SES Release Notes Release Name: Missouri Release Date: October 19, 2024
The purpose of these release notes is to provide a summary of SES functionality and system enhancements in the Missouri Release.

Overview

The State Examination System (SES) Missouri 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 Missouri Release introduces several enhancements such as the addition of pop-up windows for Loan and Information Requests (IRs), the ability to recall loan requests and the option for companies to request a send back IRs, Complaints and Matters Requiring Attention (MRAs). Additionally, several minor improvements have been made throughout the system to enrich the user experience.

I. Agency Users:

Loan Request Pop-up Windows
Following the Missouri Release, agency users will be presented with several new enhancements designed to simplify how users work on Loan Requests.

- **Pop-Up Window:** Agency users will now have the option to manage Loan Requests using a pop-up window, a convenient alternative to the traditional drill-down feature. All the action items previously accessible through the drill-down such as Delete Loan Request, Update Loan Request and Assign Loan Request feature are now available in the Loan Request Grid under “Actions” column. This “Actions” column will be available at the beginning of the grid. In addition to the pop-up functionality, all Loan Requests added after this release will have the default selection of the category A, where previously it was category B.

- **Recall Loan Request:** Agency users can also recall a loan request that has been sent back to the company before the company responds or before the report is sent. If a recall is made, the status of the Loan Request is reverted to "Response Received". Additionally, agencies can review loan request responses and track the history of any recall actions, while the company can continue sending responses until the loan request is marked as complete.

- **Undo Loan Request Completion:** In addition to the recall features, agency users will also be able to “Undo Completion of a Loan Request” before the report is sent, reverting the status of the Loan request to “Response Received”. Previously, when an agency user marked a loan request as complete, the user could not complete additional work on that loan request. Like recalling loan request, this feature also tracks the history of undoing the completion and maintain all previous work papers and work paper notes on the loan request.

Auto-scheduling Information Request

This new feature enables agency users to schedule automatic sending of Information Requests to companies at 9 a.m. EST upon scope completion, or any time before the IRs are sent. This action can be updated at any time before the IRs are sent but can only be performed once. Once the system takes the action, it will no longer be available and is not available for IRs that need to be sent back. All SA participants will be notified when the Information Requests are sent. If the SA is cancelled, the auto-sending of IRs will be cancelled as well. This enhances efficiency by ensuring timely communication and reducing manual follow-up.

Note: The auto-send IR feature is enabled with retroactive functionality.

Restrict Visibility of External SA Documents Tab

Agency users can access the "External SA Documents" tab only for companies licensed by their agency, where the company’s license is recognized as an approved equivalent. For all the companies that are not licensed by the agency, their documents will not be visible to agency users. However, policy users have access to all documents for all companies. This ensures users focus only on relevant and authorized documents.

Procedures Enhancements

New enhancements to the Procedures functionality are aimed to improve user experience and efficiency. The procedures grid now displays 25 rows (previously from 10) to reduce clicks, and the "Actions" button has been moved next to the Procedure ID to minimize scrolling. Additionally, the loan request upload will not allow a field for assignees. Agency users can refer to the participants tab of the SA and see the “Loan Request Assignee ID”. This is the ID that should be added to the loan request upload document.

II. Company Users:

Request Send Back of IRs, Complaints, and MRAs

Company leads can request that agencies send back IRs, Complaints, and MRAs that are in the "sent to agency" status. A mandatory reason will be needed upon send back request and all agency participants on the SA will be notified. This action will be recorded and displayed with user and timestamp details. Additionally, users can track Send back IR Requests through system filters and see metrics in the IR Insights Tab under "Review Summary." The final decision to take the send back action will be of the agency users on the SA.

III. Industry Users:

Information Request Pop-up Windows

Company users will now have the pop-up feature available to them for Information Requests. This improvement enables users from both agencies and companies to effectively handle Information. An

"Actions" column will be available on the Information Request Grid, providing convenient access to pop-up functionalities. All actions available in the detailed view will also be accessible in the pop-up view.

#	Title	Description	Context (User)	Feature
Supervisory Activity				
SES-3104 Sprint 69 (17.1)	Agency: Loan Request Pop-up windows	This ticket enables agency users to work on Loan Requests using a pop-up window, providing an alternative to the drill-down feature. In addition to the pop-up functionality, all Loan Requests added after this release will follow the document retention policy of Category A.	Agency	Loan Requests
SES- 2812 Sprint 70 (17.2)	Agency: Recalling the send back & completion of a loan request	Agency users can now recall a loan request either before the company responds or before a report is sent. Upon recall, the loan request reverts to "Response Received" status, and the system maintains a history of the recall.	Agency	Loan Requests
SES-3086 Sprint 70 (17.2)	Agency: All participants to assign Loan Request	Participants in multi-state exam can now assign loan requests, previously limited to staff users. The update also includes UI changes, such as adding an "Assigned to" field for bulk loan request uploads and enabling export of Loan Details grid.	Agency	Loan Requests
SES-3083 Sprint 69 (17.1)	Agency + Company: IR Pop-up window	Agency and company users will be able to work on Information requests via the pop-up windows.	Global	Information Requests
SES-3087 Sprint 70 (17.2)	Agency: IR and Procedures Associations that are under different AFRs on a SA	Agency users can now associate IRs and Procedures across different AFRs on individual SAs. This change is limited to individual SAs and excludes the library.	Agency	Information Requests & Procedures
SES- 2930 Sprint 70 (17.2)	Company: Requesting a send back of IRs, Complaints IRS, & MRAs	Company leads can now request agencies to send back IRs, MRAs, or Complaints IRs in the "sent to agency" status before further action is taken. The request requires a mandatory reason for send back, triggers notifications, and is tracked with user and timestamp information.	Company	Information Requests, Complaints & MRAs
SES-3106 Sprint 71 (17.3)	Agency: Auto-setting timer to send IRs to the company	This functionality allows agency users to schedule future IR transmissions to companies at 9 a.m. EST, after the scope is complete. All SA participants will be notified when the IRs are sent. If the SA is cancelled,	Agency	Information Requests

		the auto-sending of IRs will be cancelled as well.		
SES-3050 Sprint 71 (17.3)	Agency: Filters for Nationwide reports	Agency users can now filter Nationwide Reports by Company Name, NMLS ID, and Milestones. These enhanced filtering options improve usability and navigation.	Agency	Reports
SES-3112 Sprint 71 (17.3)	Agency: External SA tab only visible to agencies where company is licensed	Agency users can view the "External SA Documents" tab exclusively for companies licensed by their agency where the company’s license is an approved equivalent. While the Policy users can see all the documents for all companies.	Agency	SA Documents
SES-2965 Sprint 71 (17.3)	Agency: Procedure notification, grid view and procedure can be assigned to multiple agencies	Agency participants can now view 25 rows in the procedure grid and review mode and assign single procedures to multiple agencies for multi-state SAs.	Agency	Procedures
SES-3103 Sprint 71 (17.3)	Global: NMLS ID of the company to display with the SA / Complaints + Lead agency Code	In the latest update, the NMLS ID of the company and the lead agency's code will now be displayed in the title of Supervisory Activities (SAs) and Complaints.	Global	Homepage and Dashboard