STATE
EXAMINATION
SYSTEM

SES Release Notes

Release Name: *Vermont*

Release Date: March 16, 2020

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

Overview

Several new functionality and system enhancements have been included in this State Examination System ("SES") release. These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as "SA"). Major developments in this release of SES will include SA view access, creation of the Third-Party user for companies, document retention, company onboarding, operational reports, account reactivation, and policy user account management. Additionally, this release includes significant enhancements, design changes and improvements to the user experience for all system users.

I. Agency Users

A. Supervisory Activity Access & Usage: SA access & usage has been introduced to agencies within SES. The *Vermont* release allows for more transparency, information sharing and insight into examinations and investigations throughout the country. With viewer access, any agency can request to view a SA within the system, single or multistate. Although this permits more transparency the system still allows agencies to be autonomous with information sharing at their own discretion. The only individuals who can request and then confirm a decision for viewer access are the Staff Users and Staff Directors at each agency. These users can request access, approve/reject, and remove a previously granted access.

There have been parameters as to what viewer access entails within each SA. For example, users who are granted viewer access for a particular SA are granted detail level access to information and they can only view the final version of the report and the company response. Additionally, the system generates a report of all incoming and outgoing access requests and the history of each request for agencies.

B. Enhancements for Agency Users: In this release, several enhancements have been made for agency users. Several of these include design updates for a better user experience when sending Information Requests to the company and when completing the SA. Modification to library grids, improvements in notifications and having a standard review workflow for matters requiring attention (MRAs) is also in this development. A gap has been resolved with the package assembler assignment, when the report is to be sent to the company. Now the package assembler can be reassigned, and the package assembler can cancel MRAs. Agency users will also be able to request to upload next exam due dates for scheduling purposes. In relation to user management, agency users will also receive a monthly task to verify the users at their agency. This will ensure that each agency is maintaining an accurate record of users in SES for the protection of information and security.

Company onboarding has also been improved in this release for both the agency and company users. As of March 16, all agency users are able to onboard a company for which they want to conduct the SA.

II. Company Users

A. Third-Party Users: Company user will be able to take advantage of a new user group in the system known as the Third-Party Role. This role is reserved for external users who will be helping companies on SAs. These users can include consultants, law firms, and other outside parties who are not employees of the company. This role has a unique set of permissions within the SES system. One major difference is that users in this role, will only have detail level access to SAs for which they are added to by the company. These users will be able to have the company lead role if given that assignment so that they can directly communicate with the agencies. Both agencies and companies will be able to see the addition of this role on the SA. At completion of work, the system will remove this user's access from the SA, once the SA is closed. This is to maintain security and privacy for both the companies and agencies.

B. Account Reactivation Due to Inactivity: Account suspension due to inactivity in SES is defined as when the user has not logged into the system (using their OKTA credentials) for a period of one year. Account unsuspension here relates to company users, as some companies are not examined as frequently as others. This is to ensure that the company has updated the system with active users and the agency is able to efficiently conduct a SA. Functionalities in this release include, agency users onboarding a new company admin if all existing admin accounts are suspended due to inactivity, company admins or global support users unsuspending suspended accounts if those individuals are still affiliated with a company, and global support users removing inactive company admins. Also, with this release, agencies will not be able to transmit any materials to companies if the SA contact account is suspended due to inactivity.

C. Enhancements for Company Users: In this release enhancements were also made for company users. Significant changes were made with the onboarding of a company and assignments of the first company user. Now, a company user must confirm their affiliation with the company before they are fully onboarded onto the system. The process of assigning the SA and Complaints contact has also been improve and made more user friendly. Users are sent through a wizard for assignment and the first account admin is automatically given the leader role in the system.

Other enhancements for company users include design modifications, changes to homepages, and the addition of fields in different grids throughout the system. Notifications were also improved for company users in this release, in that a user who is affiliated with multiple companies will receive an email each time they are added to a company in the system.

III. Policy Users

A. Management and Exam Scheduling: Some policy user functionality was included in this release. The majority of functionality includes the management of policy user accounts by support users including removal, reactivation and updating a profile. Additionally, policy users can also view the exam scheduling report and upload the next exam due date upon request by an agency user.

IV. System-Wide Improvements

A. New URL: A new URL was introduced with this release. SES can now be accessed only from https://ses.nmls.org.

B. Document Retention: The system's document retention policies are in process. No record retention or destruction policies were enacted in this release as these policies are pending finalization by the NMLS Policy Committee and other stakeholders. The next release will include the enactment of a uniform record retention policy and will be applied retroactively to all existing supervisory activities.

C. Miscellaneous System Enhancements: Other system wide enhancements include suppression of the support user names from agency, company, and policy users to protect the privacy of the support staff. The system will now also prompt users to confirm an email address entered upon creation and when updating a profile. Other general improvements include hover text, IR grid display and limiting the number of documents that can be uploaded at a single time in the system.

Ticket No	Title	Description	Context (User)	Feature
SA Access & Usage				
SES-1354 (9)	Multistate: Agency User Request to view Access	An agency staff user or director can request access to a multistate SA.	Agency	Access & Usage
SES-948 (9)	Viewer Access- Permissions-Agency User	An agency user with viewer access to a supervisory can have detail level access to a SA but cannot download or preview any documents except the final version of the report after completion.	Agency	Access & Usage
SES-865 (9)	Accept/Reject Access Request to a Single State SA	An agency staff user and staff director can accept or reject SA access requests made by other agencies.	Agency	Access & Usage
SES-864 (9)	Request Access to a Single State SA	An agency staff user and staff director can request access to view another agency's single state SA.	Agency	Access & Usage
SES-1208 (9)	Accept/Reject Request to view Multistate SA	An agency staff user and director of a lead and participating agency can accept or reject viewer access requests from non-participating agencies. Both the lead and participating agencies must decide on the request for the request to be complete.	Agency	Access & Usage
SES-866 (9)	Agency Remove Access to a SA	An agency staff director and user can remove a previously granted viewer access to a SA.	Agency	Access & Usage
SES-754 (9)	Staff Users and Director's View of Requests to Join - Multistate SA	An agency staff user and director can view all the requests they have received to view their agency's SAs and can also view all the requests their own agency has made for viewer access to other agencies. Global support users can view this information for all agencies.	Agency	Access & Usage
SES-1425 (10)	Agency Detail Level Access: Company Response to the Report	This relates to SES-985. This functionality allows agency users with detail level access to download the company's response to the report on a SA in addition to the report itself.	Agency	Access & Usage
SES-1457 (10)	Staff Users and Directors Report for Access Request	An agency staff user and director can view a full report of all access request their agencies have received and view a history request their agency has made to view other SAs.	Agency	Access & Usage
SES-1363 (10)	SA: "Access and Usage" Tab	An agency user with summary level access can view all access request and decisions for viewer access on a SA.	Agency	Access & Usage
SES-1355 (10)	Multistate: Remove Agency User's SA Access	An agency staff director or staff user of a lead or participating agency can remove viewer access to a multistate SA.	Agency	Access & Usage

SES-1595 (11)	Join Requests: Viewing Join Requests by Other Agencies (decisions made)	An agency staff user and staff director can view all the join request decisions their agency has made for SAs on requests that came from other agencies.	Agency	Access & Usage
SES-1554 (11)	Access Report: Viewing Requests by Other Agencies (decision made)	Similar to the above, agency staff users and staff directors can view all the access request decisions their own agency has made for SAs.	Agency	Access & Usage
SES-282 (11)	Modify Lead Agency in Multistate SA	An agency staff user, staff director, or EIC of a lead agency can reassign the lead agency and the EIC on a multistate SA before the report is sent or before the SA is closed.	Agency	Access & Usage
		Miscellaneous Enhancements for Agency Users		
SES-564 (9)	Add Business Type Filter to Library	A user with access to the standard and agency library can filter by business types.	Agency	Library
SES-1388 (9)	Examiner and Examiner Reviewer Can Onboard a Company	This ticket is an enhancement to SES-439 and allows an examiner and examiner reviewer to on board a company in SES.	Agency	Onboarding
SES-1452 (10)	Library ID labels: Consistent Use of Library ID	This enhancement creates consistency for users when viewing items in the library versus items on a SA, by differentiating all library items in field labels.	Agency	Grid Display
SES-1229 (10)	Modifying Library Grids	This improves the library grid view for users by changing column sizes, setting character limits, and making the library grids more visually friendly.	Agency	Library
SES-1137 (10)	Close & Lock Button: On Close Out Tab	In addition to the summary tab the close & lock button for staff users and directors will also appear on the close out tab of a SA.	Agency	Close & Lock
SES-1090 (10)	Staff Director and Staff User Can Update Basic Details (target start/month/year) of a SA	In addition to the EIC, the agency staff director and staff user can update basic details of a SA, which include target start month, target start year, and scope type. Note: For an investigation SA type, scope type of not applicable. This relates to SES-332.	Agency	Initiation
SES-1011 (10)	Adding Quick Look Complete Column by Default	The quick look complete column will appear by default on the IR details grid.	Agency	Information Requests
SES-954 (10)	Agency Request to Upload Next Exam Due by Date	An agency staff user or staff director can request to upload next exam due by date data for scheduling in SES.	Agency	Historical Upload

SES-918 (10)	Expand Active SAs to include Scheduled	The homepage and SA tab will also include those SAs that are in a scheduled status.	Agency	SA Tab
SES-761 (10)	Notification to Staff User to Close & Lock	Agency staff users must be notified when a SA is ready to be closed and locked. Although staff directors can also close & lock a SA, this notification will only be sent to staff users of an agency.	Agency	Close & Lock
SES-1211 (10)	Scheduling: Company Selection Limit	When completing the advanced scheduling wizard to schedule future exams on a company, the staff director and staff users can only select 50 companies.	Agency	Exam Scheduling
SES-1133 (10)	Design: Procedure Roundtripping	This development allows agency participants to efficiently add examiner observations based on selected AFRs.	Agency	Examination
SES-1464 (10)	Reassign Package Assembler	The EIC can reassign the package assembler if the current package assembler assigned has not completed the task and sent the package.	Agency	Package Assembly
SES-1266 (10)	Identifying Canceled SAs on the SA Grids	On the SA tab, canceled SAs will appear under the All filter and will not appear under the "active" filter throughout the system.	Agency	SA Tab
SES-819 (10)	Displaying AFRs on Information Request Tab w/o IRs	This enhancement displays all the AFRs that were selected in the scope on the Review summary grid, including those that do not have information requests (IRs) corresponding to them.	Agency	Information Requests
SES-198 (10)	EIC Receives Notification of Assignment to SA when SA is in Scheduled Status	Previously, the EIC received a notification of a SA assignment when the SA was in a pending status. With this enhancement, the EIC now receives the notification of the assignment once the SA is in a scheduled status.	Agency	Initiation
SES-1341 (10)	Viewing Other Trade Names on Company Record	This relates to SES-650. Agency and support users can view other trade names on a company's record.	Agency	Records
SES-1088 (10)	Link to Procedure ID	The procedure ID will be linked on grids that contain the ID.	Agency	Examination
SES-759 (10)	Allow Package Assembler to Cancel MRA	In addition to the EIC, the package assembler can also delete an MRA before sending it to the company. Additionally, the package assembler can cancel an MRA after it has been sent to the company, but a response was not received.	Agency	MRAs
SES-968 (10)	Export: Findings	The EIC can export findings in an excel document at any time for an exam/investigation.	Agency	Examination/ Investigation

SES-1027 (10)	Review Workflow: Primary Reviewer- Warning Message When Adding Reviewers	The system will present a warning message to the primary reviewer when they are adding an additional reviewer to the review workflow before approval is made. The message will let the user know that their task will temporarily be marked complete and the task will come back to them once all reviewers have completed the review task.	Agency	Review
SES-1053 (10)	Exam Scheduling: Add Comments to Make Decision Screen	This enhancement allows the staff users and directors to add comments for each company in addition to making initial decisions. Previously comments could only be entered on the summary grid of decision, now each company will have its own decision + comments.	Agency	Exam Scheduling
SES-1550 (11)	Confirmation Message When Completing Report	The agency user is presented with a warning message once final report is marked complete or approved to make sure they are sending the correct version/format of the report.	Agency	Report
SES-1530 (11)	Associating a Complaint to an Exam/Investigation	Users with detail level access can view if there are any complaints associated with a SA.	Agency	Permissions
SES-1525 (11)	Remove Mark as Complete Column	The mark as complete column will be removed from the exam scheduling item grid.	Agency	Exam Scheduling
SES-1478 (11)	Agency AA: Task to Verify Active Users	The active agency account admins must receive a task to verify the users at their agency every month.	Agency	User Management
SES-1455 (11)	MRA: Primary Reviewer Workflow	The EIC on a SA can reassign or cancel the review workflow of an MRA. This is to match with other review workflows throughout the system.	Agency	MRAs
SES-1365 (11)	Related Entities Change: Ability to Upload a Document – Agent Location	Agency users can upload supporting documents in the agent location section.	Agency	Company Profile
SES-1571 (11)	SA Tab: Quick filters “Active” and “My Agency” Will Include all SAs.	This enhancement aligns what is seen on the homepage and SA tab. Agency users can view all SAs on which their agency is a participant on, on the “Active” and “My Agency” quick filters.	Agency	Homepage & SA Tab
SES-1560 (11)	Procedure Round tripping: To Return to AFR	This is an enhancement that asks users to close their tab when they click the “I am done for now” button when working on procedures so they are sent back to the AFR tab.	Agency	Examination/Investigation
SES-1614	Bulk Download SA Documents	This relates to SES-609. An agency Staff Director, Staff User, or EIC can download documents of a SA at any point. The user can download all documents of the SA except	Agency	Document Management

(11)		for Responses to IRs and MRAs that have not been sent to the agency from the company side and company interactions.		
SES-1177 (11)	Close & Lock: Checklist	This enhancement provides a check list for different agency users on how to they can close a SA. Once each item is completed, the system marks it accordingly on the list or provides instructions to the user on how to bring the SA to a closed status.	Agency	Close Out
Third-Party Users				
SES-1402 (9)	Third-Party User: Permissions	A third-party user will have detail level only access to SAs for which they are added on for a company.	Third-Party	Permissions
SES-1399 (9)	Company SA Contact Assigns Third-Party User as a Company Lead	A company SA contact can assign a third-party user as a company lead on a SA.	Third-Party	User Management
SES-1398 (9)	Company Lead Managing Third-Party participants on SA	A company lead can add a third-party user as a participant on a SA.	Third-Party	User Management
SES-1226 (9)	Company Homepage: Third-Party User	This functionality defines the homepage for a third-party user. The user will have access only to SAs on which they are a participant.	Third-Party	Homepage
SES-1225 (9)	Company: Creation of Third-Party Role	A company account admin can create a third-party user account.	Third-Party	User Management
SES-1400 (11)	System Removal of Third-Party User on SA	The system will remove a third-party user on a SA once the SA is closed and there are no outstanding MRAs.	Third-Party	Permissions
Account Suspension Due to Inactivity				
SES-1291 (11)	Support User Unsuspends Company Account Admin	A support user can unsuspend a company account admin account that was suspended due to inactivity.	Company	User Management
SES-1482 (11)	Agency User: Onboards New Company Admin (if all admins are suspended due to inactivity)	An agency user can onboard a new company account admin if all the admin accounts for that company have been suspended due to inactivity.	Company	User Management
SES-1495	Agency Cannot Transmit Material to Company if SA	An agency user cannot send IRs, exit meeting, or report to the company if the company SA contact bas been suspended due to inactivity.	Company	User Management

(11)	Contact is Suspended Due to Inactivity			
SES-1529 (11)	Global Support User Can Remove Inactive Company Admins	An agency admin or global support user can remove only one company account admin if all admin accounts for that company have been suspended due to inactivity.	Company	User Management
SES-1480 (11)	Company Account Admin Unsuspend Account due to Inactivity	A company account admin can unsuspend a company account or third-party user account that has been suspended due to inactivity.	Company	User Management
Miscellaneous Enhancements for Company Users				
SES-1293 (9)	Change Ticket - Company Lead: Saving IR Response Drafts	This enhancement allows a company lead on a SA or subject POC on a complaint to save Information Request responses in progress.	Company	Information Requests
SES-1434 (10)	Onboarded Company User Declines Onboarding Request	This allows a company user who is onboarded to SES by an agency to accept or decline their affiliation with the company they are onboarded with.	Company	Company Onboarding
SES-1294 (10)	Change Ticket: Company Lead Adding Comments or Uploading Documents When Sending IR Responses to Agency	This enhancement allows the company lead to either upload a document or add a comment when transmitting IR responses to the agency. Relates to SES-45, SES-47, SES-1308.	Company	Information Requests
SES-1116 (10)	Company Homepage: Lead Agency Field	The grids on the company users' homepage will include the name of the lead agency for all SAs.	Company	Homepage
SES-1114 (10)	Company: Company Lead MRA Homepage Grid	The company lead can view all matters requiring attention for SAs on their homepages.	Company	MRAs
SES-1174 (10)	Design: Company IR Response Roundtripping	This development allows company users to efficiently respond to IRs. The system takes the user to the list of IRs for the AFR selected.	Company	Information Requests
SES-1477 (10)	Email Notification: Existing SES Company User Associate with New Company	An existing SES user must receive a notification when they are associated with a new company.	Company	User Management
SES-1463	Potential Enhancement: Email Notification for New	This enhancement identifies the name of the company in the email notification to new company users when their account is created in the system.	Company	User Management

(10)	Company User			
SES-1379 (10)	Design Ticket: Onboarding: First Company User & Assigning SA contact and complaints Contact	The first company admin can assign the SA contact and Complaints contact for their company. This enhancement allows a better user experience when assigning the contacts. The system also displays a warning message on the homepage if the contacts have not been assigned.	Company	Company Onboarding
SES-1140 (10)	Visual Indicator for Count of Attempts on IR Grid (company)	A company participant on a SA can view if IRs have been returned by the company on the IR grid.	Company	Information Requests
SES-1230 (11)	Company Homepage: Display Counts of Active and Outstanding Items on the Homepage	Company users are able to view a count of active SAs, outstanding IRs, and MRAs.	Company	Homepage
SES-1121 (11)	Company: IR Responses-Indicator of Attachments	The company users will be able to see if there are any attachments corresponding to an IR response. There will be an attachment indicator on the IR grid.	Company	Information Requests
SES-1568 (11)	Assign Onboarded Company User Both Account Admin and Leader Roles	The company user onboarded onto SES must be assigned as both the admin and given the leader role in the system. Previously the user was only assigned the admin.	Company	User Management
SES-957 (10)	Policy Users: Upload Next Exam Due by Date	Policy users can upload data for next exam due by date.	Policy	Historical Upload
SES-1443 (10)	Support Admin Removes Policy User Account	A support user with admin permissions can remove a policy user’s account.	Policy	User Management
SES-1445 (10)	Support Admin Updating Profile for Policy User	A support user with admin permissions can update basic profile information on behalf of a policy user.	Policy	User Management
SES-1442 (10)	Support Admin Reactivates Policy User Account	A support user with admin permissions can reactivate a policy user’s account.	Policy	User Management
SES-963 (11)	Policy User: Scheduling Report	A policy user can view a report of all the exam scheduling decisions for all agencies.	Policy	Exam Scheduling

System-Wide Changes				
SES-1223 (9)	Change Ticket: Adding Yes/ No to NMLS Username	This is a system-wide change. Agency and company users can select if they have a NMLS username and enter the username.	Agency & Company	User Profile
SES-1340 (10)	Design: Changes to IR Bulk Removal Grid	Changes include extending the character limits to the IR grids and adding the library ID to the IR grids to allows for a better user experience for agencies and companies.	All Users	Information Requests
SES-1247 (10)	Expanding the Information Request Grid	This enhancement sets a 200-character limit to the IR details grid for agency and company users.	All users	Information Requests
SES-1167 (10)	Hover Text for User Profile field	This enhancement differentiates between SES User ID and Support Verification code with the help of hover text to explain to users what each ID represents.	All Users	User Profile
SES-919 (10)	Add Confirm Email Address	When an account is created for a user in the system, the email address must be entered twice so that the system can validate the confirmed email address.	All Users	User Profile
SES-1589 (11)	Updating a User Profile: Add Confirm email Address	When a user updates a profile, they must confirm the email address and the system will validate the double entry of the email address.	All Users	User Profile
SES-1534 (11)	Support Username Display & Name Suppression	Agency, company and policy will see “Support User” in place of support usernames. Support users must be able to see the names of support users wherever displayed in the system.	All Users	Operations
SES-1438 (11)	Document Upload Limit: File Count	The system will enforce a limit of 25 files/attachments to be uploaded in the system at a time.	Agency, Company & Policy	Document Management