STATE
EXAMINATION
SYSTEM

SES Release Notes

Release Name: Kentucky

Release Date: April 11, 2022

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

<u>Overview</u>

Several new features and system enhancements have been included in the State Examination System ("SES") Kentucky Release. These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as "SA") and Consumer Complaints. The SES Kentucky Release will introduce changes to the Information Request workflow, findings on a SA, the report package, complaint processing and design updates. Additionally, various enhancements have been made throughout the system for a richer user experience.

I. <u>Agency Users</u>

1. Findings: The Kentucky release brings several enhancements and design improvements to the findings area of a SA based on feedback from agency users. The system will allow agency users to link findings from SAs across the system to indicate if a finding is repeated from a previously closed SA. All participants on the SA will have the ability to add up to six repeated findings from other closed SAs on the same company. Such associations will help bring greater continuity and insight into the companies that agencies are supervising. Additionally, if a matter requiring attention (MRA) or loan request is tied to the selected finding that information will also be displayed in relevant areas of the system for agency users. The findings export will include information on the repeated findings, so agency users have this readily available to them. Furthermore, the ability to export the report commentary has been enhanced to include all findings commentary; and the format was improved to provide greater detail and better organization for improved usability. An indicator on the SA will allow company users to see which findings were repeated, if those findings were shared with them through the exit meetings or associated with a repeated finding.

   A. Information Request: The Kentucky release will introduce enhancements to the information request (IR) tabs. The IR details tab will be exportable by the agency participants on the SA. This will allow the agency users to better manage a large number of IRs. Agency users will also be able to export the IR Response Search tab which will contain the response sent by the company. These two exports will give the agency a comprehensive view of the IRs transmitted and responded to by company participants.

II. <u>Company Users:</u>

A. Report: Both agency and company users provided feedback that companies often need additional time to prepare their response to the report of examination. Similar to the MRA extension request, company users will be able to submit a request for a due date extension to the report if a response is required. The company must include a suggested due date with the request. The agency examiner in charge (EIC) and staff users (if they are participants on the SA from the lead agency) will be able accept the decision with the suggested due date, reject the request, or accept the request with a modified due date.

III. <u>System-wide Enhancements:</u>

The Kentucky Release will also include several small enhancements across the system for various users. The agency account administrators AAs) will be able to reset all the Multi-factor Authentication (MFA) credentials for individuals of their agency and company AAs will be able to reset the same for users of their respective companies.

The loan request file share link that agencies add when sending loan request will maintain all the file share links rather than updating the latest link. This means that all the links will be available for the agency and company users to view and access.

This release will also include several agency-facing enhancements for SES Consumer Complaints. After a complaint is closed, agency users will be able to add or update research and communications for a specific complaint. Additionally, the intake form will include refund, customer service, account close/account locked, and other as new categories on the intake form. Users will also see improvements related to the homepage and notifications.

#	Title	Description	Context (User)	Feature
SES-2677 34 (6.1)	MFA Reset: Agency & Company AA	An agency user with AA permissions can reset MFA for agency users. A company user with AA permissions will be able to reset MFA for agency users.	Agency, Company, Support Users	User Management
SES-2584 34 (6.1)	Agency: IR response search- Export and including AFR column	An agency user with access to the IR Response Search tab can view the AFR column on the grid and export the response tab.	Agency	Information Requests
SES 2662 36 (6.3)	Agency: IR Export	An agency participant on the SA can export the list of IRs that have been sent to the company at any time.	Agency	Information Requests
SES-2525 35 (6.2)	Agency: Multiple file share links for sending Loan Requests	SES will maintain the historical record of all the file share links that the agency sends to the company. This is a change in the system in that the link will not be updated but all links will remain and be available to view and access.	Agency	Loan Requests
SES-2661 36 (6.3)	Design: Agency - Working Procedure (roundtripping) - system presenting removal page	The agency participants on a SA now have a smoother experience when they are removing unapplicable procedures from the SA.	Agency	Procedures
SES-2654 36 (6.3)	Agency: Users with detail level access can export procedures on the SA	This enhancement allows all users with detail level access to be able to export procedures on an SA.	Agency	Procedures
SES-2656 34 (6.1)	Agency: Adding a repeated finding from another SA	The agency users who can add findings across the system will be able to indicate if a finding on a new SA is repeated from a previously closed SA. The agency users can select a maximum of six findings to add onto a repeated finding.	Agency	Findings
SES-2655 35 (6.2)	Agency: Finding commentary to be included in the Report commentary export	The existing report commentary export includes the finding commentary of the SA. This is available for the EIC export.	Agency	Findings
SES-2658 36 (6.3)	Agency: Finding export must include the repeated findings	The findings export includes the Findings which were indicated as repeated from previous SAs.	Agency	Findings
SES-2663 35 (6.2)	Company: Requesting Report Response Extension	An active company lead on a SA can request an extension to the report response due date set by the agency. The user must enter a suggested due date which will be sent with the request to the agency.	Company	Report
SES-2664 35 (6.2)	Agency: Accepting/Rejecting extension Request for Report Response	The EIC or staff user of the lead agency if they are participant on the SA can accept the company's extension request with the suggested date, accept the extension request with a modified date or reject the company's request all together for an extension on the report response.	Agency	Report
SES-2580 35 (6.2)	Design: Viewing indicator of report task selected by company	An indicator is displayed when a company user chooses to complete the report response task. This indicator will be available to view both on the summary and report tab of the SA. Other users including company, policy and support will be able to view this indicator as well.	All	Report

#	Title	Description	Context (User)	Feature
SES-2109 35 (6.2)	Complaints: Tagging all agencies on Discussion posts + Referral	The agency complaints users can tag all agencies on a discussion post of a Non-NMLS entity. This tagging will send a notification to all complaint supervisors of those agencies. Additionally, an enhancement has been added that only those agencies that have at least one supervisor or manager will be able to receive complaints referrals.	Agency	Complaints: Discussion post & Referral
SES-2666 36 (6.3)	New Complaint Categories: Refund, Customer Service, Account closed/locked, and Other	Three new complaints categories have been added to the consumer complaints intake form. These categories are refund, customer service, account close/account locked, and other.	Agency	Complaints: Intake Form
SES-2641 36 (6.3)	Agency: Logging interactions after complaint is closed	The agency complaints managers, supervisors, and agency complaints POC can add or update research and communications on closed complaints.	Agency	Complaints: Research & Communications
SES-2697 36 (6.3)	Kentucky Release: Ad Hoc Enhancements - Complaints agency default button for IRs and ROE notification & TPU Homepage	This ticket contains the following enhancements in various areas of the system: The default selection for the agency complaints users when creating IRs is now to send to company now. The notification for when the package assembler is ready to be assigned will only be sent to the EIC, participants on the SA who are from the lead agency and last primary reviewer rather than of all participants. Third users' homepage now contains MRA information. If the user is the company lead on a SA, the user can see all the MRAs associated to the SA. If the user is a third-party user or a coordinator on the SA, the user will only see those SAs that they have been assigned on the homepage.	Agency & Company	Complaints: Information Requests, Report, Dashboards & Filters