



STATE
EXAMINATION
SYSTEM

SES Release Notes
Release Name: South Carolina
Release Date: September 11, 2022

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

Overview

Several new features and system enhancements have been included in the State Examination System (“SES”) South Carolina Release. These release notes pertain to the Examination and Investigation Supervisory Activities (referred to herein as “SA”) and Consumer Complaints. The South Carolina Release introduces changes to the report response, loan requests workflow, closing of a consumer complaint, and work programs. Additionally, several small enhancements have been made throughout the system for a richer user experience.

I. **Agency Users**

A. **Report Response**

This release contains changes related to the SA report package requested by end users. Previously, agency users could transmit the report package to the company once, and similarly the company had one chance to respond. If the response was insufficient or required further information, companies would have to either respond outside the system or agencies would need to create an MRA (Matter Requiring Attention). This limitation would harm the integrity of the report response. As such, after the South Carolina Release, the examiner in charge (EIC) or staff user from a lead agency who is a participant on the SA will be able to send the report response back to the company if a response is required or allowed. In addition to creating a single location where the report package and responses are housed, the system will maintain an audit of the correspondence and reduce the burden of communicating outside the system.

B. **Work programs**

The SES Alabama Release in June 2022 introduced the concept of industry-specific work programs, starting with the MTRA Work Program for MSB examinations. As a reminder, EICs conducting MSB exams can indicate plans to use both the information requests (IRs) and procedures found in the existing MTRA Work Program and by extension, the SES Library. This functionality has been enhanced in this release to allow MSB EICs to remove the system's application of the MTRA Work Program badge if desired.

C. **Loan Requests**

In this release, agency users will see the changes around the loan request functionality. Specifically, agency users will be able to send back loan requests with the same issue to the company, allowing the company to respond again. An additional enhancement for agency users includes displaying an agency code on the loan request grid for multi-state SAs. Lastly, the agency user assigned to the loan request will receive a notification when the company responds as long as the notification preference is turned on.

D. Consumer Complaints

SES will allow an agency complaints user to add comments and upload documents when closing a complaint and share them with the company. Please note that the default selection for sharing comments or documents with the company will be set to “Yes” by the system. If the agency user chooses not to share these items, the user must select “No.” After this action is taken, the system will notify the Company POC, Complaints Contact, and the additional (group) email for complaints. If no documents or comments were shared, then the company will only be notified of the complaint closure. Another improvement in this release is for IR notifications; when an Agency POC or Complaint Supervisor sends an IR to a company, they can select other agency complaints users to be notified when the company responds to the IR.

E. Agency Enhancements

This release will also include enhancements to improve the user experience when conducting SAs in SES. The first enhancement is adding a “select all” and “deselect all” option when adding procedures to a SA. This release will also introduce some minor changes to the MRA functionality. MRAs are now searchable by MRA ID on the MRA tab. Agency users creating and managing MRAs can now associate an Area for Review (AFR) to each MRA if desired. MRA grids have been updated to display more targeted data, like MRA ID, Section of Report, Associated Finding IDs, and Area for Review. In order to assist EICs with planning and organizing a SA, this release will allow AFR owners to assign and reassign procedures to other active participants (in bulk and individually). Users will also see an improved interface for better navigation around the SA, Complaint, Non-NMLS Entity, Agency, and Company records. As the user scrolls through the record, the top panel will freeze, giving them easy access to other parts of the record along with relevant action buttons.

II. **Company Users**

A. Company Enhancements

The South Carolina Release also includes improvements for company users. An enhancement that was requested by several agency and company users will now be available and company users will be able to respond to the report package multiple times based on the agency’s discretion. Agency users will be able to send the report package back allowing companies to send responses back in one area and maintaining the accuracy of the report response in the system. Company users will also see changes to both the MRA grid and detail views. Users will see the addition of AFRs as well as associated findings IDs.

The interactions tab for company users will now have more information on the grid a subject/purpose field has been added to the interaction type “Meeting.” Additionally, columns have been removed to display more relevant information, but users are able to add columns of their choice using the +Show Columns feature.

III. System-wide enhancements

System-wide enhancements have been put in place to improve SES usability. Notifications users receive from the system have evolved to better inform agencies of activity in the system. Active agency participants on a SA will receive a notification when the company responds to IRs and loan requests if the agency has chosen to receive a notification when transmitting IRs. For company users, notifications will include more details such as IDs and comments from the agency. The “Need Help?” links across the system have also been updated to direct users to a new [SES Portal](#). The “Need Help?” links direct users to specific help content relating to the page the user is on in SES.

#	Title	Description	Context (User)	Feature
Supervisory Activity				
SES-2384 40 (8.1)	Agency: Sending back Report Response	Agency users will now be able to send the report package back to the company if their response is unsatisfactory, allowing them to submit another response.	Agency & Company	Report
SES-2775 40 (8.1)	Agency: Adding select all/deselect all option for adding procedures	Agency users are now able to “select all” or “deselect all” when adding procedures on a SA.	Agency	Procedures
SES-2774 41 (8.2)	Agency & Company: Addition of MRA ID and AFR and MRA grid updates	Agency and company users will see changes on the MRA grids and at the detail level. Agency users will be able to associate an AFR to to an MRA and any associated findings will be linked for the users in the grids. Company users will additional information displayed at the grid levels, will also be able to view the AFR associated with the MRA, and will be able to view any associated findings. For company users it is important to note that the findings will not be linked.	Agency & Company	MRA
SES-2770 41 (8.2)	Agency: Sending back loan requests in bulk to company + Changes to LR grids (Agency & company)	Agency users working loan files will be able to send back loan requests with the same issue to the company, allowing them to respond again. For multi-state SAs the loan request details grid will also include the agency code for better identification for company users when responding to such SAs.	Agency	Loan requests
SES-2781 41 (8.2)	Agency: Overwriting a work program	Agency users who can define and update the scope for a SA will now be able to override the MTRA Work Program badge if desired.	Agency	Scope
SES-2503 42 (8.3)	Agency: Participants on a SA must receive notifications when the company responds to IRs and loan requests + IDs in notifications + Report Notification	Agency users who are also AFR owners or additional contributors can now receive notifications when a company responds to IR and loan request if agency has set ‘yes’ to receive a notification when sending SA.	Agency	Notifications
SES-2768 42 (8.3)	Agency: Allowing AFR owners to assign procedures	The AFR owners on a SA will be able to assign or reassign procedures to other participants on the SA. Additionally, the EIC will receive a notification of AFR completion if another participant marked it as such.	Agency	Scope

#	Title	Description	Context (User)	Feature
SES- 2769 42 (8.3)	Agency & Company: Adding Notes/Comments on Interactions	The agency users can now see 'Meetings' is added to the type of interactions, and grids have been updated by adding field subject/purpose on the default view. Agency EIC can now update and delete interactions for any agency participant on the SA. Company users can now see 'Meetings' is added on the type of interactions and grids have been updated by adding field subject/purpose on the default view.	Agency & Company	Interactions
Complaints				
SES-2733 40 (8.1)	Complaints: Tagging specific users to receive notifications of company response	The agency POC or supervisors can tag other agency users to receive notifications when the company response to complaints IRs.	Agency	Complaints: Information Request
SES- 2411 42 (8.3)	Complaints: Agency adding/sending closure documents to the company	Agency users who can close and or update the complaints are now able to upload documents and add comments when closing a complaint. Company users will be notified about the closure of the complaint, and notifications will also have a link to survey.	Agency	Complaints: Close
System wide Enhancement				
SES-2755 42 (8.3)	Update Need Help Links to SES WebHelp	The "Need Help?" links in the system will direct users to specific training material and content.	Agency & Company	Need Help Links
SES-2790 42 (8.3)	Global change: IR & Procedures: Expanding character limits on grids	All users across the system who have access to the IR and Procedures grids can now see essential information from the grid as they expand the character limits.	All users	IR and Procedures