SES Release Notes
Release Name: *Connecticut*
Release Date: September 19, 2020

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

<u>Overview</u>

Several new features and system enhancements have been included in the *Connecticut* release of the State Examination System ("SES"). These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as "SA") and consumer complaints. Major developments in this release will include the introduction of accepting and leveraging SAs, the inclusion of depository companies for the purposes of supporting complaints functionality, and several other system-wide improvements.

I.   **Agency Users**

   A.   Accept Another SA: SA Acceptance is a new system workflow that allows agencies to accept another agency's SA. This functionality supports the objectives of networked supervision by giving state agencies another tool to collaborate and use the work of other agencies. To accept another agency's SA, the SA must be closed and have not reached the six-year retention period, and the accepting agency cannot be a participating agency on the SA. In addition, the staff user or director who initiates the exam acceptance must have detail level access to the SA as well as the selected Examiner in Charge (EIC) of the accepted SA.

   B.   Leverage Another SA: SA Leverage is a new scope type in the system. It allows agencies to use another agency's closed examination as a starting point for their own SA. The agency can transmit materials to the company related to the leveraged exam. For an agency to conduct a leveraged exam, the agency must initiate a SA and select the scope type as leveraged. Identical to acceptance, the agency must meet a few pre-conditions before leveraging another SA. As is the case with the Accepted SA workflow, the functionality to leverage another agency's SAs supports the concept of networked supervision and state-to-state collaboration.

   C.   Enhancements for Agency Users: Several other enhancements have been introduced for agency users in the Connecticut release. A new indicator was added to the agency record to show that an agency is an active SES user if the agency has one or more active users in the system. There is a new business activity filter on the SA tab. Based on examiner feedback, agency users will now be able to add agency-specific details or instructions to standard information requests (IRs) before sending them to the company. Additionally, in the Connecticut release staff users and staff directors of the lead agency will be able to mark the report response as complete, in addition to the EIC. This feature will help those agencies where additional support is need and the EIC may or may not be as active on the SA for its full life cycle. A new feature has been added to allow agency users to decide if a notification should be sent to the company when the SA is closed and locked. In the Connecticut release, two additional functionalities related to complaints have also been included. These are the addition of a due date selection for preliminary review and a referral report available to agency complaints users. Finally, agency users will have the opportunity to select from one of four categories for bulk download – providing more flexibility when performing this action.

II.   **Company Users**

    A. <u>Depository Companies:</u> In support of the complaints functionality, agency users can now create and process complaints on depository institutions that have registrations in Nationwide Multistate Licensing System (NMLS). Like the non-depository companies who currently exist in the system, depositories will have their own company record in SES. NMLS is the primary source of data for these company records. If an agency requires a depository company to respond to a complaint in SES, the company will be notified and provided with appropriate login credentials to access and respond to the complaint in SES.

    B. <u>Enhancements for Company Users:</u> To enhance the onboarding and account creation process for company users, company users now must verify their affiliation with each company. This is to ensure the user has been added to the correct company and information in the system is protected. When such users make an affiliation decision, the user's decision will be displayed on the company's record page. If a company user declines an association with a company, the agency user who onboarded that user is notified.

Ticket No	Title	Description	Context (User)	Feature
		SA Acceptance and Leverage		
SES-1848 (15)	Exam Scheduling: Accept and Leverage SA	Agency users who can complete exam scheduling for their agencies will now have the option to "accept" or "leverage" another agency's SA.	Agency	Exam Scheduling
SES-1859 (15)	SA Summary Level: Acceptance Details	The agency, policy and support users who have access to summary level access to a SA can view which agencies have accepted that SA, acceptance notes, acceptance details and the existence of documents.	Agency, Policy & Support	Accept SA
SES-1944 (15)	Accepted SA: Document Retention Date to Display with Acceptance Details	The document retention date will be displayed for acceptances documents in addition to other acceptance details for those documents uploaded by the agency.	Agency	Document Retention
SES-1852 (15)	Accepted SA: Accepting Another Agency's SA	An agency staff user or staff director can choose to accept another agency's SA before the documents on the SA have reached a category A retention period.	Agency	Accept SA
SES-1854 (15)	Accepted SA: EIC Entering Acceptance Data and Sending for Review	The selected EIC on an accepted SA can enter, send the SA acceptance for review, accept, or reject the SA acceptance. The user can also choose to notify the company of the acceptance.	Agency	Accept SA
SES-1855 (15)	Accepted SA: EIC Setting up Review Workflow for Accepted SA	An agency user sending a proposed SA to be accepted for review, can set up the review workflow by selecting a primary reviewer and additional reviewers.	Agency	Accept SA
SES-1932 (15)	Accepted SA: Assigned EIC's or Initiator's Access cannot be Reevoked after Acceptance	The initiator and EIC of a SA being considered for acceptance must have detail level access to the SA. Thus, the lead agency which granted the users access can no longer remove the access of these users.	Agency	Accept SA
SES-1853 (15)	Accepted SA: Accept or Reject Proposal to Accept SA	The primary reviewer for a SA proposed for acceptance can select to approve or reject the acceptance proposal.	Agency	Accept SA
SES-1857 (15)	Company: View of Accepted SAs	The company users who have access to summary level data of SAs for their companies will be able to see which agencies have used a SA for acceptance if the agency chooses to notify the company.	Company	Notifications
SES-1846 (15)	Leverage SA: Initiate New Exam with Scope Type Leverage	The agency staff users and staff directors can now select a new scope type known as leveraged when initiating a SA.	Agency	Leverage SA
SES-1851 (15)	Leveraged SA: Leveraging Exam Workflow Differences	For a leveraged SA, a few workflow changes have been made to accommodate for the possible workflows and actions an agency can take when leveraging a SA.	Agency	Leverage SA

Company: Depository Companies				
SES-1896 (15)	Depository Company Record: Company User's View	The company users who are affiliated with depository companies in SES will be able to see specific depository data on the company's record.	Company	Company Record
SES-1889 (15)	Depository Company Record: Agency User's View	The agency users can view specific data points for depository companies on their records. If a company is both depository and non-depository, then both sets of SES data will display on the record.	Agency	Company Record
SES-1897 (15)	Depository Company Record: Policy and Global Support User View	The policy and global support users in SES can view specific data on depository companies in SES.	Policy & Support	Company Record
SES-1898 (15)	Depository Company Record: Industry Support User View	The industry support users can view specific data points for depository companies on the company records.	Support	Company Record
Complaints				
SES-1805 (15)	Complaints: Adding a due date to Preliminary Review	An agency complaints user can add a due date when sending a complaint for preliminary review.	Agency	Intake Form
SES-1850 (15)	Complaints: Agency Referral Report	The agency complaints users will have access to the referral reports which will include all outgoing and incoming referrals for a user's agency.	Agency	Complaints Referral
Miscellaneous Enhancements				
SES-1869 (15)	Procedure Export: Adding Full name of User in Export	Agency users who can export procedures will now be able to see the full name of the user in the "added by" field.	Agency	Procedures
SES-1866 (15)	Agency: Close & Lock Notification for SA is Optional	An agency user who can close and lock the SA can choose to send a notification to the company of the closure. If the company receives a notification, the users will be informed that closing one SA does not prevent the agency from pursuing other SAs.	Agency	Close & Lock
SES-1863 (15)	Agency: SA tab- Business Type Filter	An agency or policy user can filter by one or more business types on the SA tab.	Agency & Policy	SA Tab
SES-1685 (15)	Agency: Customizing Bulk Download of SA (Additional Categories)	The agency staff users, staff directors or EICs on a SA can select from four different categories of documents related to bulk download. The users have the option to either download documents related to IRs, loan requests, documents excluding information and loan requests or all documents in the SA.	Agency	Document Management
SES-1792 (15)	Ability to Add Additional Information on Standard IR	An agency user who can update IRs on the SA can add additional information on the standard IRs.	Agency	Information Requests
SES-1865 (15)	Company: User Must Verify Association for Each company when Added by Support User or Agency	If an agency or support user creates a company user's account, that user must verify their association to each company that they are added to. Additionally, the company user's decision will display on the prior and outstanding attempts section on the company's profile.	Company	Onboarding

SES-1683 (15)	Third party User Affiliation with Company	When a third-party user is added to a company on SES, the user must verify their association with each company to which they are onboarded.	Company	Onboarding
SES-1918 (15)	Design: Terms of Use Must be a Button	A design change was made to incorporate a button for the terms of use for all users.	All	Terms of Use
SES-1201 (15)	Agency: Staff Director or Staff User Marking Report Response as Complete	An enhancement was put in to allow the staff users and staff directors of the lead agency to mark the report response as complete in addition to the EIC.	Agency	Report
SES-1893 (15)	Agency: EIC Receives a Notification When Primary Reviewer sends Back Report	The active EIC on a SA will receive a notification when the primary reviewer sends back the report, if the user chose to send the report for review.	Agency	Report
SES-617 (15)	Indicator on the Agency Record to Show Active Agencies	Agencies will now have an active agency indicator if there are on or more users for the agency in SES.	Agency	Record
SES-1118 (15)	EIC Immediately Taken to Assemble Package Task	An enhancement was put in so that if the EIC selects themselves to be the package assembler, the user is immediately taken to the task so the user can easily and quickly complete it.	Agency	Report
SES-1860 (15)	Agency: EIC Cannot Assign Cancelled Loan Requests	The EIC for a SA cannot assign loan requests that have been cancelled to other participants on the SA.	Agency	Loan Requests
SES-1952 (15)	Document Management: Removal of Emojis & Special characters from document title	The system will remove all special characters and emoticons from document titles, except for a standard list of accepted characters when users upload documents. If the system removes all characters from the document title, then the system will default the document name of the document to "SES document."	All	Document Management