SES Release Notes

Release Name: *New Hampshire*

Release Date: August 1, 2020

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

<u>Overview</u>

Several new functionality and system enhancements have been included in this *New Hampshire* release of the State Examination System (“SES”). These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as “SA”). Major developments in this release will include:

I. Agency Users

A. Loan Requests: A significant, new functionality set in the New Hampshire release is the loan request and loan review process. Agency users can send individual loan request or upload loan requests they would like to review from the company. Agency users have access to a dashboard which will show the milestones of all loan requests and their status. Users have the ability to assign loan requests to other participants on the SA. Company users complete loan requests in a manner similar to information requests (IRs). More information about the company-facing functionality of this feature set is below.

B. Document Retention: The document retention function was previously introduced to documents on SAs, but users requested the ability to suspend temporarily the document retention timelines, for investigation or discovery purposes. In the New Hampshire release, users now have the option to suspend the document retention schedule on a SA when the SA is being closed and locked. The agency users will also be able to reapply the document retention schedule for those SAs for which the schedule was suspended. In order make sure agencies are keeping track of the retention schedule in SES, users have access to a report of documents that are approaching the end of the retention period and are close to being permanently deleted from the system. Agencies also receive a monthly reminder email about the SAs for which document retention has been suspended.

C. Confirming the Report of Examination Before Sending to a Company: Enhancements have been made to ensure the users who are reviewing and sending the report to the company are confirming that they are transmitting the final version of the report. This functionality also gives the package assembler the ability to upload the final version of the report after the primary review and or Examiner in Charge (EIC).

II. Company Users

A. Loan Requests: The loan request process and workflow are also available for company users on SAs. The users on a SA are able to access the loan dashboard and respond to those requests sent by the agencies. Users are able to easily view the loan request they receive and add files and related responses to such requests. Responding to loan requests is similar in structure and concept to responding to IRs (i.e., each request is a unique item in the system allowing for a more organized exchange of loan records from a company to a regulator).

Company Repository (SWIFT!) beta: A feature that allows a company to manage responses to common information request items will be released on a beta basis in the New Hampshire release. Certain companies included in beta testing will have access to this feature set. For companies in the beta group, this feature will appear on the main level menu. For all others, the feature will not appear until the beta period concludes.

III. System-Wide Improvements

A. Miscellaneous System Enhancements: Several system-wide enhancements have been made for users, including additional notifications and changes to the homepages for an improved user experience. Agency users will now be able to view previous and pending company on-boarding requests. In regard to exam scheduling, the two schedule methods previously in the system have been combined to so that users have access to more data and information on companies when completing exam scheduling. In this release, agency users will also be able to upload multiple documents in the library for information requests and procedures. Additionally, more scopes types have been added to the system or SAs.

IV. Consumer Complaints

A. Enhancements: Several enhancements have been made to the consumer complaints functionality as part of the New Hampshire release. Major Changes include the addition of new initiation and closure reasons, such as referral to a federal agency. The closure reasons for preliminary evaluation and the closure form are also consistent, and several additional reasons have been added. Agencies are also able to bulk update the due date for IRs sent to companies. The documents added to a Non-NMLS Entity discussion board will have a six-year document retention timeframe in accordance with the SES Document Retention Policy. Finally, agency users can now add append notes to closed complaints. For company users, reassignment of the subject point of contact (POC) was implemented in this release.

Ticket No	Title	Description	Context (User)	Feature
		Loan Requests		
SES-1706 (13)	Agency: EIC send Loan Request to the company	The active EIC on the SA can send loan requests to the company before the report is sent.	Agency	Loan Requests
SES-1707 (13)	Company Add and Update Loan Request Response	A company participant on a SA can add and update a response to a loan request that has been sent by the agency.	Company	Loan Requests
SES-1708 (13)	Company: Assign/Reassign Loan Requests to Participants	An active company lead or coordinator on a SA can assign or reassign loan requests to participants on a SA either by bulk or individually.	Company	Loan Requests
SES-1712 (13)	Review Mode: Loan Requests	Agency participants with detail level access to the SA have access to review modes and can customize the data points displayed on review mode.	Agency	Loan Requests
SES-1718 (13)	Agency: Cancel Loan Request	An EIC on the SA can cancel a loan request that has been sent to the company, but to which has not been responded.	Agency	Loan Requests
SES-1717 (13)	Agency: Update loan Requests	An active agency participant can update a loan request that is in ready to send status.	Agency	Loan Requests
SES-1716 (13)	EIC: Bulk Notifications for Loan Request Responses	When the active EIC sends loan requests to the company for the first time, the user can choose to receive notifications when the company responds.	Agency	Loan Requests
SES-1715 (13)	Company Lead Responding to Loan Request	The active company lead on a SA can respond to a loan request before the report is sent or before the agency marks the request as complete.	Company	Loan Requests
SES-1713 (13)	Close out form: Loan Requests	The total number of loan request responses marked completed will display on the SA closeout form.	Agency	Loan Requests
SES-1719 (13)	Company Loan Request Response (Roundtripping)	When responding to loan requests, a company user will be taken to the full list of requests in order to efficiently respond to the requests.	Company	Loan Requests
SES-1710 (13)	Agency: EIC assigns loan request responses (bulk and single assign)	The EIC can bulk assign or assign/reassign individual loan requests to participants on the SA.	Agency	Loan Requests
SES-1705 (13)	Agency: Upload loan Requests	An active participant on a SA can upload loan requests for the company. The user is provided with a template document to use for this upload.	Agency	Loan Requests
SES-1749 (13)	Company sending loan request responses to Agency (bulk)	The company lead can send loan request responses in bulk to the agency before the report is sent.	Company	Loan Requests
SES-1767 (13)	Agency: Adding Individual Loan Requests	An active agency participant can add a loan request to the SA.	Agency	Loan Requests

SES-1842 (14)	Agency: Changes to required fields for loan requests	A change was made to limit the number of data points that are required when an agency user adds loan request.	Agency	Loan Requests
SES-1709 (13)	Agency Reviews Loan Request Response	An active company participant on a SA can review the loan request response that has been sent by the company. The user is able to add specific data points to the review and mark the response as complete.	Agency	Loan Requests
SES-1776 (14)	Agency & Company: Loan Request Dashboards	Agency and company users have access to a customized loan request dashboard, which presents the users with quick summaries of loan requests on a SA.	Agency & company	Loan Requests Dashboard
SES-1775 (14)	Agency: Loan requests cannot be sent if IRs have not been transmitted	For all SAs, an agency user cannot transmit loan requests to a company if the IRs have not been transmitted and a company lead has not been assigned.	Agency	Loan Requests
		Company Repository: SWIFT! (beta)		
SES-1770 (14)	Company: Add/Manage Repository	Company users with the leader roles can add and manage standard IRs for their own company's repository.	Company	Management
SES-1772 (14)	Company Repository: Association of IR Responses	An active company participant can choose to associate IR responses from the company repository when responding to IRs for the first time.	Company	Information Requests
SES-1771 (14)	Company Repository Permissions	A company user with a leader role can manage the company repository known as SWIFT! The policy users and support users are only able to view the company repository.	Company, Policy & Support	Access
		Document Retention		
SES-1799 (14)	SA: Suspend Document Retention (Before Closing SA)	A user with the ability to close & lock a SA has the ability to suspend documents retention for the documents related to that particular SA.	Agency	Document Retention
SES-1827 (14)	SA: Resume Document Retention	An agency staff director or staff user of the lead agency can resume document retention on a SA for which document retention has been suspended.	Agency	Document Retention
SES-1798 (14)	Document Retention and suspension Report	An agency staff user or director of the lead agency can generate a report for SAs that are approaching the document retention timeline and a report for those SAs for which retention has been suspended.	Agency	Document Retention Report

Miscellaneous Enhancements				
SES-1112 (13)	Findings: Update details shared with Company	The company users who have detail level access to the Supervisory Activity will be able to specific details of the Exit Meeting.	Agency	Findings
SES-1741 (13)	Information Request Grid: add Assignee as show column	The Information Request grid will display the assignees of Areas for Review (AFRs) for those AFRs have assignments.	Agency	Information Requests
SES-1730 (13)	Package Assembler uploading a new version of the report	This enhancement was developed in order to allow the package assembler to upload a new version of the report before or during the completion of the task.	Agency	Report Package
SES-1739 (13)	Company Lead receives notification for new IRs	The active company lead on a SA, must receive a notification every time a new Information Request is sent after the initial transmission of IRs. If there in an instance where the company lead is not assigned, the system must notify the SA Contact and the additional emails listed on the company record.	Company	Information Requests
SES-995 (13)	Confirmation Message to the user who creates a new user	When a user creates another user in SES, the user is presented with a message that they user have received an email about their account.	All	User Management
SES-1720 (13)	Company: Adding File Share Link to SA IR Responses	A company user can add a file share link when responding to IRs. This is to accommodate users who use file share sites for documents and to accommodate for large files.	Company	Information Requests
SES-1723 (13)	Remove Current Roles column for removed users	The current roles column will be removed for those users who have been removed from the system.	All	User Management
SES-1745 (13)	EIC, Primary Reviewer & package assembler Verify final Report	The EIC, primary review and package assembler must confirm the final version of the report before it is sent to the company. This functionality was built to ensure that the agency has an extra check on the transmission of the report that is being received by the company.	Agency	Report
SES-1171 (13)	Exam Scheduling: MRA Indicator	When an agency user is conducting exam scheduling for companies the user is able to see if the company has any open MRAs across all closed SAs in the system.	Agency	Exam Scheduling
SES-1124 (13)	Company: Adding Lead Agency to Notifications	This is a global change ticket across the system. When a company user on a SA receives a notification from SES the notification must include the agency code.	Company	Notifications
SES-1787 (14)	Exporting Procedures	An EIC on a Supervisory Activity can export procedures at any time for a SA.	Agency	Procedures
SES-1183 (14)	Associating Scope Type to IRs on SAs	The system will auto-add IRs associated to the scope type selected once the scope is marked complete for a Supervisory Activity.	Agency	Information Requests
SES-1765 (14)	Adding Scope Type to Library for IRs	An agency staff user or staff director can associate and manage agency specific IR to a scope type for the library. Additionally, the policy or global support users can associate and manage scope type for standard IRs in the library.	Agency, Policy & support	Information Requests

SES-1812 (14)	Multiple Doc Uploads Per IR - Library	An agency user with the ability to manage the standard and agency library is able to download a maximum of 10 documents per each IR.	Agency	Library
SES-1794 (14)	Bulk Update IR Due Date	A change has been made to allow the EIC to update the due date of IRs in bulk rather than individually updating the due date for those that have been sent to the company.	Agency	Information Requests
SES-1785 (14)	Multiple Doc Uploads Per Procedure - Library	An agency user who can manage the library can upload a maximum of 10 documents per procedure.	Agency	Library
SES-1782 (14)	Associating Scope Type to Procedures on SAs	The system will auto-add procedures associated with the scope type selected at initiation once the SA has moved to in-flight.	Agency	Procedures
SES-1780 (14)	Adding Scope Type to Library for Procedures	The agency staff user or staff director can associate and manage the agency specific procedures to scope types. The policy or global support users can associate and manage the scope type for standard procedures.	Agency, Support & Policy	Procedures
SES-1779 (14)	Support & Policy users cannot view file share links	The support users and policy users in SES cannot view the file share links added in the system. These users will only see the existence of such links.	Support & Policy	File Share Links
SES-1777 (14)	Exam Scheduling Updates	This enhancement consolidates the risk and cycle-based scheduling methods for agencies.	Agency	Exam Scheduling
SES-1746 (14)	Company: Company Lead gets notification of returned IRs	In addition to the assignee of an IR, the company lead will also be notified of returned IRs from the company.	Company	Information Requests
SES-1843 (14)	SA: Additional Scope Types	In addition to the existing scope types, two more scope types were added to SAs.	Agency	Scope
SES-1744 (13)	Agency can view previous company on-boarding requests	When an agency user initiates an onboarding request for a company user, the user is presented with all prior and outstanding onboarding attempts all agencies have submitted on that company.	Agency	Company on-boarding
SES-1768 (14)	Related Entities: Ability to Add Multiple Branch Locations	An agency user can select branches in all states or their own states for a company.	Agency	Branch selection
SES-1764 (14)	Library: Scope Type filter for IRs and Procedures	A user with access to the library can filter by scope type for IRs and procedures.	Agency, Support & Policy	Scope Type
SES-1763 (14)	Design Ticket: Review Decisions/Final Buttons for the Report	A design change has been made for the reviewing of the report which makes the process more intuitive and user friendly.	Agency	Report

Complaints				
SES-1755 (13)	Complaint: Adding company name to Intake Form (complaint on an individual)	When an agency user enters a complaint on an individual and enters the NMLS ID of the company, the system will auto-populate the name of the company.	Agency	Intake Form
SES-1740 (13)	Complaints: Company POC receives notifications of new IRs	The active Subject POC for a complaint will receive a notification every time new IRs have been transmitted from the agency. If the Subject POC is not assigned, then the Complaints Contact and additional email address for the company will receive the notification.	Company	Information Requests
SES-1732 (13)	Complaints: Reassigning Subject POC	The company admin, company complaints contact, or active subject POC on a complaint has the ability to reassign the Subject POC for a complaint.	Company	Complaint Management
SES-1725 (13)	Complaint: Consumer Details Restricted Indicator	A complaints user of the owning agency is able to see if their agency restricted the consumer details on the complaint for other users.	Agency	Permissions
SES-1722 (13)	Complaints: Auto Response for Information Requests	This ticket applies to the training environment and only to those Complaints in Training. The training moderator, I can send auto-responses to Complaints IRs in the agency status "sent to company".	Agency	Training Requirement
SES-1721 (13)	Complaints: Adding File Share Link to Complaints IR Response	An active company complaints user can add a file share link when responding to IRs. This is to ensure the company is able to send large files for particular responses.	Company	Information Request
SES-1697 (13)	Non-NMLS Entity: Document Retention	An agency complaints user can download, and preview documents related to Non-NMLS Entities for a period of six years.	Agency	Non-NMLS Entity
SES-1556 (13)	Has Discussions Filter & Indicator for Non-NMLS Entities	A filter has been added to the Non-NMLS Entity grid to indicated if the entity has a discussion post.	Agency	Non-NMLS Entity
SES-1820 (14)	Agency: Complaints Bulk Update IR Due Date	This change allows an agency complaints POC to update the due date of IRs in bulk rather than individually updating each due date for those that been sent to the company.	Agency	Information Requests
SES-1809 (14)	Complaint: Adding Append notes to closed Complaint	An agency complaints user can add append notes to a closed complaint for their agency.	Agency	Close Out
SES-1807 (14)	Complaints: Combining and Adding Prelim. Eval and Closeout Closure reasons	The closure reasons on the preliminary evaluation and closure form are now consistent and additional reasons have been added.	Agency	Close Out
SES-1803 (14)	Complaints: Adding Federal Agency on Close out	A complaints user can choose if a complaint is referred to a federal agency and the user is presented with a list of federal agencies.	Agency	Close Out
SES-1802 (14)	Complaints: Adding Referred by Federal Agency on the Intake Form	A complaints user initiating a complaint can choose if a complaint if referred by a federal agency and the user is presented with a list of federal agencies.	Agency	Initiation

SES-1756 (14)	Complaints: Subject POC gets notification of returned IRs	The subject POC in addition to the assignee on an IR must receive a notification when IRs are returned back from the agency.	Company	Information Requests
SES-1731 (14)	Subject of Complaint on Home Page	With this enhancement, the subject of a complaint is listed on the company homepage. This is to identify whether the complaint was on the company itself, a branch, or an individual at the company.	Company	Homepage