SES Release Notes Release Name: Hawaii Release Date: May 18, 2024
The purpose of these release notes is to provide a summary of SES functionality and system enhancements in the Hawaii Release.

Overview

The State Examination System (SES) Hawaii Release includes several new features and enhancements. in. These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as "SA"). The Hawaii Release includes enhancements that streamline initiating SAs by allowing users to reuse or copy existing scopes from their agency's SAs and a new dashboard that enables tracking of nationwide and agency-specific metrics to make it easier to facilitate comparisons in SES. Additionally, several small enhancements have been made throughout the system for a richer user experience.

Scope:

With the Hawaii Release, agency users will be able to efficiently reuse or copy existing scopes from their agency's SAs. This functionality enables users to select a predefined scope from an existing Supervisory Activity (SA), serving as a template for new SA. By selecting the option to Copy Scope on the Scope Tab of the new SA, users will be presented with a list of completed SAs with defined scopes. They can then easily select the most suitable one from which to copy key details, including Business Types, Scope, Information Requests (IRs) (including custom ones), and Procedures. The following business rules apply when copying the scope of a SA:

- The user's agency must be the lead agency.
- The user can copy the scope of both a single state SA or multistate SA.
- The system will copy over the Review Period, Business Activities (Bas), Scope Type, IRs, Procedures, including those that were manually added to a SA.
- The system will **not** copy any removed or cancelled IRs or Procedures.
- If the user selects a SA that has different business types than the newly created SA, the system will overwrite the new SA's business types.
- All copied fields are editable after they have been copied over from the existing SA.
- The user can see the SA ID of the scope they copied on the scope tab of the newly created SA.

The goal of this enhancement is to save agencies time with their daily supervision work by selecting a pre-defined scope that is customized to the agency user's needs.

In addition to being able to define the scope of an exam more easily, users will be able to convert or update the scope of a SA before sending an exam report. Agency users who primarily wanted to update a SA from a full scope to leveraged scope type requested this enhancement. If the scope of a SA is converted to a leveraged scope type, all the business rules for leveraging a SA are applicable.

Agency Reporting Dashboard:

Although tailored for commissioners, all agency users will have access to a new agency metrics dashboard in addition to the existing reports. This dashboard will track nationwide and agency-specific metrics such as the number of Open, Closed, Leveraged, and Accepted

SAs so that agency users can see their activity compared to all agencies in the system. The dashboard will also provide insights related to Access Request and Complaints.

Mortgage Information Request Standards Enhancements

With the Hawaii Release, SES will now feature an indicator on the IR grid of a SA to signify when an IR is linked to a work program. If a core IR linked to a work program is removed, users are prompted to leave a comment before proceeding to the next step. The same occurs with bulk removal of IRs. These improvements aim to improve efficiency and enhance visibility of IRs within the system. In addition, Areas for Review (AFRs) without core IRs as listed below are no longer marked as a key AFR for the work program.

- **RM Lender:**
    - Consumer Reporting
    - Foreclosures and Other Real Estate Owned
- **RM Broker:**
    - Consumer Reporting
    - Foreclosures and Other Real Estate Owned
    - Underwriting
- **RM Servicer:**
    - Advertising and Marketing
    - Appraisals
    - Origination Activity
- **RM Master Servicer:**
    - Advertising and Marketing
    - Appraisals
    - Bank Secrecy Act, Anti-Money Laundering, OFAC
    - Error Resolution and Consumer Inquiries
    - Maintenance of Escrow Accounts and Insurance Products
    - Origination Activity

Other Enhancements:

Several minor improvements - driven by both agency and company feedback - have been implemented in SES to enhance the overall user experience. The enhancements are as follows:

- Agencies requested a method to sustain communication with companies after the SA is closed and locked in particular with Matters Requiring Attention (MRAs). In response, agency users can now send MRAs to companies and maintain ongoing communication after closing a SA until the agency determines the response to the MRA is sufficient. Further, a one-click reminder function has been introduced to send notifications to companies to address MRAs promptly.
- Agency users recently reported inconsistent number of IRs after the scope of a SA is updated and AFRs are removed. To maintain the integrity of the scope and streamline AFRs, IRs, and Procedures a small enhancement was added to the system: if an AFR is removed from a SA, the system will automatically remove any associated IRs and procedures that have not been sent to the company.
- Updates to the SES library. To maintain the uniformity of BAs throughout NMLS and SES, Industrial Loan Lending (ILC) was removed as a business activity from SES. In addition, the consumer servicing business activity has been moved from the Debt business type to the Consumer Finance business type. Finally, a set of outdated consumer finance standard IRs were removed from the system (see below for the list of IRs). SES holds the updated consumer finance standard work program developed by the National Association of Consumer Credit Administrators (NAACA), which include a set of standard IRs and procedures. Companies that use QuickIR should review their associated responses to any of the retired IRs listed below to determine whether they need to make updates. Library IR IDs removed from the system:
    - 2266, 2265,2264, 2263, 334, 359, 358, 357, 356, 355, 354, 353, 352, 351, 350, 349, 348, 347, 346, 345, 344, 343, 342, 341, 340, 339, 338, 337, 336, 335, 333, and 332.

#	Title	Description	Context (User)	Feature
Supervisory Activity				
SES-3010 & SES-3014 **Sprint 63 (15.1)**	Agency: Ability to Copy the Scope of SA	This ticket addresses the capability to duplicate the scope of an existing SA (SA). It allows for the efficient initiation of both single state and multistate SAs by copying key details including Business Types, Scope, Information Requests (including custom ones), and Procedures.	Agency	Scope
SES-3008 & SES-3030 **Sprint 64 (15.2)**	Agency: Dashboard of user's agency vs. nationwide metrics	To incorporate Commissioner's request to see nationwide and their Agency's Reports, a new dashboard is created which will display reports such as Number of Open, Closed, Leveraged and Accepted SAs for their agency and nationwide. Also, reports related to Access Request and Complains have been added.	Agency	Reports
SES-3009 **Sprint 65 (15.3)**	Agency: Converting scope types	This will enable the users to update/change the scope type of their exam before the report is sent to the company. Now, a full scope type in addition to the others can be converted to a leveraged scope and all the business rules for a leveraged SA are applicable.	Agency	Exam/ SA Scope
SES-3012 **Sprint 65 (15.3)**	Agency: Sending back MRA after Close & lock	This feature will enable users to send MRA to the company and maintain ongoing communication, even after the SA is closed and locked. Additionally, a one-click reminder functionality is introduced to send reminder notifications prompting the company to address the MRAs promptly.	Agency User	MRAs
SES-3040 **Sprint 65 (15.3)**	Agency: System to remove related IRs and Procedures if AFRs are removed when scope is updated	This ticket aims to align AFR, IRs and Procedures when defining scope for a SA. If an AFR (Area for Review) is removed from a SA, the system will automatically eliminate any related Information Requests (IRs) and procedures that have not yet been sent to the company.	Agency & Global Support	Information Requests

#	Title	Description	Context (User)	Feature
SES-3042 **Sprint 65 (15.3)**	Agency, SU & policy: on SA tab + show columns and lead agency	The SA Tab now includes an additional column showing the Company's Lead for both the My Agency's SA and nationwide SA quick filter. This improvement offers enhanced visibility directly on the SA Tab, eliminating the need for users to open individual SAs to determine the assigned company lead.	Agency + Policy +Global Support	Supervisory Activity
SES-3043 **Sprint 65 (15.3)**	Agency: display percentage of IRs completed on SA Tab	Agency users can now see the percentage of Information Requests (IRs) that the company has responded to on the SA tab, under the "My agency" quick filter. This enhancement will allow users to easily track percentage of IRs responded to by the company.	Agency	Information Requests
SES-3013 **Sprint 65 (15.3)**	Agency: Uploading general Procedures & Loan Requests documents	This ticket gives an opportunity to the users to upload general documents for procedures and loan requests. The users can upload a document up to 1GB in size and enter comments up to 1,000 characters.	Agency	Scope
SES-3029 **Sprint 65 (15.3)**	Agency: Indicator for Work Program on a SA	This ticket talks about displaying an indicator if an IR is tied to a work program on the IR grid of a SA. This will bring in more visibility	Agency	Mortgage Standards