SES Release Notes

Release Name: Tennessee

Release Date: February 7, 2022

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

<u>Overview</u>

Several new features and system enhancements have been included in the State Examination System ("SES") Tennessee Release. These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as "SA") and Consumer Complaints. The SES Tennessee 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: Several enhancements and design improvements have been made to the loan request workflow for agency users in the Tennessee release based on feedback from end users. Agency users will be able to quickly add Matters Requiring Attention (MRA) when working a loan request and adding a finding. These associations were created based on feedback that findings often lead to MRAs on a SA. The ability for the system to capture and maintain the associations of loan requests, findings and MRAs across the system for a SA will bring greater continuity to the currently separated parts of the supervision process. As a result of this enhancement, agency users will no longer be able to add a finding to a loan request that has not been transmitted to the company, to ensure that the company is not given access to incorrect information. Additionally, agency users will be able to bulk remove loan requests on SAs and quickly and easily associate findings and loan requests based on new design enhancements.

   Finally, agency users will be able to add additional information on individual loan requests once they are added or uploaded to the system. As a result, the loan request template will also be changed, and the Customer Information File (CIF) number and additional information fields will not be on the loan request template, but users can access these fields and add to them when updating or managing loan requests.

B. Matters Requiring Attention: To improve the visibility and continuity between different areas of the supervision workflow, the system will now allow agency users to associate MRAs to findings which can be related to loan requests. Agency users stated since findings from loan requests result in MRAs, it would be duplicative to re-enter a finding as an MRA. As a result, the system will now allow agency users to associate MRAs to findings when working a loan request, and loan requests to MRAs. When the MRA is transmitted the details of each item will be visible for company in a clear and understandable format.

C. Consumer Complaints: The complaints information request workflow was reevaluated, resulting in the elimination of unneeded steps when creating and transmitting Information Requests (IRs) to the company. The system will provide a better experience, allowing agency users to transmit IRs upon creation and eliminate the need to add IRs to the queue before sending. In this release, agency users who conduct exam scheduling will also have more insight into non-confidential SES complaints data on specific companies that are under consideration for future exams. This enhancement will also give all staff directors who do not have a complaints role in the system the viewer role, which can be updated by the account admin to a higher level of complaints permissions if appropriate. The agency users who already hold complaints roles will not see any changes to their role.

II. Company Users:

A. Information Requests: The Tennessee release will introduce several views and dashboards for companies to better manage the information request workflow. These enhancements will allow companies to organize and prioritize their supervision work. The first dashboard company users will have access to is the IR Response Search dashboard which will give users insight to responses that are sent to an agency. Users will be able to search for request text, response text, and file names. Users will also quickly access which response were sent with attachments and which responses were sent using quick response if the company is using that functionality. Additionally, users will be able to quickly view an agency's responses for items that require more attention.

   Another dashboard feature companies will have access to is IR Insights. This view will give company users the ability to quickly view the status of the SA's IRs, percentage of IRs sent back, number of past due IRs, and IRs that are due soon. By having a visual representation of the IRs and their progress, company users will be able to quickly prioritize work items that need to be sent to agencies. Furthermore, companies will be able to view additional metrics on their response per SA. These metrics include the percentage of IR responses that were sent to the agency on time, number of IR responses that required multiple attempts, those that used quick response and the average number of days the company took to respond. These metrics can help companies improve on their IR responses for future SAs.

B. Matters Requiring Attention: Company users will see changes on the MRA workflow as well. When an agency transmits MRAs with associated findings or loan requests, company users will have visibility into the associations and work items so that they can accurately address the MRA at hand. Both agencies and companies conveyed that the requirement to address MRAs sent with the report are not readily apparent to company users when the report is transmitted. As a result, an enhancement was put in place where the company lead can view and access the MRA tab from the response task. This will allow companies to address MRAs in a timely manner along with the report.

III. **System-wide Enhancements:** With the Tennessee Release, users will see several small changes across the system that will have a great impact on their day-to-day supervisory work. This release will include additional notifications for agency users related to access requests and workflows such as the plan assignment. These notifications will now include the company name, city, and state of the company.

With the Tennessee Release, company users will also receive additional notifications that will include the corresponding ID of IRs, loan requests, and MRAs as well as notifications when a SA item is modified. Companies will also receive a survey link along with the close & lock email notification. The survey will ask company users to reflect on their SES experience and provide feedback. The notifications for agency and company users were established based on feedback to ensure the right notification reaches the correct individuals. This will lead to more informed users and help ensure tasks are completed in a timely manner.

#	Title	Description	Context (User)	Feature
		Information Requests		
SES-2578 31 (5.1)	Company: Information Request Workflow Design Enhancements (SA Side)	The information request workflow for company users will have several design, text and workflow improvements. These include improved system text for related actions, access to a response search tab, an insights tab to better understand the status of IRs and allow ease of search for this workflow.	Company	Information Requests
SES-2535 31 (5.1)	Design: SA & Complaints IR workflow design changes (Agency)	The IR workflow for agency users has been improved for both SAs and complaints. The workflow to send complaint information requests to companies has been simplified. The staff users who are on SAs will have the same user experience as the EIC on a SA.	Agency	Information Requests
SES-2418 31 (5.1)	Design Ticket: Company lead sending back IR responses in bulk	The experience for company users sending back IRs will also be different for company leads, in that the users can send IRs that are in the "ready to send" status and in "review" status to the agency.	Company	Information Requests
SES-2593 32 (3.2)	Summary-level data: Viewing recent due date for IRs on summary tab (SA & Complaints)	The summary tab of SAs and Complaints will display the most recent or earliest due date of IRs.	All	Information Requests
SES-2582 32 (5.2)	Design: Company responding to IR redesign (SA side only)	The company participants on a SA will be able to indicate if the response to an IR is not applicable. When using this indication, users will not be able to enter a file share link, upload a document or restrict the response.	Company	Information Request
		Loan Requests		
SES-2588 31 (5.1)	Agency: Associate MRA to findings and loan requests	An agency user with the ability to add a finding on a SA will be able to quickly add a MRA to a finding when working a loan request. The user will also be able to associate MRAs, findings and loan requests.	Agency	Loan Requests, MRA, Findings
SES-2611 32 (5.2)	Agency: Cannot associate/add findings to a loan request that has not been sent to the company	With this enhancement, agency participants on a SA will not be able to associate a finding to a loan request that has not been sent to the company. This is a change from previous functionality to ensure company users are only sent those associated loan requests and findings with MRAs that have been transmitted by the agency.	Agency	Loan Requests
SES-2589 32 (5.2)	Agency: Adding additional information to loan requests	Agency users will be able to add additional information to loan requests. With this change the CIF number will no longer be in the loan request upload template and the additional information data field also will not be in the template.	Agency	Loan Request
SES-1831 32 (5.2)	Agency: Bulk removal of loan requests	The agency participants on a SA will be able to bulk remove loan requests that have not been sent to the company.	Agency	Loan Requests
SES-2586 33 (5.3)	Design- Agency: Associating a finding or loan request from the search	This design enhancement will allow agency participants to easily view and access loan requests and findings to associate with one another on a SA.	Agency	Loan Requests, Findings

#	Title	Description	Context (User)	Feature
Matters Requiring Attention				
SES-231431 (5.1)	Company: Assign/Reassign MRAs	The company lead or coordinator will be able to assign MRAs to other company participants, similar to the assignment feature available for information and loan requests.	Company	MRAs
SES-259133 (5.3)	Company: Viewing MRAs from report response task	Company users will be able to easily access MRAs from the report response task if MRAs have been sent with the report.	Company	MRAs
Consumer Complaints				
SES-258131 (5.1)	Agency: Exam Scheduling displaying complaints data	The staff users and staff directors at agencies who can conduct exam scheduling will be able to view and access complaint information on the companies that are selected in the exam scheduling wizard.	Agency	Exam Scheduling
SES-261031 (3.2)	Agency: Staff Director must be in complaints group	All agency staff directors will be added to the complaints group as a viewer by default and the system will require all staff directors to hold a complaints role in the system. Existing staff directors that hold a complaints group will keep their current roles.	Agency	User Management
SES-264532 (5.2)	"Next Upcoming IR Due Date" field displayed on complaint for Non-NMLS entities and individuals who are not associated with a company	The next IR dude date for complaints on Non-NMLS entities have been removed since those entities will not receive complaints via SES.	Agency	Complaints Record

System-wide Enhancements				
SES-2562 32 (5.2)	Company: Close & Lock Notifications to include survey	Company users will receive a SES survey when agencies close & lock a SA and choose to send a notification to the company of the closure. This survey will focus on the user's experience with SES.	Company	Notifications
SES-2651 32 (5.2)	Close & Lock notification is not sent to the SA Additional user	This enhancement sends the close & lock notification to the SA additional email for a company.	Company	Notifications
SES-2647 32 (5.2)	Company - IR (SA & Complaints), Loan Request, and MRA update notifications should include IR, LR, & MRA IDs	Notifications that are sent to the company will include corresponding IDs of the IR, LR, and MRA where applicable.	Company	Notifications
SES-2592 32 (3.2)	Agency: additional contributors receive notification of plan assignment	Agency users who are participants on a SA will receive notifications when they are added or removed from the plan as owners or additional contributors. The users will also receive a notification when the AFR has been marked as complete.	Agency	Plan
SES-2504 32 (5.2)	Agency: Exit meeting - allowing date in the past	This enhancement will allow agency users to add a date in the past when scheduling or updating the exit meeting. If the date is set to a date in the past, the company will not receive a notification.	Agency	Exit Meeting
SES-2413 32 (5.2)	Company: Notifications for IRs (SA/Complaints) and Loan Requests, MRAs	Several notification enhancements will be introduced in the Tennessee Release for different workflows such as IRs, loan requests and MRA. These notifications will send emails to the appropriate users anytime an item they have been assigned to is modified. The notifications will also include the ID of the item so that users can quickly and easily access the item.	Company	IRs, Loan Requests, MRAs
SES-2379 32 (5.2)	Company: Separate additional emails for SA and Complaints	The companies in SES will have the option to enter two different group email addresses in the system for their record. One email will pertain to supervisory activities and the other group email will be specifically for complaints.	Company	Notifications
SES-2373 32 (5.2)	Company welcome email: Helpful links	The company welcome email will include helpful links to training material and other resources for an improve user experience.	Company	Notifications
SES-2141 32 (5.2)	Company: Receiving notification of Multi-State SA	The company leads on a SA will receive a notification when other states have joined the lead agency on the SA to conduct multi-state supervision.	Company	Notifications
SES-2583 33 (5.3)	Agency: Add Assignee column on work procedure grid	The work procedures grid for agency users will include the assignee column.	Agency	Procedures
SES-2501 33 (5.3)	Agency: Users who have been added to receive access must receive a notification	The agency users who have been added to receive access to a single or multi-states SA will also receive notifications of the acceptance or rejection as the requesting individual.	Agency	Access
SES-2089 (5.3)	Global Change Ticket: Notifications to Agencies with Company Information + Task List Redesign	This enhancement will include the company name, city, and state to all notifications that the agency received. Additionally, the task section on the agency homepage will also include company names.	Agency	Notifications