STATE EXAMINATION SYSTEM

SES Release Notes # Release Name: Ohio ### Release Date: June 14, 2021
The purpose of these release notes is to provide a summary of SES functionality and system enhancements included in the Ohio Release.

<u>Overview</u>

Several new features and system enhancements have been included in the Ohio 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. This SES release has several enhancements related to conducting the SA, managing complaints, and dashboards. Additionally, several enhancements have been made throughout the system for a richer user experience.

I.   **Agency Users**

A.   <u>Dashboards, Filters, and Reports:</u> Several enhancements have been made to the agency users' homepages such as displaying only access and join request information for which the user can take actions on; and removing excess information from the areas for review (AFR) for closed SAs. For the join request reports, users will now be able to view the full decision comments for rejected SAs within the report in addition to viewing the comments in emails. Finally, related to dashboards, users will be able to view the full list of participating agencies on the summary tab for a multistate SA. The SA report for SAs coming up in the next 12 months will now include a breakdown by business types for onsite and offsite SAs to help agency users look ahead to examinations that will take place in the future.

B.   <u>Conducting the SA:</u> Agency users will have access to several functionalities to improve the work and efficiency of SAs they will be conducting. Agency users will have several capabilities around the transmission and work of IRs in the system. Users will be able to send reminders to the company of outstanding IRs that require responses, and the system will maintain a history of reminders that are sent. Participants on a SA can now search for IRs on an additional tab known as the "IR Response Search" tab. Further, users can use the grid on this tab to mark items as quick look complete. The ability to see company responses, the attachments and search capabilities from a single tab will reduce extra navigations and steps for agency users and allow them to quickly review the IR responses. For ease of use and navigation, this search function will also be made available from the procedures tab for agency users who would like quick access to the IR responses.

With the Ohio Release, agency users will have additional functionality related to Findings on a SA. Users will be able to associate findings with loan requests and vice versa. If a SA is a multistate SA, findings can now be classified to either the full SA, which will mean it is applicable to the lead and all participating agencies or users will have the ability to classify a finding to one or more participating agencies on the SA. This release will also give the agency users the ability to delete findings that are not applicable to an SA. On multistate SAs, each participating agency can now designate an 'agency lead' person to reflect the individual responsible for coordinating their agency's work on that SA.

C. <u>Consumer Complaints:</u> The Ohio Release will introduce several functionalities for agency complaints users to update the details of consumer complaints easily and quickly. For all open complaints in the system, agency users will be able to update the subject of the complaint. If an instance occurs in which the complaint has been closed for one year or less, agencies will be able to reopen the complaint, make updates, transmit material to the company and accurately update the complaint. Additional enhancements in this release for agency users include improvements to homepages, search capabilities, and additional filters throughout the system.

D. <u>System-wide Enhancements:</u> This release will also include enhancements to improve the user experience when conducting SAs in SES. These improvements include reducing the number of clicks, improved navigations, addition of warning message and removal of duplicative instruction text. The notifications users receive from the system have also evolved to better inform agencies of activity in the system.

II.   **Company Users**

A. <u>System-wide Enhancements:</u> Several enhancements for company users will be available in the Ohio Release. When the first company user is completing enrollment, the user will be presented with any outstanding tasks the company has received from agencies. This is to ensure that in addition to completing enrollment and assigning the SA and Complaints contacts, the user is also made aware of any tasks to assign the company lead or company point of contact (POC) for transmitted SAs or complaints. Additionally, company users will be able to view the enrollment reminder history on SAs which the agency has transmitted. This will display to company users the number of times and audit history of enrollment reminders that agencies have sent. Within SAs and consumer complaints the names of the company lead and POC will be displayed when users are sending any IR items for review.

The user management experience will be made easier for company users. The company administrators who can create or update users for their company will see text and definitions of the types of roles SES users can hold to determine the best roles that should be given to colleagues. Finally, new notifications throughout the system for company users have been added and previous notifications have been updated for company users.

#	Title	Description	Context (User)	Feature
Dashboard, Filters & Reports				
SES-2330 22(2.1)	Agency: Displaying Access/Join information for SD/SU	The homepages of the agency users will only show those join and access items on which the user and their agency can take actions on.	Agency	Homepage
SES-2222 22(2.1)	Agency: AFRs removed for closed SAs on homepage and notification or completed AFRs	On the homepage of agency users, AFR information for open SAs will be displayed and they system will remove AFR information for closed SA that are no longer require actions.	Agency	Homepage
SES-2415 24 (2.3)	Agency: Viewing comments on Join Request report	The agency users with access to the join request report for their agency can view the full decision comments of a join request.	Agency	Reports
SES-2328 23(2.2)	Agency: SA Reports - Display Coming up in next 12 months by business type	The agency users with access to SA reports for their agency can now view SAs coming up in the next 12 months based on the business type breakdown in addition to breakdown by location (onsite/offsite).	Agency	Reports
SES-2385 24(2.3)	Agency: Showing all participating agencies	For multistate SAs, the summary tab will display the full list of participating agencies.	Agency	Dashboard
Conducting the SA				
SES 2178 22(2.1)	Agency: IR Response Text Filter	The agency users with detail level access to SAs and Complaints will have access to an IR response search filter.	Agency	Information Requests
SES-2348 23(2.2)	Dev Ticket: Spike: Agency User searching within IR Responses (SA side only)	The agency participants on a SA, will have access to an additional search tab which will give a detail overview of company responses to IRs. This tab will be accessible on the IR and procedures tab.	Agency	Information Requests & Procedures
SES-2342 23(2.2)	Agency: Classify a Finding to an agency	The agency participants on a SA will be able to classify a finding to an agency in a multistate SA. The users can either select the finding to be at the SA level or select one or more participating agencies to connect the finding with.	Agency	Findings
SES-2327 23(2.2)	Agency: EIC Deleting Findings	The Examiner in Charge (EIC) of a SA can now delete a finding from the SA at any time before the SA is closed. If the finding was shared, the company lead will receive a notification of the deletion.	Agency	Findings
SES-2374 24(2.3)	Agency: Associating a Finding to a loan request	The agency users on a SA will be able to associate findings to a loan request and vice versa when working a loan request or when adding a finding on the examination tab.	Agency	Findings
SES-2340 23(2.2)	Agency: Close & Lock Checklist	The close and lock checked has been updated to clearly identify the users who can take specific actions to close a SA.	Agency	Close & lock
SES-2052 23(2.2)	Agency: One-click IR and Loan Request reminder to company for SA (Bulk)	The EIC for a SA will be able to send one-click reminders to the company for any IRs and loan requests that have not been responded to by the company. The system will capture the history of the reminders that are sent by the agency.	Agency	Notifications

SES-2006 23(2.2)	Agency: Sending Closure Documents to the Company at close & lock	Agency users who can close & lock a SA will be able to send documents to the company at closure. This will be the final transmission of documents the company will receive related to the SA.	Agency	Close & Lock
Consumer Complaints				
SES-2326 22(2.1)	Agency & Company Complaints Tab: to Show "Reopened" status	The reopened filter will be available to those users who have access to complaints filters.	Agency	Reopen complaint
SES-2257 22(2.1)	Complaints: Agency Homepage to display Access/Referral Information	The complaints homepage for users will display pending access and referral information requested by other agencies that the user's agency is required to take actions on.	Agency	Dashboard & Filters
SES-1801 22(2.1)	Complaints: Reopen a closed Complaint	Agency users with the ability to manage complaints will be able to reopen closed complaints and continue work on these complaints.	Agency	Complaints Management
SES-2253 23(2.2)	Complaints: Agency - updating subject of complaint for ALL Subject types	Previously, the subject of a complaint could only be updated if the complaint were initiated on a non-NMLS entity. With this enhancement, all subject types can be updated at any time before IRs are transmitted to the company and before closure.	Agency	Complaints Management
SES-2185 23(2.2)	Design Ticket: Complaints - Display Related Actions buttons on IR tab	A design enhancement was made to improve the user experience for agency users on the IRs tab to display and make accessible related actions.	Agency	Information Requests
SES-2255 24(2.3)	Complaints: Company Search Tab - including Robust Search	The agency complaints users will be able to conduct a search for both known and unknown subjects from the company tab.	Agency	Company Search
SES-2152 24(2.3)	Complaints: Agency - Complaints tab - displaying Complainant Information	The agency complaints users, will be able to view and search for a complainant's name on the complaints tab for their agency.	Agency	Dashboard & Filters
SES-2118 24(2.3)	Complaints: Warning Message if tagging agency with no complaints users on discussion post	The agency complaints users will not be able to tag an agency that does not have any complaints users on a non-NMLS entity discussion post and the users will be presented with a warning message explaining why the agency cannot be tagged.	Agency	Non-NMLS Entity
System-wide Enhancements/Misc.				
SES-2329 22(2.1)	Company: Open tasks to display at the end of Enrollment	A company user who is enrolled by the agency will be able to view any outstanding tasks that the company has received for assignment of the company lead or complaints POC.	Company	Enrollment
SES-2181 22(2.1)	Company: Rename Send for Review to Send to Company Lead/POC	To create a better company user experience, the system will display the name of the company lead or company POC to participants each time an item is sent for review. This will inform the users who they are transmitting the review items to.	Company	System Text

ID	Title	Description	Audience	Category
SES-2289 24(2.3)	Add "Exact Start Date" text to Update Basic Details caption under SA Related Actions tab	The text for the related actions tab will be updated to include the addition of exact start date for the action to update basic details of a SA.	Agency	System Text
SES-2279 24(2.3)	Agency & Company: SA & Complaints Enrollment reminder history on IR Tab	The agency and company users with detail level access will be able to view the history of enrollment reminders sent to the company on the IR tab of the SA or complaints. The reminders will not be available after the company has completed enrollment.	Agency & Company	Enrollment
SES-2262 24(2.3)	Agency: Exam Scheduling - change "schedule single state"	A text improvement has been added to one of the exam scheduling decisions where the "schedule single state" will now be "schedule exam."	Agency	Exam Scheduling
SES-2073 23(2.2)	Spike: Exam Scheduling: Warning Message to User of Upcoming SAs on companies	When the agency staff users and directors conduct exam scheduling for their agencies, the users will be presented with a message to avoid overlapping examinations on the agency and to consider joining an existing exam.	Agency	Exam Scheduling
SES-2113 24(2.3)	Agency + Company: User Management System Text Improvements	When adding and managing agency and complaints users, the system will describe system level roles and groups so that the correct individuals at the agency or company will be place in the appropriate roles in SES.	Agency & Company	User Management
SES-2238 24(2.3)	Agency: SA - Participating agency designating state lead on multistate	The participating agencies of multistate SAs will be able to designate a state lead from their agencies and this representative will be identified for both agencies and companies.	Agency	User Management
SES-2056 24(2.3)	System text: Company: Assignment of IRs	The email notification a company participant receives for IR assignment has been improved.	Company	Notifications
SES-2421 24(2.3)	Company IR Assignment notification: individual IR to a company participant	The company participants on a SA will receive a notification when individual IRs are assigned to the user.	Company	Notifications
SES-1895 24(2.3)	Agency: Updating location from Basic details & increase character limit for acceptance	The agency users will be able to update the location of a SA from the basic details section in addition to the plan. Agency users reviewing access requests to SAs and Complaints will be able to add up to 4,000 characters for comments.	Agency	Access & basic details