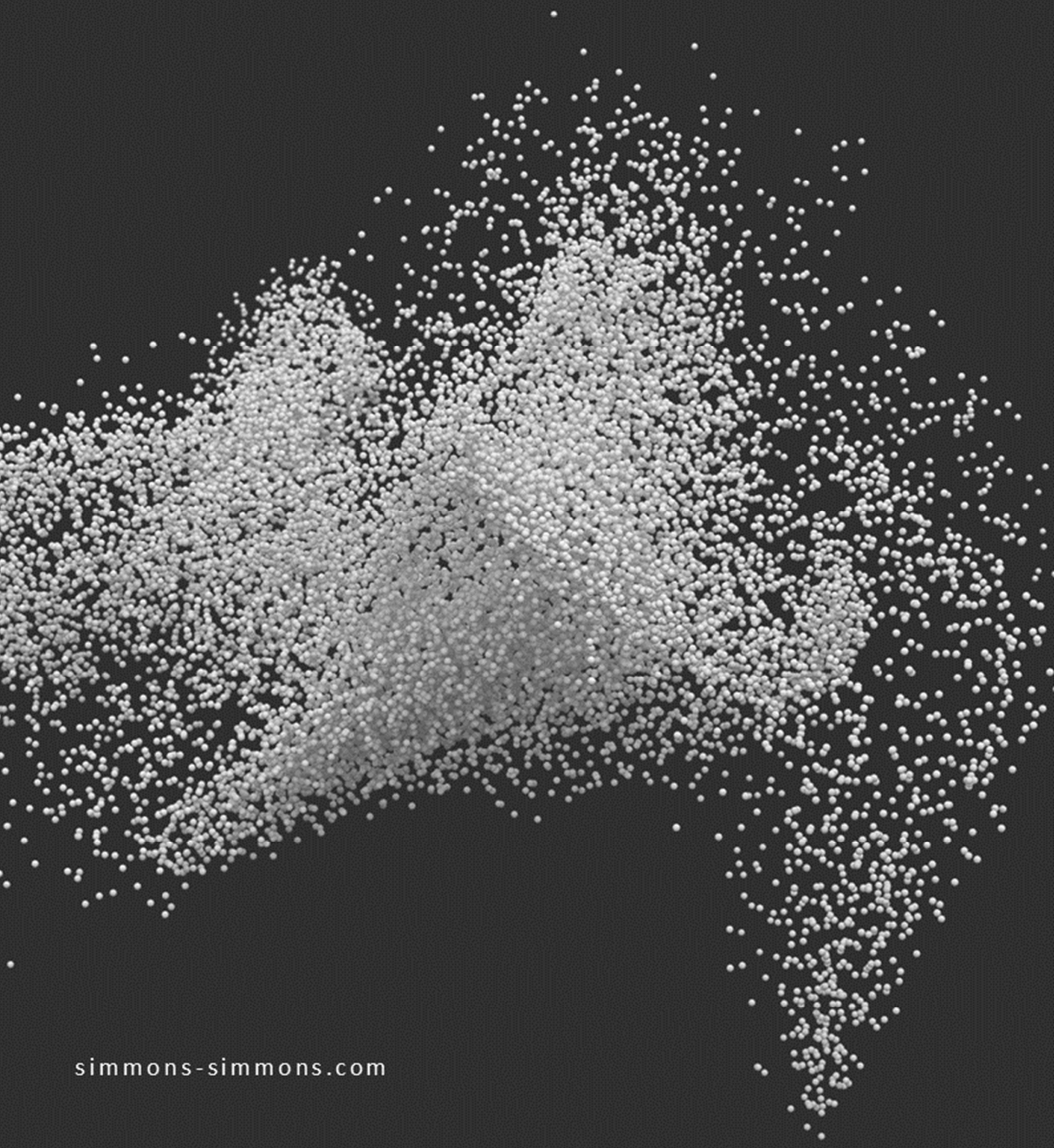
e-learningwmb
all-in-one e-learning solution

simmons + simmons | SMCR Solution

SMCR Solution
Platform Documentation



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1. Getting Started

The Simmons & Simmons SMCR Solution is a unique online product created by our in-house experts to provide affected firms with the tools needed to both effect and manage compliance in a user friendly and efficient way.

This user guide is targeted at SMCR core firms. For enhanced firms, we recommend reaching out to the firm's usual Simmons & Simmons contact for guidance on how the SMCR Solution can be tailored to suit the compliance requirements for enhanced firms.

1.1 Logging into the SMCR Solution

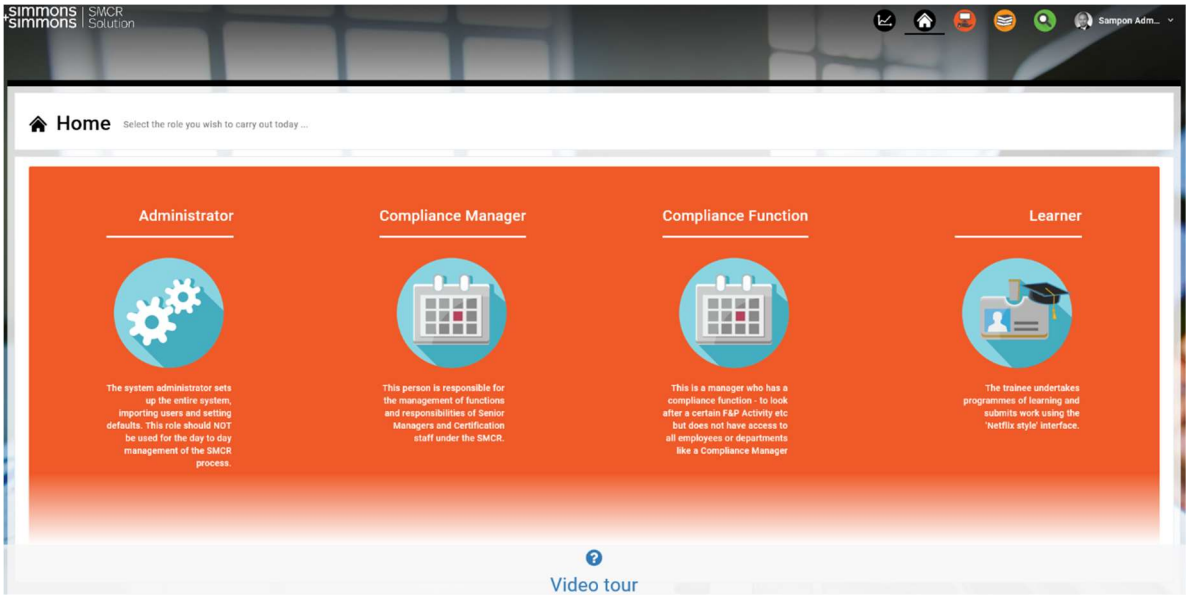
To login into the system, navigate to https://openlms.e-learningwmb.co.uk/[companyname].

Use the username and password provided by the system administrator.

If an organisation has single sign-on enabled, a user may be redirected to another page to complete the login in process.

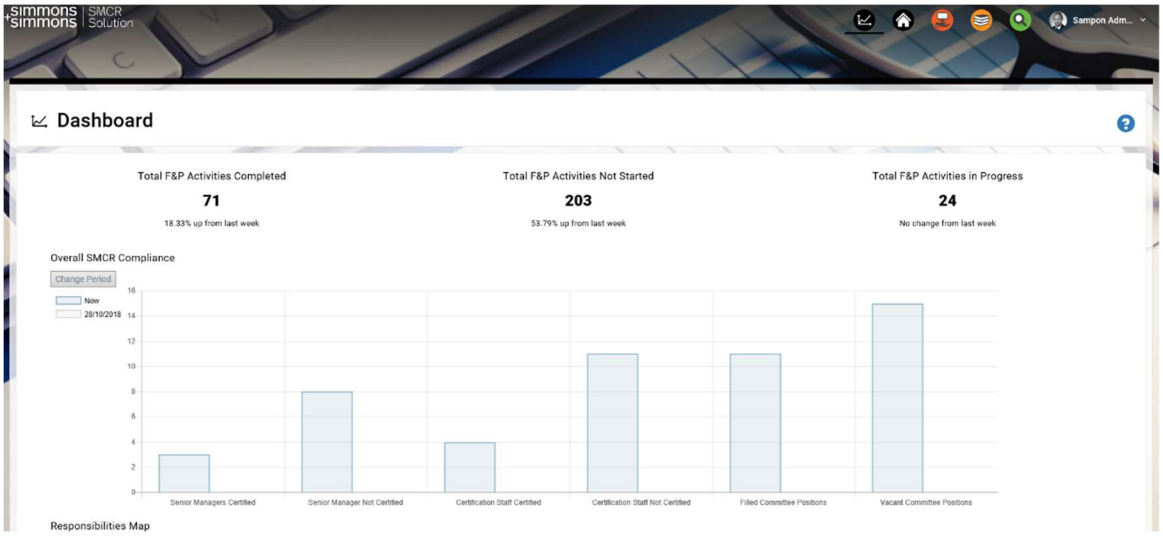
1.2 Welcome Screen (Administrator Only)

The welcome screen is the system's primary menu - it is only visible if a user has more than one role (e.g. a Super Administrator who is also a Compliance Manager etc.) If the user only has one role then this screen is not displayed.



(A) Dashboard

At the top of each screen, a dashboard is visible to each user. This dashboard varies depending on the user's role and can be customised by the administrator.



(B) **Video Tour**

A video overview of the entire system is available through the Video Tour link at the bottom of the page. Further video tours exist throughout the system relevant to the current screen.

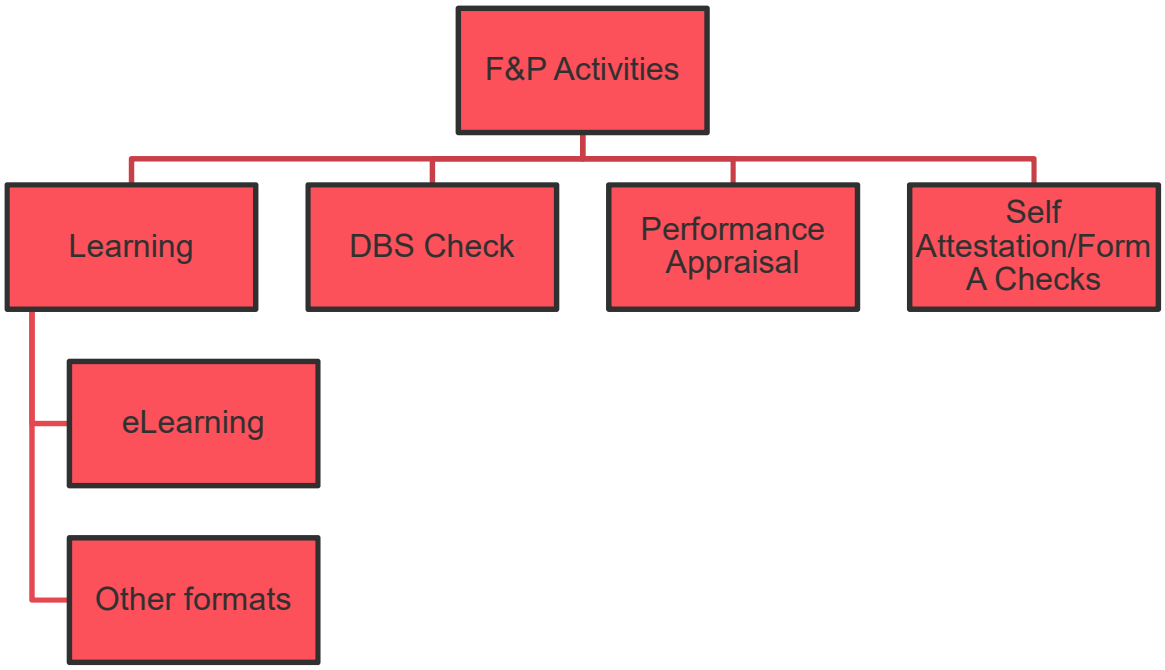
(C) **Functions Menu (Administrator or Compliance Only)**

If the user is logged in as either an Administrator or Compliance Function/Manager, an additional navigation will appear. This contains links to the following functions:

- Manage SMCR – manage the SMCR sign-off process for individuals and action any compliance oversight actions required.
- Activity Library – manage the library of learning resources loaded onto the system.
- Review – monitor progress, generate bulk emails and produce reports from the platform.
- System Setup – manage individuals, responsibilities, functions, job roles and committee structures. (**Administrator Only)**

2. Administrator

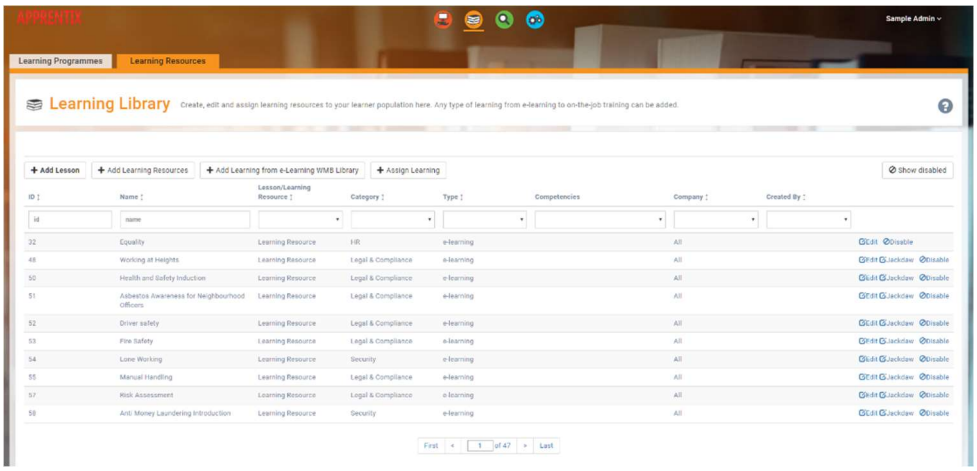
2.1 Learning Management



F&P Activities are tasks which must be completed as part of the certification process. **Learning** is the only activity type which can be fully customised by system administrators.

(A) Adding F&P Activities

The solution comes pre-loaded with activities tailored to the nature the firm's business.



(1) Learning

The SMCR Solution can add any type of learning to the system. This includes:

- Lessons
- YouTube

- Document Uploads - F&P Activity tasks requiring the online submission of documentation
- Book/CD/DVD
- Classroom Training
- On the Job Training
- Website/Web Document
- e-Learning (existing and new)

Each type of F&P Activity has the following common features:

Name

A name used for searching. It is also displayed to the individual over the default thumbnail image when browsing their learning catalogue.

Category

The learning category used for filtering data when reviewing and searching learning.

Learning Lesson Code

This is a code used internally for identifying learning. This code is not displayed to staff members

Keywords

Keywords are not displayed but are used for keyword searches.

Description

It is a good idea to enter a course description for all learning. Keyword searches will also filter against this field.

Available for Self-Enrolment

Checking this box makes the learning accessible to any individual in the system. The learning will not be mandatory but available to anyone should they wish to complete the activity.

Require Management Approval

If this checkbox is ticked, a Compliance Manager needs to approve the individual's access to the learning prior to enrolment. There may be a cost element associated with the learning, or it may take the individual away from work for a long period of time. This toggle allows Compliance Managers to check schedules and budget accordingly prior to approving the training.

Company Access

Some learning may be restricted to certain companies (e.g. a customised version of a standard lesson, an enrollable F&P Activity purchased specifically for a specific company etc.). Toggling this box restricts access to the resource to the company selected.

Days till learning is due

This denotes the number of days after the course is assigned that it is flagged as overdue. Once a course is overdue, it will be flagged to the Compliance Manager - as well as appearing in the individual's diary as an alert that needs actioning.

Days till refresher training due

Used when learning needs to be carried out at regular intervals. This is often the case with compliance training or learning linked to insurance requirements, where regular repetition of the training is required to demonstrate a up to date compliance.

Thumbnail/Promo Images

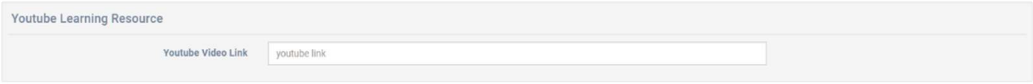
Thumbnail and promo images are used by the learning management system as a pictorial representation of a course. Should there be no available images for these, their places will be filled with suitable defaults for the type of learning selected.

Custom Certificate Resources

These fields allow the certificate for a specific course to be customised. By default, certificates contain company branding and the details of the selected course. Options allow the definition of additional qualification or images specific to the associated learning. For instance, some courses may carry CPD accreditation and will require the CPD accreditation logo along with a message specific to that accreditation body.

(2) **Add YouTube Video**

YouTube videos can be added as a learning activity. The system tracks how long each individual accesses the video for.

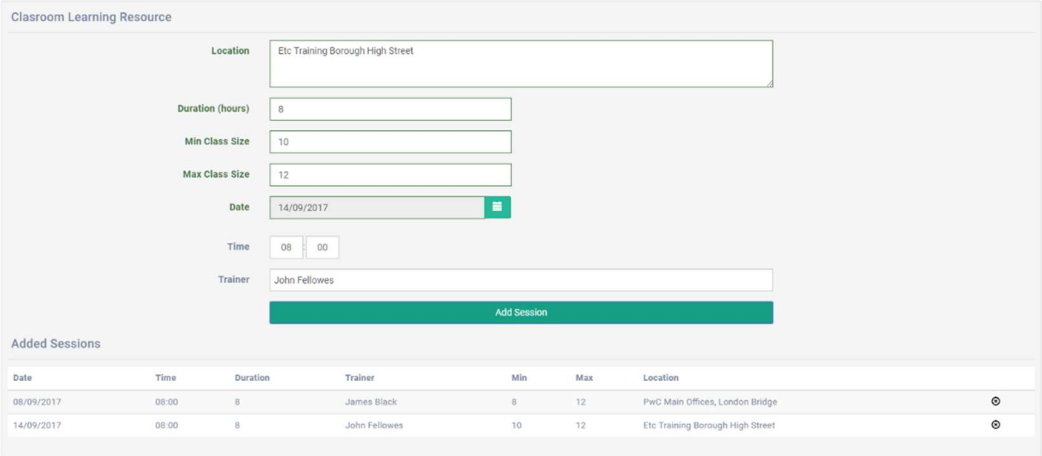


(3) **Add Book/CD/DVD**

Electronic and online media can be added as learning. The time spent accessing this resource needs to be entered manually.

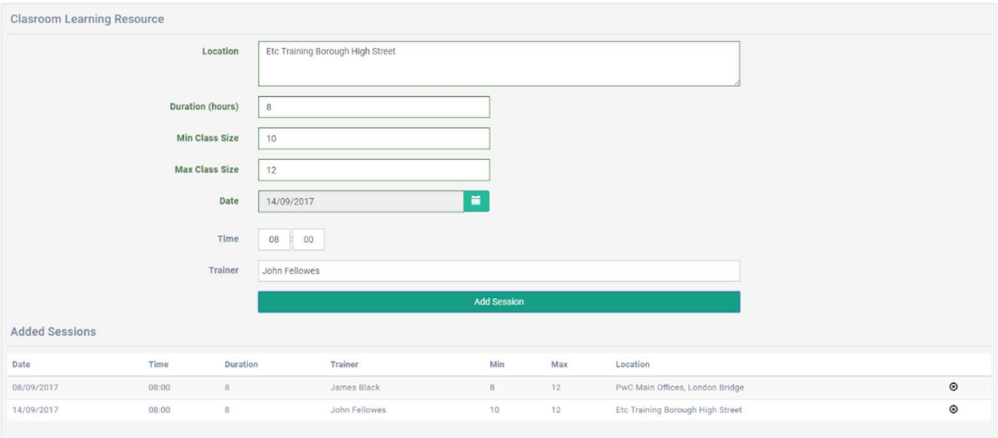
(4) Add Classroom Training

Classroom training sessions can also be added as learning. The minimum and maximum class size required can also be defined. The duration of the training event is recorded in hours.



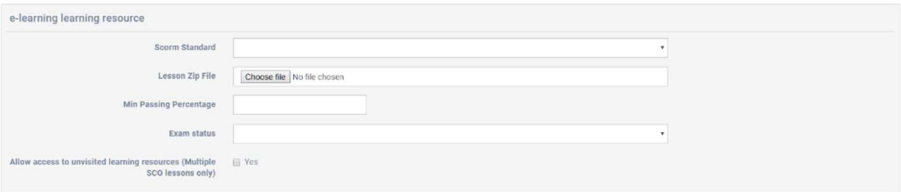
(5) Add On-the-job Training

On-the-job training (assessment or mentoring) is treated like classroom training in that possible training sessions can be added as learning from which the individual can select from. The duration of the training event is manually recorded in hours.



(6) Add e-Learning

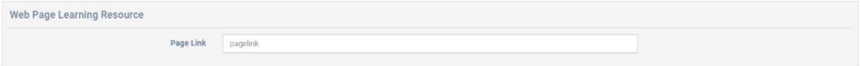
SCORM v1.2 e-learning can be added as learning. The system tracks how long each individual access the learning for, the score on any quiz and the time it takes to complete the training.



When adding SCORM compliant courses to the system, make sure the SCORM package is supplied as a zip file and contains a SCORM v1.2 Manifest file. For details on how SCORM v1.2 packages are created then refer to https://myelearningworld.com/3-best-ways-to-create-a-scorm-content-package/ (NB most authoring tools will accomplish this automatically.)

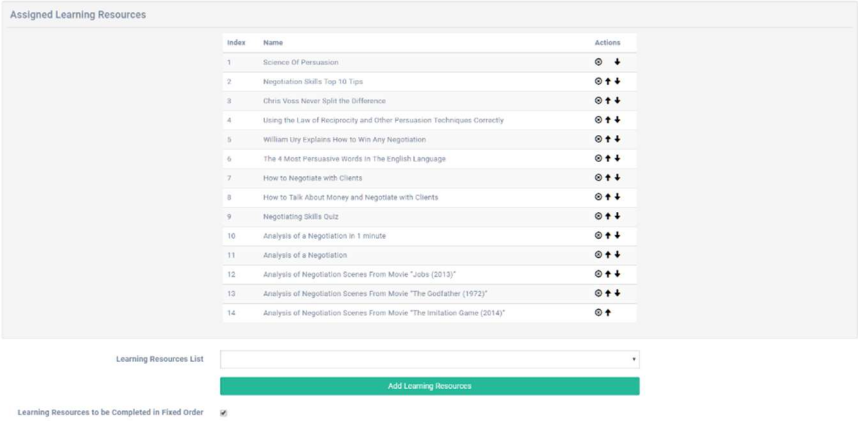
(7) **Add Website**

An entire website or even a single web page can be linked to the SMCR Solution. The time spent on this learning will need to be entered manually.



(8) **Add Lessons**

Lessons are effectively a group of learning activities. The learning can be selected from those in the system and ordered according to preference. Lessons are added by accessing **F&P Activities > Lessons > + Add Lesson.**



(9) **Assign Learning**

This process allows learning to be assigned in bulk. Please note that learning can also be assigned to individual individual's e-portfolios via the **Manage F&P Activities** screen.

Courses can be assigned to a selection of employees, departments and groups at the same time. This enables courses to be rolled out effortlessly throughout an organisation.

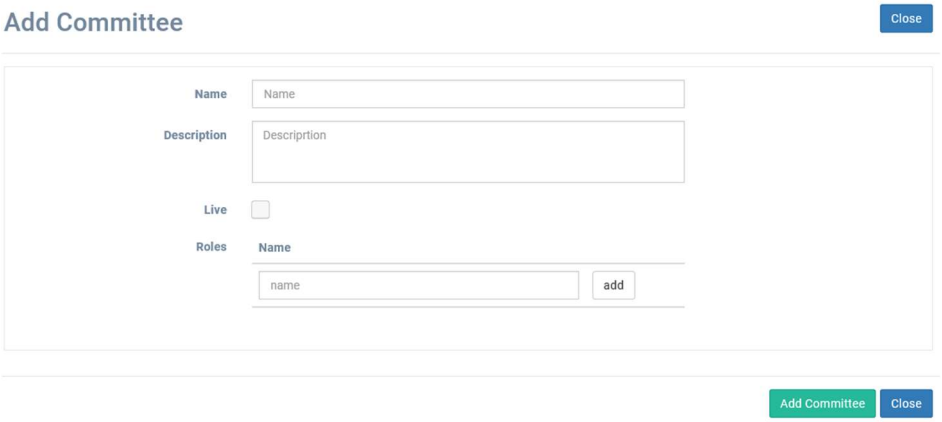
To assign F&P Activities and learning to individual accounts in this way, select the F&P Activity (s) to be assigned to individuals, then scroll down the screen and select from the list of **Departments, Groups** and **Employees** to add the F&P Activities to those accounts.

2.2 Committee Management

To add/edit committees go to **System Setup** and navigate to the Committees tab.

New Committee

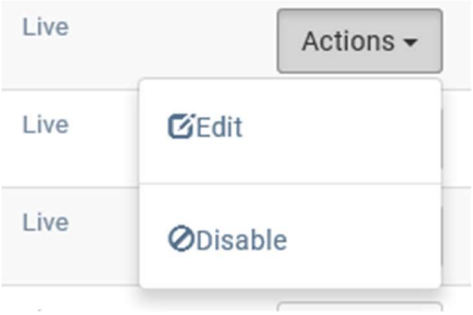
To add a new committee, click on the **+Add committee** button. The following popup will be displayed.

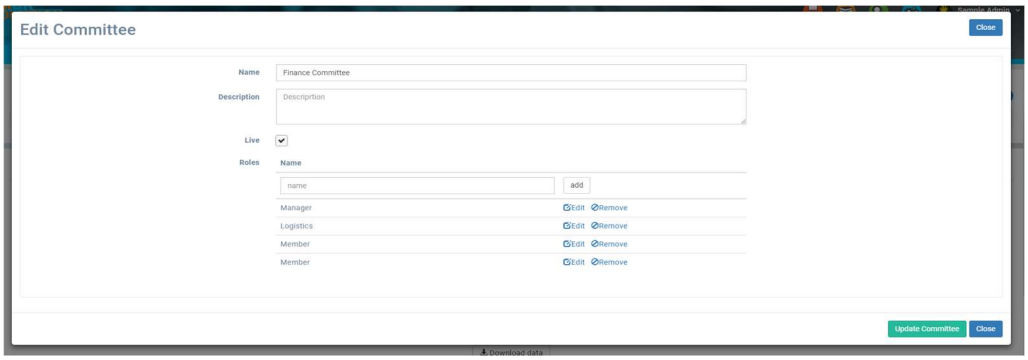


A committee requires a name, description and at least one role. Multiple roles can be added using the **add** button**.** A role can be assigned to multiple users, so it is not necessary to create duplicates of the same role.

Modify Existing Committee

Clicking on the **Actions** button and then **Edit** brings up the edit dialog, this can be used to modify existing committees. Clicking disable will archive the committee and it will no longer appear on user interfaces.





Disabled committees can be reviewed at any time by clicking the **Show disabled** button.

2.3 Function/Responsibility Management

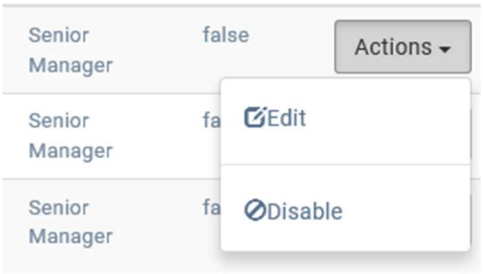
To add/edit a function go to **System Setup** and navigate to the Functions tab.

Adding a New Function

Clicking the **+ Add Function** button will open a popup where details of the new function can be input into the system.

Clicking **Add Function** will save the new function.

Editing an Existing Function



By clicking on the **Actions** button a function can either be edited or disabled (archived and will no longer appear on user interfaces).

Clicking **Edit** will bring up the popup below. The **Type** dropdown allows a function to be defined as either being applicable to a Senior Manager or a Certification Staff Member.

Click **Update Function** to save any changes.

Disabled functions can be reviewed at any time by clicking the **Show disabled** button.

Responsibilities

Responsibilities can be defined and managed in a similar fashion to functions.

To add/edit a responsibility go to **System Setup** and navigate to the Responsibilities tab.

Then follow the same steps described in the functions documentation.

The solution comes preloaded with the prescribed responsibilities applicable to SMCR core firms (https://www.handbook.fca.org.uk/handbook/SYSC/24/2.html?date=2020-01-21#D13) .

Other Responsibilities

Click on "Add Responsibility" and give it a name "Other – [Description]" (e.g. Other – Portfolio Management, Other – Trading) and then add a text description of the person's responsibility. This will then show as a list of "other" responsibilities on the individual's SOR"

Supplemental information can be added in the same way by adding a responsibility called "Supplemental Information – [name]"

2.4 User Management

Accessed via the **Users** link at the top of the screen, the user management section allows for the administration of all the individual accounts in the system.

The database can be populated using one or a combination of the following methods:

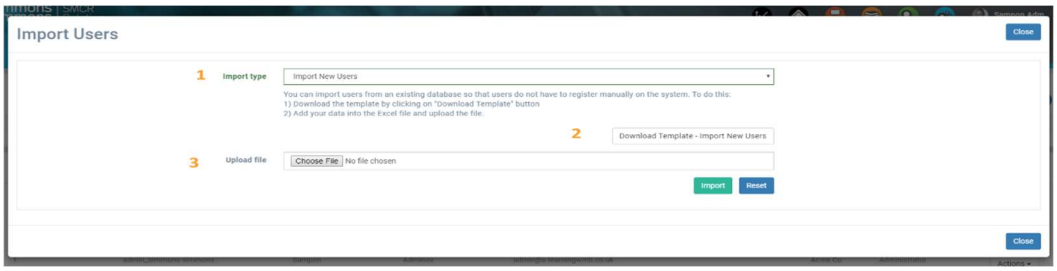
(A) Add New Users

Users can be added to the system one at a time by clicking on the **[+Add User]** button.

The form contains basic user data. When completing the staff records manually, it is important to make sure the company structure (sites, roles, departments, company names etc.) are entered first so that they can be selected from the dropdown input. Note that the **role** field for standard staff members should give the "Staff member" role – this ensures that they can access the training but not the "back-end" data management functionality.

(B) Import Users

Select the **+ Import Users** option to import a set of users from a company database etc. You will then see the following screen.



Step 1: Import Type

You then have the option of choosing one of the following types of import. When importing users for the first time, select the first option below "**Import New Users**":

Step 2: Enter Information into Spreadsheet

Download the import template. If the “Import New Users” option has been selected, the following fields can be imported. Below is a description of each field and example data.

Field	Example Data	Description
First Name	Joe	User’s first name(s)
Last Name	Bloggs	Second name(s)
Company	Acme	Company of the person (usually the licensee company - although can change for group companies, divisions etc.
Department	Marketing	The department field is important way of assigning learning resources to multiple staff members, or managers to multiple staff members.
Designation	Certification Staff	This links to the Job field in the system. Jobs can be linked to pre-assigned training.
Location	London Bridge	This can be any field to describe the geographical location of the individual.
Role	Staff member	
Country	UK	The country where the staff member is located.
City	London	The city or town where the staff member is located.
Email	jb@acme.com	
Phone	0207 123 4567	
User Name	jb@acme.com	Most clients use the staff member’s email for this as it is easily remembered and unique. This is used to log into the system.
Description	Joe works for Acme in marketing	Description of the staff member.
Group Name	Marketing and Sales	Groups can be used for handling multiple learning resources (e.g. assign a “Marketing and Sales” a course will propagate the

		course to all members of the group.
Password		Ideally leave this blank and - if a manual login is required - ask staff members to press the forgotten password link to log in.
Managers	ab@acme.com, st@acme.com, cd@acme.com	This is a list of managers assigned to each user (this allows those managers to see their data.) These are usernames which must be separated by commas. Note - all managers with a suitable role must be defined within the system first prior to importing this link.

Step 3: Import Data

Upload the completed spreadsheet to the server. This will import all users to the system.

(C) **Register Users**

Users can self-register for the system using a registration page. This page can be customised by e-Learning WMB to match a firm's requirements. Contact e-Learning WMB if a requirement exists for users to register themselves on the system. This is usually not recommended due to the likelihood of error on data entry.

(D) **Single Sign On (SSO)**

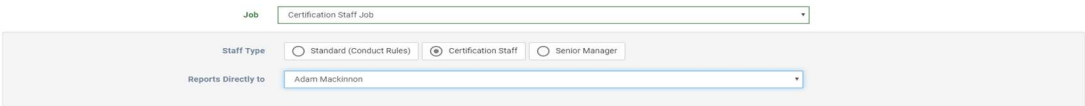
e-Learning WMB offers this option to enable staff members to click a link to directly log into the SMCR Solution system.

(E) **Editing Users**

Once individuals have been entered into the system it is important to:

- Define them under the SMCR by giving them a Job (this assigns them default learning related to that job;
- Define their role as either a Senior Manager, Certification Staff or Conduct Staff member (this controls the types of report that individual can produce along with permissions in the system; and
- Define to whom they report directly to (this is used to create the organisation chart).

To edit any staff member, log in as Admin > System Setup > Staff Members and select **Edit** from the **Actions** button to the right of the table. Scroll down and then edit the following fields: **Job**, **Staff Type** and **Reports directly to**:



(F) Adding Companies

There may be situations where it is preferable to split users into several companies; examples include large group companies which operate as unique entities or a reseller organisation hosting other company data.

Arranging data into separate companies has two advantages:

Data can be discrete hosted for each company; management access can be restricted at the company level.

Branding can be applied to each company at the login page.

To add a new company, go to **Organization Setup > Companies > + Add Company** and enter company details. If each company requires its own branding on the welcome page, then edit the Welcome Message, Logo and URL Extension.

Access can be restricted from company to company by logging in as Compliance Managers with the “Manager” and “Manager - Admin” profile. This profile by default has the “Access to all companies” checkbox switched off.

(G) Jobs

Jobs are linked to the default F&P activities for an individual. Further activities can be added on a case by case basis (see Assigning Additional Learning Activity to a User, page 37).

Jobs are not linked to an individual’s SMCR role, which is defined separately during account creation

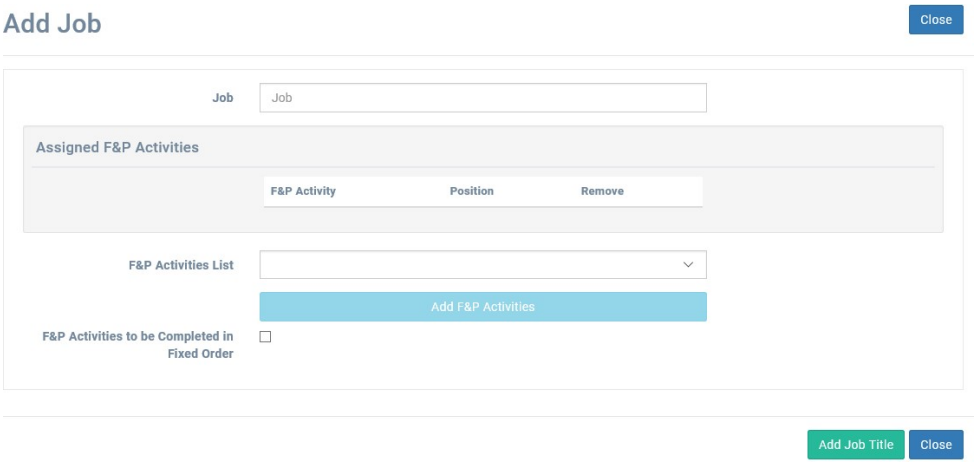
The system is populated with default jobs and activities for each SMCR role type (Senior Manager, Certification Staff, Conduct Rule Staff etc and comprise of several F&P activities aimed specifically at each.

These default jobs are generic. We recommend creating and assigning jobs that reflect an individual’s job title rather than their SMCR role.

Create a Job

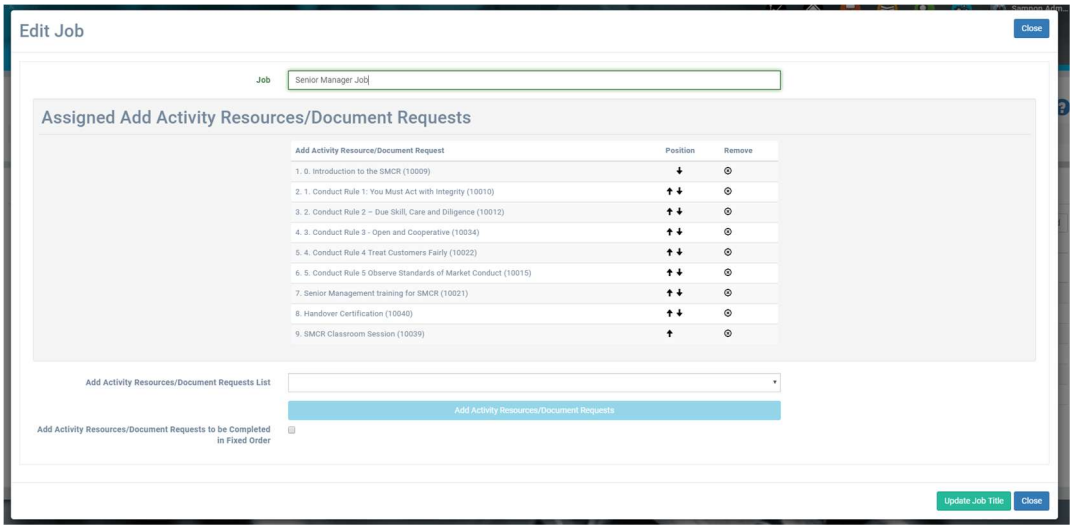
To create a job, navigate to **System Setup > Jobs** and click the **+ Add Job** button. Give the job a name and select activities from the F&P activities library This library

can be populated with an organisation's own resources (see Adding F&P Activities, page 7).



Edit Job

To edit a job, click the **edit** button on the relevant row in the table.



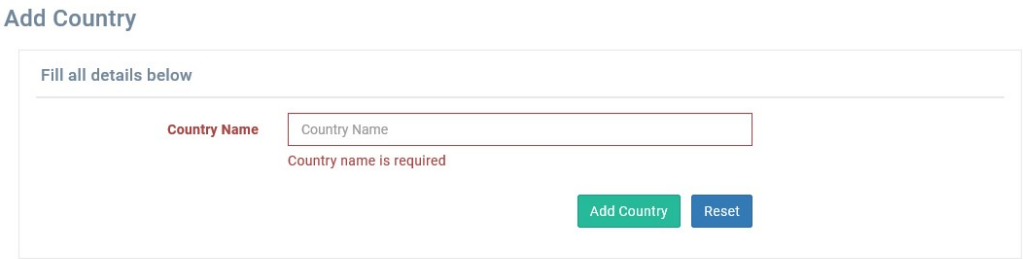
Click **Update Job Title** to save any changes made.

(H) Adding Other Organization Information

Additional organisational information can also be added (**Countries, Cities, Companies, Departments** and **Groups**).

To add a value for any of the categories above, navigate to **System Setup > [Category Name]** and click the **+Add [Category]** button.

On the popup (the country category is shown below). Type in a new value and click add **[Category].**



Modifying Values

To edit a value, select the **edit** option from the relevant row. If a value is no longer required, click the **disable** option. This will prevent the option being selected and will hide it from the view of non-administrators.

2.5 Compliance Manager Assignment

To manage Compliance Manager oversight, navigate to **System Setup > Compliance Managers**.

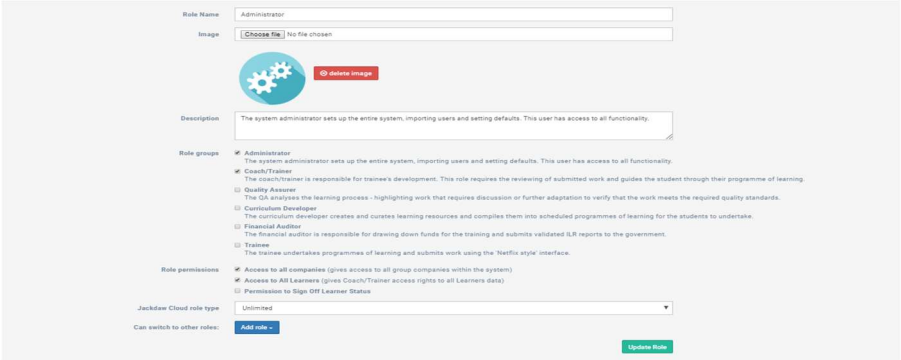
Note that only users set up with the following default Roles will be included in this list:

- Senior Manager
- Administrator

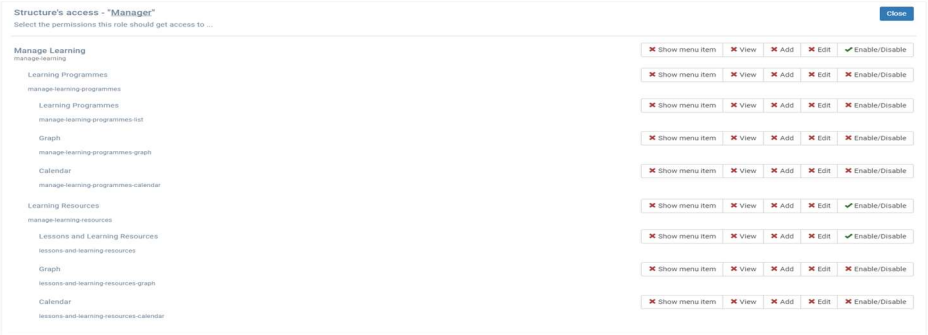
To assign individuals to a Compliance Manager's oversight, select the **Edit** link. On this screen, departments, employees and lessons can be assigned to a Compliance Manager. This means that the Compliance Manager will see the data from individual in the selected department(s), and any individuals directly assigned to them.

2.6 Managing Roles

Roles should be considered as "types" of system users, for instance: staff members, Compliance Managers, administrators etc. The type of role is defined by selecting the **Edit** button in the top right of the screen and allows the administrator to combine any number of roles into a single user account (for instance an Administrator can also be a Compliance Manager).



These roles contain all the permissions which restrict and enable an individual's system functionality.

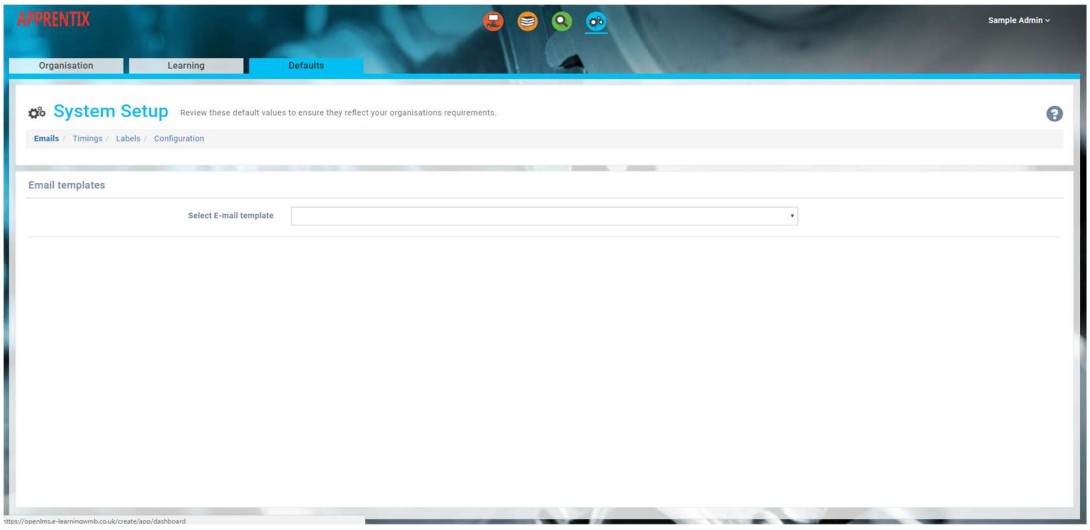


The **Page Access** link displays the permissions page above; here access permissions for each menu item in the admin interface are listed. User access to view the menu link, viewing the data, adding and editing data can all be restricted.

New roles can be created with new permission levels or existing roles can be customised accordingly.

2.7 Default Values Management

Default values are used by the system are configured in this tab - this includes emails, timings, labels used in the system and custom variables which affect the system's behaviour.



(A) **Emails**

Default emails are used by the system for a variety of tasks such as notifying individuals that a F&P activity they have booked onto has been approved or a forgotten password has been sent etc.

Each email can be edited and formatted using the controls on the toolbar. The email content contains variable values surrounded by two percentage signs. For instance, "%%USER_FNAME%%" displays the user's first name, "%%REGARDS%%" displays the email sign off etc.

Such variables can be selected from the drop-down list box on the email's toolbar. A full list is displayed below:

- %USER.FNAME% - individual first name
- %USER.LNAME% - individual last name
- %%EMPLOYEE_USERNAME%% - individual
- %%EMPLOYEE_FNAME%% - individual first name
- %%EMPLOYEE_LNAME%% - individual last name
- %%EMPLOYEE_EMAIL%% - individual email
- %%LEARNING_ID%% - reference ID for F&P Activities or lesson
- %%ASSESSMENT_DATE%% - date of the assessment (task assessments only)
- %%LMS_NAME%% - the name used internally to reference the SMCR Solution
- %%SESSION_LOCATION%% - location of classroom or on the job training
- %%SESSION_DATE%% - date of classroom or on the job training

- %%SESSION_TRAINER%% - trainer for classroom or on the job training
- %%LMS_LINK%% - the link to the SMCR Solution
- %%LEARNING_NAME%% - name of F&P activity to which the email applies
- %%REGARDS%% - sender name

User generated emails - i.e. not ones supplied by default with the system - can sent out periodically to the user population - the frequency by which they are sent can be customised by editing the **Next send out date**. The email is sent to anyone matching the search criteria which this email was initially sent to.

For instance, if a query is created to send an email to all new users of the system who are yet to start a certain course, then anyone who has not started the course would automatically be sent the email at that time interval. Any email query can be deleted using the red **Delete Template** button at the bottom of the form.

(B) **Timings**

Timings determine the time by which tasks are executed in the system.

Different types of F&P activities can become “due” at different times after they have been assigned. These due times are important since they affect the timing of when they are to appear in reports and pop up as events in a user's calendar.

Several additional time related restrictions and delays can also be defined here.

(C) **Labels**

Words used in the system can be defined differently for each installation.

For instance, if there is a requirement to use the word “email” hyphenated in an organisation, a translation can be set up so whenever the work “email” is detected, it can be automatically replaced with “e-mail”.

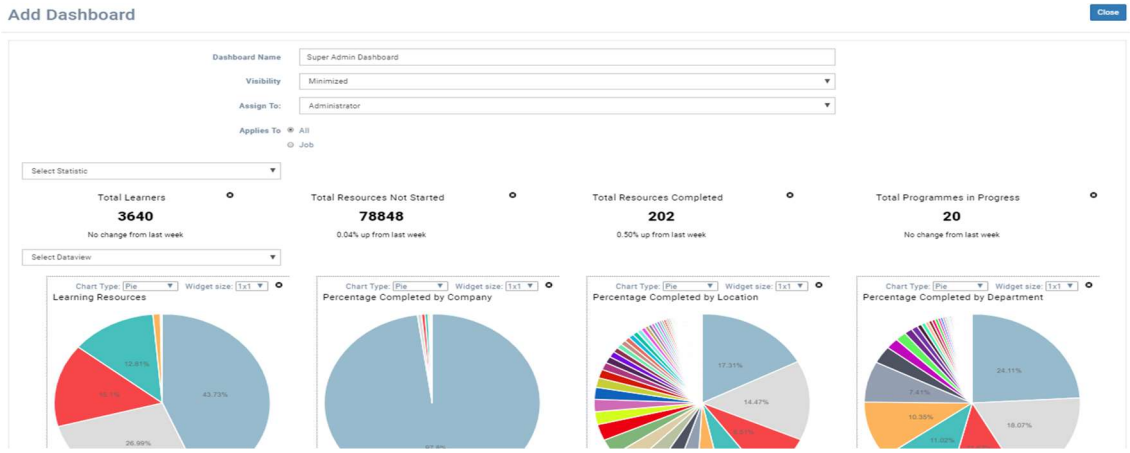
(D) **Configuration**

The configuration option enables the editing of configuration variables used by the system - largely affecting the user experience prior to the individual first logging in.

For instance, this section has the toggles for whether individuals can self-register on the system, the default role (along with the appropriate permissions) for a registered user, activating APIs etc.

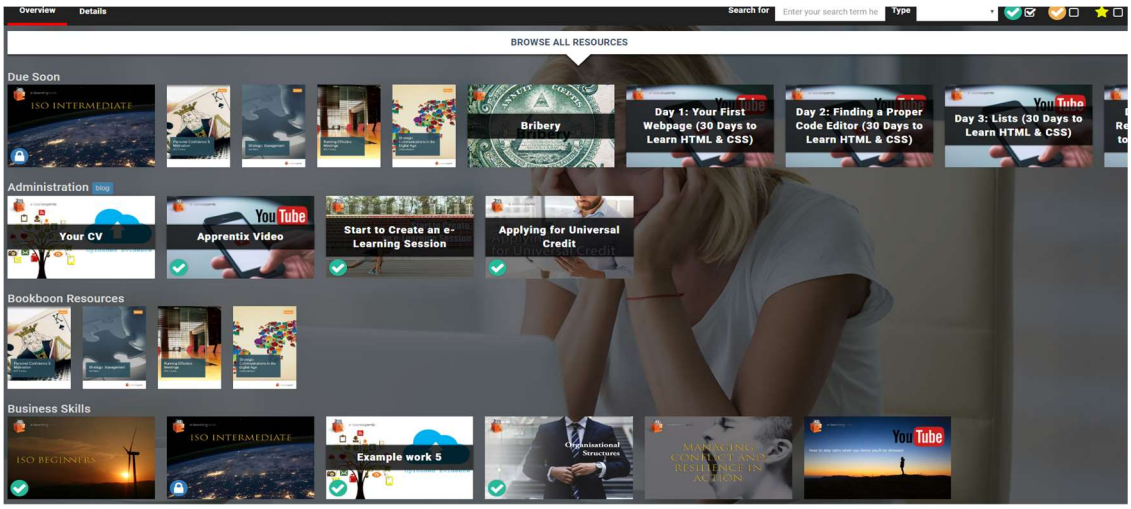
(E) Dashboards

This data view appears when the user first logs in. The statistics and graphs displayed to each role type can be fully customised.



(F) Individual's interface

Uploading a background image gives additional branding to each installation.



(G) Escalation Emails

If an individual fails to complete an F&P activity within a configurable time limit, there exists an option to send an automatic email. This email is sent to the individual's email address with the option to copy the relevant compliance manager(s) in on the email.

First reminder time limit

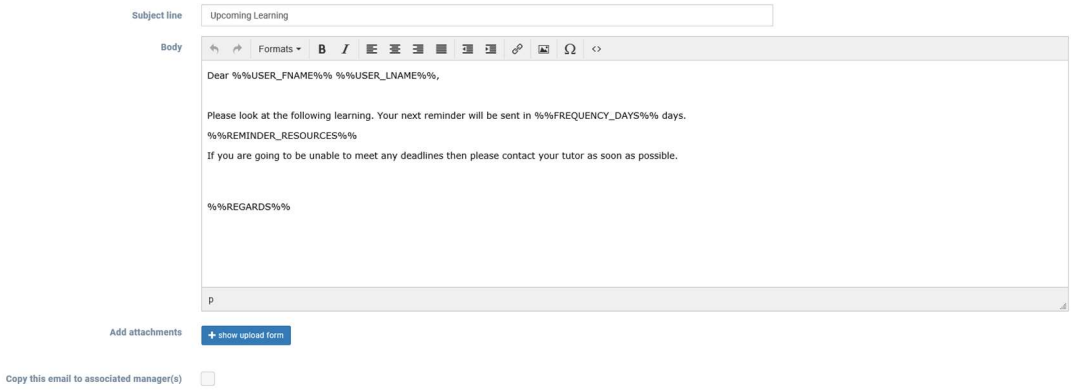
To change the configurable time limit, go to: **System Setup > Defaults > Timings,** and under **F&P Activity Timings** change the value of ***"Number of days after an e-learning resource is assigned that it becomes due (default 7 days)"***.

Follow-up reminder frequency

To change the configurable time limit, go to: **System Setup > Defaults > Timings,** and under **F&P Activity Timings** change the value of ***"Number of days after an e-learning resource is assigned that it becomes due (default 7 days)"***.

Email content

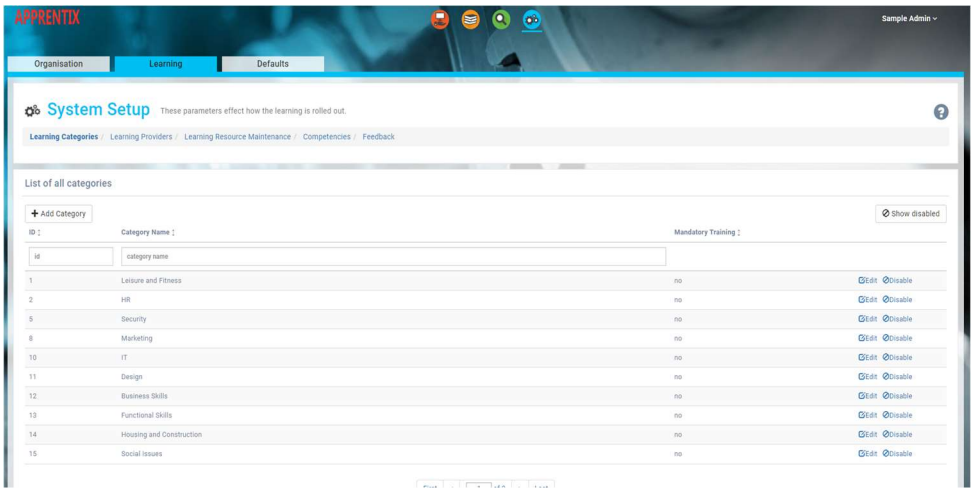
To change the content of the email, go to **System Setup > Defaults > Emails**, and select ***"F&P activity reminder"*** from the dropdown input.



To configure if the relevant compliance manager(s) is copied, toggle the **copy this email to associated manager(s)** checkbox.

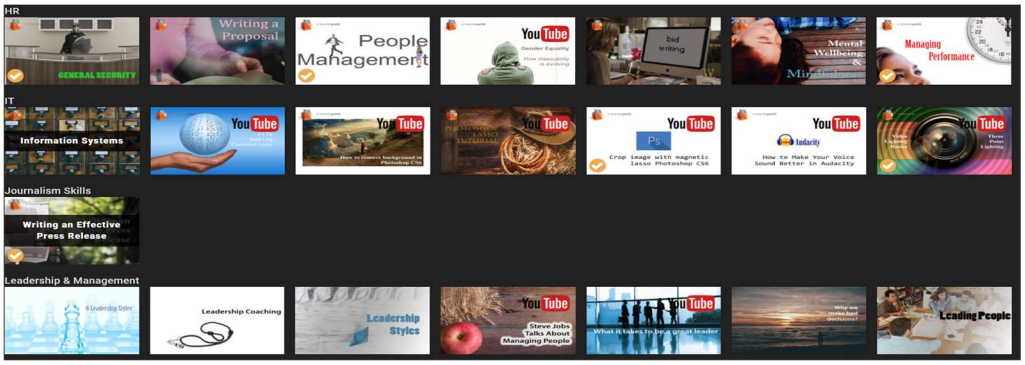
2.8 Learning Resource Management

This section of the system enables the setup of properties that affect how the F&P activities library is processed and presented to the individual. These include categories and providers used to describe each F&P activity, F&P activity maintenance tasks to manage underlying file updates from suppliers and competencies which can be linked to F&P activities with CPD learning points.



(A) F&P Activities Categories

F&P Activities categories are used to group F&P Activities in the staff member's interface.



It is important not to have too many categories since this may result in sparsely populated categories in some instances, as shown above.

(B) **F&P Activity Providers**

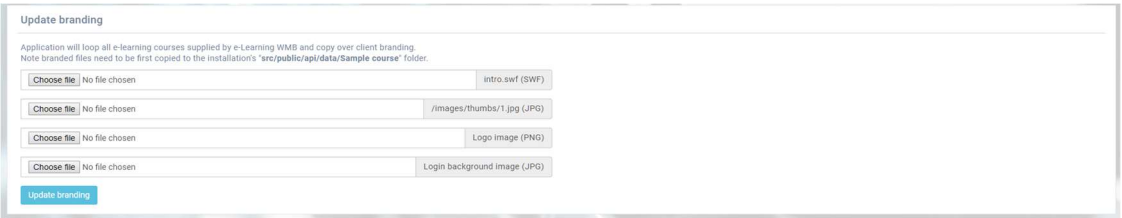
F&P activity provider information can be used when printing reports to segment data and assign costings by supplier.

(C) **F&P Activity Maintenance**

There are 4 options which can update learning in the program.

Update branding

Application will loop all e-learning courses supplied by e-Learning WMB and copy over client branding.



Note the upload files should be saved at 70dpi with a recommended size of:

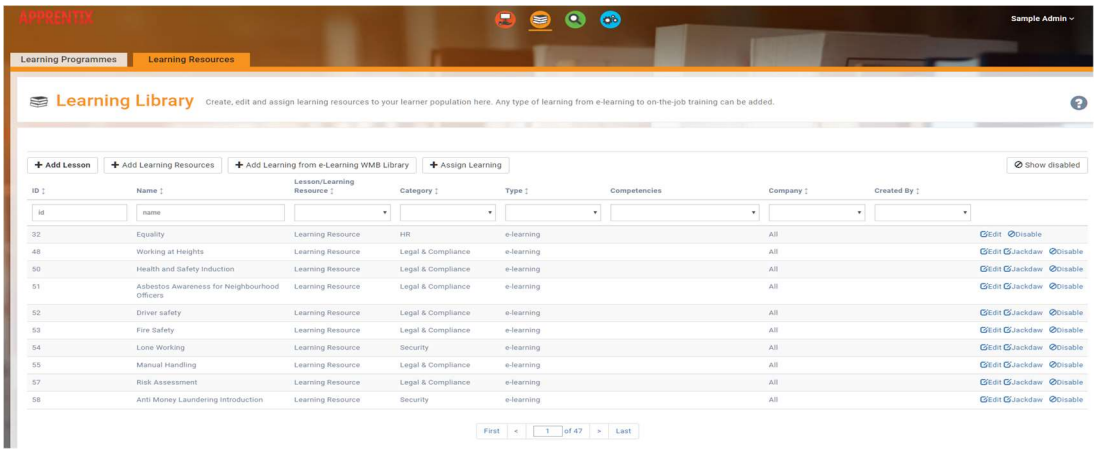
File	Size	Resolution
1.jpg (navigation thumbnail on e-learning courses)	400 x 242	70 dpi
Logo Image	700 x 180	70 dpi
Login background image	1840 x 1232	70 dpi

Intro.swf is the introduction animation at the start of e-learning courses, contact e-Learning WMB for details on how this can be modified.

Update e-Learning engine

The underlying e-learning engine is from time to time updated to allow new features during the presentation. This will not change the course content.

e-Learning WMB will usually run this process on behalf of a client when a change is needed. Contact e-learning WMB if an update file is required.



Update F&P Activity Images

Clicking in the Update/Replace Images will update the thumbnail images used in the interface with the latest default ones used by the system.

Update Progress data

Some reporting data is calculated every day by backend server-side processes - usually late at night. To review the very latest summary data, press the Update button to run these calculations immediately.

(D) **Competencies**
Competencies can be aligned to CPD - or similar - points enabling administrators to assign points or credits to **achieve** certain competencies.

Elsewhere points or credits can then be assigned to F&P Activities. On completion of the F&P Activity credit can be awarded against each competency. This is not a mandatory feature of the system and is often not utilised.

(E) **Feedback**
This is information received about F&P Activities from users of the system. Review courses regularly with this information in mind.

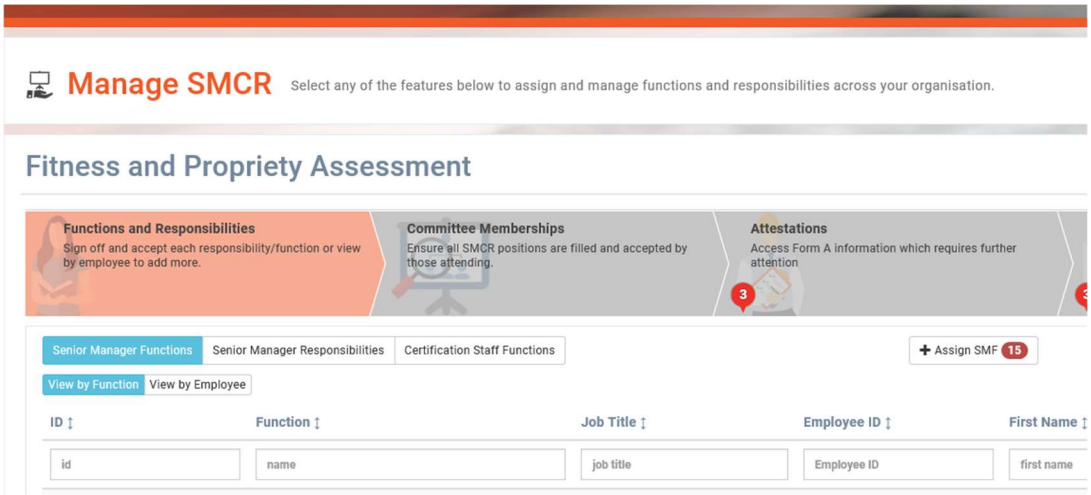
3. <u>Compliance Manager</u>

3.1 Assigning Functions

Record of Offline Activity Only

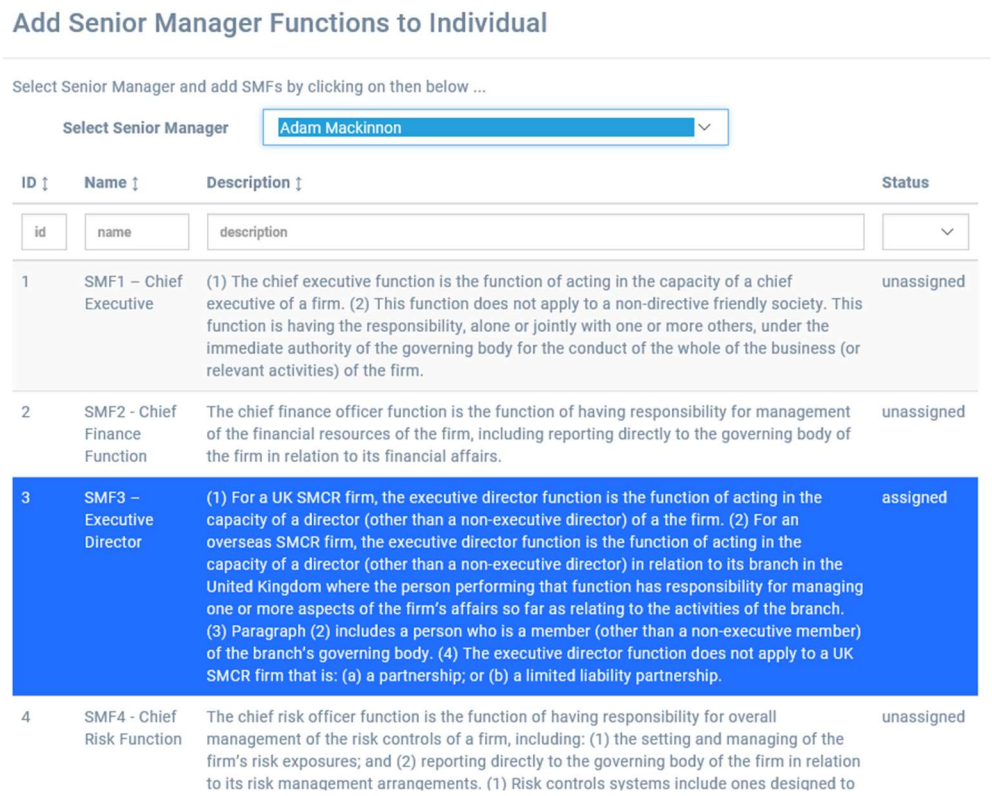
Function assignment on the Solution is designed to exist as an online record of assignment agreed using physical FCA-approved forms. The solution offers an easy-to-search record of which functions have been assigned, allowing firms to plan and track compliance.

To assign functions to an individual, navigate to the **Manage SMCR** view. Then on the **Functions and Responsibilities** tab ensure that the Senior Manager Functions sub-view is selected.



Then click on the **+ Assign SMF** button.

On the popup select the Senior Manager to assign functions to.

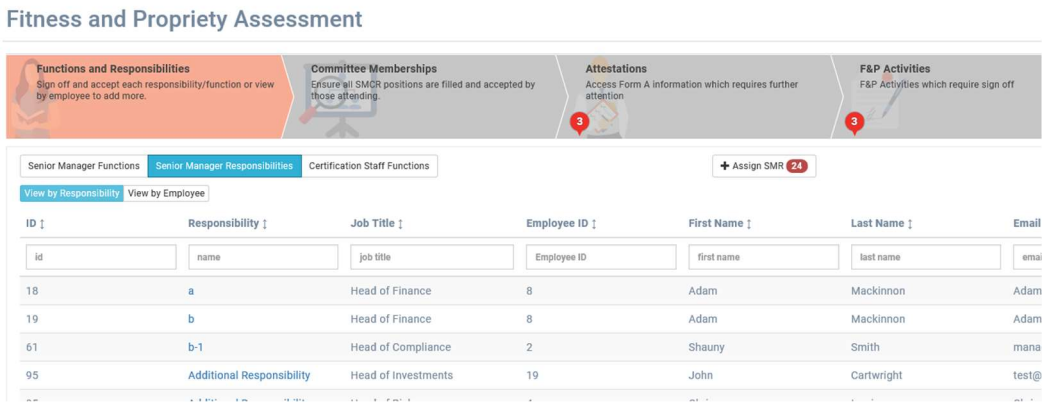


On this list, the applicability of a function to an individual can be toggled by clicking . To save, simply close the popup.

To complete this process for certification staff, navigate to the Certification Staff sub-view and follow the same process for the Senior Manager functions.

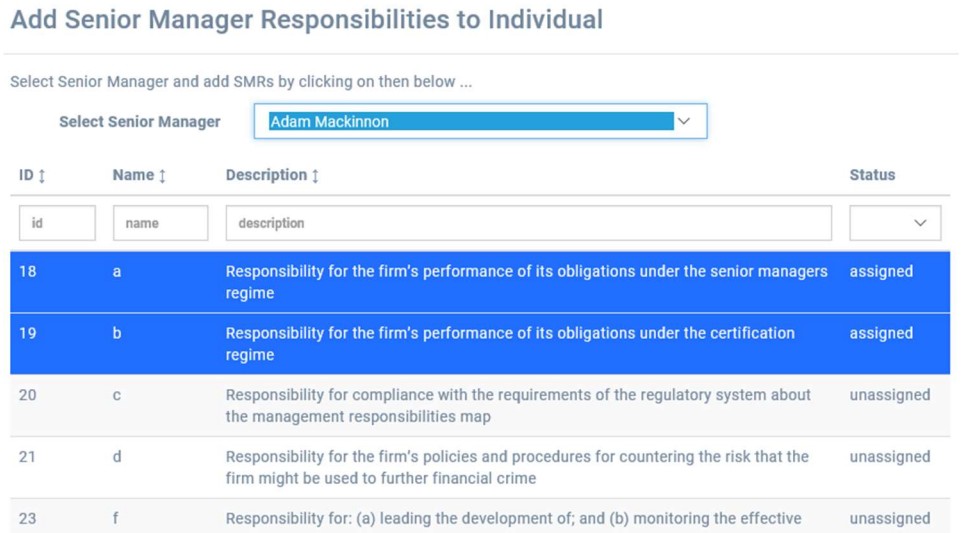
3.2 Assigning Responsibilities

To assign responsibilities to an individual, navigate to the **Manage SMCR** view. Then on the **Functions and Responsibilities** tab ensure that the Senior Manager Responsibility sub-view is selected.



Then click on the **+ Assign SMR** button.

On the popup select the Senior Manager to assign prescribed and other responsibilities to.



On this list, the applicability of a function to an individual can be toggled by clicking . To save, simply close the popup.

The solution comes with the SMCR responsibilities applicable to core firms predefined. Non-core firm responsibilities can be added manually to the system (Function/Responsibility Management, pg. 12).

To allocate **Other Responsibilities** to Senior Managers, they will need to be created manually. Please see (Function/Responsibility Management, pg. 12).

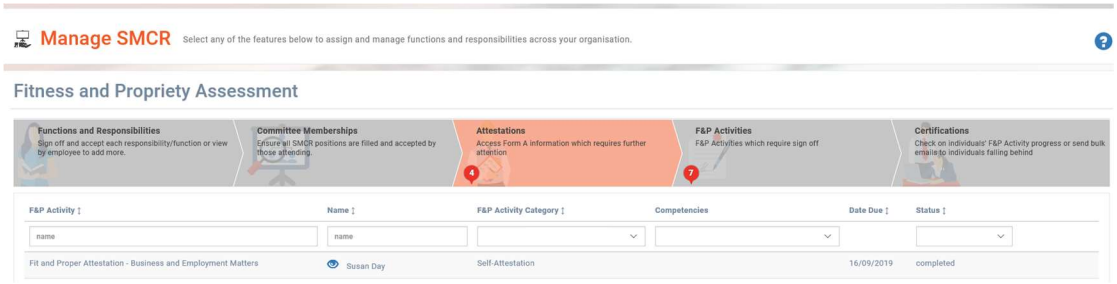
3.3 User Certification

(A) Actioning Sign Offs

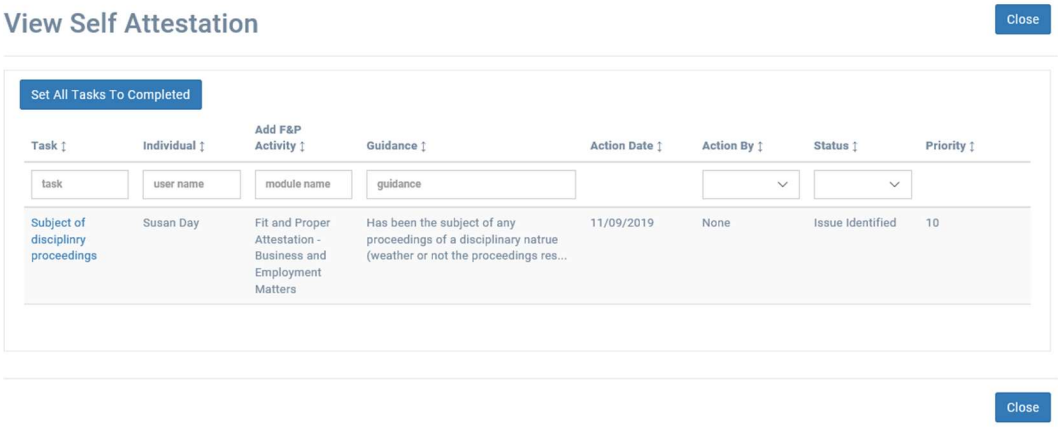
(1) Resolving Issues Identified in Form A Checks

All users are required to complete self-attestations of their fitness and propriety. Any questions answered **Yes** will automatically generate an alert for compliance to review.

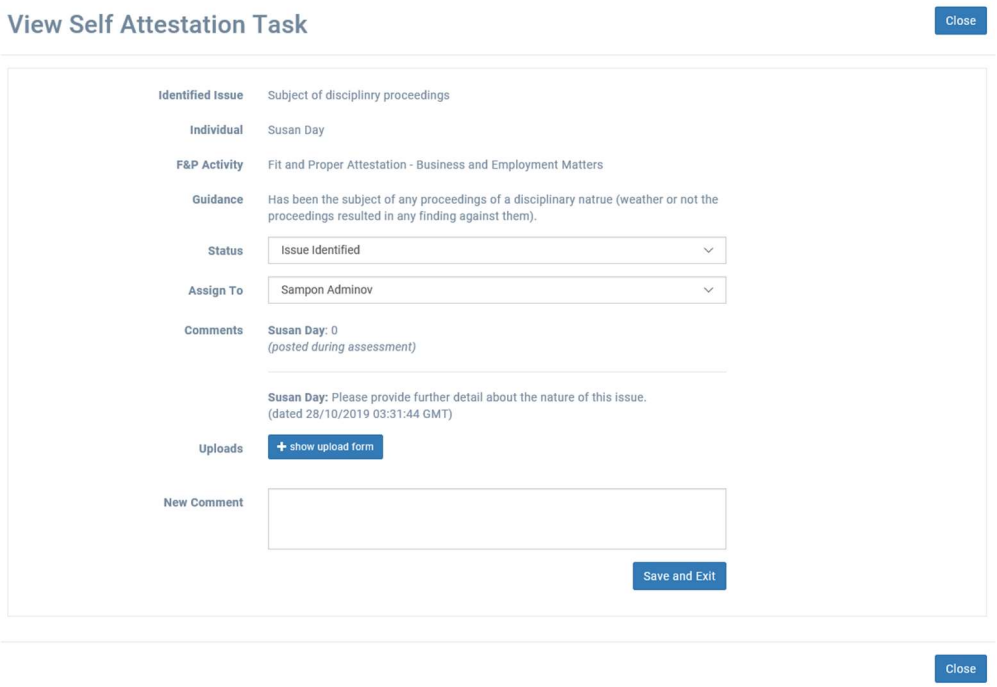
To view any pending alerts on the **Manage SMCR** view, navigate to **Attestations**.



To action an alert, click on the individual's name. Each row in the table is alert for a different section of the form. So, there may be multiple rows per user.



For each section of the form, any flagged questions will appear in a table format. To action a task, click on the title (first column).



An individual in compliance can then mark the status as resolved, assign it to another member of the compliance team and attach any evidence. Once an issue has been marked as resolved, it will disappear from the action list.

(2) **Performance Appraisal and Rescreening Checks**

As part of the certification process, the solution allows for the management of DBS checks and performance appraisal workflows.

> This feature is designed to be a record of activity conducted on other systems/offline. Please complete appraisals and checks using the firm's normal process. Use the solution to mark the progress of these and upload relevant documents once they have been completed.

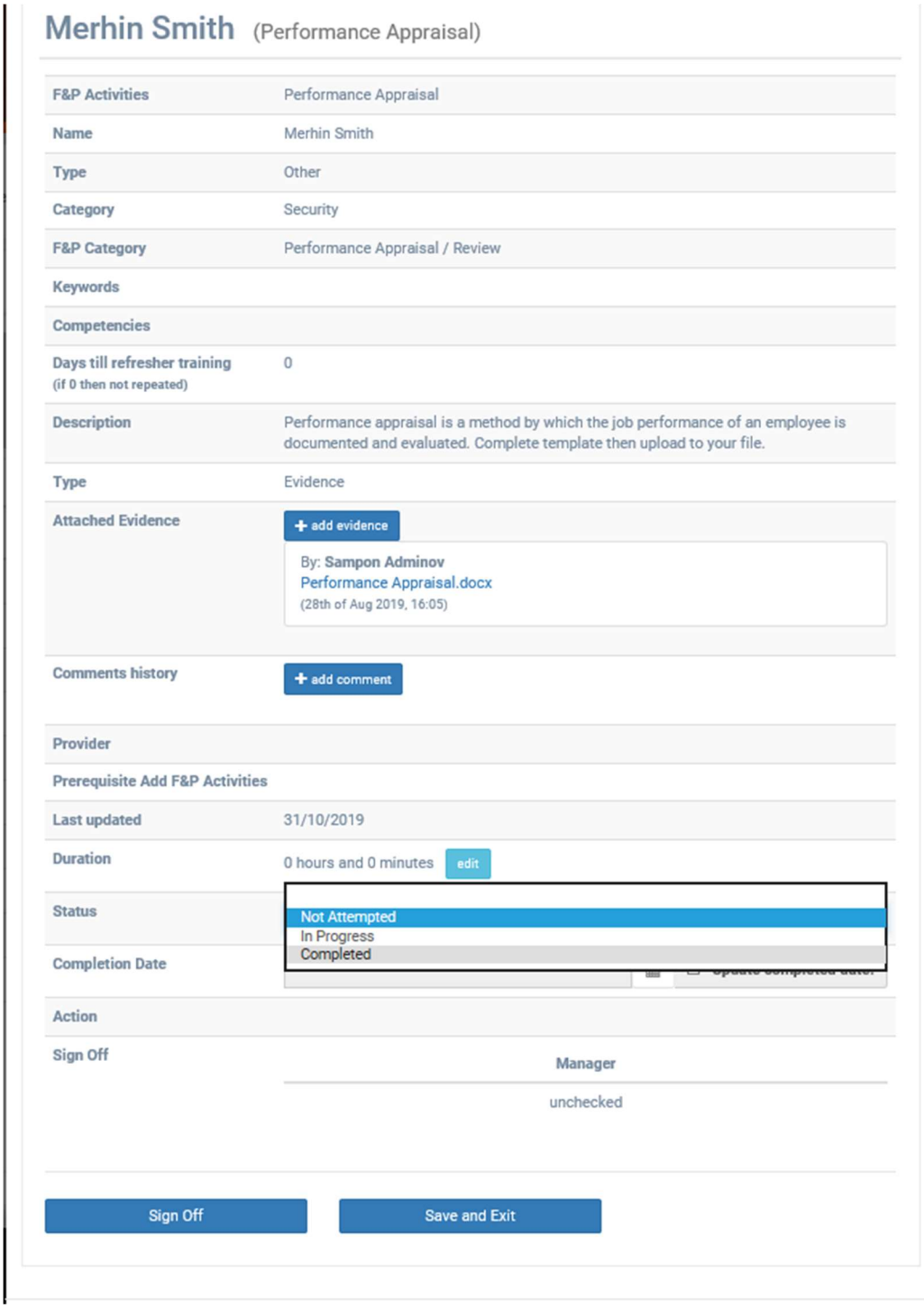
To action any outstanding requests, navigate to **Manage SMCR** and then click on **F&P Activities**.

Then to action a request, click on an individual's name. Note that for each task there will be a single entry, so there may be several entries per individual.

Fitness and Propriety Assessment

Functions and Responsibilities | Committee Memberships | Attestations 3 | F&P Activities 26 | Certifications

F&P Activity	Name	F&P Activity Category	Category	Date Due	Status
name	name				
Performance Appraisal	Rachel Watts	Performance Appraisal / Review		31/10/2019	not attempted
Disclosure & Barring Service Check	Chris Fraser-Watson	Rescreening Checks		31/10/2019	not attempted
Performance Appraisal	Chris Fraser-Watson	Performance Appraisal / Review		31/10/2019	not attempted
Performance Appraisal / Review 2	Sampon Adminov	Performance Appraisal / Review		04/11/2019	in progress
Performance Appraisal	Merhin Smith	Performance Appraisal / Review		05/11/2019	not attempted
Disclosure & Barring Service	Merhin Smith	Rescreening Checks		05/11/2019	not attempted



To complete a task, simply upload the relevant evidence and then set the status to “Completed”.

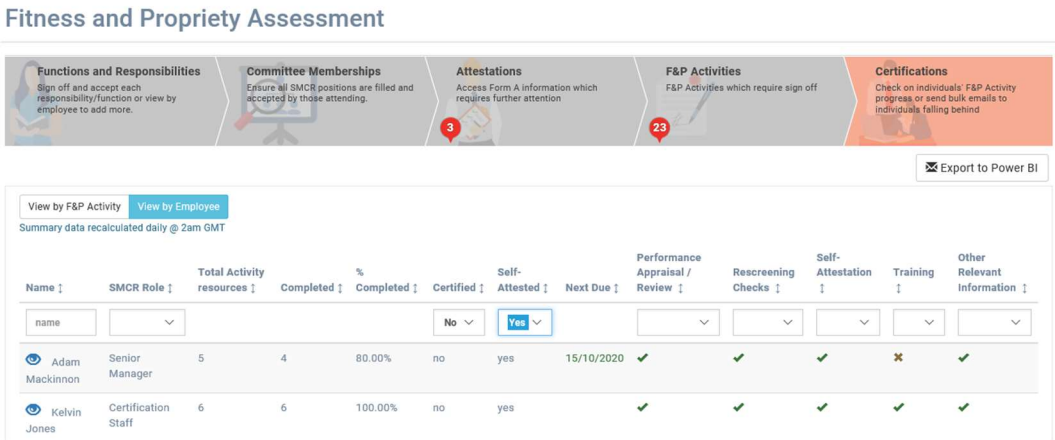
Press the **Sign Off** button and then **Save and Exit** to complete this stage of the individual's certification journey.

> The system requires an annual record that these checks have been completed. If a firm's rescreening schedule operates over a different period (i.e. 3 years), please make a note that the previous year's record is still valid as a comment and proceed to mark the record as completed.

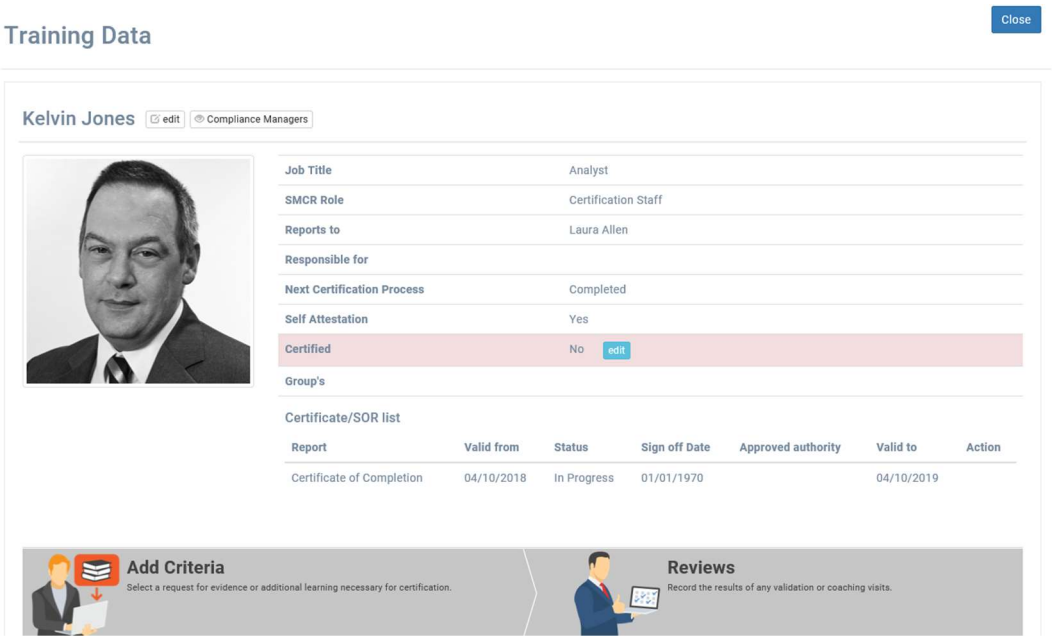
(3) Completing the Certification Process

To view which users, require certification approval; navigate to **Manage SMCR** and then **Certifications.**

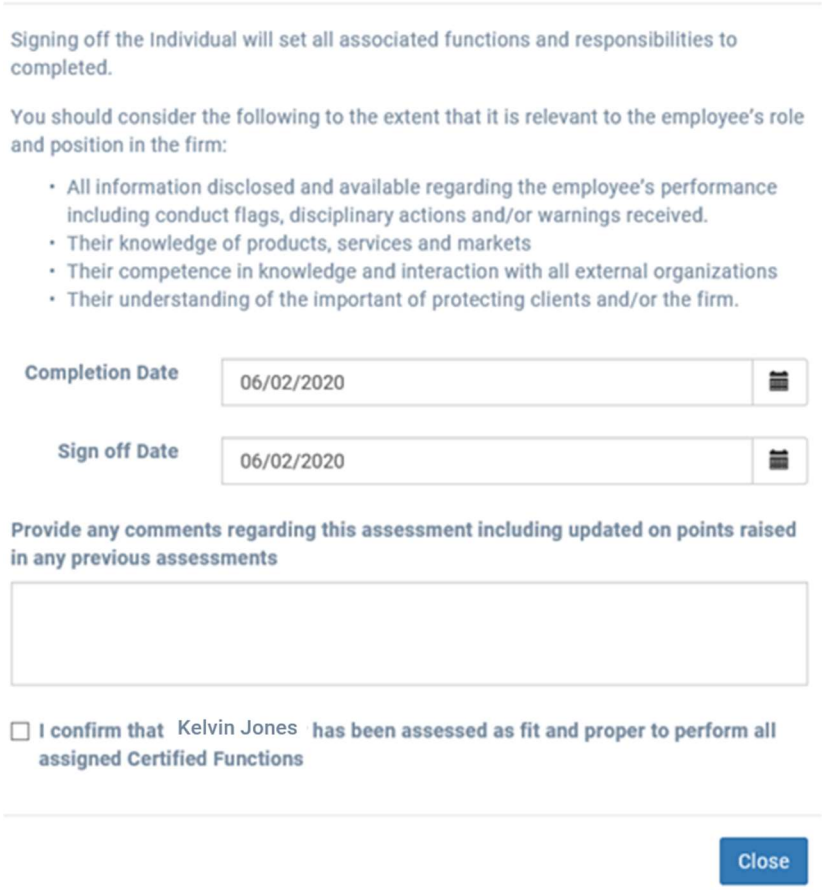
Set the **Self-Attested** filter to "Yes" and the **Certified** filter to "No".

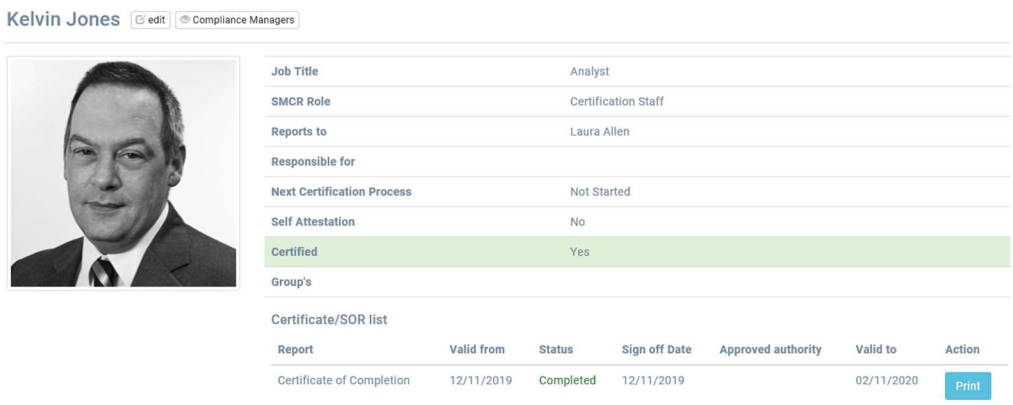


Click on an individual's name to bring up their dialog.



Click the **edit** button on the **Certified** status row.





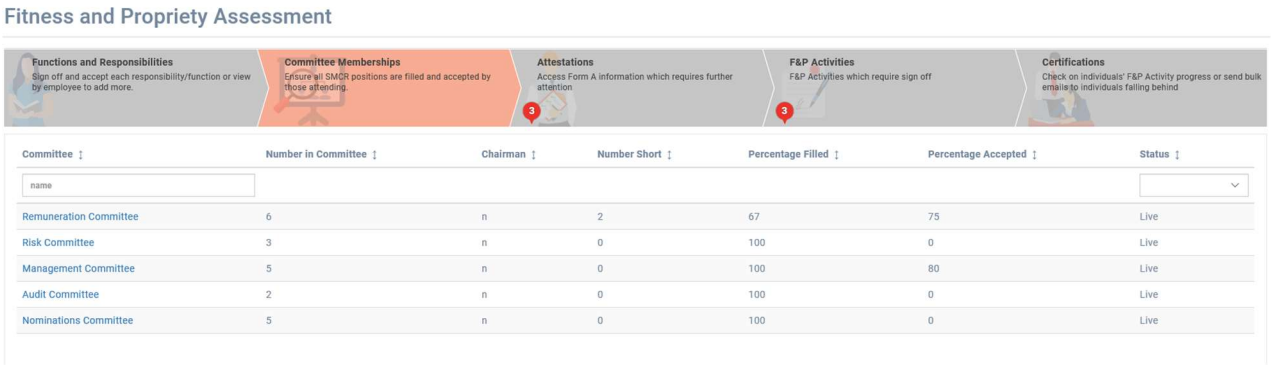
This will also generate their certificate.

We recognise that some firms may wish to align recertification dates after an individual's initial certification.

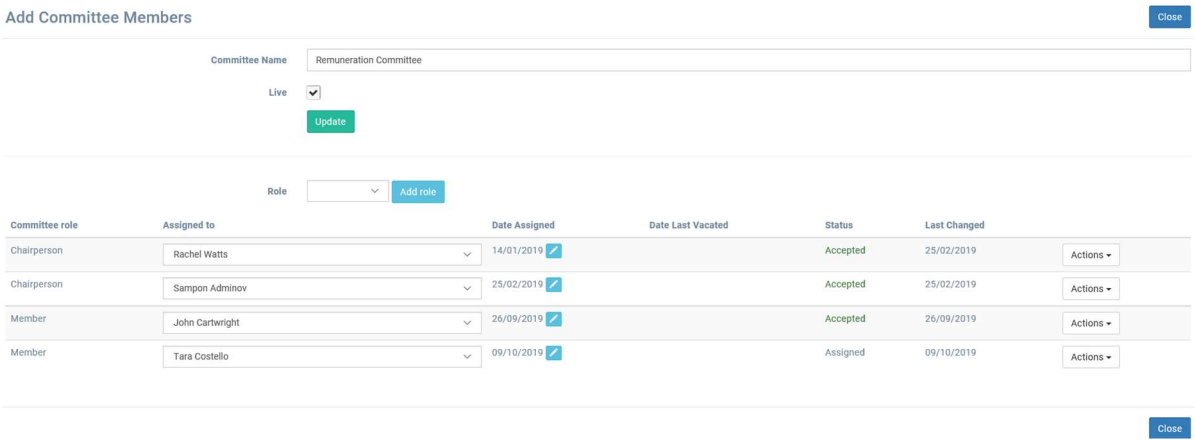
Whilst it is not possible to set a specific certification date for users, by following the steps below early recertification can be triggered:

3.4 Committee Management

To manage committee membership, navigate to the **Manage SMCR** view, and then the **Committee Memberships** tab.

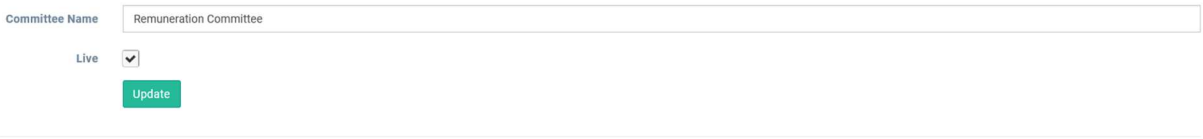


Click on a committee from the list, this will bring up a popup.



Committee Status and Name

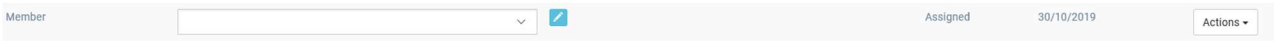
The first section of the popup allows a committee to be renamed and deactivated.



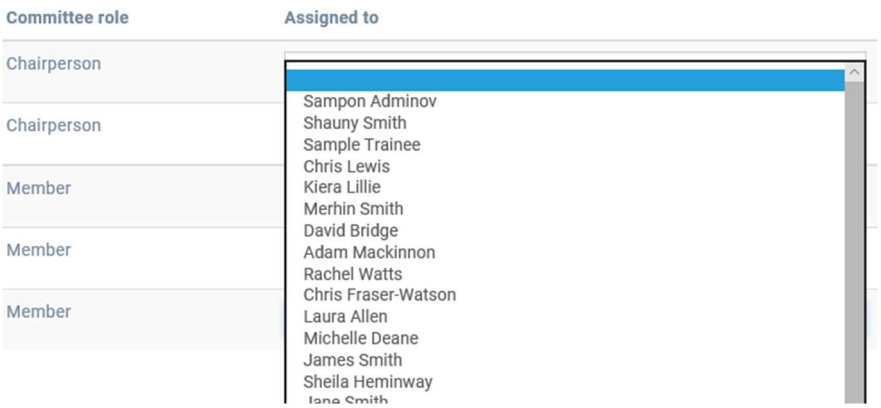
Adding a Committee Member

To add a user, select a role from the dropdown and click **Add role**.

This will generate a blank row at the bottom of the popup.



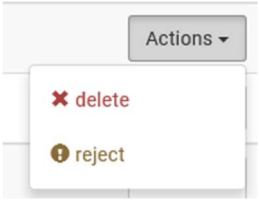
To assign a user click on the dropdown input and select an individual.



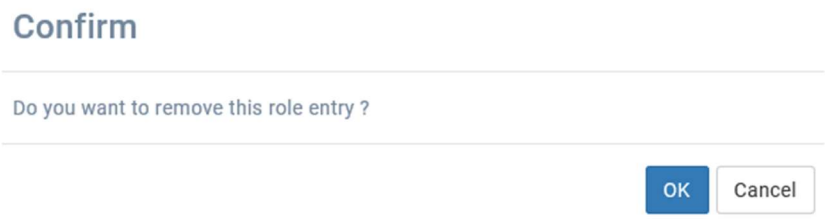
This will save automatically; the membership will be assigned pending acceptance by the selected individual.

Remove a Committee Member

To remove a member, click on the **Actions** dropdown and select **delete.**



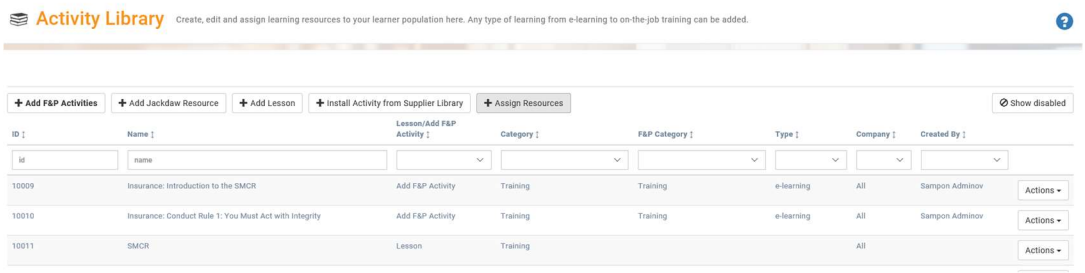
A prompt will appear to confirm this decision.



This will be automatically saved.

3.5 Assigning Additional Learning Activity to a User

To assign additional activity to a user, navigate to the Activity Library view. Then click the **+ Assign Resources** button.



This will then bring up a popup with a list of all the learning loaded in the system, use the search bar to locate the learning to be assigned to a department/group/individual. Other F&P activities will not appear in this list.

Click on a resource and then the desired assignment groups, this is automatically saved.

10011	SMCR	Lesson	Training		All
10023	Conduct Rules Staff	Lesson	Training		All
10024	Senior Manager	Lesson	Training		All
10026	Certification Staff -Asset Managers Lesson	Lesson	Training		All
10039	SMCR Classroom Session	F&P Activity	Training	Classroom	All
10045	Asset Management: Fitness and Propriety Assessment	F&P Activity	Training	e-learning	All

Selected Activity: SMCR

Departments

ID	Company	Department	Activity	Assigned
id		search ...		
1	Acme Co	Risk		not added
2	Acme Co	Compliance		not added
3	Acme Co	Finance		not added
4	Acme Co	Legal		not added
5	Acme Co	Investments		not added

Groups

ID	Group Name	Activity	Assigned
id	search ...		
1	Group A		not added
2	Group B		not added
3	Group C		not added

Employees

ID	Employee Name (email)	Activity	Assigned

4. Compliance Function

4.1 The differences between the Compliance Function and the Compliance Manager

The functionality of the Compliance Function and Manager is near identical. There are two key difference:

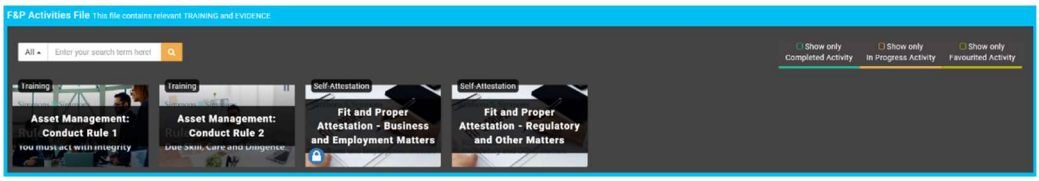
- **The Compliance Function** is not able to complete the final sign off for an individual requiring certification.
- **The Compliance Function** can be configured to restricted to see a reduced list of users assigned to them. See Compliance Manager Assignment (page 19) on how to assign users to a compliance user.

5. Staff member (Learner)

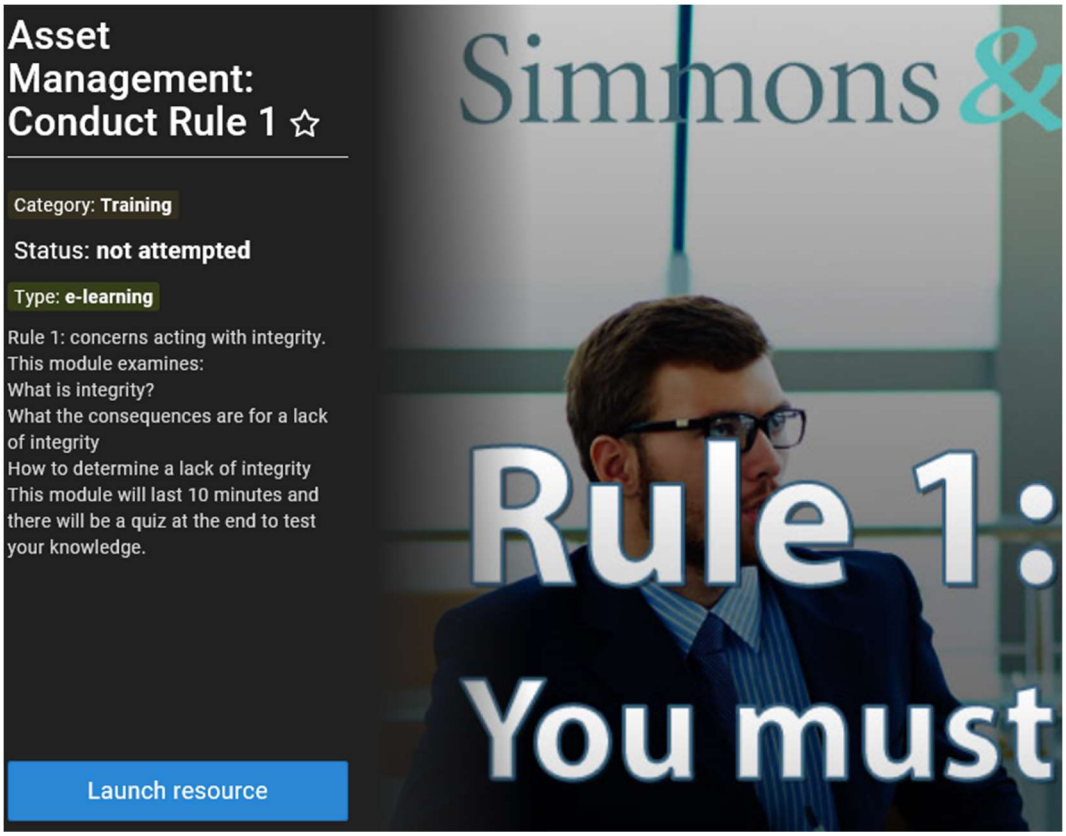
5.1 Senior Manager

(A) Completing Activities

To complete F&P activities, navigate to the bottom of the Senior Manager dashboard.



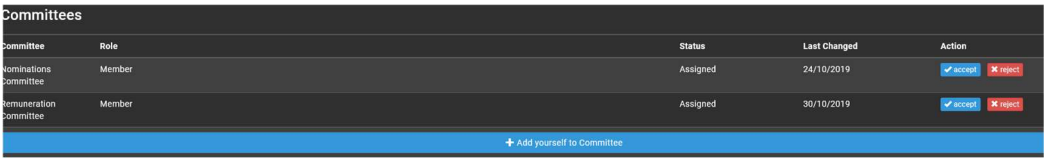
Click on an activity, this redirects to the activity page. For a learning activity, click **Launch Resource.**



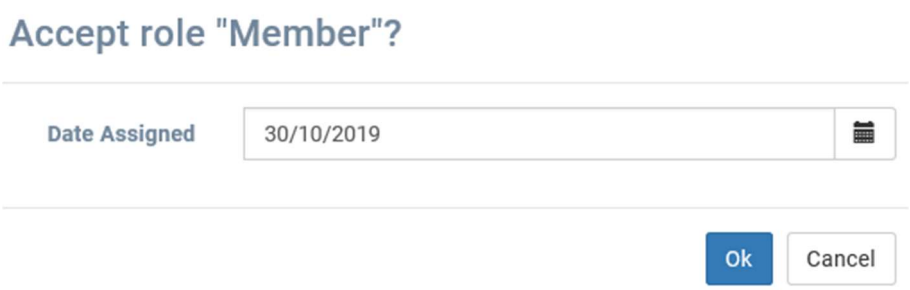
Once an activity has been completed it will be labelled accordingly, if an activity is started but not completed it is marked as in-progress.

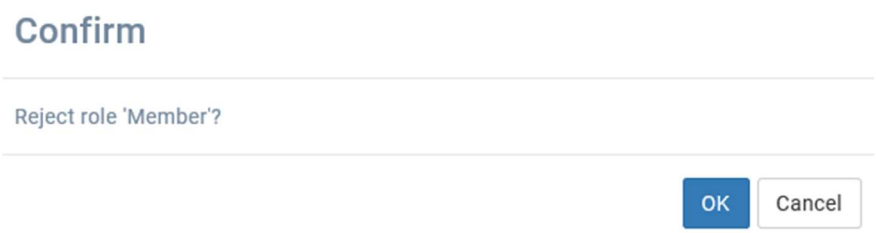
(B) **Actioning Committee Positions**

On the dashboard, there may be committee positions to either accept/reject.



Clicking either option will trigger a popup to confirm the option.





The table rows will then update accordingly.

Self-Nomination

A user can also use the **+ Add yourself to Committee** button to self-manage their membership.

Clicking the button brings up a popup with two dropdown inputs.

The user then needs to confirm this self-nomination through the same process as assigned committee positions (see above).

(C) **Self-Certification**

Once all F&P activities, rescreening checks and self-attestations have been completed it is necessary for a user to self-attest that they are ready to be certified.

When the user is ready on their dashboard the Self-Attested field becomes editable.

Job	Head of Legal
Reports To	Rachel Watts
SMCR Role	Certification Staff
Last Completion Date	25/10/2019
Next Completion Date	15/10/2020
Next Certification Process	Not Started
Self-Attested	no
Certified	no

Self-Attested no edit

Clicking **edit** will bring up a popup.

Self Attestation

I confirm that:

1. I am in compliance with the Individual Conduct Rules set out in the COCON section of the FCA Handbook.
2. I am not subject to any action taken by an authority or regulator that brings into question my conduct, my reputation or my financial soundness.
3. I have not breached and/or am not in breach of any internal policy or procedure and am not subject to any disciplinary action.
4. I have notified the firm of any matter which is or could be relevant to the firm's or any appropriate regulator's assessment of my fitness and propriety.
5. I meet the required standards of fitness and propriety for my function.
6. I accept all the functions and responsibilities assigned to me by the firm.

Sign Off Close

Clicking **Sign Off** will create a request for the Compliance Manager to approve their sign off.

(D) **Accessing Statement of Responsibilities**

To view a Senior Manager's statement of responsibilities, navigate to the reports section of the dashboard.

Reports

Report	Valid from	Status	Valid to	Action
Statement of Responsibilities	30/10/2019	Completed		Print

Clicking **Print** will bring up a popup with the document.

Statement of Responsibilities

Individual and firm details

Name: Adam Mackinnon

Company Name: Acme Co

Effective Date

Effective date of refreshed Statement of Responsibilities: **30/10/2019**

Ref	Senior Manager Function	Shared
SMF3 – Executive Director	(1) For a UK SMCR firm, the executive director function is the function of acting in the capacity of a director (other than a non-executive director) of a the firm. (2) For an overseas SMCR firm, the executive director function is the function of acting in the capacity of a director (other than a non-executive director) in relation to its branch in the United Kingdom where the person performing that function has responsibility for managing one or more aspects of the firm's affairs so far as relating to the activities of the branch. (3) Paragraph (2) includes a person who is a member (other than a non-executive member) of the branch's governing body. (4) The executive director function does not apply to a UK SMCR firm that is: (a) a partnership; or (b) a limited liability partnership.	yes
SMF9 - Chair of the Governing Body Function	The chair of the governing body function is the function of having responsibility for chairing, and overseeing the performance of the role of, the governing body of the firm.	no

Ref	Senior Manager Responsibility	Shared
a	Responsibility for the firm's performance of its obligations under the senior managers regime	yes
b	Responsibility for the firm's performance of its obligations under the certification regime	yes

Date: 30/10/2019

Close

(E) Accessing Certificate

The Certificate can be found in the reports section of the dashboard,

Reports

Report	Valid from	Status	Valid to	Action
Certificate of Completion	29/10/2019	Completed	19/10/2020	Print

Clicking **Print** will bring up a popup with the document.

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Laura Allen

Entity	Acme Co
Certified role	Bristol
Job title	Head of Fixed Income
Name of Compliance Manager	Shauny Smith (Head of Compliance) Merhin Smith (Compliance Analyst)

Candidate's Fit and Proper Declaration

I confirm that:

1. I am in compliance with the Individual Conduct Rules set out in the COCON section of the FCA Handbook.
2. I am not subject to any action taken by an authority or regulator that brings into question my conduct, my reputation or my financial soundness.
3. I have not breached and/or am not in breach of any internal policy or procedure and am not subject to any disciplinary action.
4. I have notified the firm of any matter which is or could be relevant to the firm's or any appropriate regulator's assessment of my fitness and propriety.
5. I meet the required standards of fitness and propriety for my function.

Signature:

Name: Laura Allen

Date: 29/10/2019

Ref	Certification Staff Function	Shared
Material Risk Takers	Each function performed by a person in column (2) of the table in SYSC 27.8.15R is an FCA certification function with respect to a firm in the corresponding entry in SYSC 27.8.15 column (1). (See SYSC 27.8.14-17)	yes

I confirm that you have been assessed as fit and proper to perform the above Certified Function(s).

This certificate is valid for the period **25/09/2019** to **18/10/2020**

5.2 Certification Staff

(A) Completing Learning

See Completing Activities (page 38).

(B) Actioning Committee Positions

See Actioning Committee Positions (page 39).

(C) **Self-Certification**

See Self-Certification (page 40).

(D) **Accessing Certificate**

See Accessing Certificate (page 42).

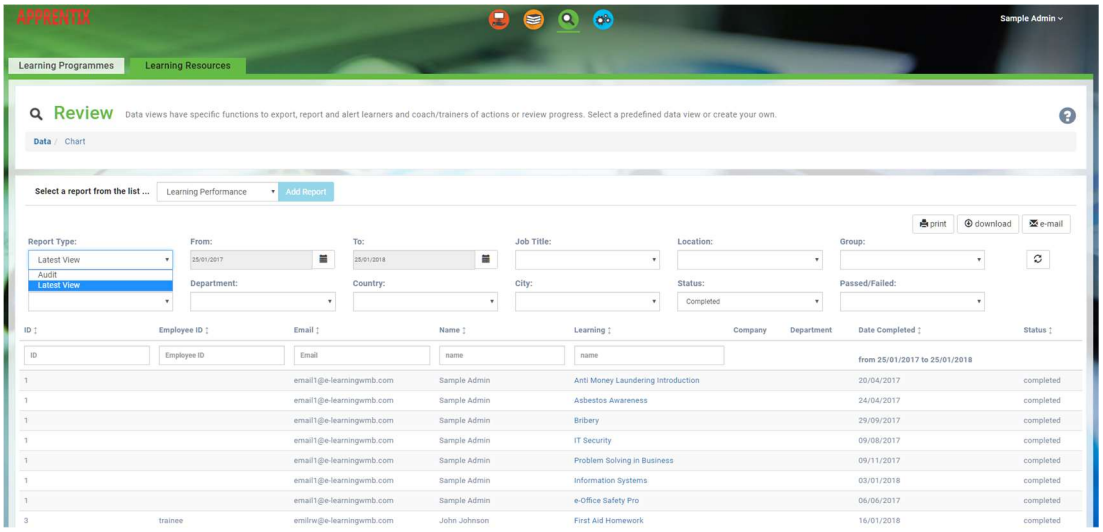
5.3 Conduct Rules

(A) **Completing Learning**

See Completing Activities (page 38).

6. <u>Review Screen</u>

The review section is where F&P activity data can be inspected and exported to other reporting systems.



Reviewing F&P activities is a matter of selecting the appropriate view from the top of the screen. There are two ways of displaying data by selecting:

- A Predefined View; or
- Add Report

(A) **Predefined View**

There are a series of predefined views. Each view has a unique set of fields that can be filtered to define the view's contents.

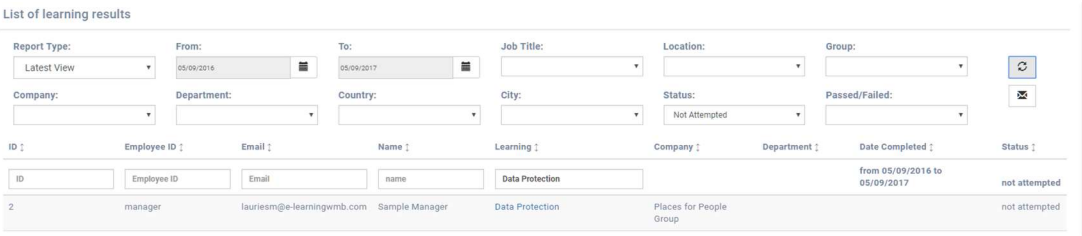
(B) **F&P Activities Performance**

The F&P activities performance view enables a Compliance Manager to review the latest data recorded for each F&P activity, or in the case of the audit view type, all previous incidences of data are recorded. There may be multiple records against a F&P activity when regular refresher training is carried out on the same activity.

By default, the view displays all individuals who have completed F&P activities but can be modified to assist with managing the entire F&P activities process.

For instance, filtering by the name of the F&P activity in the "F&P Activities" column and filtering by status is possible. (don't forget to press the refresh button).

You can then send an email to all these people as a reminder to begin training.



To check the performance on refresher training (where the training would be completed periodically) - select the "View Type" option on the filter and choose "Audit". If refresher training has been carried out, more than one record per individual will be displayed.

Further analysis of the data can be carried out by exporting the filter using the "**Download all data**" button at the bottom of the screen.

(C) **Task Assessment views**

The task assessment view contains information from any task related questions within e-learning programs.

- **View Type > Outstanding Tasks filter** - this shows tasks that require attention (where the "Status" is equal to either "In Progress" or "Not Started"). This data view is used to manage the assessment process.

- **View Type > Latest View** - shows a summary of all task assessments that have not been signed off by the Compliance Manager. This view can be used to resolve an assessment without resolving every task in the assessment. Check the box at the end grid for any assessment whose status is unresolved.

- **View Type > Audit** - is like the **Latest View** but instead lists all task assessments, including those that have previously been refreshed and require re-testing. Use this view to evidence long term compliance.

(D) **Training Impact**

This view shows how employee competency has improved over time.

Set the "Training Start Date" and "Training End Date" to display the period to assess. The performance across these two time periods is then assessed.

Further analysis of the data can be carried out by exporting the filter using the **Download all data** button at the bottom of the screen.

(E) **Training Schedule**

The training schedule view shows training resources that are due either within the next 90 days or within a time window.

Use this schedule to examine the progress of individuals and manage them through the F&P activities process.

Further analysis of the data can be carried out by exporting the filter using the **Download all data** button at the bottom of the screen.

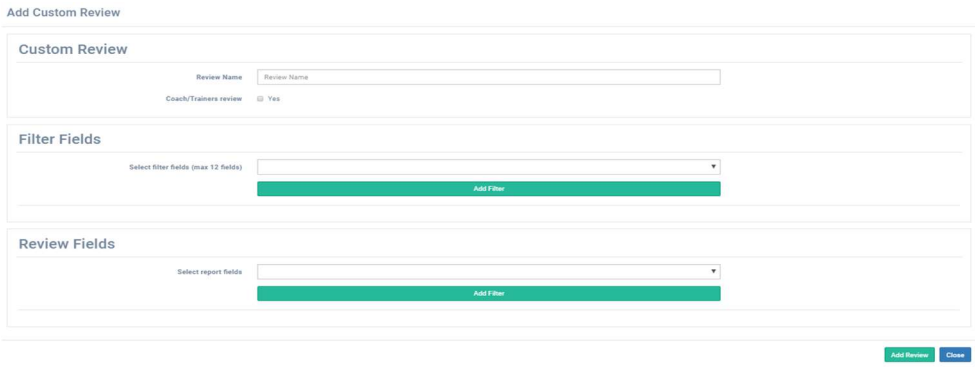
(F) **F&P Activities Feedback**

This view shows user feedback from each F&P activity.

Filter by the appropriate course to view its feedback. This feedback is qualitative and provides evidence for courses which need alterations made to them.

(G) **Add view**

As with the predefined views, any data that matches a defined criterion is displayed in the table below the filter.



7. <u>Further Support</u>

For further technical support please contact support@e-learningwmb.co.uk.

This email is monitored Monday-Friday 8:30-17:30, excluding public holidays.