



STATE
EXAMINATION
SYSTEM

SES Release Notes

Release Name: *Louisiana*

Release Date: November 15, 2020

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

Overview

Several new features and system enhancements have been included in the *Louisiana* 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 release of SES had several enhancements related to company user enrollment and user accounts in SES. Additionally, the release will include several enhancements for agencies and companies with conducting SAs and Complaints.

I. **Agency Users**

- A. **Company User Enrollment:** In the Louisiana release several enhancements were put in place to improve the company user enrollment process for companies. Previously, known as onboarding, the process by which an agency brings on companies for which they want to conduct supervision has been changed to company user enrollment. The agency users will also be able to quickly enroll the NMLS Primary Contacts with the click of a button. The agency will also be given more insight into the completion of company enrollment. When an agency enrolls the first company user onto the system, the individual who enrolled the company user will receive an email when company verification is complete. Additionally, all agencies that have initiated company user enrollment for the company will receive a notification when the company completes enrollment by assigning the SA and Complaints Contacts. Furthermore, if SAs have been initiated on these companies, the assigned EICs of the SAs will also receive notifications when the company completes enrollment by assigning the SA and Complaints contacts.

In instances when a company does not complete enrollment, the agency will have the option to send a quick reminder to the company. Giving the agency the ability to remind the company to complete enrollment process will ensure the agency and company are moving smoothly through the enrollment process. An additional enhancement was put in place to allow agency users to remove a company account administrator if the contacts have not been assigned. Additionally, improvements were made to the email notifications for agencies. With this enhancement, an agency will receive a single email welcoming them to SES and creating their accounts instead of receiving two separate emails to complete account creation.

- B. **SA and Complaints Enhancements:** Several small enhancements were made to the SA workflow for agencies. For example, notifications have been put in place for a few relevant areas of the workflow. A design change was also made to the scope definition workflow, providing agencies a smoother experience when selecting the Areas for Review and corresponding business types, and activities when defining the scope. In this release, agencies will be able to include file share links when transmitting loan requests and complaints IRs to the company. These enhancements allow agencies to have ownership of the file share to which companies can upload responses for loan requests and complaints IRs.

Several enhancements were also made to SES Consumer Complaints for agency users. Regarding enrollment, the assigned agency POC will receive a notification when a company has completed company enrollment by assigning the Complaints

Contact. Agencies will now have a few more relevant notifications in the system relating to IRs, agency POC assignment of complaints and more. The Louisiana release also includes several enhancements to the Complaint intake form, which is where the complaint is entered. These include, giving agency users the ability to initiate a complaint from several areas within the system including the company's record, the related actions tab, and the complaints tab on a company's record. The intake form will also no longer default to sending the initiated complaint for preliminary review, requiring the user to select an action before proceeding. Additionally, an "unknown" option when selecting Business Activities will be available for all Business Types. Finally, the intake and closure form will also allow users to select if the complaint was referred from the state attorney general or if the agency needs to refer the complaint to the state attorney general upon closure.

II. Company Users

- A. Company Enrollment: Similar to agencies, several enhancements have been put in place in the Louisiana release for company enrollment in SES. New company users will receive a single email welcoming them to SES and directing them to complete their company user enrollment. Additionally, if a company user denies association with a company, any subsequent companies to which the user is added will now generate a notification to the user. All the enhancements in relation to company user enrollment will provide companies and agencies a more polished and effortless experience when joining SES.

- B. SA and Complaints Enhancements: In relation to SAs and Complaints, enhancements were put in place for company users in several areas of the workflows. One major enhancement some company users will have access to is the ability to export Information Requests (IRs) for SAs. Additionally, enhancements were put in place to give companies notifications where they were deemed important.

Ticket No	Title	Description	Context (User)	Feature
User Management + Enrollment				
SES-1997 (16)	Design Ticket - Can quick enroll the first company user	This functionality allows the agency users to quick enroll NMLS Primary Contacts onto SES.	Company	User Management
SES-1994 (17)	Agency: One-click reminder from agency to company to complete enrollment	The agency user who initiates company user enrollment for the first company user in SES can send a one-click reminder to the company user. This will prompt the company user to check their email for a welcome email from SES and complete the enrollment process.	Agency	Company User Enrollment
SES-1993 (17)	Agency: Single email with OKTA activation	A new agency user will receive a single email welcoming the user to SES and guiding the user on creating their account.	Agency	User Management
SES-2002 (17)	Company: Single email with OKTA activation	A new company user will receive a single email welcoming the user to SES and guiding the user on creating their account.	Company	User Management
SES-1992 (17)	Agency: Notifications to agency when company completes enrollment and assignment	This enhancement sends a notification to the agency when the company has completed enrollment and assigned the SA and Complaints contact. Additionally, the assigned EICs of SAs and agency POCs for complaints will receive notifications when the company has assigned the SA and Complaints contacts.	Agency	Company User Enrollment
SES-1864 (17)	Agency User can remove company Admin if SA & Complaints Contact are not assigned	An enhancement was put in to allow agency users to be able to remove a company administrator if the SA contact and Complaints Contacts have not been assigned.	Agency	User Management
SES-2020 (17)	Company: Notify user when association is denied and added to additional companies	A company user who rejects association with a company and subsequently enrolled to by an agency again will receive a notification.	Company	Company User Enrollment
Supervisory Activities				
SES-1894 (16)	Design Ticket: Scope configuration	When agency users define the scope for a SA, they will be able to select and configure Areas for Review (AFRs) at once. Although, no changes to the functionality have been made this new design will allow for an enhanced experience for agency users when defining the scope of the SA.	Agency	Scope
SES-1915 (17)	Agency: Adding a file share link	An agency user will be able to add a file share link when sending loan requests to the company.	Agency	Information & Loan Requests
SES-350 (17)	Company: Export of IRs	The active company lead for a SA can export the IRs received from the agency for a SA.	Company	Information Requests
SES-1940 (17)	Agency: SD/SU receiving a notification when the company responds to the report	In addition to the EIC for a SA, the staff director and staff user will also receive a notification when the company responds to the report.	Agency	Report

SES-1917 (17)	Company Name to Display on Review Loan Request Page	This enhancement was put in to display the company name for which the agency user is reviewing loan requests.	Agency	Loan Requests
SES-1944 (17)	Accepted SA: Document retention date of acceptance documents to display with Acceptance details	An agency user who can view acceptance details can view the document retention date on the acceptance documents the user's agency uploads.	Agency	SA Acceptance
SES-747 (16)	Agency: IR & Loan Request Response Notifications to Participant when sending back	An agency participant on a SA can choose to receive a notification of IRs and loan requests that the agency sends back to the company.	Agency	Information Requests
SES-2037 (17)	Company: Notification when Agency Sends Loan Requests and Assignments	The company participants on a SA will receive a notification when the agency transmits loan requests or when the company lead assigns loan requests to other participants.	Company	Loan Requests

Complaints				
SES-1908 (16)	Agency: No default selection for Intake form	The system will no longer default to a selection on the complaints intake form. The user must select a next available action to initiate a complaint.	Agency	Intake Form
SES-1907 (16)	Agency- Complaints: POC notifications default to Yes when sending IRs	Previously the default option to receive notifications when the company responds to complaints IRs was defaulted to not receive notifications. This enhancement defaults the selection to yes so that the agency POC will receive notifications of company responses.	Agency	Information Requests
SES-1906 (16)	Company - Complaints: Subject POC must receive a notification when assigned/reassigned as the POC	The subject POC will receive a notification if they are assigned or reassigned as the company point of contact for a complaint.	Company	Assignment
SES-1905 (16)	Agency - Complaints: Notification when assigned/reassigned Agency POC	The agency POC will receive a notification when they are assigned or reassigned as the agency point of contact for a complaint.	Agency	Assignment
SES-1885 (16)	Agency - Complaints: IR Response Notifications to complaints users when sending back	Agency complaints users can choose to be notified when sending back an IR to the company.	Agency	Information Requests
SES-1903 (17)	Agency - Complaints: Complaints user can initiate a complaint from Related Actions	An agency complaints user can initiate a complaint from the related actions tab, complaints tab and summary tab from the company's record.	Agency	Initiation
SES-1909 (17)	Agency - Complaints: Adding Referred from the State Attorney General to Intake form	When initiating a complaint, agency users will be able to indicate if a complaint is referred by the state attorney general.	Agency	Initiation
SES-1910 (17)	Agency - Complaints: Adding referred to State Attorney General when closing a complaint	When an agency complaint user is closing a complaint, the user can indicate if the complaint will be closed and referred to the state attorney general.	Agency	Close Out
SES-1916 (17)	Agency - Complaints: Complaints-adding file share link	The agency POC for a complaint can add a file share link when sending IRs to the company.	Agency	Information Requests
SES-1985 (17)	Complaints: Agency - Providing "unknown" option for all Business Types	When initiating a complaint, an agency complaints user will now have the option to select "unknown" when selecting Business Activities.	Agency	Initiation