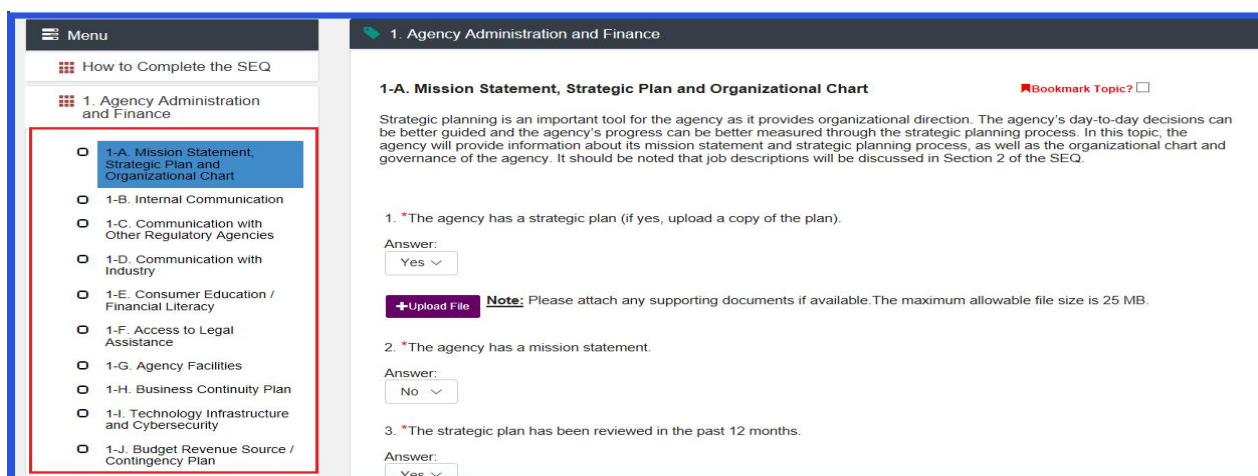
## RESPONDING TO SEQ QUESTIONS

Agencies should respond to all applicable questions. Next in this guide, we are covering different response types to help you with your navigation.

1. Click on the **Section Title** in the left side navigation bar. The Section will expand and all Topics will display.



2. Click on the **Topic** in the Section to view the questions under that specific Topic.



**Note:** All questions marked with an \* are required to be answered. You will not be able to complete a Topic without answering all required questions.

**A. Adding Attachment to a Topic Question in a SEQ:**

- 1) Click on “+Upload File” button displayed next to the Question

Menu

1. Agency Administration and Finance

How to Complete the SEQ

1. Agency Administration and Finance

1-A. Mission Statement, Strategic Plan and Organizational Chart

1-B. Internal Communication

1-C. Communication with Other Regulatory Agencies

1-D. Communication with Industry

1-E. Consumer Education / Financial Literacy

1-F. Access to Legal Assistance

1-G. Agency Facilities

1-H. Business Continuity Plan

1-I. Technology Infrastructure and Cybersecurity

1-J. Budget Revenue Source / Contingency Plan

1-A. Mission Statement, Strategic Plan and Organizational Chart

Bookmark Topic? ☐

Strategic planning is an important tool for the agency as it provides organizational direction. The agency's day-to-day decisions can be better guided and the agency's progress can be better measured through the strategic planning process. In this topic, the agency will provide information about its mission statement and strategic planning process, as well as the organizational chart and governance of the agency. It should be noted that job descriptions will be discussed in Section 2 of the SEQ.

1. \*The agency has a strategic plan (if yes, upload a copy of the plan).

Answer:

Yes

+Upload File

Note: Please attach any supporting documents if available. The maximum allowable file size is 25 MB.

2. \*The agency has a mission statement.

Answer:

No

+Upload File

Note: An attachment is required for the response. The maximum allowable file size is 25 MB.



**Note:** If the 'Upload File' button is red, then attachment is required.  
If the 'Upload File' button is purple, then attachment is optional.

- 2) Select file from the folder/location where it is stored.
- 3) Click on the “Open” button

Menu

1. Agency Administration and Finance

How to Complete the SEQ

1. Agency Administration and Finance

1-A. Mission Statement, Strategic Plan and Organizational Chart

1-B. Internal Communication

1-C. Communication with Other Regulatory Agencies

1-D. Communication with Industry

1-E. Consumer Education / Financial Literacy

1-F. Access to Legal Assistance

1-G. Agency Facilities

1-H. Business Continuity Plan

1-I. Technology Infrastructure and Cybersecurity

1-J. Budget Revenue Source / Contingency Plan

1-K. Budget Expenses / Supplemental Budgets

1-A. Mission Statement, Strategic Plan and Organizational Chart

Bookmark Topic? ☐

Strategic planning is an important tool for the agency as it provides organizational direction. The agency's day-to-day decisions can be better guided and the agency's progress can be better measured through the strategic planning process. In this topic, the agency will provide information about its mission statement and strategic planning process, as well as the organizational chart and governance of the agency. It should be noted that job descriptions will be discussed in Section 2 of the SEQ.

1. \*The agency has a strategic plan (if yes, upload a copy of the plan).

Answer:

Yes

+Upload File

2. \*The agency has a mission statement.

Answer:

No

+Upload File

3. \*The strategic plan is attached.

+Upload File


Open

File name:


All files

Open Cancel

- 4) Observe that the selected file is attached to the Topic at the bottom of the Topic page in the “**Supporting Documents**” section.
- 5) To view an attached file, click on the file name found under “**Supporting Documents**” section.

Supporting Documents				
File Name	File Size	Uploaded By	Upload Date Time	Action
<a href="#">Testing Excel Document - 1.xlsx</a>	9.57 KB	Maryland Agency POC	06/19/2017 10:14:56 AM	

- 6) To remove an attached file, click on the red “**X**” button.

Supporting Documents				
File Name	File Size	Uploaded By	Upload Date Time	Action
<a href="#">Testing Excel Document - 1.xlsx</a>	9.57 KB	Maryland Agency POC	06/19/2017 10:14:56 AM	

**B. Responses with Contingency Questions:**

A Contingency Question is a question that if answered with a certain response, will display an additional question (often referred to as the child question). Section 1 - Topic J - Question 2, displayed below, is an example of a Contingency Question.

If Question 2 is answered with “Yes”, then Question 2.1 will be displayed. Choosing a response other than “Yes” for this specific case will result in Question 2.1 not being displayed.

If Question 2.1 is answered with the response “Other”, then Question 2.2 will be displayed. Question 2.2 is a third level contingency question.

The screenshot displays a web interface for the CSBS Accreditation Online System. On the left, a sidebar lists various topics under '1. Technology Infrastructure and Cybersecurity', including '1-J. Budget Revenue Source / Contingency Plan' (highlighted), '1-K. Budget Expenses / Supplemental Budgets', '2. Personnel and Training', '3. Bank Examination Policies and Procedures', '4. Bank Examination Capabilities', and '5. Bank Supervision and Legislation'. The main content area shows a question titled '1. \*The entire agency is self-supporting and does not rely on funds from the general fund to operate.' with an 'Answer:' dropdown menu set to 'Yes'. Below this, a second question titled '2. \*The agency has a contingency funding plan to cover at least three months' worth of expenses.' is displayed, also with an 'Answer:' dropdown menu set to 'Yes'. Under question 2, there are two sub-questions: '2.1 If yes, select the source of funds: (select all that apply)' with an 'Answer:' dropdown menu set to 'Other', and '2.2 If other, please specify.' with a large text area for the answer. A red box highlights the area containing questions 2, 2.1, and 2.2. At the bottom of the text area, it says '1000 characters remaining'.

**C. Questions with Text Area Response Type.**

Many topics have Text Area question types with varying character limits. The character limit is shown underneath the Answer box. (see below)

The screenshot displays a web interface for the CSBS Accreditation Online System. On the left, a sidebar lists various topics under '7. Mortgage Supervision and Legislation', including '7-A. Complaint Resolution System', '7-B. Licensing/Renewal Process', '7-C. Authority to Examine Mortgage Servicers', '7-D. Enforcement Authority', '7-E. Use of Enforcement Authority', '7-F. Ability to investigate financial abuse and fraud', '7-G. Adequacy of Mortgage Code Review/Revision', '7-H. Involvement in State Legislative Process', '7-I. Involvement in Federal Legislative Process', and '7-J. Promulgation of Rules' (highlighted). The main content area shows a question titled '3. Please provide any other comments, and/or upload any additional documents you wish to include.' with an 'Answer:' text area. Below the text area, it says '2500 characters remaining'. There is a '+Upload File' button and a 'Note: Please attach any supporting documents if available. The maximum allowable file size is 25 MB.' At the bottom, there is a section titled 'STANDARD 7-J: Procedures for promulgation of agency rules and regulations must follow the administrative procedures act as prescribed by state law unless the agency is specifically exempt from such an act. "Emergency procedures" must be provided.'



- 1) You can drag the box by clicking on the 'handle' mark shown on the bottom right hand side of the response box to modify the size.

The screenshot displays the CSBS Accreditation Online System interface. On the left, a sidebar lists navigation items: "6. Mortgage Examination Program" and "7. Mortgage Supervision and Legislation". Under "7. Mortgage Supervision and Legislation", there are eight sub-items: "7-A. Complaint Resolution System", "7-B. Licensing/Renewal Process", "7-C. Authority to Examine Mortgage Servicers", "7-D. Enforcement Authority", "7-E. Use of Enforcement Authority", "7-F. Ability to investigate financial abuse and fraud", "7-G. Adequacy of Mortgage Code Review/Revision", and "7-H. Involvement in State Legislative Process". The main content area shows a question: "2. \*The agency has the ability to promulgate 'emergency procedures'." Below the question is an "Answer:" label and a dropdown menu. A text area for the answer is visible, containing the text: "and financial services. MISSION CSBS supports state regulators in advancing the system of state financial supervision by ensuring safety, soundness, and consumer protection; promoting economic growth; and fostering innovating, responsive supervision. HISTORY CSBS is a non-profit organization headquartered in Washington, D.C. It was organized in 1902 as the National Association of Supervisors of State Banks. In 1971, the name of the organization was changed to the Conference of State Bank Supervisors to better reflect the ongoing nature of CSBS activities. For more than 110 years, CSBS has been uniquely". Below the text area, it says "842 remaining". At the bottom, there is a "+Upload File" button and a note: "Note: Please attach any supporting documents if available. The maximum allowable file size is 25 MB." A red box highlights a small handle mark (a diagonal line) on the bottom right corner of the text area, indicating where to click to drag and resize the box.

- 2) You can also use scroll up or down using the scroll bar on the left right hand side of the box.

This screenshot is identical to the one above, showing the same interface elements: the sidebar, the question, the answer text area, and the upload button. However, a red box highlights the vertical scroll bar on the right side of the text area, indicating that users can also use the scroll bar to navigate through the text.

**D. Questions with Table Response Type.**

Some questions are configured as a table response (as seen below).

Menu

- How to Complete the SEQ
- 1. Agency Administration and Finance
- 2. Personnel and Training
- 3. Bank Examination Policies and Procedures
- 4. Bank Examination Capabilities
- 5. Bank Supervision and Legislation
- 6. Mortgage Examination Program

7. Mortgage Supervision and Legislation

7-A. Complaint Resolution System
Bookmark Topic? ☐

This topic will assess the agency's ability to recognize and respond to complaints filed against licensees.

Mortgage Supervision / Enforcement Metrics	2016	2015	2014
*Number of mortgage licensee complaints processed			
*Number of mortgage licensee investigations processed			
*Number of Mortgage Complaint Processing Staff			
<b>Total</b>			

- 1) Enter the required responses for each cell on the table.

Menu

- How to Complete the SEQ
- 1. Agency Administration and Finance
- 2. Personnel and Training
- 3. Bank Examination Policies and Procedures
- 4. Bank Examination Capabilities
- 5. Bank Supervision and Legislation
- 6. Mortgage Examination Program
- 7. Mortgage Supervision and Legislation
  - 7-A. Complaint Resolution System

7. Mortgage Supervision and Legislation

7-A. Complaint Resolution System
Bookmark Topic? ☐

This topic will assess the agency's ability to recognize and respond to complaints filed against licensees.

Mortgage Supervision / Enforcement Metrics	2016	2015	2014
*Number of mortgage licensee complaints processed	20	30	40
*Number of mortgage licensee investigations processed	40	20	30
*Number of Mortgage Complaint Processing Staff	30	40	20
<b>Total</b>			

1. \*The agency has written policies and procedures for processing consumer complaints.  
Answer:

2. \*The agency has sufficient staff for processing consumer complaints in a timely and efficient manner.

- 2) Click on the “**Save**” button at the bottom of the page.



**Note:** Totals will appear when you click on the ‘Save’ button.

**Note:** Please attach any supporting documents if available. The maximum allowable file size is 25 MB.

STANDARD 7-A: The agency must have written policies and procedures in place to process consumer complaints. Sufficient staff must be trained in the correct procedures for handling of complaints to meet the timeframes within the policy. The agency must have a mechanism to triage the complaints in order to prioritize or risk rate the complaints to ensure serious issues, i.e. foreclosures, are handled within a shorter period of time. The policy must address the following items at a minimum:

1. A tracking system for contacts with the licensee, types of complaints, investigation of complaints and response to the complainant or referral to the appropriate agency if not within this agency's jurisdiction.
2. Initial action on consumer complaints within 15 days or referral to another agency within 20 days if necessary. Exceptions should be justified.
3. Procedures for internal sharing of information within the agency to ascertain if an examination should be scheduled based on the number and severity of the complaints against an individual licensee.

Agency Rating	Value	Agency Score
<input type="text" value=""/>	20	

- 3) The System now saves the response.



- 4) The Total row, if applicable, will now be updated.

**Menu**

- How to Complete the SEQ
- 1. Agency Administration and Finance
- 2. Personnel and Training
- 3. Bank Examination Policies and Procedures
- 4. Bank Examination Capabilities
- 5. Bank Supervision and Legislation
- 6. Mortgage Examination Program
- 7. Mortgage Supervision and Legislation

**7. Mortgage Supervision and Legislation**

**7-A. Complaint Resolution System** Bookmark Topic? ☐

This topic will assess the agency's ability to recognize and respond to complaints filed against licensees.

Mortgage Supervision / Enforcement Metrics	2016	2015	2014
*Number of mortgage licensee complaints processed	20	30	40
*Number of mortgage licensee investigations processed	40	20	30
*Number of Mortgage Complaint Processing Staff	30	40	20
<b>Total</b>	<b>90</b>	<b>90</b>	<b>90</b>

1. \*The agency has written policies and procedures for processing consumer complaints.

Answer:



**E. Questions with Multi-Select Response Types.**

With the Multi-Select response type, users can select multiple responses from multiple options.

1-E. Consumer Education / Financial Literacy

1-F. Access to Legal Assistance

1-G. Agency Facilities

1-H. Business Continuity Plan

1-I. Technology Infrastructure and Cybersecurity

1-J. Budget Revenue Source / Contingency Plan

1-K. Budget Expenses / Supplemental Budgets

2. Personnel and Training

Answer:

Review of mission statement, Strategic planning topics, Updates on policies and procedures

☐ Select all

☒ Review of mission statement

☒ Strategic planning topics

☒ Updates on policies and procedures

☐ Emerging issues / Trends in the industry

☐ Staffing update

☐ Other topics of interest to staff

☐ Other



**Note:** If more than 3 values are selected, they are not visible on the response box as shown in the screen shot below

1-D. Communication with Industry

1-E. Consumer Education / Financial Literacy

1-F. Access to Legal Assistance

1-G. Agency Facilities

1-H. Business Continuity Plan

1-I. Technology Infrastructure and Cybersecurity

1-J. Budget Revenue Source / Contingency Plan

1-K. Budget Expenses / Supplemental Budgets

2. \*The all-staff conference includes the following topics (select all that apply):

Answer:

4 selected

3. Field examiners provide input into the agenda for the all-staff conference. (If yes, upload a copy of agendas for the last three annual meetings)

Answer:

☐

**Note:** Please attach any supporting documents if available. The maximum allowable file size is 25 MB.

4. \*Examination staff is informed of policy changes, job-related local and national news, and other critical information via staff meetings held (select one):

**F. Questions within Topic Not Applicable Topics:**

For some Topics, the Agency POC has the option to decide that the topic is not applicable to the agency. These topics are identified with a 'Topic Not Applicable' checkbox located on the upper left hand side of the Topic page. If selected, you are not required to complete the topic's questions.

- 1) Click the "Topic Not Applicable" check box.

The screenshot shows the CSBS Accreditation interface for a Maryland Agency POC. The main content area displays '4. Bank Examination Capabilities'. Under the sub-header '4-D. Ability to Examine and Rate – Large Bank Supervision', there is a paragraph of text and a checkbox labeled 'Topic Not Applicable' which is checked. Below this, a question asks about large bank examinations, and the answer dropdown is set to 'None selected'.

- 2) Once you click on the 'Topic Not Applicable' checkbox, the 'Topic Complete' button is enabled and you can complete the topic without answering the questions.

**G. Bookmarking a Topic**

You may check the bookmark box located on the upper right hand side of the page. You may bookmark a Topic at any point. You can also bookmark multiple topics.

- 1) To bookmark a topic, click on the 'Bookmark Topic?' checkbox on the upper right corner of the topic.

The screenshot shows the CSBS Accreditation interface for a Maryland Agency POC. The main content area displays '1. Agency Administration and Finance'. Under the sub-header '1-A. Mission Statement, Strategic Plan and Organizational Chart', there is a paragraph of text and a checkbox labeled 'Bookmark Topic?' which is checked. Below this, a question asks if the agency has a strategic plan, and the answer dropdown is set to 'Yes'.



**Note:** Once the bookmark is checked, all responses are automatically saved and you don't need to click on the save button.

- 2) Please wait until the System saves the responses.



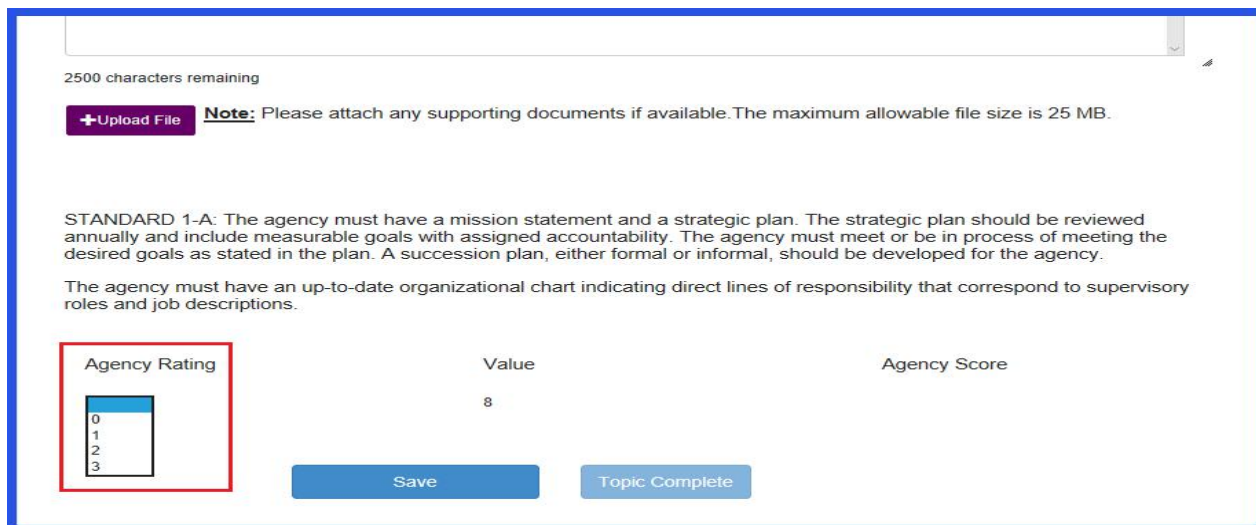
- 3) The Red Bookmark icon appears next to the respective Topic and the Section in the left side navigation bar.

The screenshot displays the CSBS Accreditation Online System interface. At the top, there are four tabs: 'Accreditation Type' (Bank and Mortgage SEQ (PROD)), 'Agency Name' (Maryland State Agency), 'Agency POC' (Maryland Agency POC), and 'Progress Meter' (0 % Complete). Below these tabs is a 'Menu' section on the left side navigation bar. The menu items are: 'How to Complete the SEQ', '1. Agency Administration and Finance' (highlighted with a red box), '1-A. Mission Statement, Strategic Plan and Organizational Chart' (highlighted with a red box), '1-B. Internal Communication', '1-C. Communication with Other Regulatory Agencies', and '1-D. Communication with Industry'. The main content area is titled '1. Agency Administration and Finance' and contains a section for '1-A. Mission Statement, Strategic Plan and Organizational Chart'. This section includes a paragraph about strategic planning, a question '1. \*The agency has a strategic plan (if yes, upload a copy of the plan).', and an 'Answer:' field with a dropdown menu showing 'Yes'.

## PROVIDE RATING, SAVE, & TOPIC COMPLETE

After providing responses to each question in a Topic, you must rate your responses using the “Agency Rating” drop down. After rating your own responses, can Save and Complete the Topic.

1. To provide a Rating, click on the ‘Agency Rating’ drop down and select an appropriate value.



The screenshot shows a text input field at the top with a character count of "2500 characters remaining". Below it is a purple button labeled "+Upload File" and a note: "Note: Please attach any supporting documents if available. The maximum allowable file size is 25 MB." The main content area contains the text for "STANDARD 1-A: The agency must have a mission statement and a strategic plan. The strategic plan should be reviewed annually and include measurable goals with assigned accountability. The agency must meet or be in process of meeting the desired goals as stated in the plan. A succession plan, either formal or informal, should be developed for the agency. The agency must have an up-to-date organizational chart indicating direct lines of responsibility that correspond to supervisory roles and job descriptions." Below this text is a table with three columns: "Agency Rating", "Value", and "Agency Score". The "Agency Rating" column has a dropdown menu with options 0, 1, 2, and 3. The "Value" column shows the number 8. The "Agency Score" column is empty. At the bottom of the table are two buttons: "Save" and "Topic Complete".

Agency Rating	Value	Agency Score
0	8	
1		
2		
3		

Buttons: Save, Topic Complete

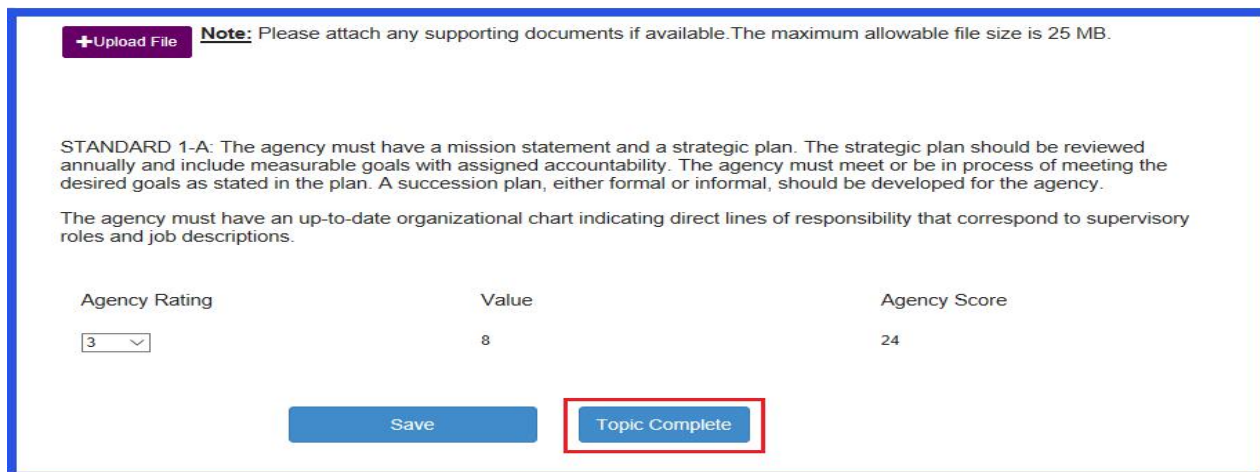
2. Click on the “Save” button.



**Note:** If you select the 'Topic not Applicable' checkbox, you don't need to provide rating.

**Note:** When all required questions are answered the “Topic Complete” button gets enabled.

- Click on **'Topic Complete'** to confirm all the entered answers are completed and ready for submission.



**+Upload File** **Note:** Please attach any supporting documents if available. The maximum allowable file size is 25 MB.

STANDARD 1-A: The agency must have a mission statement and a strategic plan. The strategic plan should be reviewed annually and include measurable goals with assigned accountability. The agency must meet or be in process of meeting the desired goals as stated in the plan. A succession plan, either formal or informal, should be developed for the agency.

The agency must have an up-to-date organizational chart indicating direct lines of responsibility that correspond to supervisory roles and job descriptions.

Agency Rating	Value	Agency Score
3	8	24

**Save** **Topic Complete**

- A pop up window with the Message 'WARNING: By clicking the "Continue" button below, all responses in this Topic will be accepted. Are you sure you want to continue?' will appear.
- Click on the **"Continue"** button.

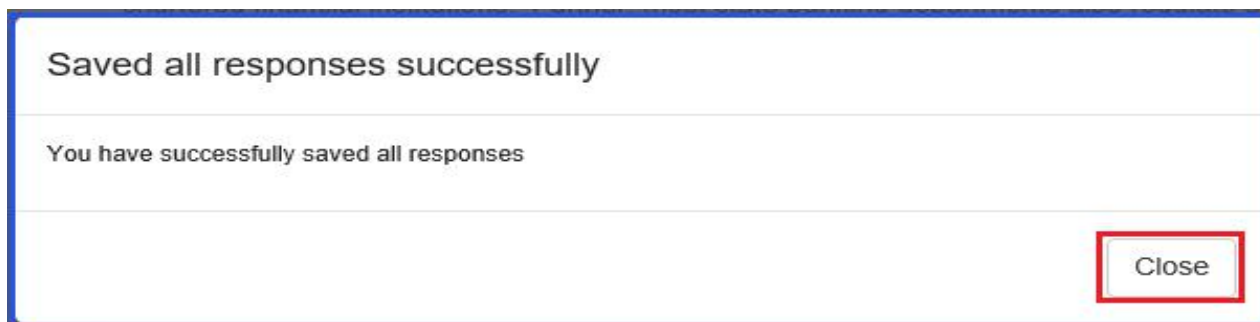


**Confirm Topic Completion**

WARNING: By clicking the "Continue" button below, all responses in this Topic will be accepted. Are you sure you want to continue?

**Continue** **Cancel**

- The 'Saved all responses successfully' pop up window will appear.
- Click on the **"Close"** button.



**Saved all responses successfully**

You have successfully saved all responses

**Close**

8. A Check mark next to the Topic will appear in the left side navigation bar signifying you have completed said topic.
9. The Progress meter tracks the percentage of completed topic.

The screenshot shows the CSBS Accreditation Online System interface. At the top, the CSBS Accreditation logo is on the left, and the text 'Welcome Maryland Agency POC' is on the right, with 'Help' and 'Logout' links. Below this, there are four boxes: 'Accreditation Type: Bank Only SEQ (PROD)', 'Agency Name: Maryland State Agency', 'Agency POC: Maryland Agency POC', and a 'Progress Meter' showing '4 % Complete'. A left sidebar menu lists 'Menu' items: 'How to Complete the SEQ', '1. Agency Administration and Finance', '1-A. Mission Statement, Strategic Plan and Organizational Chart', and '1-B. Internal Communication'. The main content area shows '1. Agency Administration and Finance' with a sub-section '1-B. Internal Communication'. It includes a description: 'In this topic, we will learn about your agency's policy for internal communication to keep professional staff informed of administrative matters, to provide legislative and regulatory updates, as well as to provide a forum for the exchange of ideas.' and a list item: '1. \*The agency holds a training/information conference(s) with all examiners in attendance at least annually.' Below this is an 'Answer:' field. A 'Bookmark Topic?' checkbox is also present.



**Note:** *The Sections can be filled out by the Agency Users as well.*

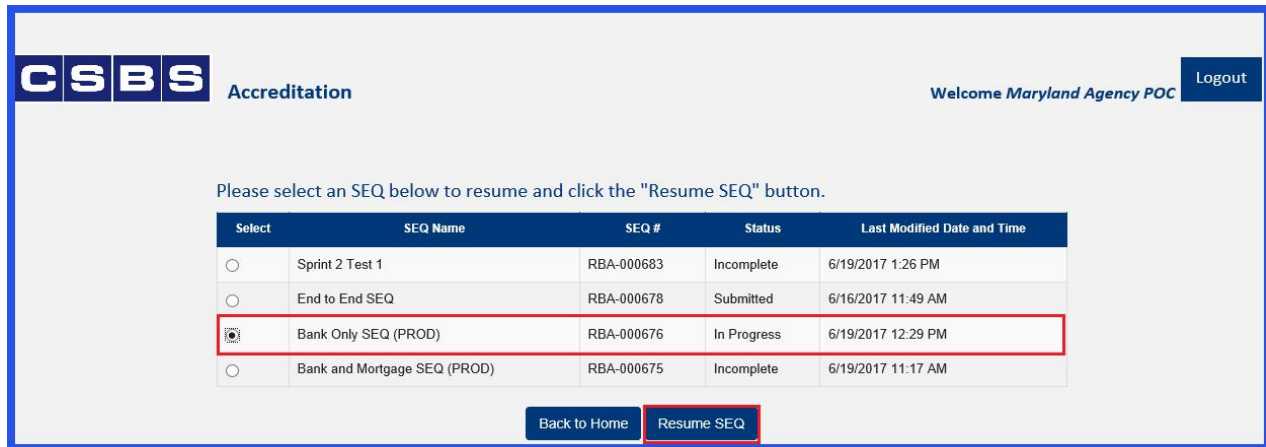
## RESUMING A SEQ

You may leave a SEQ at any point and come back to finish it later. Once you log back in, you will be presented with the buttons: “Start a New SEQ”, “Resume an SEQ”, and “Scheduling”.

1. Click on the “Resume an SEQ” icon.

The screenshot shows the CSBS Accreditation Online System interface. At the top, the CSBS Accreditation logo is on the left, and the text 'Welcome Maryland Agency POC' is on the right, with a 'Logout' link. Below this, the text 'Please select an action:' is displayed. There are three buttons: 'Start a New SEQ' with a folder icon, 'Resume an SEQ' with a magnifying glass icon (highlighted with a red border), and 'Scheduling' with a calendar icon.

2. Select the appropriate SEQ you wish to continue working on and select the **"Resume SEQ"** button.



CSBS Accreditation

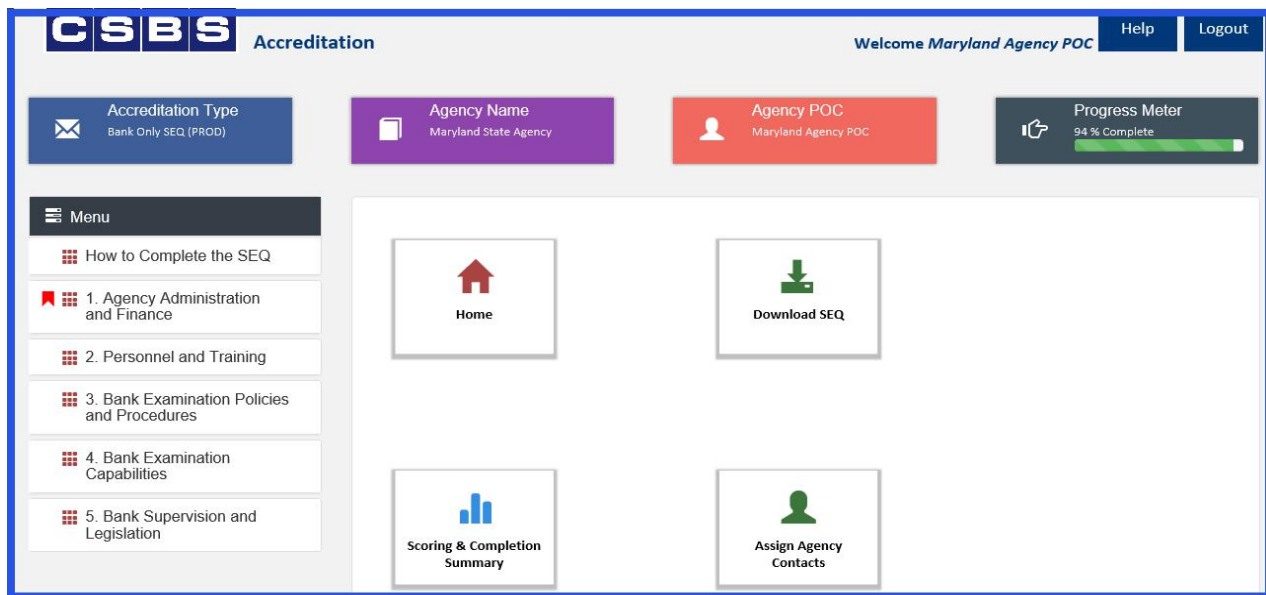
Welcome Maryland Agency POC Logout

Please select an SEQ below to resume and click the "Resume SEQ" button.

Select	SEQ Name	SEQ #	Status	Last Modified Date and Time
<input type="radio"/>	Sprint 2 Test 1	RBA-000683	Incomplete	6/19/2017 1:26 PM
<input type="radio"/>	End to End SEQ	RBA-000678	Submitted	6/16/2017 11:49 AM
<input checked="" type="radio"/>	Bank Only SEQ (PROD)	RBA-000676	In Progress	6/19/2017 12:29 PM
<input type="radio"/>	Bank and Mortgage SEQ (PROD)	RBA-000675	Incomplete	6/19/2017 11:17 AM

Back to Home Resume SEQ

3. The selected SEQ will open and from here you may resume providing responses.



CSBS Accreditation

Welcome Maryland Agency POC Help Logout

Accreditation Type  
Bank Only SEQ (PROD)

Agency Name  
Maryland State Agency

Agency POC  
Maryland Agency POC

Progress Meter  
94 % Complete

Menu

- How to Complete the SEQ
- 1. Agency Administration and Finance
- 2. Personnel and Training
- 3. Bank Examination Policies and Procedures
- 4. Bank Examination Capabilities
- 5. Bank Supervision and Legislation

Home

Download SEQ


Scoring & Completion Summary

Assign Agency Contacts

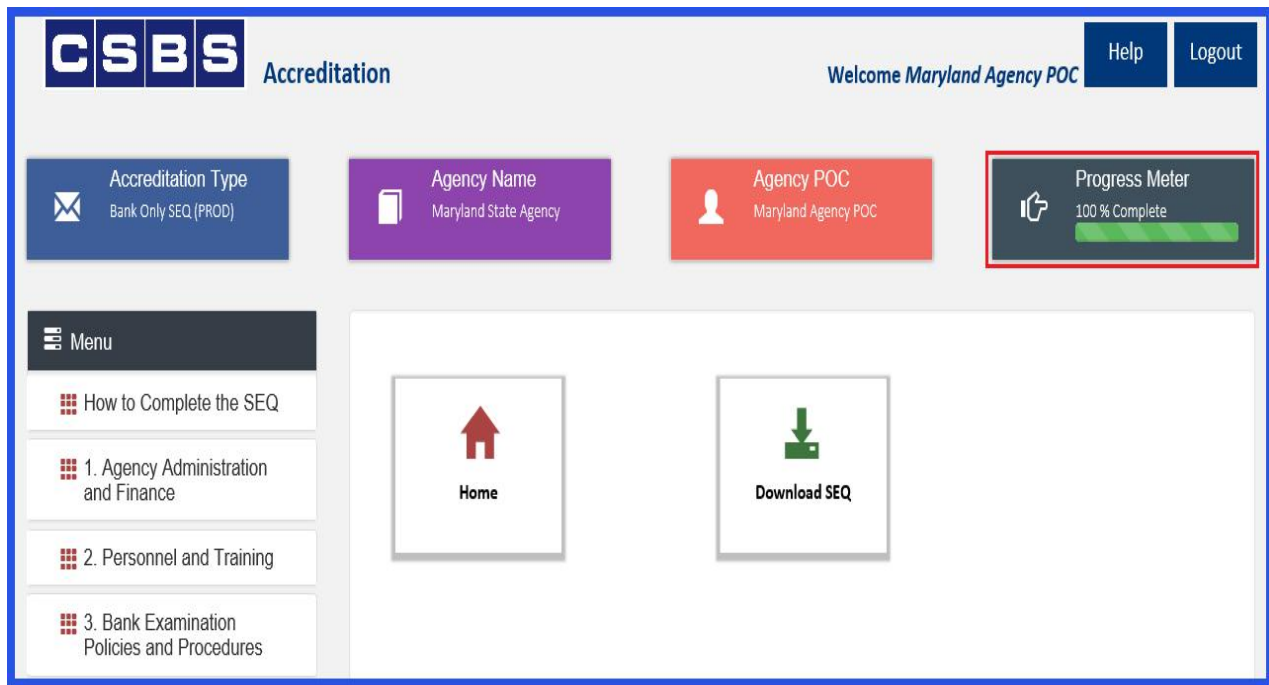


## SEQ SUBMISSION

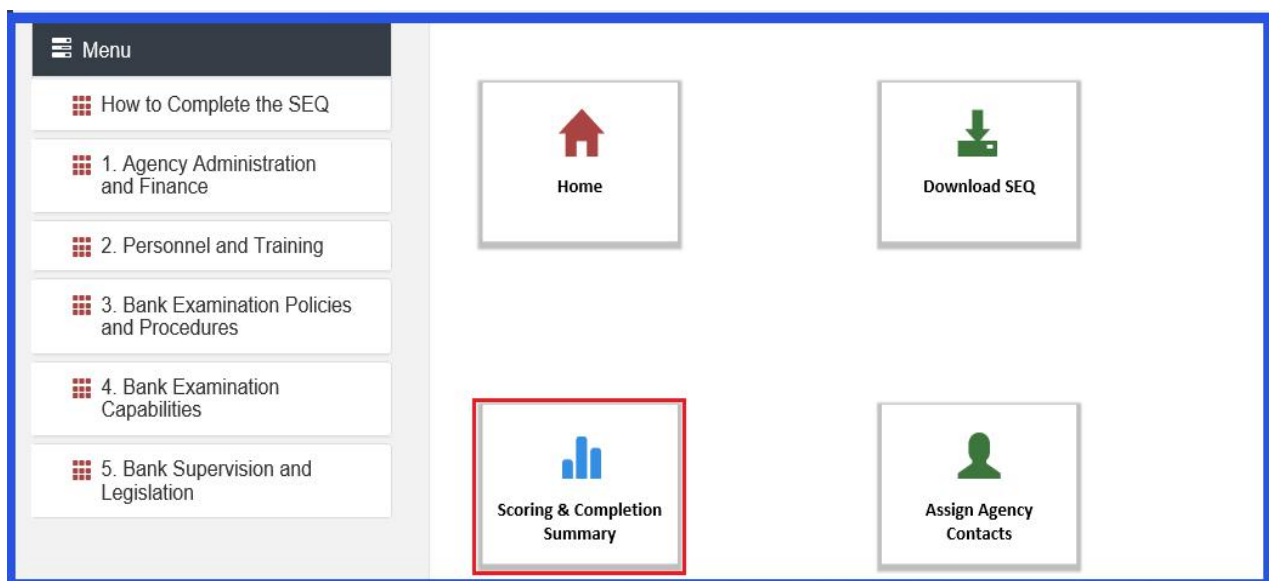
Once all the required Questions are answered and the Progress Meter bar is at 100% Complete, you may submit the SEQ.

 **Note:** This action can only be done by an Agency POC.

1. Click on the “Menu” link in the left navigation bar.



2. Click on the “Scoring & Completion Summary” icon.





3. Scroll down on the page and click on the “Submit SEQ” button.

4-K. Problem Identification/Migration Analysis	30	10	2	20	66.67	Complete
4-L. Follow-up/Correction of Problems	60	20	3	60	100.00	Complete
<b>5. Bank Supervision and Legislation</b>	<b>300</b>			<b>105</b>	<b>35.00</b>	<b>Complete</b>
5-A. Surveillance System	60	20	0	0	0.00	Complete
5-B. Communication of Findings of Surveillance System	30	10	2	20	66.67	Complete
5-C. Applications	45	15	2	30	66.67	Complete
5-D. Adequacy of Statutory Enforcement Authority	45	15	0	0	0.00	Complete
5-E. Policy for and Use of Enforcement Authority	45	15	1	15	33.33	Complete
5-F. Frequency of Banking Code Review/Revision	15	5	2	10	66.67	Complete
5-G. Involvement in State Legislative Process	30	10	1	10	33.33	Complete
5-H. Involvement in Federal Legislative Process	15	5	3	15	100.00	Complete
5-I. Promulgation of Rules and Regulations	15	5	1	5	33.33	Complete
<b>Total</b>	<b>1500</b>			<b>850</b>	<b>56.67%</b>	

**Note:** The Status of all the sections needs to be completed before you can submit the SEQ.

[Submit SEQ](#)



**Note:** The “Submit SEQ” button becomes active once all the required questions are answered and the progress bar displays as 100% Complete.

4. A submission confirmation message will appear signifying you have successfully submitted the SEQ.

Accreditation Type  
End to End SEQ

Agency Name  
Maryland State Agency

Agency POC  
Maryland Agency POC

Progress Meter  
100 % Complete

Menu

- How to Complete SEQ
- Section1: Agency Administration and Finance
- Section2: Personnel and Training
- Section3: Bank Examination Policies and Procedures

Scoring & Completion Summary

Banking
Mortgage
Credit Union

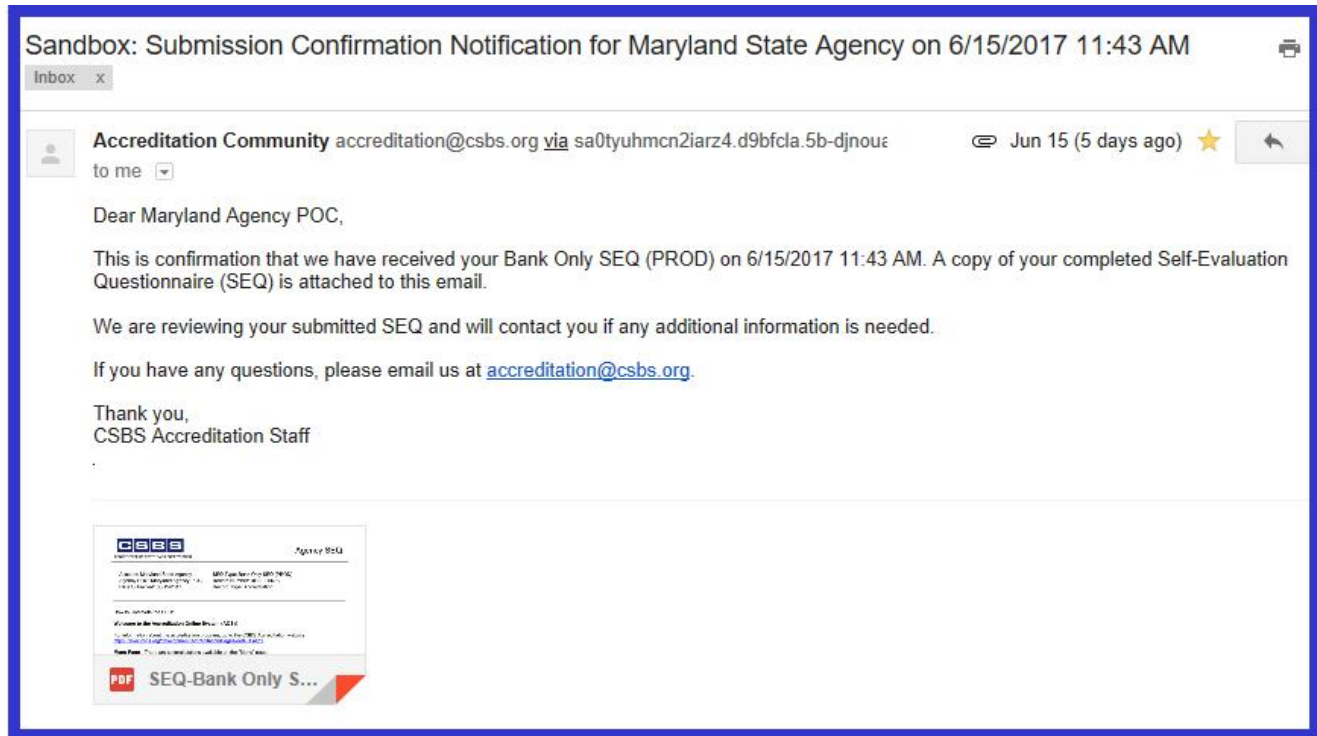
Section/Topic Title	Max Score	Value	Agency Rating	Agency Score	Agency Score %	Status
<b>Section2: Personnel and Training</b>	<b>105</b>			<b>112</b>	<b>106.67</b>	<b>Complete</b>
Personnel Manual	49	7	6	42	85.71	Complete
Hiring Policies	70	10	7	70	100.00	Complete
<b>Section3: Bank Examination Policies and Procedures</b>	<b>91</b>			<b>85</b>	<b>93.41</b>	<b>Complete</b>
Examination Frequency Policy/Ability to meet Policy	21	3	5	15	71.43	Complete
Number of State Licensees	70	10	7	70	100.00	Complete
<b>Total</b>	<b>196</b>			<b>197</b>	<b>100.51%</b>	

**Note:** The Status of all the sections needs to be completed before you can submit the SEQ.

**6/16/2017 11:15 AM The Agency POC has successfully submitted the SEQ**

[Submit SEQ](#)

5. Once the SEQ is submitted, agencies *cannot* change the responses without contacting the CSBS staff at [accreditation@csbs.org](mailto:accreditation@csbs.org).
6. Upon SEQ submission, an email goes out to the Agency POC and CSBS Staff.



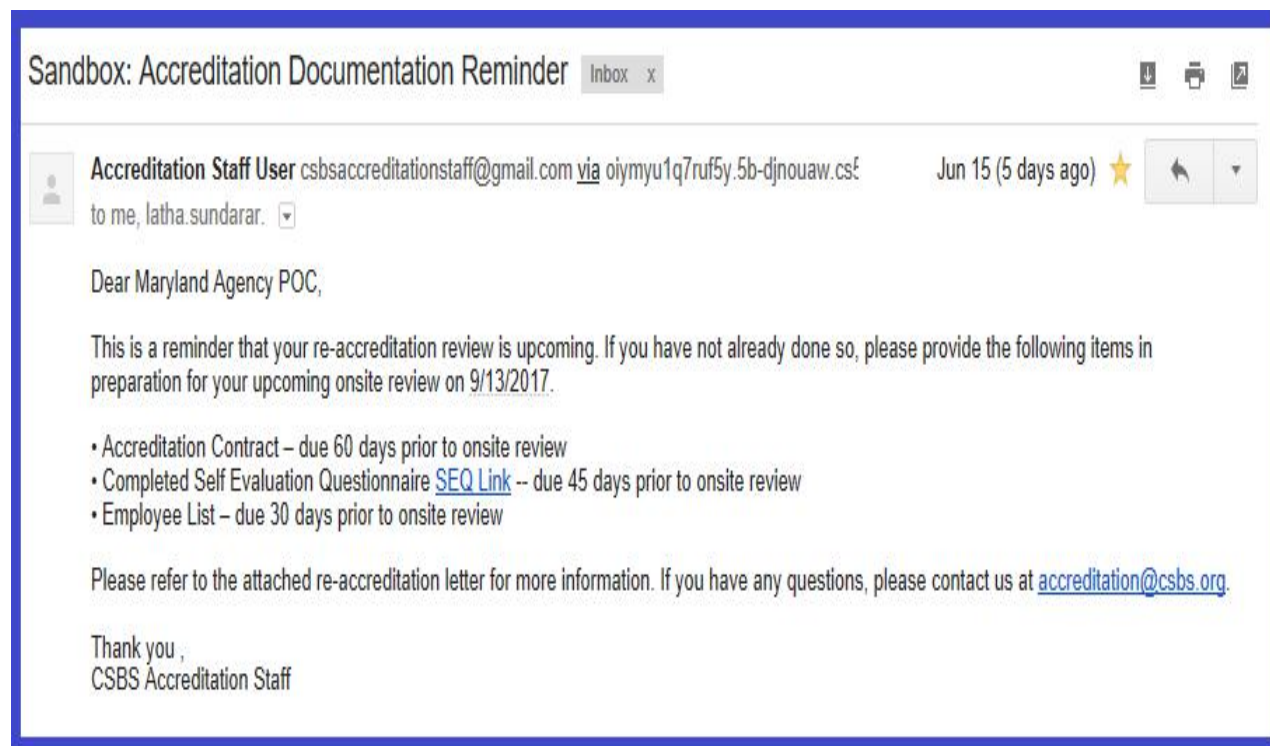
## WHAT COMES AFTER SEQ SUBMISSION?

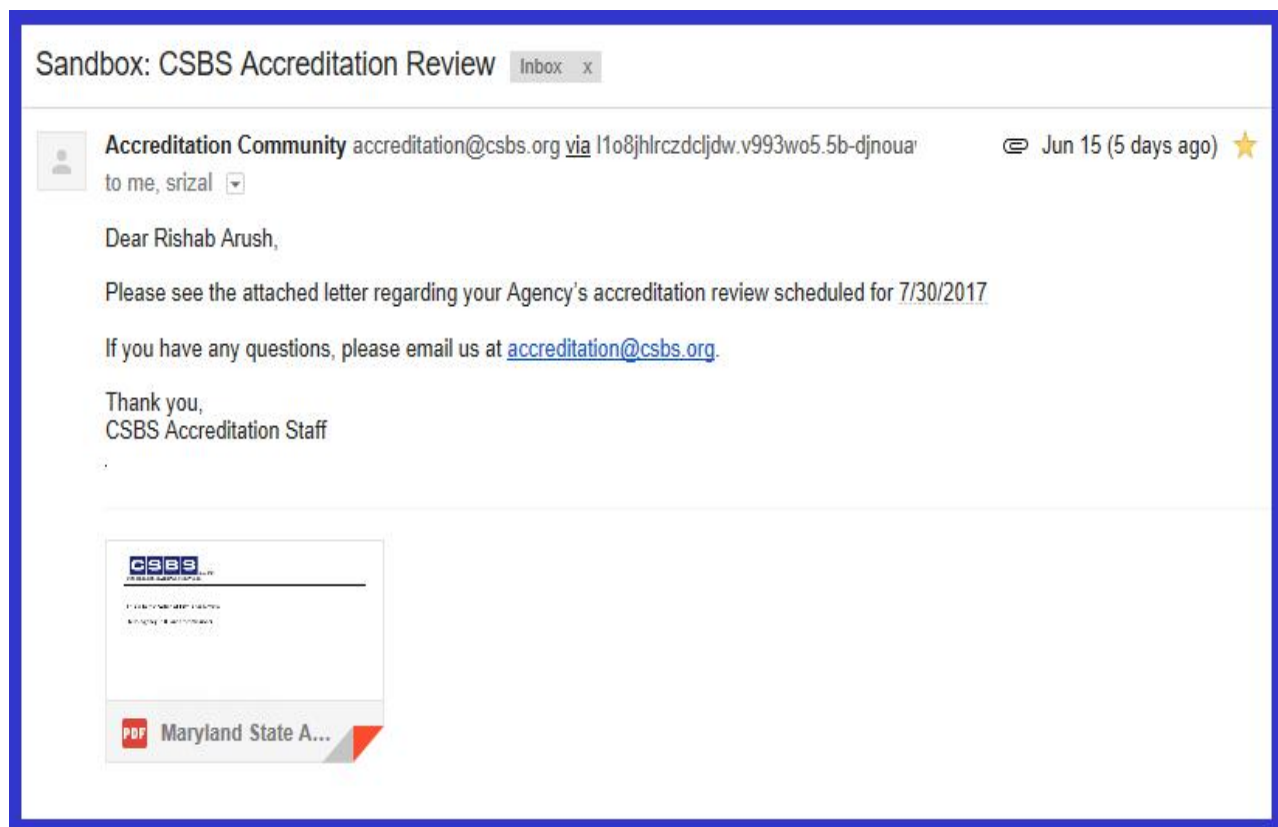
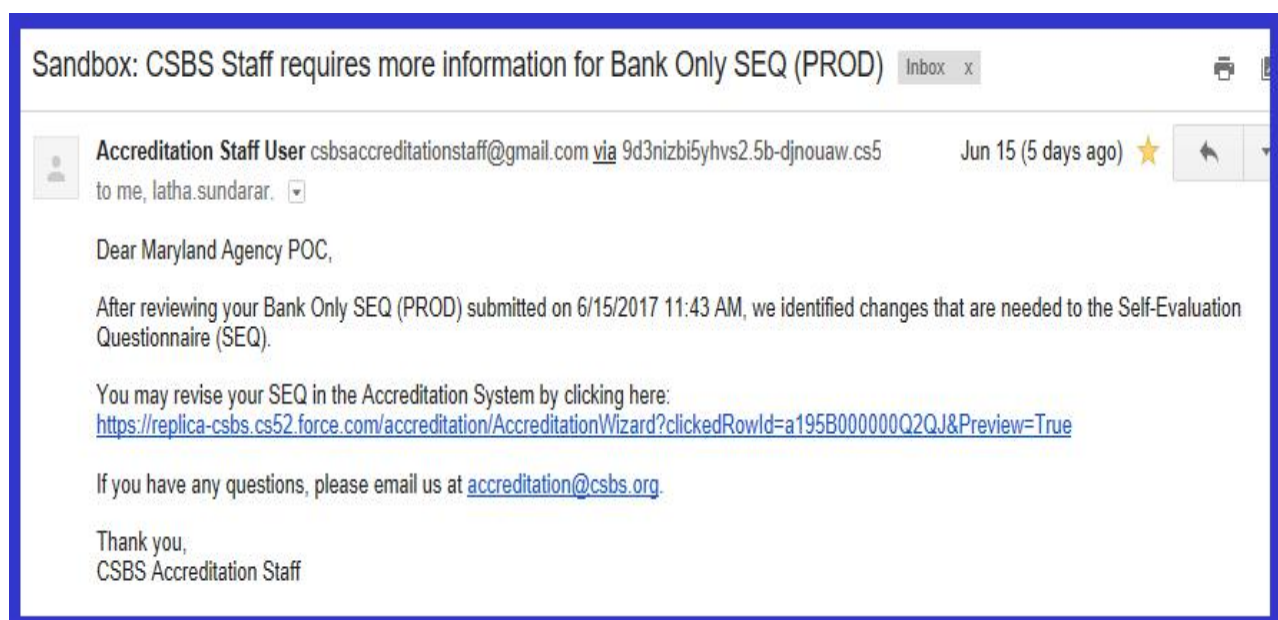
1. CSBS staff receives an email notification.
2. CSBS staff reviews the SEQ.
3. If CSBS staff accepts the SEQ, it is sent to the Review Team.
  - a. If CSBS staff needs more information, they will change the status of the SEQ .
  - b. Agency POCs will receive email.
  - c. Agency POCs update the SEQ (bases on questions received from CSBS staff).
  - d. Agency POCs re-submit the SEQ.
4. Review Team members provide Ratings, Notes, Recommendations & Suggestions.
5. CSBS staff reviews the report.
6. CSBS staff assign Audit Team members.
7. PSC member approves.

## OTHER EMAIL NOTIFICATIONS TO AGENCIES

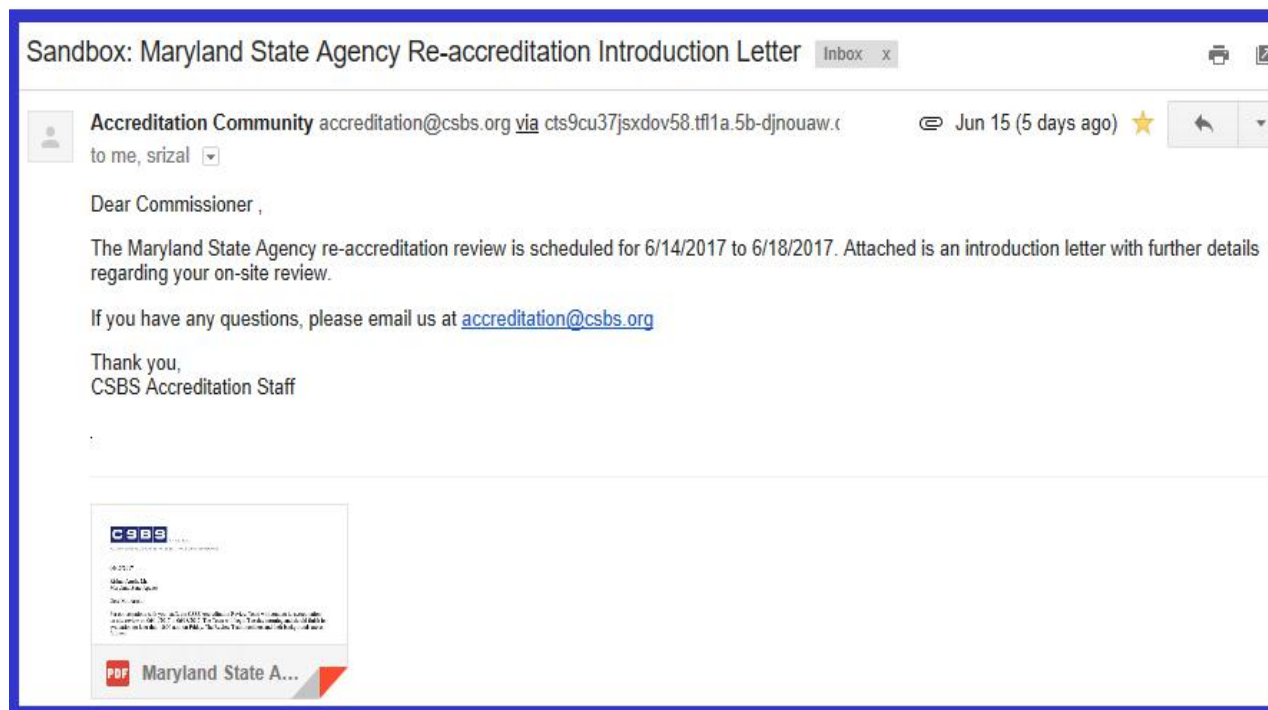
1. **90/60/45 days' notification:**

Prior to upcoming on-site review date, Agencies will receive the following notification.



**2. Five Years Notification:****3. After Submission, If CSBS Staff requires more information, Agency POCs receive the following email:**

4. **This screen shot is an example of the Introduction Letter sent by the Accreditation Staff.**



5. **This screen shot is for the Post Review Survey – Once the Authorization record is accredited.**

