SES Release Notes

Release Name: *Kansas*

Release Date: May 9, 2020

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

Overview

Several new functionality and system enhancements have been included in this *Kansas* release of the State Examination System ("SES"). These release notes pertain to the Examination and Investigation Supervisory Activities (referred herein as "SA"). Major developments in this release of SES will include SA view access for policy users, the introduction of a coordinator role for companies, modifications to homepages, and user management. Several enhancements were made for agency users that improve how procedures are assigned, worked and reviewed when conducting the SA.

I. Agency Users

A. Conducting the Supervisory Activity: The *Kansas* release of SES introduces several enhancements pertaining to conducting the SA. Several of these enhancements came from money transmitter examiners and have been put in place for a smoother examination process for agency participants on an exam experience working with procedures. In the *Kansas* release, examiners will be able to add findings directly to a procedure, in addition to the existing method. The EIC will have the ability to assign procedures in bulk to examiners on the SA, in addition to assigning out individual procedures to their exam team. Additionally, users will be able to toggle between a review mode and standard mode when reviewing the procedures on a SA, making it easier to review completed procedures from a single screen. Agency users are also able to now add business types to the scope. A limitation was also set to the number of users who can bulk download SA documents at a single time. The bulk download of documents function was optimized for better performance, and to ensure continued performance a limit of 10 concurrent users was established for this feature. In cases where more than 10 users attempt to perform this function simultaneously, the 11th user will be notified to download at a later time. For the closure of the SA, in addition to the EIC entering and closing the SA, the *Kansas* release now allows Staff Users to enter and update this form.

B. Supervisory Activity Access: In the *Kansas* release, several additions were made for policy users and their experience in SES. The policy user role is a support role created for internal (CSBS) staff who support multi-state supervision. Policy users will have a custom homepage and will be able to search and view users in SES and have in-sight into Supervisory Activities. Policy users can access supervisory activities details only if granted access by an agency. In this release, policy users can request access to a single or multi-state SA. These users will have detail level access to SAs for which they have been granted access for. Once the agency grants access, policy users can view the final version of the report and the company's response to that report. Similar to agency users requesting, the agencies will have autonomy in granting access to policy users for SAs on which they were a lead or a participating agency.

C. Enhancements for Agency Users: Several smaller enhancements were made to provide agency users a richer experience. Modifications were made to the homepages, design changes were made to include indicators, additional email notifications were added, and other visuals have been put in place for a smoother SA completion process.

II. Company Users

A. Coordinator: In the *Kansas* release, companies have an additional role that can be added to a SA, known as the coordinator role. This role has a higher set of permissions than the contributors but will not be able to transmit materials to the agency, those permissions will remain with the company lead. This role was added at the suggestion of company users to establish a more defined hierarchy when appropriate. Feedback from company lead users was that they wanted an additional role to sit between themselves and contributors so that the role could manage the day-to-day affairs of a supervisory activity, leaving the company lead free to sign off and transmit responses back to the agency(s).

B. Enhancements for Company Users: The third-party user homepages were given additional features on the homepages and SA tabs. The company users that have affiliation with multiple companies will also see the company name for the different grids on the SA. Additionally, companies will have the option to add an additional email address to their company's profile. The system will send key notifications to this email address in addition to the users who are assigned specific tasks for SAs. This is the ensure that key tasks, such as the notification of a new SA, are able to be sent to more than one user and therefore not missed by the company. Company account administrators can add this additional email address, such as a company distribution list, from their company profile.

III. System Wide Improvements

A. Miscellaneous System Enhancements: Other system wide enhancements include a system-wide homepage notification feature that can be used by support users to notify all users in the system of important news and information. This release also adds a time zone tool tip, notifying users that when they enter a time field the time is in their own time zone. Additionally, the system policies will also be available for all users in the system and other general improvements include hover text, changes to buttons, and display updates were introduced in the *Kansas* release.

B. Document Retention: The system's document and data retention policy will go into effect with this release systemwide. Two categories have been identified for document retention pertaining to SAs. Category A encompasses all documents uploaded by the agency, the company's response to the report and all supporting documents included in the report and any company responses to Matters Requiring attention (MRAs). Per the policy, all documents in this category can be download for up to six years after a SA is closed or cancelled or after the last MRA is closed, whichever is later. Category B includes all documents that have been uploaded by the company except the company documents included in Category A. The Kansas release will enact this policy, and this will be applied retroactively to all existing SAs in the system.

Ticket No	Title	Description	Context (User)	Feature
Conducting the Supervisory Activity				
SES-422 (12)	System Notifications/Reminders for Scheduled SAs	An EIC or scheduled of a SA will be reminded of scheduled SAs. The system will send an email to these users of scheduled SAs on the first day of the target start month.	Agency	Scheduling
SES-1058 (12)	Back to Queue Button - Scheduling Module	Staff user and staff directors will have the option to add additional companies to exam scheduling once an initial decision has been made.	Agency	Scheduling
SES-1103 (12)	SA Tab - Make SA ID Open in New Tab	This enhancement links the SA to open into a new tab from the SA tab.	All	SA Tab
SES-1569 (12)	Open Close Out Form to Staff Users to Enter and Update	This enhancement allows staff users of the lead agency to enter and update the close out form of a SA in addition to the EIC.	Agency	Close-Out
SES-1677 (12)	Summary Tab to include Document Retention Policy	The summary tab of a SA will include the document retention policy once the SA is closed or cancelled. The user will see messaging related to the document retention policy and present the date after which the documents will no longer be available.	Agency	Document Retention
SES-1691 (12)	Bulk Download: Limitations	The system will have a size limitation of 50GB for bulk downloading of the SA documents. Additionally, the system will only allow 10 users at a time to bulk download the SA. The 11th user will be presented with a warning message to bulk download later.	Agency	Bulk Download
SES-1676 (12)	Review Mode for Procedures	This enhancement allows agency users to view the procedures in a review mode which offers more details of procedures than the default procedure grid which displays an overview of the procedures.	Agency	Procedures
SES-1675 (12)	Adding Findings to Procedures	Previously, there was a separate section devoted to findings, with this enhancement, an active participant on a SA can now also add findings directly to a procedure.	Agency	Findings
SES-1674 (12)	Design Requirement for Examination Grids (Review Summary, Procedures, Findings)	This enhancement changed the grids on the examination tab including the review summary grid, procedures tab and findings tab. The non-essential fields were replaced with fields that displayed progress, indicator and other important data points to understand the SA progress overall.	Agency	Examination Tab Design
SES-1673 (12)	Procedures: Bulk Assignment	This enhancement allows for the EIC on a SA to bulk assign procedures to active participants on a SA. The EIC is now able to bulk assign procedures from both the plan tab and the Examination/Investigation tab.	Agency	Procedures
SES-1668 (12)	Auto-Response for Information Requests	This functionality only pertains to the training environment and was built only for training purposes. The training moderator can send automated response to those Information Requests that have been sent to the company for a SA.	Agency	Training: Auto-Responses of IRs

SES-1665 (12)	Agency: Email Notification for MRA Review Assignment for SA	This enhancement sends an email notification to the assigned reviewer of a matter requiring attention (MRA) when they are assigned or when the review assignment is cancelled.	Agency	Matter Requiring Attention (MRA)
SES-1601 (12)	Agency: Report Commentary-Indicator for Attachments	An indicator will be presented if documents were attached to the report commentary.	Agency	Report
SES-1570 (12)	Ability to Add New Business Type After Scope is Complete	This enhancement allows the EIC and examiner reviewer to add new business types to the scope once the scope is complete. The users can only add new business types and removal is not allowed at this stage.	Agency	Scope
SES-1507 (12)	IR: Company Internal Due Date Validation + Warning Against Agency Due Date	The system presents a warning message when the company lead is assigning internal due dates.	Company	Information Requests
SES-1474 (12)	Agency: Displaying User Who Closes & Locks SA	The user who closes and locks the SA will be presented as detail level data.	Agency	Close & Lock
SES-1401 (12)	Past Due Internal Due Date on IR	The system will no longer validate the company's internal due date against the agency's due date and instead present the user with a warning message.	Company	Information Requests
SES-1175 (12)	Exit Meeting: Subject Line	The EIC can add a subject line to the exit meeting form.	Agency	Exit Meeting
		Supervisory Activity: Access		
SES-960 (12)	Policy User: Request Access to a Single State- Supervisory Activity	A policy user can request access to an agency's single state SA.	Policy	Access
SES-970 (12)	Accept/Reject Access Request to a Single State Supervisory Activity for a Policy User	An agency staff user or staff director can reject a policy user's request to access a SA.	Policy User	Access
SES-1538 (12)	Policy User: Access to All Reports	The policy users will have access to the join request, access request and complaints access reports similar to the agency staff directors and staff users.	Policy	Access
SES-1643 (12)	Adding Remove Agency Access Button on the Access Report: SA and Complaints	This enhancement allows a staff director/staff user to remove an agency's access from the "My Agency's Decision" tab.	Agency	Access

SES-1508 (12)	Adding SA ID on Join Request + Access Request	This enhancement allows for the addition of the SA ID on the access and join request reports.	Agency	Access
SES-1343 (12)	Multi-State: Policy User Request Access	Policy users can request to view a multi-state SA.	Policy	Multi-State Access
SES-1345 (12)	Multi-State: Remove Policy User SA Access	The agency staff directors and staff users of the lead and participating agencies can remove a policy user's access to a multi-state SA.	Policy	Multi-State Access
SES-1344 (12)	Multi-State: Accept/Reject Request to View From Policy User	The agency staff directors and staff users of the lead and participating agencies can accept or reject a policy user's request to access a multi-state SA.	Policy	Multi-State Access
SES-972 (12)	Viewer Access- Permissions- Policy User	This ticket states the permissions policy users have when viewing a SA. Similar to agency users, policy users can see all on screen data but can only download the final report and the response to the report. The user can also view all the users who have access to the SA.	Policy	Access Permissions
SES-971 (12)	Remove Access to a Supervisory Activity for a Policy User	A policy user's access to a single state SA can be removed by the staff user or staff director of the lead agency.	Policy	Single State Access
		Miscellaneous Enhancements		
SES-1384 (10)	Document Retention: Six Years - Category A	The category A document retention policy of six years includes all the documents in the system that have been uploaded by the agency, the company's response to the Report including any supporting document as well as all MRA responses that have been sent by the company. This policy is applied to each SA once it has been closed or canceled.	Agency, Company and Policy	Document Retention
SES-1581 (11)	Document Retention: Six Year Category A (Not applicable when there are open MRAs)	This enhancement was put in place to take into consideration that the document retention policy will not be applied to closed Supervisory Activities if there are open MRAs. Thus, the retention period begins at the later of the date the SA is closed or canceled or the date the last MRA is closed.	Agency, Company, and Policy	Document Retention
SES-1385 (10)	Document Retention: 90 Days Category B	The category B documents retention policy of 90 days includes all the documents in the system that have been uploaded by the company except those documents identified in category A.	Agency, Company, and Policy	Document Retention
SES-958 (12)	Policy User: Homepage	Policy users will have customized homepages that are similar to the agency users.	Policy	Homepage
SES-1642 (12)	Library: Phrase Search	This enhancement allows for users who have access to the library to search for phrases throughout the library.	Agency	Library

SES-1612	Company: Coordinator Role on SA	The company lead can add a coordinator as a participant on a SA. The coordinator will have additional permissions and actions than the contributor role on the SA and cannot transmit items to the agency, that permissions will remain with the Company Lead.	Company	User Management
SES-1611 (12)	Company Lead must Display on Summary Tab	The company name will display on the summary tab of the SA will be linked to the user's profile.	Company	Summary Level Data
SES-1610 (12)	Ability to Create Custom Bulletins or Alerts for all SES Users	The global support user with an administrator role can add bulletin alerts for all or selected users in the system.	All	Bulletin Alerts
SES-1608 (12)	Policy User: SA Tab	The policy user will have access to the SA tab similar to agency users.	Policy	SA Tab
SES-1696 (12)	Policy User SA Tab (addition of Upcoming SAs)	The policy user's SA tab will also include a quick filter to include upcoming SAs which will display those SAs scheduled for this month and the following month.	Policy	SA Tab
SES-1604 (12)	Third Party User: SA Tab	The third-party users will have access to the SA tab but will only see the SA's for which they are a participant on.	Third Party	SA Tab
SES-1476 (12)	Third Party User Homepage Additions: Including IRs	This enhancement adds more features to the third-party user's homepage, giving the user more insight into assigned Information Requests.	Third Party	Homepage
SES-1461 (12)	Company: Groups on Company Users Dashboard	The users who can view the list of company users will now also be able to view all the user groups those company users are in on the company user dashboard.	Company	User Management
SES-1458 (12)	Agency: Groups on Agency Users Dashboard	The users who can view a list of agency users will now be able to view all the user groups those agency users are in on the agency user dashboard.	Agency	User Management
SES-1136 (12)	Global Change: Time Zone	This enhancement will add a tool tip to all the time selection in the system, letting the user know that the time selected will be in the user's own time zone.	All	Tool Tip
SES-1120	Adding Company Name to Homepage - Multiple Companies	Those users who are affiliated with multiple companies will see the company field on the homepage.	Company	Homepage
SES-1659 (12)	Company: Adding a Generic Email Address to Record Page	The company account admins have the option of adding a generic email address to their company's profile. In addition to the SA contact and Complaints contact receiving task emails this email address will also receive email notifications.	Company	Notifications
SES-1692 (12)	CRM link on System Policies Tab	The system policy tab for users will include a link to the CRM portal for additional information.	All	System Policies