SES Release Notes

Release Name: Idaho

Release Date: November 6, 2021

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

Overview

Several new features and system enhancements have been included in the State Examination System ("SES") Idaho Release. These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as "SA") and Consumer Complaints. The SES Idaho Release will introduce changes to several workflows across the system, enhancements to notifications, and design updates. Additionally, several enhancements have been made throughout the system for a richer user experience.

I. Agency Users

A. Loan Requests: With the Idaho Release, improvements across the system include the loan request workflow for agency users. The agency participants on a SA will see that the loan request dashboard clearly displays loan requests in different statuses and calls to attention the loan requests that have been sent back to the company. Agency users will also be able to search for all loan requests when associating them to a finding. With this, the system will display additional fields to help ensure correct items on a SA are being associated. Similarly, when associating findings to loan requests, the user will have the ability to search all existing findings that have been added to the SA. These changes will create a smoother workflow for agency users when completing work on several loan requests for a single SA and ensure the correct connections between the different areas of a SA.

B. Matters Requiring Attention (MRAs): The Idaho Release will introduce several enhancements to improve this workflow for agency and company users. Agency users will be able to add MRAs early in the workflow when the SA has moved to in-flight. This is so that MRAs can be added while the exam or investigation are being conducted and can be sent with the report. Of course, additional MRAs can be transmitted after the report is sent to the company. Additionally, agency users with the ability to assign the package assembler will be able to view the action but will not be able to complete the assignment if there are any MRAs that are not in complete status. This enhancement will allow users to view the action they take and be informed about why certain actions cannot be taken. Further, the experience of sending MRAs to the company has been improved to ensure the form will clearly state which items are shared with the company and which comments are for internal use. The character limit for the MRA text has also been increased for the agency. Agency participants who will be partaking in multi-state SAs will see that classifications can be made to MRAs that are added in the system. Users will have the ability to distinguish between MRA applicable to all agencies or MRAs applicable to specific agencies on a SA. Agencies will also manage extension requests that will be sent from company users for MRA due dates. Agencies will be able to accept the proposed new due date sent by the company, approve an extension with a modified due date of the agency’s choosing or reject a due date extension request. Finally, participants on a SA will be able to close a MRA before the company has responded. This is to support the scenario when a company sends a response outside of the system; the agency can accurately reflect the status and closure of the MRA.

C. Consumer Complaints: The agency consumer complaints users will see several enhancements and functionality improvements with the Idaho Release. Users will see that additional business types have been added on the complaints intake form to accurately capture the context of a complaint. These two business types are Other- Financial and Other- Non-financial, which will only be available on the complaint form. Agency complaints users will also be able to accept, accept with a modified due date or reject a company's request for an IR due date extension.

Previously, complaints users were given the ability the re-open a closed complaint. In the Idaho Release, a report of the complaints that have been reopened over a period of time will also be available to agency users. Further, users will see that the external ID, previously known as "Corresponding Complaint ID," will be visible across many different areas of the system. This ID is the identifier some agencies use to keep track of complaints in their internal system. By matching the external ID with the SES Complaint ID, the complaint record's precision and history can be maintained. Another key enhancement gives complaints users the ability to enter an agency's name when indicating a complaint was either referred from or referred to another state or federal agency outside of SES.

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

A. <u>Supervisory Activities:</u> Several improvements have been made to the company experience in SES, specifically the SA workflow. For the loan request workflow, the dashboard has been improved to help companies quickly address outstanding loan requests and clearly view which items are pending in the company's queue and which items have been sent to the agency. Similarly, enhancements have been made to external information sharing related to loan request responses. Users will see there are fewer navigations and when loan requests are marked as shared externally by any company SA participant, those loan requests are sent to the agency through a notification. This means company users are not reliant on the company lead to mark those loan requests that have not been shared in the system. This enhancement will reduce the burden of the company lead and give more visibility into those loan requests that have been responded to and the correct method of response that was selected. Users will also see several other design changes which clearly show the number of send backs and correspondence between the agency and company. Company users will also see small changes throughout the loan request workflow with the addition of more important fields displayed as defaults and removal of much less used fields across all the major grids.

   Companies will be able to request a MRA due date extension in SES, eliminating the need to work outside the system and maintain a record of the extension request. Companies will be able to request a MRA extension and enter a proposed date with a comment further explaining the request to the agency.

B. <u>Consumer Complaints:</u> Since responding to a complaint IR is one of the most important aspects of a complaint, company users will be given the ability to request a due date extension. Company complaints users will have the ability to request a due date extension and enter a suggested due date which will be visible to the agency. This enhancement will eliminate the need for company users to correspond with the agency outside of the system and save time for users by making the request directly in SES.

C. <u>Automated Reminders:</u> With the Idaho Release, company users will see that several notifications have been added across the system for the various workflows. Previously, agencies were able send reminders to company users to complete outstanding supervisory items. With the Idaho Release, the system will send reminders to company users for upcoming due dates or urgent tasks that require action from the company. Such critical reminders include completion of company enrollment, assignment of the company lead or company POC when an SA or complaint is sent to a company. Further, reminders will be sent 7 days and 2 days before IRs, Complaints IRs, loan requests, the report response or MRAs are due to the agency. The goal of such reminders is to limit the burden on both agency and company users. The system will remind the company of pending actions and give assurance to the agency that the company will be notified of critical items that require attention. The system will also keep track and display the audit of the reminders that are sent to the company for tracking purposes.

III. **<u>System-wide Enhancements:</u>** For agency users, a new IR dashboard referred to as “IR Insights” provides quick and important metrics for the various IRs on a SA, their status, and separation of IRs that have multiple attempts. The dashboard is a quick and easy way for agency participants to analyze the IR workflow. Other workflows have also been modified to make information less overwhelming and clear so that response times can be reduced. There is also a balance of white space and various section on each form to reduce interference from unnecessary distractions and allow users to the focus on their work in the system. Additionally, changes have been made to various grids across the tabs to display relevant data and colors have been added or changed to make different areas more aesthetically pleasing. The instructional text has been modified where needed, hover text has been utilized in various areas, and icons have been updated to create visual interest and meaning.

#	Title	Description	Context (User)	Feature
Loan Requests				
SES-2532 29 (4.2)	Company: Notifying agency of loan request responses shared externally	Any company participant can bulk indicate that loan request responses have been shared with an agency outside the system. When a user marks that the loan requests have been shared externally, the system will move those loan requests to the sent to agency status and notify the agency.	Company	Loan Requests
SES-2523 29 (4.2)	Design Change: Company Loan Requests	Several design changes have been made on the company's loan request dashboard. This will allow company users to quickly and easily view the loan requests that require attention.	Company	Loan Requests
SES-2522 29 (4.2)	Design Change: Agency Loan Requests	Several design changes have also been made to the agency's loan request dashboard. This will allow the agency users to view the statuses of loan requests and those that have been sent back to the company for additional information.	Agency	Loan Requests
SES-2521 30 (4.3)	Agency: Additional fields to display for loan Request Association	When agency users associate loan requests to findings, additional fields will display. The fields will include loan number or account number, date of origination, city, and state.	Agency	Loan Requests
SES-2524 (4.3)	Agency: Borrower First name will not be required field	Previously, an agency was required to add the first and last name of the borrower for loan request. With this enhancement, the first name will be an optional field.	Agency	Loan Requests
Matters Requiring Attention (MRA)				
SES-2378 28 (4.1)	Agency: MRA tab available when SA is moved to in-flight	The system will make the MRA tab available to participants when a SA is moved to the in-flight milestone. With this availability, users will be able to add MRAs into the system earlier in the exam or investigation workflow.	Agency	MRA
SES-2292 28 (4.1)	Agency: User can view package assembler button before MRAs are marked complete	Agency users who can assign the package assembler (the EIC, last primary reviewer, and staff user who is a participant on the SA) will have access to the package assembler button. However, the system will notify the user that the package assembler can only be assigned once MRAs are marked complete.	Agency	MRA
SES-2290 28 (4.1)	Agency: MRA- indication of documents that are shared with the company + increase in character limit	The character limit for MRAs for agency users has been increased to 4,000 characters and there will be a distinction between which document items of the MRA are shared with the company.	Agency	MRA
SES-2541 29 (4.2)	MRA: Automated Reminders for Company Users	The company participants on SA will receive a notification 7 days before a MRA is due to the agency.	Company	Automated Reminders
SES-2534 29 (4.2)	Agency: Closing an MRA before company response is received	Agency users will be able to close a MRA before a company responds. This is so that if the company has responded outside the system; the agency will be able to maintain the accuracy of the MRA and close it in a timely manner.	Agency	MRA

SES-2341 29 (4.2)	Agency: Classifying MRAs to an agency	An agency user with the ability to add or update a MRA on a multi-state SA will be able to classify if a MRA is for all agencies on the SA or one or more agencies from the participating agencies.	Agency	MRA
SES-2226 29 (4.2)	Company: Requesting MRA due date extension	An active company lead can request an MRA due date extension from the agency before the SA is closed and locked. Users can propose a date for the extension and add comments for the agency.	Company	MRA
SES-2227 29 (4.2)	Agency: Accepting/Rejecting a MRA extension Request	An agency user can choose to accept, accept with modifications, or reject a company's request for a MRA due date extension.	Agency	MRA
Consumer Complaints				
SES-2518 28 (4.1)	Complaints: Additional business types only for SES complaints	The system will present additional business types to users for the purposes of consumer complaints. These business types will only be available within the SES consumer complaints functionality.	Agency	Intake Form
SES-2505 28 (4.1)	Complaints: Company: Requesting IR due date extension	A company point of contact (POC) for a complaint can request a due date extension for an information request (IR).	Company	Information Requests
SES-2506 28 (4.1)	Complaints: Agency: Accepting/Rejecting an IR extension Request	An agency complaints POC or supervisors for the agency can choose to accept, accept with modifications, or reject a company's request for an IR due date extension.	Agency	Information Requests
SES-2410 28 (4.1)	Agency: Complaints Re-opened Complaints Report	Agency users with access to complaints reporting will also be able to view reporting on reopened complaints.	Agency	Reporting
SES-2407 28 (4.1)	Complaints: Agency- adding External Complaints ID throughout system for complaints	Agency, policy, and support users will be able to view the external ID (previously referred to as the corresponding complaint ID) of a complaint if it was entered by the agency. This external ID represents the complaint identifier that is managed in the agency's own internal system.	Agency	Summary Data
SES-2404 30 (4.3)	Complaints: Adding "Other" Option for agency referral	Agency complaints users will have the ability to select "other" option when entering or closing a complaint for the "Referred from/to Other State Agency." The user will also be able to enter a name for the state l agency.	Agency	Referral
SES-2045 28 (4.1)	Complaints - Company: Automated Reminders IRs in sent to company status	Company users will receive reminders from SES when one or more IRs are due in 7 days.	Company	Automated Reminders

System-wide Enhancements				
SES-236429 (4.2)	Company: Automated Reminders of Report Response	An active company lead on a SA will receive automated reminders to respond to the report package if the agency has required a response.	Company	Automated Reminders
SES-256030 (4.3)	Company: Automated Reminder for assigning Company Lead on SA	The SA contact and additional email will receive an automated reminder to assign the company lead every 7 days after the agency has sent a SA to the company until the company has assigned the lead.	Company	Automated Reminders
SES-255930 (4.3)	Agency: Automated Reminder for Company User Enrollment	Company users enrolled by the agency will receive an automated reminder to complete enrollment every 7 days for 30 days.	Company	Automated Reminders
SES-255630 (4.3)	Complaints- Company Automated Reminders: Assigning the Company POC	The company complaints contact, and additional email will receive an automated reminder to assign the company POC every 7 days after the agency has sent the complaint to the company until the company has assigned the POC.	Company	Automated Reminders
SES-204428 (4.1)	Company: Automated Reminders of upcoming IRs and loan requests	Company users will receive reminders on IRs and loan requests that are due within 7 days for a SA.	Company	Automated Reminders
SES-257630 (4.3)	Company: System Automated Reminders 2 days before due date	In addition to receiving a notification 7 days before the due date for IRs, loan requests, MRAs or the report response, company users will also receive a notification 2 days before the due date of these items.	Company	Automated Reminders
SES-255028 (4.1)	Design: IR Activity Report	Agency, policy, and support users with detail level access will have access to an IR Insight tab for each SA. This will allow users to quick and easily identify IRs in different statuses and those that require attention and response from the company.	Agency	Information Requests
SES-241728 (4.1)	Agency, SU & PU: SA tab to display scope type and Structure	Agency, policy, and support users will have access to additional filters related to SAs.	Agency	Scope
SES-222528 (4.1)	SA: Agency- IR Response Activity Report	Agency users will have access to an IR activity report for their SAs in the system.	Agency	Reports
SES-253629 (4.2)	Design Ticket: Agency user viewing existing Findings when associating Findings	Agency users can search for existing findings on a SA when adding or associating findings on a SA.	Agency	Findings
SES-220930 (4.3)	Agency: Agency User's record will display current workload and skillset	Agency, policy, and support users will be able to view the current workload and examiner history of users in an agency.	Agency	Workload Report
SES-193328 (4.1)	Report: Policy User Roster Report & Policy User Activity	The operations roster and activity reports will include information on policy users.	Support Users	Operations Reports