



STATE
EXAMINATION
SYSTEM

SES Release Notes

Release Name: *North Carolina*

Release Date: March 20, 2021

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

Overview

Several new features and system enhancements have been included in the *North Carolina* 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 exam scheduling, loan requests, reports and complaints. Additionally, several enhancements have been made throughout the system for a richer user experience.

I. **Agency Users**

- A. **Exam Scheduling:** The North Carolina release will introduce several enhancements related to exam scheduling. All agencies will have the ability to select data points that are of interest to them when conducting exam scheduling for companies. Previously, agencies were only able to make the accept or leverage scheduling decision on closed SAs. With this release agencies will also be able to accept or leverage open SAs. The scope type “Networked” has also been added to this release for agencies to initiate on SAs.

- B. **Loan Requests:** The loan request functionality will also include several improvements. The agency participants on a SA will be able to work further on loan requests that have been marked as complete. When reviewing the loan request response sent by a company, agency participants will be able to quickly add findings during the review, which will be added to the SA’s findings. An additional enhancement for agency users includes allowing the examiner in charge (EIC) of a SA to update the due date for a single or multiple loan request.

- C. **Complaints:** After the North Carolina release, agency complaints users will have the ability to add related entities when completing the complaint intake form. This means users will be able to add additional information about the complaint and subject such as related companies, related Non-NMLS entities, agent locations as well as being able to associate other complaints and SAs to the newly created complaint. Before the North Carolina release, agency users could only close a complaint and mark it as invalid upon closure if the complaint were initiated by mistake. Users will now be able to cancel a complaint before closure. This will improve the accuracy of reports and allow users to categorize complaints accurately. Similarly, if the complaint was initiated and sent to the wrong subject in error, agency users will be able to cancel the complaint even after information requests have been transmitted.

II. Company Users

- A. Loan Requests: Following the North Carolina release, SES company users will also see design and user experience enhancements specifically related to loan requests. With this release, company users will have the ability to export loan requests sent by the agency and users will receive the export in an Excel format. This will allow company users ease of use, and the ability to generate and work on the loan requests outside of the system until the response is ready to be added to SES. Additionally, company users will be able to indicate the method that was used to respond to loan requests in SES. This means users will be able to indicate if the response to one or multiple loan requests was provided either via the file share link sent by the agency or another external method. This allows company users to mark an indication for multiple loan requests and the system will track the method indicated for both the company and agency.

Ticket No	Title	Description	Context (User)	Feature
Exam Scheduling				
SES-2086 (20)	Agency: Selecting Data Points on company for Exam Scheduling	The agency users with the ability to conduct exam scheduling will be able to select relevant data points of interest to display for companies in the exam scheduling wizard.	Agency	Exam Scheduling
SES-2228 (21)	Agency: Accept and Leverage SAs that are Open	This enhancement will allow users to accept or leverage SAs that have not been closed. Previously, agencies were prevented from accepting or leveraging open SAs.	Agency	Acceptance & Leveraging
SES-2069 (20)	Agency: Additional Fields in Exam Scheduling grid	The agency users will now be able to view the number of agencies a company is licensed in as a data point when conducting exam scheduling.	Agency	Exam Scheduling
SES-2207 (21)	Agency: SA - Adding Scope Type Networked	In addition to the existing scope types, agencies will have the ability to select the networked scope.	Agency	Initiation
SES-2206 (21)	Agency: Exam Scheduling- displaying NMLS ID in wizard	The agency and policy users will be able to search companies by NMLS ID on the exam scheduling wizard.	Agency & Policy	Exam Scheduling
SES-2072 (21)	Agency: Exam Scheduling: Accepting and Leveraged Open SAs	The agency users with access to the exam scheduling wizard will have the ability to make a scheduling decision of acceptance or leveraging for open SAs. Previously, these exam scheduling decisions were only applicable on closed SA.	Agency	Exam Scheduling
Loan Requests				
SES-2120 (20)	Agency: EIC Re-working a completed loan request response	Previously, once a loan request was worked on by the agency and marked completed it could not be updated. This enhancement allows the agency EIC to rework on a completed loan request and all previous work that was submitted will be saved for the user.	Agency	Loan Request
SES-2119 (20)	Agency: Quick Add a Finding on Loan Request	All active participants on a SA can quick add findings to a loan request when work on the request and reviewing the company's responses.	Agency	Loan Request
SES-2097 (20)	Company: Indicating loan Responses are in the file share link agency provided or provided externally	A company participant can indicate if loan request responses were sent to the agency via the file share link that the agency provided or if the information was shared with an agency through another external method.	Company	Loan Request
SES-2273 (21)	Agency: All active participants re-working on a completed loan request	In addition to the EIC, all active participants on a SA can conduct additional work on a loan request marked complete.	Agency	Loan Request
SES-2221 (21)	Company: Exporting Loan Requests	An active company lead for a SA will have the ability to export loan requests for a SA.	Company	Loan Requests
SES-2179 (21)	Agency: EIC single or bulk update due date on Loan Requests	The EIC for a SA will have the ability to update the due date for either a single loan request or in bulk.	Agency	Loan Requests

Complaints				
SES-2053 (20)	Complaints: Agency: 1-Click Reminder for IRs	The active agency POC for a complaint will have the ability to remind the company of any outstanding information request that have been sent for a prompt response.	Agency	Information Requests
SES-2259 (21)	Complaints: Details Tab to include Related Entities	Each complaint intake form will have a related entities section which will consist of additional information related to the complaint and subject. An agency complaints user with the ability to manage complaints will be able to add and update this section.	Agency	Complaints Intake
SES-2254 (21)	Complaints: Agency - Cancel Complaint	Agency users with the ability to manage complaints will have the ability to cancel a complaint before the complaint is closed.	Agency	Canceling
System wide Enhancements				
SES-2162 (20)	Agency: Exporting Reports (My Agency's SA + Complaints Reports)	All agency users with access to their agency's report will be able to export the findings and monetary relief provided to consumer for SAs. All agency users with access to complaints will be able to export the monetary relief provided to Complainant for their agency's reports.	Agency	Reports
SES-2135 (20)	Company: Quick Response Attestation	The company users with the ability to associate IR responses from quick responses must attest to the accuracy of the information that is being sent to the agency.	Company	Information Requests
SES-2239 (21)	Agency: SA - Selecting exact SA start Date	In addition to entering a target start month and year when scheduling a single state or initiating a SA, agency users will have the ability to enter an exact start date.	Agency	Scheduling
SES-2231 (21)	Redirect all Need Help Links to stateexaminationsystem.org	For the North Carolina release, all users will be directed to stateexaminationsystem.org when clicking the "Need Help?" links in the system.	All	Help Links