SES Release Notes
Release Name: Alabama
Release Date: June 27, 2022

The purpose of these release notes is to provide a summary of SES functionality and system enhancements included in the Alabama Release.

Overview

Several new features and system enhancements have been included in the State Examination System ("SES") Alabama Release. These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as "SA") and Consumer Complaints. The SES Alabama Release introduces changes to the scope workflow, findings, user management and the release of the QuickIR repository to all companies in SES. Additionally, various enhancements and design changes are seen throughout the system for a richer user experience.

I. **Agency Users**

    A. Work Programs: In the SES Alabama Release, agency users will see that SAs in the system can be classified under certain work programs. This functionality was put in place after receiving feedback from money services businesses (MSB) examiners wanting an easier way to represent SAs that made use of the Money Transmitter Regulators Association (MTRA) work program. The global support and policy users will have the ability to manage and add work programs in the system. Each work program will be tied to a single business type and will have a list of areas for review (AFRs) connected to the work program. Agency users will be able to view the work programs and their corresponding AFRs from the library. When the scope is defined, agency users will be able to choose if they want to manually add AFRs or have the system auto populate AFRs based on a selected work program. The user will see that some of the auto populated AFRs have an indicator which means that those AFRs are classified as "core" AFRs for that work program. If even one core AFR is removed, the system will remove the work program and its related badge from the SA. Alternatively, if an agency user chooses to add the AFRs manually to the SA and selects those AFRs that fall under the core of AFRs for a work program, the system will add the corresponding work program indicator and badge to the SA. After the Alabama release, additional work programs may be added into the system and a single SA can have one or more badges tied to it. Additionally, when users are choosing to select the work program when defining the scope, comments are optional and will be summary level information, meaning that all agency, policy and support users in the system can view the comments along with the work program badge. Also, on the summary tab of an SA that has a work program, metrics will be provided on the percentage of standard Information Requests (IRs) and procedures the agency used. All SAs in SES, both open and closed will be evaluated by the system and those that meet the MTRA Work Program criteria will have the MTRA badge and labeling.

    B. Findings: Two major changes related to findings are in the Alabama Release for agency users. The first is that users will no longer be able to choose if a finding should be included as part of the findings commentary. Instead, all findings added by an agency participant will be included in the findings commentary section and be exportable. The second enhancement is related to repeated findings. Now, when users select that a finding is repeated, in addition to SAs that their agency conducted, users will be able to view SAs from other agencies they can access.

C. Reports: After the Alabama Release, agency users will be able to view and access an Acceptance and Leveraged SA report. One section of this report displays the SAs to which the agency chose to initiate acceptance and various details of the SA such as lead agency, status and so forth. Additionally, if the user is assigned the EIC for the acceptance workflow, the user can complete the acceptance workflow from this report. Similarly, the leveraged section of the report displays all the SAs for which a user's agency selected the scope type "leveraged" and relevant information on the original SA that was selected for leveraging. This report creates a single area where the SA acceptance and leveraging history of the user's agency can be viewed.

II. **Company Users:**

A. QuickIR: After the Alabama Release, all companies in SES will have access to the QuickIR feature. QuickIR allows company users to browse and view the standard IRs in the system and prepare responses for these requests in advance of exams. This will create an easier exam workflow and allow companies to save time when responding to the same standard IRs that one or more agency requests. Aside from reviewing the standard IRs in QuickIR, companies will also be able to save their responses from the SA. Additionally, company users who have added a response to a specific standard in QuickIR will receive an email notification if a standard is modified or retired.

B. Company Enhancements: The Alabama Release also includes two small but impactful enhancements. The first enhancement is expanding the types of company users who can assign the Company Lead (in the case of an exam), or a Company POC (in the case of a consumer complaint). Prior to this release only the SA Contact can assign the Company Lead and the Complaint Contact can assign the Company POC. Now company Account Administrators will also be able to complete these assignments so work can begin as soon as an exam or complaint is sent to the company. The second enhancement gives companies the ability to add comments in the external link source if companies choose to upload their loan request responses in a different secure site other than SES. This gives users an opportunity to clarify what the external source of sharing is, share access information with their agency, and keep track of information in a centralized place.

#	Title	Description	Context (User)	Feature
SES-2719 37 (7.1)	Agency: Remove Include in Finding Commentary Checkbox	The system will no longer give the option to include a finding as part of the finding commentary section. Instead, all findings will be added to the section and will be exportable.	Agency	Findings
SES-2718 37 (7.1)	Company: Notification of changes to Standard IRs + hiding inactive IRs	The company users who manage QuickIR will receive notifications if Standard IRs have been modified or retired.	Company	QuickIR
SES-2716 37 (7.1)	QuickIR: Releasing QuickIR to all companies (AL release)	The QuickIR functionality will be available to all companies after the Alabama release.	Company	QuickIR
SES-2681 37 (7.1)	Company & Agency: Allowing MRA extension request after SA is closed & locked	This enhancement gives the ability to company users to request an extension to MRAs after the SA is closed & locked. Since MRAs can be responded to after a SA is closed this will allow the company users to continue maintaining the integrity of MRAs in the system.	Company	MRA
SES-2642 37 (7.1)	Agency: Automated MRAs Reminders to Agency Users (when company receives reminder)	The EIC, staff user who is a participant on the SA from the lead agency and creator of an MRA will now receive automated reminders on MRAs that are due in seven or two calendar days. These reminders will also be sent to the company and the agency will be better informed of items that are outstanding even after the SA is closed.	Agency	MRA
SES-2709 38 (7.2)	QuickIR: Company - Saving an IR Response back to QuickIR	The Company Lead on a SA can choose to save a response to a standard IR back to QuickIR.	Company	QuickIR
SES-2708 38 (7.2)	Agency: Selecting MTRA Work Program on the Scope (MSB Business Type only)	When an agency user is defining or updating the scope for a SA, the user can select if the SA is using the MTRA Work Program and the system will populate the MTRA work program AFRs as defined by MTRA leadership.	Agency	Scope
SES-2689 38 (7.2)	Global Support + Policy Users: Adding MTRA Work Program AFRs in the Library	The global support users now can manage the MTRA work program AFRs in the system.	Global Support User	Work Program
SES-2657 38 (7.2)	Company: Account Admins will receive task to assign Company Lead/POC	All company account administrators will now receive the task to assign the Company Lead or Company POC for SAs and Complaints on their company.	Company	User Management
SES-2752 39 (7.3)	Global Support + Policy User: Adding Additional Work Programs	The global support users can add additional work programs and badges based on AFRs selections.	Global Support Users	Work Program
SES-2730 39 (7.3)	Company: Adding comments and a link for LR that are shared externally	The company users on a SA can add comments when indicating that loan files have been shared with the agency using an external source.	Company	Loan Requests
SES-2684 39 (7.3)	Agency: Allowing users to add a repeated finding from a SA they have detail level access to	Agency users now can now link a repeated finding to SAs that they have detail level access to conducted by other agencies in addition to SAs that their agency conducted.	Agency	Findings
SES-1847 39 (7.3)	Agency: Report: Accepted and Leveraged SAs	Agency can view and a full report of SAs that their agency chose to accept or leverage and the details of those SAs.	Agency	Reports