



STATE  
EXAMINATION  
SYSTEM

SES Release Notes

Release Name: Rhode Island

Release Date: April 24, 2023

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

Overview

Several new features and system enhancements have been included in the State Examination System (“SES”) Rhode Island Release. These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as “SA”) and Consumer Complaints. The Rhode Island Release introduces the construction of associations between Information Requests (IRs) and procedures and several data management enhancements. Additionally, several small enhancements have been made throughout the system for a richer user experience which include end-to-end navigation solutions in various areas of the system.

## I. Agency Users

Information Request & Procedure Associations: Agency users will see that in the Rhode Island Release, associations between different SA workflows have been strengthened. In feedback from money services businesses(MSB) examiners, they expressed a desire for more explicit associations between information requests (IRs) and procedures in SES, similar to the existing MTRA Work Program. While MSB examiners initially introduced this concept , examiners across industry types have expressed similar feedback and are looking forward to this functionality. Enhancements will be implemented with this release to allow CSBS support staff to create and manage standard IR and procedure associations as they currently exist in established exam work programs such as the MTRA Work Program. These associations will be established within the SES Library and will carry forward onto applicable SAs. For state-specific procedures and IRs, agency users with the ability to manage the library will also be able to create these associations for their agency. For all associations created, the system will require the following validations for a procedure that is linked to an IR:

- The area for review for both the procedure and IR must be the same;
- At least one business activity must be in common;
- At least one scope type must be in common;
- And a core procedure must link to a core IR and vice versa with non-core.

On individual SAs, users will see that the associations from the library (both standard and state-specific) will be represented on a SA. All SA participants will be able to view and customize the associations, allowing them to remove associations carried onto the SA from the library and add additional associations. Further, the system will allow users to associate custom IRs to procedures as well as IRs that do not have company responses. Per the feedback received, full details of the IR which include company response (response text, document and file share link) will be carried over with the association. Additionally, in all areas where the procedure and IR details are visible the two will be shown, limiting the number of clicks and displaying these interrelations wherever they are shown in the system. Agency users also will have access to an expanded procedure export which will include more fields as requested by agencies, IR associations as well as findings in an organized manner.

A. Document Management: Agency users will see several document management enhancements have been made. First, feedback was received to include a separate Matter Requiring Attention (MRA) category as part of bulk download. Users will see that this category will now display MRA documents sent by the agency, MRA documents received as a company response, as well as any internal agency MRA documents. Further, agency users will be able to select a date range for all bulk download categories except for the document category for closed SAs. Finally, there will be identifying attributes (meta data) added to all response documents in the areas of Information Requests, Loan Requests, and MRAs. These attributes will be automatically added to the name of both agency and company response documents which will include information such as AFR, Library IR ID, Loan Request ID, and MRA ID. For example, a company provides an IR response document related to an advertisement campaign. The system will automatically attach the advertising and marketing AFR, and the IR Library ID to the document file name after it was uploaded by the company. These details will also be visible each time a company or agency user downloads or previews the document. This enhancement will help agencies and companies organize documents for the SAs being conducted.

II. **System-wide enhancements**: An enhancement all users will see across the system is a back icon in various areas, limiting the number of clicks and directing users to the appropriate system areas.

#	Title	Description	Context (User)	Feature
<b>Supervisory Activity</b>				
<b>SES-2919 Sprint 49 (11.1)</b>	Support & Agency Users: Associating IRs to Procedures in the Library	<p>A global support user will be able to associate standards (core/non-core) IRs to standard (core/non-core) procedures in the agency library. Agency users with the ability to manage the library can associate agency specific IRs to agency specific procedures in the library. The system will validate the following:</p> <ul style="list-style-type: none"> <li>• If the AFR for both the IR and procedure must be the same;</li> <li>• at least one business activity is in common;</li> <li>• at least one scope type in common;</li> <li>• a core IR must be linked with a core procedure and vice versa with non-core.</li> </ul> <p>All the SAs in the system will reflect the associations that are created from the library.</p>	Support & Agency	Library
<b>SES-2920 Sprint 49 (11.1)</b>	Agency: Customizing IR and Procedure Associations on a SA	After a SA is at the in-flight milestone, the SA will display the associations that were created between IRs and procedures from the library. Any agency participant can then manage the associations on the SA, this includes adding and removing the associations. The system will display the associations and the full details of the IRs and procedure association in all areas of the SA where they are visible. Additionally, the procedure export will also include the associated IRs and their responses as well as findings from the SA.	Agency	IR & Procedure Associations
<b>SES-2916 Sprint 49 (11.1)</b>	Design Change for All Users: Adding a "Back" Icon Where Applicable in System	All users in the system will be able to view and use the back icon in various areas of the system for ease of use.	All	Design
<b>SES-2922 Sprint 49 (11.1)</b>	Agency: Ability for Support Users to Manage AFR Abbreviations	The SES support and policy users will be able to manage abbreviations of AFRs in the agency library.	Support & Policy	Library

#	Title	Description	Context (User)	Feature
<b>SES-2915 Sprint 50 (11.2)</b>	Agency: Bulk Download organization Adding Meta data	<p>The system will add meta data information to documents pertaining to all company and agency responses in the Information Request, Loan Request and MRA workflows. This functionality will be available for company and agency users and will be when a document is previewed, downloaded, or bulk downloaded. The meta data will be in the following areas with the following formats:</p> <ul style="list-style-type: none"> <li>• <b>Information Requests:</b> <i>Format: [Abbreviated AFR Name]-L-IR [Library IR ID#]-name of document provided by the company</i></li> <li>• <b>Custom IRs: IR ID of SA:</b> <i>Format: [Abbreviated AFR Name]-IR [custom IR ID#]-name of document provided by the company</i></li> <li>• <b>Loan Requests:</b> <i>Format: LR [LR ID#]-name of document provided by the company</i></li> <li>• <b>MRA:</b> <i>Format: [Abbreviated AFR Name if provided]- MRA [MRA ID#]-name of document provided by the company</i></li> </ul> <p>The system will also present the users with an error message if the name of the document is more than 200 characters.</p>	Agency & Company	Document Management
<b>SES-2914 Sprint 50 (11.2)</b>	Agency: Bulk download category for MRAs	In addition to the existing bulk download categories, agency users will have access to the bulk download of MRA documents as a separate category.	Agency	Document Management
<b>SES-2913 Sprint 50 (11.2)</b>	Agency: Selecting a date range for bulk download categories	Agency users will be able to select a date range when bulk downloading documents. The date range selection will be available for all categories except for the “All Documents” category for closed SAs.	Agency	Document Management