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# PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Manage Professional Compliance

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**November 2010**

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# PeopleSoft Enterprise Human Resources Manage Professional Compliance Preface

This preface discusses:

- PeopleSoft products.
- PeopleSoft Enterprise HRMS Application Fundamentals.

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## PeopleSoft Products

This PeopleBook refers to the following PeopleSoft product: PeopleSoft Enterprise Human Resources Manage Professional Compliance.

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## PeopleSoft Enterprise HRMS Application Fundamentals

Additional, essential information describing the setup and design of your system appears in a companion volume of documentation called *PeopleSoft Enterprise HRMS 9.1 Application Fundamentals PeopleBook*. Each PeopleSoft product line has its own version of this documentation.

### **See Also**

*PeopleSoft Enterprise HRMS 9.1 Application Fundamentals PeopleBook*, "PeopleSoft Enterprise HRMS Application Fundamentals Preface"

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## PeopleBooks and the PeopleSoft Online Library

A companion PeopleBook called *PeopleBooks and the PeopleSoft Online Library* contains general information, including:

- Understanding the PeopleSoft online library and related documentation.
- How to send PeopleSoft documentation comments and suggestions to Oracle.
- How to access hosted PeopleBooks, downloadable HTML PeopleBooks, and downloadable PDF PeopleBooks as well as documentation updates.
- Understanding PeopleBook structure.
- Typographical conventions and visual cues used in PeopleBooks.
- ISO country codes and currency codes.

- PeopleBooks that are common across multiple applications.
- Common elements used in PeopleBooks.
- Navigating the PeopleBooks interface and searching the PeopleSoft online library.
- Displaying and printing screen shots and graphics in PeopleBooks.
- How to manage the locally installed PeopleSoft online library, including web site folders.
- Understanding documentation integration and how to integrate customized documentation into the library.
- Application abbreviations found in application fields.

You can find *PeopleBooks and the PeopleSoft Online Library* in the online PeopleBooks Library for your PeopleTools release.

## Chapter 1

# Getting Started with Manage Professional Compliance

With Manage Professional Compliance, you can manage the certification requirements of workers in professional service organizations.

This chapter discusses:

- Manage Professional Compliance business processes.
- Manage Professional Compliance business process integrations.
- Core Manage Professional Compliance business process implementation.

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## Manage Professional Compliance Business Processes

Manage Professional Compliance business processes in PeopleSoft Human Resources provides these business processes:

- Track certification requirements by regulatory authority.

Manage Professional Compliance business processes enable you to define the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field.

- Track worker certification compliance.

Manage Professional Compliance business processes enable you to track your workers to ensure that they comply with all requirements.

- Define development plans.

Manage Professional Compliance business processes enable you to define development plans for your workers. Development plans include coursework, testing, self-study and other activities.

- Monitor regulated individuals.

Manage Professional Compliance business processes enable you to define a process for monitoring individuals as they meet the professional certification requirements. The U.K. Professional Financial Compliance process uses key performance indicators (KPIs) as a means of monitoring the regulated individual's performance against predetermined standards.

We discuss these business processes in the business process chapters in this PeopleBook.

## Manage Professional Compliance Business Process Integrations

Manage Professional Compliance business process integrates with all the PeopleSoft HRMS applications, with other PeopleSoft applications, and with third-party applications.

Manage Professional Compliance business process integrations shared tables are available to many PeopleSoft HRMS applications. In addition, data in many of these tables is available to any PeopleSoft application that is set up to subscribe to the published messages.

We discuss integration considerations in this PeopleBook.

### See Also

*PeopleSoft Enterprise HRMS 9.1 Application Fundamentals PeopleBook*, "Working with Integration Points in Enterprise HRMS"

## Manage Professional Compliance Business Process Implementation

PeopleSoft Setup Manager enables you to generate a list of setup tasks for your organization based on the features that you are implementing. The setup tasks include the components that you must set up, listed in the order in which you must enter data into the component tables, and links to the corresponding PeopleBook documentation.

Manage Professional Compliance business process also provides component interfaces to help you load data from your existing system into Manage Professional Compliance business process tables. Use the Excel to Component Interface utility with the component interfaces to populate the tables.

This table lists all of the components that have component interfaces:

<b>Component</b>	<b>Component Interface</b>	<b>Reference</b>
PCMP_RI	CI_PCMP_RI	See <a href="#">Chapter 4, "Entering and Maintaining Regulated Individual Data." Adding Regulated Individuals to the Compliance Process, page 31.</a>
PCMP_RIJOBCHGVW	CI_PCMP_JOBCHG	See <a href="#">Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process," Creating a Job Change Notification, page 75.</a>
PCMP_RECERT_AE	CI_PCMP_RECERT	See <a href="#">Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process," Creating a Recertification Notification, page 76.</a>

<b>Component</b>	<b>Component Interface</b>	<b>Reference</b>
PCMP_RI_JOBTERVW	CI_PCMP_JOBTER	See <a href="#">Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process,"</a> <a href="#">Creating a Termination Notification,</a> page 76.

### **Other Sources of Information**

In the planning phase of your implementation, take advantage of all PeopleSoft sources of information, including the installation guides, table-loading sequences, data models, and business process maps.

### **See Also**

*Enterprise PeopleTools PeopleBook: PeopleSoft Component Interfaces*

*Enterprise PeopleTools PeopleBook: PeopleSoft Setup Manager*



## Chapter 2

# Setting Up Manage Professional Compliance

This chapter provides an overview of Manage Professional Compliance business processes in PeopleSoft Human Resources and discusses how to:

- Set up required tables.
- (GBR) Set up additional tables for the United Kingdom (U.K.).

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## Understanding Manage Professional Compliance Business Processes

Manage Professional Compliance is a business process in PeopleSoft Human Resources that enables you to manage the certification, training, development, and competency requirements of workers who are members of professional service organizations that require a form of compliance.

This section discusses:

- The structure of Manage Professional Compliance business processes.
- Tools for moving individuals toward compliance.
- Integration points in Manage Professional Compliance business processes.

## Manage Professional Compliance Business Process Structure

The Manage Professional Compliance business process can be divided into four main levels:

- Regulatory authority

This is the body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field. The regulatory authority does not have to be defined as an external organization, but it can be set up for use with compliance models that are entirely internal to a company.

- Classifications

Classifications are the different categories that a regulatory authority uses to define individuals within the compliance process. The levels of classification can be simple or complex, reflecting various levels of compliance with the requirements for engaging in different professional activities. For example, an individual could be level one or level two compliant, classified as competent, or classified as a supervisor or a manager, and each of these classifications could be associated with a different set of certification requirements.

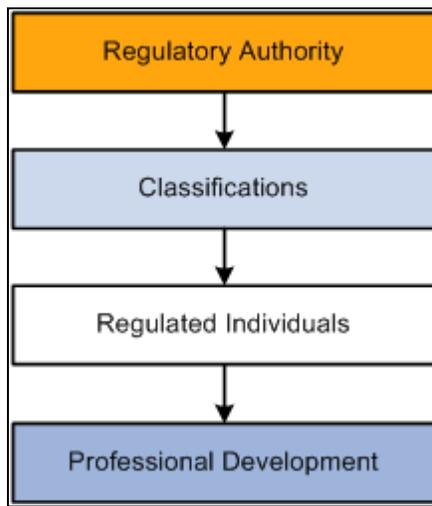
- Regulated individuals (RIs)

RIs are the workers within a company who are involved in the compliance process.

- Professional development

The compliance process concerns individuals obtaining minimum standards of competence to attain a classification level. To obtain these standards, individuals undergo a process of professional development, which may include coursework, testing, mandatory periods of supervision followed by performance reviews, and so forth.

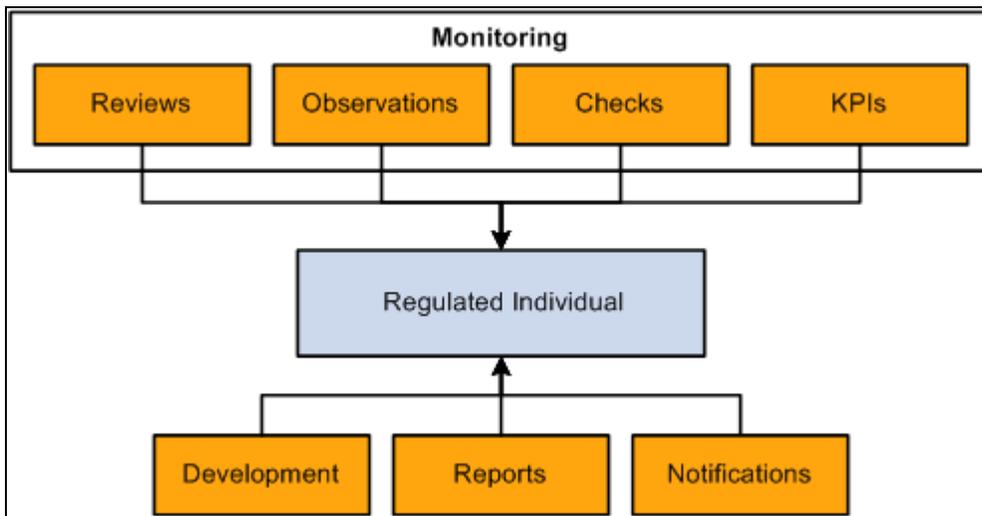
This diagram provides an overview of the Manage Professional Compliance structure:



Overview of the Manage Professional Compliance Structure

## Tools for Moving Individuals Toward Compliance

The following diagram illustrates tools and techniques for promoting professional compliance:



### Manage Professional Compliance Tools

The Manage Professional Compliance business process includes the following tools:

- Development plans

Regulated individuals typically achieve minimum standards of competence by following a development plan. A development plan can include coursework, testing, self-study, and other activities. The Manage Professional Compliance business process enables you to define and assemble all the necessary elements of a development plan for each classification level and category of professionals in your company so that your workforce can move successfully toward certification.

- Monitoring

PeopleSoft provides you with monitoring tools that you can use to promote professional compliance goals and determine whether your workforce is meeting compliance requirements. Monitoring consists of these elements:

- Reviews

Reviews are directly associated with development plans and are intended to measure groups and individuals against the elements of a plan.

- Observations

The purpose of observations is to ensure that an individual follows a certain predefined process, either within the working environment or while the individual is with a client.

- Key performance indicators (KPIs)

KPIs are a means of monitoring the regulated individual's performance against predetermined standards.

- Checks

Checks enable you to define background checks for regulated workers and to monitor compliance with these checks.

- Reports

Reports provide compliance managers and supervisors with information that they need to assess the progress of regulated individuals.

- Notifications

Notifications are used to alert compliance managers and supervisors of time-critical actions that they must take at different points in the compliance process.

- Self-service

Self-service pages for professional compliance transactions are available through PeopleSoft eDevelopment. These pages provide you with easy access to tools and information that you need to manage your workforce and provide your workers with critical information related to their professional compliance status.

Self-service pages for managers and supervisors enable them to view the status of regulated individuals and to perform such actions as completing development reviews, entering observations, and completing KPI reviews.

Self-service pages for regulated individuals enable them to view details of their development plans, development reviews, observations, and KPI reviews.

**See Also**

[Chapter 3, "Defining Development Plans," page 19](#)

[Chapter 5, "Monitoring Regulated Individuals," page 45](#)

[Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process," \*Setting Up Notifications\*, page 71](#)

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## Using Integration Points in Manage Professional Compliance

The Manage Professional Compliance process receives the WORKFORCE\_SYNC service operation that is triggered in response to saved field changes in the JOB record in Human Resources.

Configure the Integration Broker node and activate the appropriate queue, handlers, and routings for this service operation as shown in the following table:

<i>Service Operation</i>	<i>Handler/Application Class</i>	<i>Description</i>
WORKFORCE_SYNC	Professional_Compliance	The Hire process runs When the JOB.ACTION is HIR and the JOB.JOBCODE has a default PC (professional compliance) type, the CI_PCMP_RI component interface to add the employee into the Professional Compliance business process (a row is added to PCMP_RI, a worklist entry is created, and a notification email is sent to the employee's supervisor).
WORKFORCE_SYNC	Professional_Compliance	The Add Non-Employee process runs. When the JOB.ACTION is ADD and the JOB.JOBCODE has a default PC type, the system call the CI_PCMP_RI component interface to add the employee into the Professional Compliance business process (a row is added to PCMP_RI, a worklist entry is created, and a notification email is sent to the employee's supervisor).
WORKFORCE_SYNC	Professional_Compliance	The Update Job Data process runs. When the JOB.ACTION is POS or XFR and the employee is part of Manage Professional Compliance, the system calls the CI_PCMP_JOBCHG component interface to send a notification email to the compliance supervisor.
WORKFORCE_SYNC	Professional_Compliance	The Update Job Data process runs. When the JOB.ACTION is TDL, TER, TWB or TWP and the employee is part of Manage Professional Compliance, the system calls the CI_PCMP_JOBTER component interface to send a notification email to the compliance supervisor, and a worklist entry is created.

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**Note.** To research the technical details of any integration point used by PeopleSoft applications, refer to the Interactive Services Repository on MetaLink.

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**See Also**

[Chapter 4, "Entering and Maintaining Regulated Individual Data," Understanding PeopleSoft Integration Broker, page 30](#)

*Interactive Services Repository* in the Implementation Guide section of MetaLink.

*Enterprise PeopleTools PeopleBook: Integration Broker*

*PeopleSoft Enterprise Components for PeopleSoft Enterprise HRMS and Campus Solutions 9.1 PeopleBook*

[Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process," Creating a Hire Notification, page 72](#)

[Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process," Creating a Termination Notification, page 76](#)

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## Setting Up Required Tables

To set up the required tables, use the Compliance Type (PCMP\_TYPE ), Company Compliance (PCMP\_COMPANY\_TBL), Regulatory Authority (PCMP\_REG\_AUTH), and Assign Manager/Supervisor/RI (PCMP\_MGR\_SUPER) components.

This section provides an overview of setting up required tables and discusses how to:

- Define professional compliance types.
- Define regulatory authorities.
- Set up regulatory authority classifications.
- Enter company compliance details.
- Assign regulated individuals to compliance managers/supervisors.

## Understanding Required Table Setup

To use the Manage Professional Compliance business process, you must set up certain tables in a particular order to match record hierarchies and dependencies in the system. Other tables are optional, however, and provide additional functionality that may or may not be required depending on the professional compliance type.

To set up Manage Professional Compliance business process tables:

1. Define professional compliance types on the PC Type (professional compliance type) page.

First, define the compliance types that you require—that is, the group of professionals who are subject to compliance requirements in your organization. For example, you can set up compliance types for financial advisor, engineering, and health and safety groups, each with its own compliance requirements.

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**Note.** When you add individuals to the compliance process, manually associate them with one of the compliance types that you defined on the RI page, or create an automatic association using the Jobcode Compliance page.

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2. Define the regulatory authority, regulatory authority address, and regulatory classifications on the Reg Authority (regulatory authority), Address, and Classification pages.

For each PC type identified, set up one or more regulatory authorities together with the different classification levels that the authority uses to evaluate individuals involved in the compliance process.

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**Note.** When you add individuals to the compliance process, associate them with one of the regulatory authorities that you have defined on the RI page, and assign them to a classification level on the Classification Status page.

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3. Enter company compliance details on the Regulation page.
4. Define compliance managers/supervisors on the Assign Manager/Supervisor/RI page.

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**Note.** Before you can place a regulated individual under a manager's supervision, you must add the individual to the Manage Professional Compliance business process.

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## Pages Used to Set Up Required Tables

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
PC Type (professional compliance type)	PCMP_TYPE	Workforce Monitoring, Professional Compliance, Define Compliance Information, Compliance Type, PC Type	Define the different professional compliance types in your organization.
Reg Authority (regulatory authority)	PCMP_AUTHORITY	Workforce Monitoring, Professional Compliance, Define Compliance Information, Regulatory Authority, Reg Authority	Define the regulatory authority that governs the compliance types.
Address	PCMP_REG_AUTH_ADDR	Workforce Monitoring, Professional Compliance, Define Compliance Information, Regulatory Authority, Address	Enter regulatory authority address and phone information.

Page Name	Definition Name	Navigation	Usage
Classification	PCMP_CLASS	Workforce Monitoring, Professional Compliance, Define Compliance Information, Regulatory Authority, Classification	Set up regulatory authority classification schemes.
Regulation	PCMP_COMPANY_TBL1	Workforce Monitoring, Professional Compliance, Define Compliance Information, Company Compliance, Regulation	Enter company compliance details that associate professional compliance types and regulatory authorities with a company.
Assign Manager/Supervisor/RI (assign manager/supervisor/regulate d individual)	PCMP_MGR_SUPER	Workforce Monitoring, Professional Compliance, Maintain Program, Assign Manager/Supervisor/RI, Assign Manager/Supervisor/RI	Assign regulated individuals to compliance managers/supervisors.

## Defining Professional Compliance Types

Access the PC Type page (Workforce Monitoring, Professional Compliance, Define Compliance Information, Compliance Type, PC Type).

PC Type page

**Professional Compliance Type** Enter a code for each professional compliance type that you need to define. For example, you can set up compliance types for engineers, health and safety experts, and so forth.

**See Also**

*PeopleSoft Enterprise HRMS 9.1 Application Fundamentals PeopleBook*, "Working with System Data Regulation in HRMS"

**Defining Regulatory Authorities**

Access the Reg Authority page (Workforce Monitoring, Professional Compliance, Define Compliance Information, Regulatory Authority, Reg Authority).

Reg Authority page

**Professional Compliance Type** Enter the professional compliance type that you want to associate with a regulatory authority. The valid professional compliance types are those that you defined on the PC Type page.

**Regulatory Authority** Enter a code for the regulatory authority—the body or organization that defines the compliance rules, standards, and regulations governing the specified professional compliance type.

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**Note.** Address pages and fields are documented in *PeopleSoft Application Fundamentals for HRMS*, "PeopleSoft HRMS Preface."

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**See Also**

*PeopleSoft Enterprise HRMS 9.1 Application Fundamentals PeopleBook*, "Working with System Data Regulation in HRMS"

**Setting Up Regulatory Authority Classifications**

Access the Classification page (Workforce Monitoring, Professional Compliance, Define Compliance Information, Regulatory Authority, Classification).

Reg Authority	Address	Classification	Notifications
Professional Compliance Type:	KG1	Financial	
Regulatory Authority:	KG01		
Description:	Standard Financial Regulatory Authority		
<b>Classification</b>			
*Classification:	LEVEL1		
*Description:	New Entrant		
Comments:	Individuals with little or no experience within the financial services industry. These individuals are not permitted to sell products directly to customers, or conduct unsupervised meetings with customers.		

Classification page

**Classification**

Enter a classification. Classifications are the evaluative categories that a regulatory authority uses to indicate an individual's status within the compliance process. For example, an individual could be classified as a trainee, or as competent, certified, pre-certified, and so forth

**Entering Company Compliance Details**

Access the Regulation page (Workforce Monitoring, Professional Compliance, Define Compliance Information, Company Compliance, Regulation).

Regulation Products Compliance Plan

Company: CFA Canadian Company CFA

**Company Compliance** Find | View All First 1 of 1 Last

\*Professional Compliance Type:

\*Regulatory Authority:

**Compliance Details** Find | View All First 1 of 1 Last

Effective Date: 04/27/2009 Status: Active

Reference Number:

Contact Name:

Regulation page

### ***Company Compliance***

**Professional Compliance Type** Enter the professional compliance type.

**Regulatory Authority** Enter a code for the regulatory authority.

### ***Compliance Details***

**Reference Number** Enter a regulatory authority–defined reference number that identifies the company.

**Contact Name** Enter a contact name at the regulatory authority.

## **Assigning Regulated Individuals to Compliance Managers/Supervisors**

Access the Assign Manager/Supervisor/RI page (Workforce Monitoring, Professional Compliance, Maintain Program, Assign Manager/Supervisor/RI, Assign Manager/Supervisor/RI).

Assign Manager/Supervisor/RI			
Empl ID:	KG0002	Dewi Hopkins	
Role:	Supervisor	Date Assigned:	07/05/2001
Regulated Individual <span style="float: right;">Find   View All   First 1 of 3 Last</span>			
*EmplID:	<input type="text" value="HGPC02"/>	Barry Theakston	
Regulatory Authority:	<input type="text" value="KG01"/>	Standard Financial Regulatory Authority	
Professional Compliance Type:	KG1	Financial	
Empl Record:	0	Business Unit:	GBR02
Assignment Status <span style="float: right;">Find   View All   First 1 of 1 Last</span>			
Status Date:	<input type="text" value="07/09/2001"/>		
RI Status:	<input type="text" value="Active"/>		

Assign Manager/Supervisor/RI page

**Role** Displays the role of the person whose ID appears at the top of the page. This value comes from the entry page for the component.

**Date Assigned** Displays the date on which the person is assigned to the compliance manager/supervisor role.

### **Assignment Status**

**Status Date** Select the date on which the person is assigned to the manager/supervisor whose ID appears at the top of the page.

**RI Status** Select the status of the association between the manager/supervisor and the regulated worker.

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## **(GBR) Setting Up Additional Tables for the U.K.**

If you are setting up a compliance plan for the U.K. financial services sector, you must provide a full account of the compliance plan that you are implementing on the Compliance Plan page (in addition to completing the table setup described earlier in this chapter). This account consists of a series of high-level, summary notes about how your company processes the different areas of regulation, such as supervision, continual professional development, and so forth.

## Page Used to Describe a Compliance Plan

Page Name	Definition Name	Navigation	Usage
Compliance Plan	PCMP_COMPANY_TBL3	Workforce Monitoring, Professional Compliance, Define Compliance Information, Company Compliance, Compliance Plan	Describe a company's compliance plan.

## Describing a Compliance Plan

Access the Compliance Plan page (Workforce Monitoring, Professional Compliance, Define Compliance Information, Company Compliance, Compliance Plan).

Regulation Products Compliance Plan

Company: KG1 Business Institute - UK

Company Compliance Plan Find | View All First 1 of 1 Last

\*Compliance Plan Year: 2000

\*Compliance Plan Description: SFRA COMPLIANCE PLAN 2000

Plan Area Find | View All First 1 of 4 Last

\*Sequence Number: 1

Compliance Plan Area: SUPERVISION

Notes

All Level 1 and Level 2 individuals will undertake formal development plans which will be fully supervised. Any refresher or remedial training will also be identified and applied. Continual professional development for Level 3 individuals will also be agreed and monitored.

Compliance Plan page

### Company Compliance Plan

**Compliance Plan Year** Enter the year that the compliance plan is in effect.

**Plan Area**

**Sequence Number** A compliance plan can be divided into multiple areas or subsections. Enter a sequence number to use to identify the individual sections (areas) of the plan and to order the information both on-screen and on the Company Compliance Plan report.

**Compliance Plan Area** Identify the compliance plan area that is linked to the sequence number.

**See Also**

*PeopleSoft Enterprise HRMS 9.1 Application Fundamentals PeopleBook*, "PeopleSoft Application Fundamentals for HRMS Reports," Manage Professional Compliance Reports

## Chapter 3

# Defining Development Plans

This chapter provides an overview of development plans and discusses how to:

- Set up a development plan.
- Run a Compliance Plan report (PCMP002).

---

## Understanding Development Plans

The most common way to ensure that regulated individuals attain the standards required for professional certification is to enroll them in development plans. In the Manage Professional Compliance business process, assemble development plans from these elements:

- Training courses set up in Administer Training.
- Competencies defined in Manage Profiles.
- Accomplishments defined in Manage Profiles.
- Development activity defined for other types of development.

---

**Note.** A development activity is a general category that you use to define areas of development that are part of a development plan but are not supported by the other Workforce Development business processes. Self-study time is an example of a development activity.

---

The ability to combine the individual elements of training courses, competencies, accomplishments, and activities enables you to set up company development plans and associate them with a particular classification level that may apply either to individuals or to an entire group of professionals.

## Prerequisites

Before defining development plans, set up the accomplishments, competencies, and courses that you select for use within Manage Professional Compliance. Set up the accomplishments and competencies that you need for professional compliance in the content catalog that is part of the Manage Profiles business process, and define the training courses that you need in Administer Training. These preparations avoid duplication of data related to general worker development.

The only development elements that you define entirely within Manage Professional Compliance are activities.

---

## Setting Up a Development Plan

To set up a development plan, use the Development Accomplishment (PCMP\_DEV\_ACPS), Development Competency (PCMP\_DEV\_COMP), Development Training Course (PCMP\_DEV\_CRSE), Development Activity (PCMP\_DEV\_ACT), and Development Plan (PCMP\_DEV\_PLAN) components.

This section provides an overview of development plan setup, lists common elements, and discusses how to:

- Identify accomplishments.
- Identify competencies.
- Identify development courses.
- Define development activities.
- Assemble a development plan.

## Understanding Development Plan Setup

The first stage in creating a development plan is to identify the accomplishments, competencies, courses, and activities that you plan to use. After these elements are in place, assemble them into a development plan.

To create a development plan:

1. Identify the appropriate accomplishments using the Accomplishment page.
2. Identify the required competencies using the Competency page.
3. Identify the relevant development courses on the Training Course page.
4. Set up professional compliance activities on the Activity page.
5. Assemble a development plan from the list of accomplishments, competencies, courses, and activities using the Plan page.

After you identify the elements of the development plan, you can create the plan itself. Because development plans are directly associated with particular classification levels—that is, each classification level is associated with a "default" plan—the search record used for the development plan menu option contains a list of classification levels for each professional type/regulatory authority combination that you have set up.

---

**Note.** After you have defined a "default" development plan for each classification level, you can enroll individuals in these plans on the Development Record page.

All development elements have *SETID* as the high-level key so that development plans can be organized at the business unit level.

---

**See Also**

*PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Manage Profiles*, "PeopleSoft Enterprise Human Resources PeopleBook Manage Profiles Preface"

*PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Administer Training*

Chapter 2, "Setting Up Manage Professional Compliance," Defining Professional Compliance Types, page 12

*PeopleSoft Enterprise HRMS 9.1 Application Fundamentals PeopleBook*, "PeopleSoft Application Fundamentals for HRMS Reports," Manage Professional Compliance Reports

Chapter 4, "Entering and Maintaining Regulated Individual Data," Enrolling Regulated Individuals in Development Plans, page 33

**Pages Used to Set Up Development Plans**

<b>Page Name</b>	<b>Definition Name</b>	<b>Navigation</b>	<b>Usage</b>
Accomplishment	PCMP_DEV_ACPS	Workforce Monitoring, Professional Compliance, Define Development Information, Accomplishment, Accomplishment	Identify accomplishments that you want to add to the development plan.
Competency	PCMP_DEV_COMP	Workforce Monitoring, Professional Compliance, Define Development Information, Competency, Competency	Identify competencies that you want to add to the development plan.
Training Course	PCMP_DEV_CRSE	Workforce Monitoring, Professional Compliance, Define Development Information, Training Course, Training Course	Identify courses that you want to add to the development plan.
Activity	PCMP_DEV_ACT	Workforce Monitoring, Professional Compliance, Define Development Information, Activity, Activity	Define the activities that you want to add to the development plan.
Development Plan	PCMP_DEV_PLAN	Workforce Monitoring, Professional Compliance, Define Development Information, Development Plan, Development Plan	Assemble a development plan from the list of accomplishments, competencies, courses, and activities.

## Identifying Accomplishments

Access the Accomplishment page (Workforce Monitoring, Professional Compliance, Define Development Information, Accomplishment, Accomplishment).

The screenshot shows a web interface titled "Accomplishment". Below the title, there is a "Set ID:" field with the value "C". Below that is a table with a blue header bar containing "Data" and navigation options like "Customize", "Find", "View All", "First", "1-3 of 3", and "Last". The table has five columns: "\*Accomplishment", "Description", "Renewal", "Length", and "Period". There are three rows of data, each with a search icon in the first column and plus/minus icons in the last column.

*Accomplishment	Description	Renewal	Length	Period		
1003	Computer Operator Skills	<input type="checkbox"/>			+	-
1011	Language Translation	<input type="checkbox"/>			+	-
1016	Complex Problem Solving	<input type="checkbox"/>			+	-

Accomplishment page

**Accomplishment** Select the accomplishments that you want to use in the development plan. You can select from items with these content types: test, degree, licenses/certificates, membership, NVQ, language, and honor/award.

**Renewal** This field is selected if the accomplishment must be renewed. Renewal requirement data is set up when you define the accomplishment. The Manage Professional Compliance business process pulls this information into the recertification process.

**Length** Displays the renewal length. The Manage Professional Compliance business process references this information in the recertification process.

**Period** Displays the renewal period. The Manage Professional Compliance business process references this information in the recertification process.

**See Also**

*PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Manage Profiles, "Setting Up the Content Catalog"*

## Identifying Competencies

Access the Competency page (Workforce Monitoring, Professional Compliance, Define Development Information, Competency, Competency).

**Competency**

Set ID: C

Data			
*Competency	Description		
0102	Conceptual thinking	+	-
0156	Recognized as job expert	+	-
0160	Ability to prioritize tasks	+	-

Competency page

**Competency** Select the competencies that you want to use in the development plan.

### See Also

*PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Manage Profiles, "Setting Up the Content Catalog"*

## Identifying Development Courses

Access the Training Course page (Workforce Monitoring, Professional Compliance, Define Development Information, Training Course, Training Course).

**Training Course**

Set ID: C

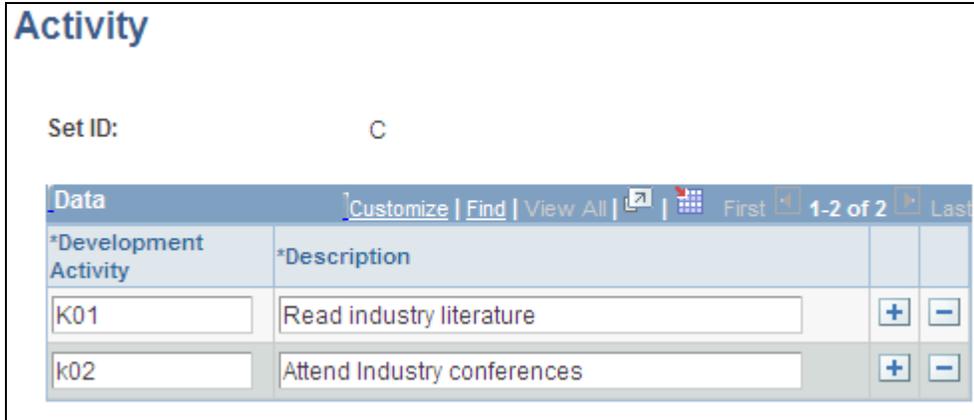
Data			
*Course Code	Description		
HXAT10	Introduction to HR	+	-
HXCMP	Comp Mgmt Test II	+	-
KF001	Time Management	+	-

Training Course page

**Course Code** Select the courses that you want to use in the development plan.

## Creating Development Activities

Access the Activity page (Workforce Monitoring, Professional Compliance, Define Development Information, Activity, Activity).



Activity page

**Development Activity** Select and describe the activities that you want to use in the development plan.

## Assembling a Development Plan

Access the Development Plan page (Workforce Monitoring, Professional Compliance, Define Development Information, Development Plan, Development Plan).

## Development Plan

Set ID:      SHARE

Professional Compliance Type:    Health & Safety Compliance

Regulatory Authority:            National First Aid Standards

Classification:                    Non-Qualified First Aider

Development Area		Customize   Find   View All   First 1-4 of 4 Last
Development Type	*Development Area	Description
Accomp ▼	3005 🔍	General Physical <span style="float: right;">+ -</span>
Accomp ▼	CPR 🔍	Cardio Pulmonary Resuscitation <span style="float: right;">+ -</span>
Competer ▼	1122 🔍	Aids/HIV Awareness <span style="float: right;">+ -</span>
Competer ▼	9101 🔍	First Aid: Emergency Care <span style="float: right;">+ -</span>

Development Plan page

---

**Note.** Development Plans are directly associated with particular classification levels. As a consequence, the search record that is associated with the Development Plan menu lists classification levels for each professional type/regulatory authority combination that you have set up.

---

**Professional Compliance Type** Displays the professional compliance type that you entered to access the page. To define professional compliance type, use the PC Type (professional compliance type) page.

**Regulatory Authority** Displays the regulatory authority that you entered to access the page. To define regulatory authorities, use the Reg Authority (regulatory authority) page.

**Classification** Displays the classification that you entered to access the page. To define the classifications, use the Classification page.

### ***Development Area***

**Development Type** Select a development element that you want to include in the development plan: *Accomp* (accomplishment), *Activity*, *Competency*, or *Course*.

**Development Area** Select the specific development elements (accomplishment, competency, activity or course) that you want to include in the development plan. You can select from the elements that are defined for the SetID on the Accomplishment, Competency, Training Course, and Activity pages.

**Note.** After you create development plans and add regulated individuals to the Manage Professional Compliance process, you can enroll individuals in these plans using the Development Record and Development Area pages.

**See Also**

[Chapter 2, "Setting Up Manage Professional Compliance," Defining Professional Compliance Types, page 12](#)

[Chapter 2, "Setting Up Manage Professional Compliance," Defining Regulatory Authorities, page 13](#)

[Chapter 2, "Setting Up Manage Professional Compliance," Setting Up Regulatory Authority Classifications, page 14](#)

[Chapter 4, "Entering and Maintaining Regulated Individual Data," page 27](#)

## Running a Compliance Plan Report

This section lists the page used to run a Compliance Plan report.

### Page Used to Run a Compliance Plan Report

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Company Compliance Plan	RUN_CNTL_PCMP2	Workforce Monitoring, Professional Compliance, Reports, Company Compliance Plan, Company Compliance Plan	Use the Compliance Plan report (PCMP002) to collect complete details of a company's compliance plan.

## Chapter 4

# Entering and Maintaining Regulated Individual Data

This chapter provides an overview of regulated individual data, lists common elements, and discusses how to:

- Bring regulated individuals into the compliance process.
- Assign regulated individuals to supervisors.
- Define classifications of regulated individuals.
- Enroll regulated individuals in development plans.
- Reassign regulated individuals to new compliance managers or supervisors.
- (GBR) Review references and prior work experience.

---

## Understanding Regulated Individual Data

Enter the regulated individual data both on a one-time basis when you first bring individuals into the Manage Professional Compliance process and when you maintain or review a regulated individual. The regulated individual data that this chapter discusses can be grouped into these categories:

<b>Category</b>	<b>Explanation</b>
Data that you enter when you first bring individuals into the Manage Professional Compliance process.	When you hire an individual, you can use the hire pages in PeopleSoft Human Resources to bring the individual into the compliance process. Alternatively, after hiring an individual, you can bring that person into the compliance process using the RI (regulated individual) page. Add an individual only once to the Manage Professional Compliance process.

<b>Category</b>	<b>Explanation</b>
<p>Data that you enter when the individual first comes into the Manage Professional Compliance process and then again when the individual's status changes.</p>	<p>After bringing an individual into the Manage Professional Compliance process, enter additional information about that person. Enter the information in this order:</p> <ol style="list-style-type: none"> <li>1. Enter the individual's professional compliance type on the RI page (only if you originally brought the individual into the Manage Professional Compliance process using the RI page).</li> <li>2. Specify the regulatory authority that governs the individual on the RI page (regardless of how you brought the individual into the Manage Professional Compliance process).</li> <li>3. Assign the individual to a compliance supervisor on the Assign Manager/Supervisor/RI page (enter additional details for a regulated individual only after this assignment).</li> </ol> <p>To assign an individual to a new manager or supervisor, use the Reassign RI (reassign regulated individual) page.</p> <ol style="list-style-type: none"> <li>4. Specify the regulated individual's classification on the Classification Status (regulated individual classification) page.</li> <li>5. If you are using development plans, enroll the individual in a development plan using the Development Record and Development Area pages.</li> </ol> <p>Regulated individual data such as professional compliance type, regulatory authority, and classification can change over time, and must be maintained on an ongoing basis.</p>
<p>(GBR) Other regulated individual data that you can view or enter as needed.</p>	<p>Use the References page to view references that the regulated individual provides. To keep track of prior work experience or compliance, view or enter this information on the Prior Work page.</p>

## Common Elements Used in This Chapter

### Classification

Category that a regulatory authority uses to define individuals within the compliance process. The levels of classification can be simple or complex, reflecting various levels of compliance with the requirements for engaging in different kinds of professional activities. For example, an individual could be level 1 or level 3 compliant, or fully compliant, and each of these classifications could be associated with a different set of certification requirements.

Define classifications on the Classification page.

**Professional Compliance Type** Groups of professionals who are subject to compliance requirements in your organization. For example, you can set up professional compliance types for financial advisor, engineering, and health and safety groups, each with its own compliance requirements.

Define professional compliance types on the PC Type (professional compliance type) page.

**Regulatory Authority** Body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field.

Define regulatory authorities on the Regulatory Authority page.

---

## Bringing Regulated Individuals into the Compliance Process

To bring regulated individuals into the compliance process, use the Professional Compliance Regulated Individual (PCMP\_RI) component. Use the CI\_PCMP\_RI component interface to load data into the tables for this component.

This section provides overviews of the ways to bring individuals into the compliance process and PeopleSoft Integration Broker and discusses how to:

- Set up automatic and manual entry.
- Set up default compliance types.
- Add regulated individuals to the compliance process.

## Understanding the Ways to Bring Individuals into the Compliance Process

There are two ways to bring individuals into the compliance process:

- Automatic entry during the Hire process.

Configure your system to bring individuals into the compliance process automatically by setting up a default compliance type for each job code on the Jobcode Compliance page. Then, when you hire someone with that job code using the Workforce Administration, Personal Information, Add a person menu, the system inserts a row into the Manage Professional Compliance tables for each default compliance type. Once you complete the hire process, access the Regulated Individual page and set the regulatory authority for each default compliance.

- Manual entry.

To manually bring an employee or worker into the Manage Professional Compliance process, select the Workforce Monitoring, Professional Compliance, Maintain Program menu and set both the professional compliance type and regulatory authority.

---

**Note.** Both the manual and the automatic methods of entry are associated with workflow (notification) functionality to ensure that the next appropriate action is performed.

---

See [Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process," page 69.](#)

## Understanding PeopleSoft Integration Broker

To automatically enroll individuals in the compliance process, the system uses PeopleSoft Integration Broker. The Professional Compliance handler on the WORKFORCE\_SYNC service operation selects all employee or worker job changes and performs the necessary inserts into Professional Compliance if the JOB.ACTION is HIR or ADD.

### See Also

[Chapter 2, "Setting Up Manage Professional Compliance," Using Integration Points in Manage Professional Compliance, page 9](#)

## Pages Used to Bring Regulated Individuals into the Compliance Process

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Jobcode Compliance	PCMP_JOBCODE	Workforce Monitoring, Professional Compliance, Define Compliance Information, Jobcode Compliance, Jobcode Compliance	Set up a default compliance type for each regulated individual who is hired through PeopleSoft Human Resources.
RI (regulated individual)	PCMP_RI	Workforce Monitoring, Professional Compliance, Maintain Program, Enroll Regulated Individual-RI, RI	Add a regulated individual to the Professional Compliance process manually.

## Setting Up Automatic and Manual Entry

To automatically add an individual during the hire process:

1. Set up a default compliance type for each individual by using the Jobcode Compliance page.
2. Hire an individual by using the Job Data component in Workforce Administration.
3. After hiring the individual, use the RI page to set the regulatory authority for each default compliance type.
4. Assign the regulated individual to a compliance supervisor on the Assign Manager/Supervisor/RI page.

To manually enter an individual:

1. Enter the individual by using the RI page.
2. Set the individual's regulatory authority and compliance type on the RI page.
3. Assign the regulated individual to a compliance supervisor on the Assign Manager/Supervisor/RI page.

**See Also**

Chapter 2, "Setting Up Manage Professional Compliance," Assigning Regulated Individuals to Compliance Managers/Supervisors, page 15

**Setting Up Default Compliance Types**

Access the Jobcode Compliance page (Workforce Monitoring, Professional Compliance, Define Compliance Information, Jobcode Compliance, Jobcode Compliance).

**Jobcode Compliance**

Set ID: SHARE Table Set shared across Corp

Job Code: 110000 Accountant

Default Jobcode Compliance		Find   View All First 1 of 1 Last
*Professional Compliance Type:	K02 Accountancy	+ -

Jobcode Compliance page

**Job Code** Displays the job code that is associated with the default compliance type at the time of hire.

**Professional Compliance Type** Select the professional compliance type that you want to automatically associate with the job code that appears at the top of the page.

Define professional compliance types on the PC Type page.

**See Also**

Chapter 2, "Setting Up Manage Professional Compliance," Defining Professional Compliance Types, page 12

**Adding Regulated Individuals to the Compliance Process**

Access the RI page (Workforce Monitoring, Professional Compliance, Maintain Program, Enroll Regulated Individual-RI, RI).

RI		RI Product	
EmplID:	B-BARET205	Wanda Crawford	
Empl Record:	1		
<b>Compliance Details</b> Find   View All First 1 of 1 Last			
*Professional Compliance Type:	<input type="text"/>		<input type="button" value="+"/> <input type="button" value="-"/>
Regulatory Authority:	<input type="text"/>		
Date Registered:	04/27/2009		
Business Unit:	BN1BU	Cobra Business Unit	

RI page

**Professional Compliance Type** Enter the professional compliance type for the individual whose identification appears at the top of the page. If you set up a default compliance type based on the individual's job code, the professional compliance type that appears in this field is the one that you defined as the default.

**Regulatory Authority** Enter the regulatory authority that corresponds to the individual's professional compliance type.

**Date Registered** Enter the date on which the individual was registered with the regulatory authority.

## Assigning Regulated Individuals to Supervisors

In the Manage Professional Compliance business process, you assign regulated individuals to a compliance supervisor on the Assign Manager/Supervisor/RI page.

See [Chapter 2, "Setting Up Manage Professional Compliance," page 5.](#)

## Defining Classifications of Regulated Individuals

In the Manage Professional Compliance business process, you define on the Classification page the classifications that a regulatory authority uses to specify a regulated individual's status. Then you apply classification to the individual to define the individual's compliance status.

This section discusses how to define classifications of regulated individuals.

**See Also**

Chapter 2, "Setting Up Manage Professional Compliance," [Setting Up Regulatory Authority Classifications](#), page 14

**Page Used to Define Classifications of Regulated Individuals**

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Classification Status	PCMP_RI_CLASS	Workforce Monitoring, Professional Compliance, Monitor Progress, Classification Status, Classification Status	Define a regulated individual's classification.

**Defining Classifications of Regulated Individuals**

Access the Classification Status page (Workforce Monitoring, Professional Compliance, Monitor Progress, Classification Status, Classification Status).

**Classification Status**

EmplID: HGPC02 Barry Theakston Empl Record: 0

Prof Compliance Type: KG1 Financial RI Status: Active

Regulatory Authority: KG01 Standard Financial Regulatory Authority

Classification Find | View All First 1 of 1 Last

\*Effective Date: 07/09/2001 + -

Classification: LEVEL1 New Entrant

Classification Status

**Enrolling Regulated Individuals in Development Plans**

This section provides an overview of the process of enrolling individuals in development plans and discusses how to:

- Create development records.
- View and add development areas.

## Understanding the Process of Enrolling Individuals in Development Plans

After you have assigned a supervisor to a regulated individual, and specified that individual's compliance classification, you can enroll the individual in a development plan.

To enroll an individual in a development plan, you:

1. Specify the ID of the individual whom you want to enroll in a development plan, on the Development Record page.

You should have already specified the individual's professional compliance type (using either the RI page or the Jobcode Compliance page), defined the individual's regulatory authority on the RI page, and entered the individual's classification on the Classification Status page.

2. Enter the creation date and expected completion date of the development plan.
3. Load a preexisting development plan with all of its associated development area elements on the Development Area page.

When creating development plans on the Development Plan page, you associate each plan (and its associated development area elements) with a professional compliance type and classification level. Therefore, you can automatically load all of the elements of the plan that is associated with the individual's classification, making them part of the person's development course.

---

**Note.** You can personalize or add new development areas to the default plan that you created for each classification level. To do this, you create new rows on the Development Record page.

If you need to tailor a default development plan to meet the needs of a specific regulated individual, you can add or subtract new development types and areas from the default plan on the Development Area page.

---

## Pages Used to Enroll Regulated Individuals in Development Plans

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Development Record	PCMP_RI_DEV_REC	Workforce Monitoring, Professional Compliance, Monitor Progress, Assign Development Plan, Development Record	Create development records.
Development Area	PCMP_RI_DEVAREA	Workforce Monitoring, Professional Compliance, Monitor Progress, Assign Development Plan, Development Area	View and add development areas that are associated with a default development plan.

## Creating Development Records

Access the Development Record page (Workforce Monitoring, Professional Compliance, Monitor Progress, Assign Development Plan, Development Record).

Development Record		Development Area	
EmplID:	HGPC02 Barry Theakston	Empl Record:	0
Prof Compliance Type:	Financial	RI Status:	Active
Regulatory Authority:	Standard Financial Regulatory Authority		
<b>Development Record Details</b>		Find   View All   First 1 of 1 Last	
Classification:	New Entrant	+ -	
Creation Date:	04/27/2009	📅	
Expected Completion Date:		📅	
Actual Completion Date:			
Status:			

Development Record page

**EmplID** Displays the employee ID of the regulated individual whom you are enrolling in a development plan. This is the ID that you entered to access the page.

### ***Development Record Details***

**Creation Date** Enter the date on which you enrolled the regulated individual in the development plan.

**Expected Completion Date** Enter the expected completion date of the development plan.

**Actual Completion Date** Displays the date that you entered in the Actual Completion Date field on the RI Dev Review (regulated individual development review) page.

**Status** Displays the status that you entered on the RI Dev Review page.  
See [Chapter 5, "Monitoring Regulated Individuals," Entering Development Review Details, page 48.](#)

## Viewing and Adding Development Areas

Access the Development Area page (Workforce Monitoring, Professional Compliance, Monitor Progress, Assign Development Plan, Development Area).

Development Area page

**EmplID** Displays the employee ID of the regulated individual whom you are enrolling in a development plan. This is the ID that you entered to access the page.

### ***Development Record Details***

**Creation Date** Displays the creation date that you entered on the Development Record page.

**Load Development Plan** Click this button to load by default elements that are associated with the regulated individual's classification level.  
 When you created the development plan, you associated it (and its related development areas) with a professional compliance type and classification level. Now, you can automatically load all of the elements of the plan that is associated with the individual's classification, making them part of the individual's development course.

### ***Development Area***

**Development Type** Select the kind of development element that makes up your development plan: *Accomp* (accomplishment), *Activity*, *Competency*, or *Course*.

**Development Area** Enter the specific development element (within each development type) to include in your development plan.

---

## Reassigning Regulated Individuals to New Compliance Managers or Supervisors

You initially assign regulated individuals to compliance managers or supervisors on the Assign Manager/Supervisor/RI page. When you need to reassign an individual to another manager or supervisor, you use the Reassign RI page.

This section discusses how to reassign regulated individuals.

### See Also

[Chapter 2, "Setting Up Manage Professional Compliance," Assigning Regulated Individuals to Compliance Managers/Supervisors, page 15](#)

## Page Used to Reassign Regulated Individuals to New Compliance Managers or Supervisors

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Reassign RI (reassign regulated individual)	RUN_CNTL_PCMP1	Workforce Monitoring, Professional Compliance, Maintain Program, Reassign RI, Reassign RI	Reassign regulated individuals to new compliance managers or supervisors.

## Reassigning Regulated Individuals

Access the Reassign RI page (Workforce Monitoring, Professional Compliance, Maintain Program, Reassign RI, Reassign RI).

### Reassign RI

Run Control ID: 100 [Report Manager](#) [Process Monitor](#)

**Reassignment Selection**

Regulated Individuals  Compliance Supervisors

**Reassignment Option**

Single Individual  All Individuals

\*Emplid:   Stephanie Andrews

Reg Authority:   Empl Record: 0

Supervisor: KG0009 Robin de la Camara

**Reassign To**

\*Supervisor:   Marcel Saint-Amand

Reassign RI page

## ***Reassignment Selection***

- Regulated Individuals** Select to assign a regulated individual to a new compliance manager or supervisor. When you select this option, perform the following actions:
1. In the Reassignment Option group box, specify whether you want to reassign a single individual to a new supervisor, or all individuals who belong to the current supervisor.
  2. If you are reassigning a single individual, the Emplid field becomes available.  
  
Enter an employee ID to identify the regulated individual whom you are reassigning.
  3. If you are reassigning a single individual, the Regulatory Authority, Empl Rcd Nbr (employee record number), and Supervisor fields appear when you enter the individual's employee ID.  
  
To assign the individual to a new supervisor, identify the specific job that you want to reassign (because there can be a different supervisor for each job). To do this, enter the regulatory authority governing the job; enter this job in the Empl Rcd Nbr field. The system displays the current supervisor for the job in the Supervisor field.
  4. If you reassign all individuals under the care of a compliance supervisor, enter the compliance supervisor in the Supervisor field in the Reassignment Option group box.  
  
(This field becomes available only if you select All Individuals.)
  5. To complete the reassignment of a single individual, identify the new supervisor in the Supervisor field of the Reassign To group box.  
  
(The Supervisor field becomes available when you select Regulated Individuals in the Reassignment Selection group box.)
  6. To complete the reassignment of all individuals, identify the new supervisor in the Supervisor field of the Reassign To group box.
  7. Run the reassignment process.

**Compliance Supervisors** Select to place a compliance supervisor under the direction of a new compliance manager. When you select this option, perform the following actions:

1. In the Reassignment Option group box, select Single Individual to reassign a single supervisor to a new compliance manager, or select All Individuals to reassign all of the supervisors who belong to the current manager.
2. If you are reassigning a single individual, the Supervisor field in the Reassignment Option group box becomes available.

Use this field to identify the supervisor whom you want to reassign.

3. If you are reassigning all of the supervisors under the care of a compliance manager, enter the manager who is currently in charge of these supervisors in the Manager field in the Reassignment Option group box.

(This field is available only if you select All Individuals.)

4. To complete the reassignment of a single supervisor, enter the new compliance manager in the Manager field of the Reassign To group box.

(The Manager field becomes available when you select Compliance Supervisors as your reassignment selection.)

5. To complete the reassignment of all supervisors belonging to a compliance manager, enter the new compliance manager in the Manager field of the Reassign To group box.

6. Run the reassignment process.

---

## (GBR) Reviewing References and Prior Work Experience

In the U.K., regulated individuals may be required to provide employers with references and describe their prior work experience. The Manage Professional Compliance business process retrieves this information from employee or worker application details that are entered in PeopleSoft Human Resources and displays the information on the Reference Profile, Reference Address, and Prior Work Experience UK pages.

This section discusses how to:

- Review reference profiles.
- Review reference addresses.
- Review prior work experience.

## Pages Used to Review References and Prior Work Experience

Page Name	Definition Name	Navigation	Usage
Reference Profile	PCMP_RI_REFERENCE1	Workforce Monitoring, Professional Compliance, Review Compliance Information, References UK, Reference Profile	Review reference profiles.
Reference Address	PCMP_RI_REFERENCE2	Workforce Monitoring, Professional Compliance, Review Compliance Information, References UK, Reference Address	Review reference addresses.
Prior Work Experience UK	PCMP_RI_PREV	Workforce Monitoring, Professional Compliance, Monitor Progress, Prior Work Experience UK, Prior Work Experience UK	Review prior work experience and record the previous classification of a regulated individual.

## Reviewing Reference Profiles

Access the Reference Profile page (Workforce Monitoring, Professional Compliance, Review Compliance Information, References UK, Reference Profile).

Reference Profile    Reference Address

EmplID: KU0020 Christelle Stevenson

Data    Find | View All | First | 1 of 1 | Last

Reference Number: 1

\*Date Contacted: 04/27/2009    \*Reference Type: Professional

Reference Name:

Title:

Employer:

Comment:

Reference Profile page

Use this page to review and edit reference profiles.

## Reviewing Reference Addresses

Access the Reference Address page (Workforce Monitoring, Professional Compliance, Review Compliance Information, References UK, Reference Address).

Data	
Reference Nbr: 1	Reference Name:
Date Contacted: 04/28/2009	
Country:	<input type="text"/>
Address:	<input type="text"/>
Phone:	<input type="text"/>

Reference Address page

Use this page to review and edit reference addresses.

## Reviewing Prior Work Experience

Access the Prior Work Experience UK page (Workforce Monitoring, Professional Compliance, Monitor Progress, Prior Work Experience UK, Prior Work Experience UK).

### Prior Work Experience UK

EmplID: HGPC03 Stephanie Andrews      Empl Record: 0  
 Prof Compliance Type: UK Health & Safety      RI Status: Active  
 Regulatory Authority: UK First Aid Regulatory Authority

Prior Work Experience		Find   View All   First   1 of 1   Last	
Sequence Number:	<input type="text" value="1"/>	+ -	
*Start Date:	<input type="text" value="08/05/2002"/>	End Date:	<input type="text" value="04/29/2004"/>
	<input type="checkbox"/> Relevant Work Experience		
Employer:	<input type="text" value="Auto Care, Ltd"/>	Country:	<input type="text" value="GBR"/> United Kingdom
City:	<input type="text" value="London"/>	County:	<input type="text" value="GT LON"/> Greater London
Phone:	<input type="text"/>	Ending Job Title:	<input type="text" value="Customer Service Manager"/>
Ending Pay Rate:	<input type="text" value="4,000.00"/>	*Currency:	<input type="text" value="GBP"/>
*Pay Frequency:	<input type="text" value="Month"/>		
	<input type="checkbox"/> Company Previously Regulated		
Previous Classification:	<input type="text"/>		
Reason for Leaving:	<input type="text" value="Company merger"/>		
Job Description:	<input type="text" value="Responsible for managing the Total Quality customer service program for all dealerships within the sales territory."/>		

Prior Work Experience UK page

This page displays the start and end dates of each prior position that the regulated individual held, previous employer's names and addresses, job title, and salary information. In addition, you can add compliance-specific information to the regulated individual's record, such as the previous classification level attained, reasons for leaving a position, and prior job descriptions.



## Chapter 5

# Monitoring Regulated Individuals

This chapter provides an overview of the monitoring process and discusses how to:

- Review regulated individuals.
- Observe regulated individuals.
- (GBR) Monitor key performance indicators (KPIs).
- Set up and enter check details.
- View related information.

---

## Understanding the Monitoring Process

A key step in the setup of Manage Professional Compliance involves defining a process for monitoring the progress of individuals as they meet the requirements for professional certification.

In Manage Professional Compliance, monitoring consists of these features, procedures, and views:

- Reviews

Reviews, together with observations and KPIs, fall under the monitoring umbrella, and enable you to assess a regulated individual's progress.

Reviews are directly associated with development plans and are intended to measure groups and individuals against all of the elements in a plan. At the conclusion of a review, if the review identifies the individual as lacking in certain areas, you can set up further development plans. However, passing each element of the plan either implies that the individual can move on to the next classification category or that the individual has become fully compliant or qualified.

- Observations

Observations are different from reviews because they are not directly associated with a development plan.

Observations ensure that an individual follows a certain predefined process, either within the working environment or while the individual is with a client. For example, an individual must follow the company's advisory process when selling financial advice to a client. A company can set up these predefined processes in the form of observation models, which outline each specific step that is observed. As with reviews, observations may show that the individual requires further development.

- Key Performance Indicators (KPIs)

KPIs monitor the regulated individual's performance against predetermined standards. Five KPIs are delivered as part of the U.K. Professional Financial Compliance process:

- Complaints: Number of complaints against the individual versus those against the company.
- Persistency (of business sold): Percentage of sold business that is still in force.
- Spread of Business: The range of products that the individual is selling.
- Not Taken Up (NTU): Number of proposals that have been submitted but not put into force.
- Factfind Completion: Check on accuracy, completeness, and quality of service.

---

**Note.** These KPIs are directly targeted at the U.K. financial services arena. However, you can use the key structure of the KPI records, and the way in which the functionality is incorporated within Manage Professional Compliance, as a guide for creating additional KPIs.

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- Checks

Checks allow you to define background checks for regulated workers, and to monitor compliance with these checks.

For example, you can set up a check for financial service workers that requires them to submit a review of their finances before they can be certified.

- Inquiries

Inquiry pages which the Manage Professional Compliance process provides to supervisors and managers show information related to the other monitoring elements that are described here. Supervisors and managers can view/review a regulated individual's review history, observation history, and check history.

**See Also**

[Chapter 7, "Using Inquiry Pages," page 79](#)

## Common Elements Used in This Chapter

**Classification**

Category that a regulatory authority uses to define individuals within the compliance process. The levels of classification can be simple or complex, reflecting various levels of compliance with the requirements for engaging in different kinds of professional activities. For example, an individual could be level 1 or level 3 compliant, or fully compliant, and each of these classifications could be associated with a different set of certification requirements.

Define classifications on the Classification page.

**Professional Compliance Type** Groups of professionals who are subject to compliance requirements in your organization. For example, you can set up professional compliance types for financial advisor, engineering, and health and safety groups, each with its own compliance requirements.

Define professional compliance types on the PC Type page.

**Regulatory Authority** Body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field.

Define regulatory authorities on the Regulatory Authority page.

### See Also

*PeopleSoft Enterprise HRMS 9.1 Application Fundamentals PeopleBook*, "Working with System Data Regulation in HRMS"

---

## Reviewing Regulated Individuals

This section provides an overview of reviewing regulated individuals and discusses how to:

- Enter development review details.
- Review a development area.

## Understanding Regulated Individual Reviews

Before you review a regulated individual, set up a development plan for that person. This is because when you review an worker, you are reviewing them against the elements of their plan. If you have not yet set up the plan, you must do so on the Development Plan page (using the accomplishments, competencies, courses, and activities that you created as part of the development plan setup).

To review a regulated individual:

1. Set up a development plan using the Development Plan pages.
2. Enroll the individual in a development plan using the Development Record and Development Area pages.
3. Enter a review of the individual on the RI Dev Review (regulated individual development review) and RI Dev Area Review (regulated individual development area review) pages.
4. View the review history of the individual on the RI Review History (regulated individual review history) page.
5. Use the RI Review Report (regulated individual review report) page to generate reports of workers' review histories to see how they have measured against the elements of a development plan.

**See Also**

[Chapter 3, "Defining Development Plans," page 19](#)

[Chapter 4, "Entering and Maintaining Regulated Individual Data," page 27](#)

[Chapter 7, "Using Inquiry Pages," page 79](#)

**Pages Used to Review Regulated Individuals**

<b>Page Name</b>	<b>Definition Name</b>	<b>Navigation</b>	<b>Usage</b>
RI Dev Review (regulated individual development review)	PCMP_RI_DEVREVIEW	Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Development Review, RI Dev Review	Enter development review details.
RI Dev Area Review (regulated individual development area review)	PCMP_RI_DEVREVIEW2	Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Development Review, RI Dev Area Review	Review a development area.
RI Review (regulated individual review)	RUN_CNTL_PCMP4	Workforce Monitoring, Professional Compliance, Reports, RI Review	Use the RI Review report (PCMP004) to collect complete details of a regulated individual's review.

**Entering Development Review Details**

Access the RI Dev Review page (Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Development Review, RI Dev Review).

RI Dev Review		RI Dev Area Review	
EmplID:	KG0004	Matabele Brooke	Empl Record: 0
Prof Compliance Type:	UK Health & Safety		RI Status: Active
Regulatory Authority:	UK First Aid Regulatory Authority		
Development Review Details		Find   View All First 1 of 1 Last	
Classification:	Non Qualified First Aider		
Expected Completion Date:	01/31/2000	Creation Date:	01/03/2000
Actual Completion Date:	01/28/2000	Status:	Pass
Comments			
Matabele has now qualified as a first aider.			

RI Dev Review page

- Creation Date** Displays the creation date of the regulated individual's development plan that you entered on the Development Record page.
- Expected Completion Date** Displays the expected completion date of the regulated individual's development plan that you entered on the Development Record page.
- Actual Completion Date** Enter the actual completion date of the regulated individual's development plan.
- Status** Select the status of the regulated individual relative to the broad goals of the development plan.
- Comments** Enter comments about the regulated individual's performance.

## Reviewing a Development Area

Access the RI Dev Area Review page (Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Development Review, RI Dev Area Review).

RI Dev Review		RI Dev Area Review	
EmplID:	KG0004	Matabele Brooke	Empl Record: 0
Prof Compliance Type:	UK Health & Safety		RI Status: Active
Regulatory Authority:	UK First Aid Regulatory Authority		
Development Review Details			Find   View All   First   1 of 1   Last
Classification:	Non Qualified First Aider		
Creation Date:	01/03/2000		
Development Area			Find   View All   First   1 of 4   Last
Development Type:	Accomp		
Development Area:	3005	General Physical	
Status:	Pass		
Comments	No medical problems.		

RI Dev Area Review page

- Development Type** Displays the type of development activity against which you are assessing the regulated individual. Values are *Accomp* (accomplishments), *Competencies*, *Courses*, and *Activities*.
- Development Area** Displays the specific activity within the development area (accomplishment, competency, course, or activity) against which you are assessing the individual's performance.
- Status** Select the performance status of the regulated individual relative to the specific development activity that appears in the Development Area field.
- Comments** Enter comments about the regulated individual's performance.

**See Also**

Chapter 3, "Defining Development Plans," page 19

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## Observing Regulated Individuals

To set up observing regulated individuals, use the Observation Element (PCMP\_OBS\_ELEM), Observation Model (PCMP\_OBS\_MODEL), and Record RI Observation (PCMP\_RI\_OBS) components.

This section provides an overview of observing regulated individuals and discusses how to:

- Define observation elements.
- Construct observation models.
- Add observation elements to models.
- Enter observations.
- Enter observation details.

## Understanding Regulated Individual Observations

Unlike reviews, observations are not linked to development plans, so it is not necessary to define a plan before you can observe a regulated individual. However, you must perform several setup steps before you can enter observation data. After you have completed these setup steps, you can enter observations, review observation histories, and generate observation reports.

To perform observations:

1. (Setup) Define observation elements using the Observation Elements page.

Observation elements are the individual activities that you want to observe. After being defined, these observation elements can be reused and combined in different ways to create observation models, such as the ones discussed in steps 2 and 3.

2. (Setup) Enter a name and description for the observation model that you are creating on the Observation Model page.

An observation model organizes individual observation elements into a process or procedure that regulated individuals may be required to follow. For example, a financial advisor may be required to inform customers of the charges that might apply when they purchase stock, and then advise them of the known risks of investing in a security before they sell a specific stock. The steps of discussing charges, assessing risks, and selling are part of a process that can be observed and structured as an observation model.

3. (Setup) Add observation elements to the observation model on the Model Elements page.
4. Assign regulated individuals to one of the observation models and enter your observations of regulated individuals in relation to the observation elements that are part of the observation model on the RI Observation (regulated individual observation) and Observation Elements pages.
5. Display the review history of the individual on the RI Observation History page.
6. Generate reports of an worker's observation history to see how they measure against all of the elements of the observation model on the RI Observation Reports page.

**See Also**

Chapter 7, "Using Inquiry Pages," page 79

## Pages Used to Set Up Observation Elements and Observe Regulated Individuals

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Elements	PCMP_OBS_ELEM	Workforce Monitoring, Professional Compliance, Define Observation Information, Elements, Elements	Define observation elements.
Observation Model	PCMP_OBS_MODEL	Workforce Monitoring, Professional Compliance, Define Observation Information, Models, Observation Model	Construct observation models.
Model Elements	PCMP_OBS_MODEL2	Workforce Monitoring, Professional Compliance, Define Observation Information, Models, Model Elements	Add observation elements to models.
RI Observation (regulated individual observation)	PCMP_RI_OBS	Workforce Monitoring, Professional Compliance, Monitor Progress, Record RI Observation, RI Observation	Enter observations of a regulated individual.
Observation Elements	PCMP_RI_OBS2	Workforce Monitoring, Professional Compliance, Monitor Progress, Record RI Observation, Observation Elements	Enter observation details.
RI Observation (regulated individual observation)	RUN_CNTL_PCMP3	Workforce Monitoring, Professional Compliance, Reports, RI Observation	Use the RI Observation report (PCMP003) to collect complete details of a regulated individual's observation.

## Defining Observation Elements

Access the Elements page (Workforce Monitoring, Professional Compliance, Define Observation Information, Elements, Elements).

Elements page

**Element** and **Description** Enter name and description for the observation elements that you want to use in the observation model.

## Constructing Observation Models

Access the Observation Model page (Workforce Monitoring, Professional Compliance, Define Observation Information, Models, Observation Model).

Observation Model page

**Observation Model** Enter name for the observation model.

**Comments** Enter comments about the observation model.

## Adding Observation Elements to Models

Access the Model Elements page (Workforce Monitoring, Professional Compliance, Define Observation Information, Models, Model Elements).

Model Elements page

**Observation Element** Enter the observation elements that you want to include in the observation model.

**Required** Select if the observation element that you specified requires a mandatory "pass" status.

**Comments** Enter comments about the observation elements.

## Entering Observations

Access the RI Observation page (Workforce Monitoring, Professional Compliance, Monitor Progress, Record RI Observation, RI Observation).

RI Observation		Observation Elements	
EmplID:	KG0004 Matabele Brooke	Empl Record:	0
Prof Compliance Type:	UK Health & Safety	RI Status:	Active
Regulatory Authority:	UK First Aid Regulatory Authority		
<b>Observation Details</b>		Find   View All   First   1 of 1   Last	
Classification:	Qualified First Aider	+ -	
*Observation Date:	04/27/2009		
*Observation Model:		Status:	
<b>Comments</b>			
<input type="text"/>			

RI Observation page

- Observation Date** Enter the date on which you perform the observation.
- Observation Model** Enter observation model against which you assess the regulated individual whose employee ID appears at the top of the page.
- Status** Select the general performance status of the regulated individual relative to the observation model.
- Comments** Enter comments about the regulated individual's performance.

## Entering Observation Details

Access the Observation Elements page (Workforce Monitoring, Professional Compliance, Monitor Progress, Record RI Observation, Observation Elements).

The screenshot displays the 'Observation Elements' page. At the top, there are tabs for 'RI Observation' and 'Observation Elements'. Below the tabs, the following information is shown:

- EmpID:** KG0004 Matabele Brooke
- Prof Compliance Type:** UK Health & Safety
- Regulatory Authority:** UK First Aid Regulatory Authority
- Empl Record:** 0
- RI Status:** Active

Below this is a section titled 'Observation Details' with a navigation bar (Find | View All | First | 1 of 1 | Last). The details include:

- Classification:** Qualified First Aider
- Observation Date:** 04/27/2009
- Observation Model:** KG02

Next is the 'Observation Element' section with its own navigation bar (Find | View All | First | 1 of 4 | Last). It contains:

- Observation Element:**  Required
- Status:** Pass (dropdown menu)
- Comments:** A text input field with a small icon to its right.

Observation Elements page

- Observation Element** Displays the individual activity that you are assessing or observing.
- Required** The system selects this check box if you specified on the Model Elements page that the observation element requires a "pass."
- Status** Select the performance status of the regulated individual relative to the observation element.
- Comments** Enter comments about the regulated individual's performance.

---

## (GBR) Monitoring KPIs

To set up monitoring KPIs, use the Complaint Type (PCMP\_COMPL), Complaints (PCMP\_RI\_COMPL), Product Type (PCMP\_PROD\_TYPE), and Conduct Key Perf Indctr Rvw (PCMP\_RI\_KPI\_REV) components.

This section discusses how to:

- Define complaint types.
- Register complaints.
- Define products.
- Associate products with companies.
- Enter KPI review details.
- Define KPI statistics.

## Understanding Monitoring KPIs

To measure an individual's progress against KPIs, first set up specific indicators. PeopleSoft includes the following broad categories of performance indicators as part of the application; within these categories, however, you must choose (and in some cases set up) the exact indicators that you want to use:

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**Note.** The following KPIs are directly targeted at the U.K. financial services arena. However, the key structure of the KPI records, and how the functionality is incorporated within the Manage Professional Compliance business process, can be used as a guide for creating additional, configured KPIs.

---

Performance indicator categories are:

- Complaints: Number of complaints against the individual versus those against the company.
- Persistency (of business sold): Percentage of the sold business that is still in force.
- Spread of Business: The range of products that the individual is selling.
- Not Taken Up (NTU): Number of proposals that have been submitted, but not put into force.
- Factfind Completion: Check on accuracy, completeness, and quality of service.

To set up and use performance indicators:

1. Define complaint types on the Complaint Type page.

Complaint types are the kinds of problems that customers make against a regulated individual. For example, "Gave poor advice," or "Sold inappropriate product" are complaints that a customer might log.

2. Register complaints against an individual on the RI Complaints (regulated individual complaints) page.
3. Define products and product types on the Product Type page.

This is important because the majority of delivered KPIs—persistency, spread of business, and NTUs—measure an individual's success in selling or maintaining customer satisfaction with regard to products.

---

**Note.** Before you can measure persistency, spread of business, and NTUs, you must define products and product types. Link these products and product types to a company, and then associate the products and services to the regulated individuals who provide them.

---

4. Associate products and product types with companies on the Company Compliance – Products page.

Before you can monitor these KPIs, specify the types or classes of products and services that your company provides, and then associate the products and services to the individuals who are responsible for selling them.

5. Associate products and services with the regulated individuals who are responsible for selling them on the RI Product (regulated individual product) page.

The products that you identify on this page are those that you previously defined on the Product Type page.

6. Enter KPI review details, such as review date and frequency type, on the KPI Review (key performance indicator review) page.

7. On the KPI Statistics (key performance indicator statistics) page, enter complaint, persistency, spread of business, NTU , and factfind completion data for the individual.

## Pages Used to Monitor KPIs

<b>Page Name</b>	<b>Definition Name</b>	<b>Navigation</b>	<b>Usage</b>
Complaint Type	PCMP_COMPL	Workforce Monitoring, Professional Compliance, Define Compliance Information, Complaint Type	Define complaint types that customers might make against a regulated individual.
RI Complaints (regulated individual complaint)	PCMP_RI_COMPL	Workforce Monitoring, Professional Compliance, Monitor Progress, RI Complaints, RI Complaints	Register complaints against an individual.
Product Type	PCMP_PROD_TYPE	Workforce Monitoring, Professional Compliance, Define Compliance Information, Product Type	Define products and product types to measure persistency, spread of business, and NTUs.
Products	PCMP_COMPANY_TBL2	Workforce Monitoring, Professional Compliance, Define Compliance Information, Company Compliance, Products	Associate products with the companies that provide them.
KPI Review (key performance indicator review)	PCMP_RI_KPI_REV	Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Key Perf Indctr Rvw, KPI Review	Enter KPI review details.
KPI Statistics (key performance indicator statistics)	PCMP_RI_KPI_REV2	Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Key Perf Indctr Rvw, KPI Statistics	Define KPI statistics for the individual whose performance you want to measure.

## Defining Complaint Types

Access the Complaint Type page (Workforce Monitoring, Professional Compliance, Define Compliance Information, Complaint Type).

Complaint Type

Set ID: GB

*Complaint Type	*Complaint Description
<input type="text"/>	<input type="text"/>

Complaint Type page

**Complaint Type** and **Complaint Description** Enter a complaint type code and description.

## Registering Complaints

Access the RI Complaints page (Workforce Monitoring, Professional Compliance, Monitor Progress, RI Complaints, RI Complaints).

RI Complaints

EmplID: KG0004 Matabele Brooke Empl Record: 0

Prof Compliance Type: UK Health & Safety RI Status: Active

Regulatory Authority: UK First Aid Regulatory Authority

Regulated Individual Complaint	
Classification:	Qualified First Aider
Supervisor	Robin de la Camara
*Complaint Type:	KG03 <input type="text"/> Not qualified
*Complaint Date:	04/27/2009 <input type="text"/>
Comments:	Assigned to First Aid training program.

RI Complaints page

**Supervisor** Displays the name of the regulated individual's supervisor.

**Complaint Type** Enter the type of complaint that you want to register against the individual whose employee ID appears at the top of the page. Values are the complaint types that you defined on the Complaint Type page.

**Complaint Date** Enter the date on which you log the complaint.

## Defining Products

Access the Product Type page (Workforce Monitoring, Professional Compliance, Define Compliance Information, Product Type).

The screenshot shows the 'Product Type' page with the following details:

- Set ID:** GBR01
- \*Product Type:** KG01
- \*Description:** Mortgages

Below the form fields is a table with the following data:

*Product	*Description		
KG01	Capital Repayment	+	-
KG02	Endowment	+	-
KG03	Pension linked endowment	+	-

Product Type page

**Product Type** Displays the product type category that you entered to access the component.

**Product** Enter and describe the individual products that belong to the product type category.

## Associating Products with Companies

Access the Products page (Workforce Monitoring, Professional Compliance, Define Compliance Information, Company Compliance, Products).

Products page

**Product Type** Enter one of the broad product categories that you defined on the Product Type page.

**Product** Enter one of the products that belongs to the broad product category.

## Entering KPI Review Details

Access the KPI Review page (Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Key Perf Indctr Rvw, KPI Review).

KPI Review page

**Review Date** Enter the date on which you are performing the review.

<b>Frequency Type</b>	Select the frequency of the review.
<b>Comments</b>	Enter comments about the regulated individual.

## Defining KPI Statistics

Access the KPI Statistics page (Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Key Perf Indctr Rvw, KPI Statistics).

KPI Review
KPI Statistics

EmplID: KG0004 Matabele Brooke
Empl Record: 0

KPI Review Details
Find | View All First 1 of 1 Last

Review Date: 04/27/2009

**Complaints**

From Date:  31
To Date:  31

Number of Complaints:

**Persistency**

From Date:  31
To Date:  31

**Details**

Product Type	Product	Percentage
		<input type="text" value=""/>

**Spread of Business**

From Date:  31
To Date:  31

**Details**

Product Type	Balance of Advice
	<input type="text" value=""/>

**Not Taken Up (NTUs)**

From Date:  31
To Date:  31

**Details**

Product Type	Product	Percentage
		<input type="text" value=""/>

**Factfind Completion**

From Date:  31
To Date:  31

Percentage:

KPI Statistics page

**Review Date** Displays the date of the KPI review.

**Complaints**

**From Date and To Date** Enter the range of dates for which you are entering the number of complaints that were directed against the regulated individual.

**Number of Complaints** Enter the number of complaints that were directed against the regulated individual within the date range.

### ***Persistence***

**From Date and To Date** Enter the range of dates for which you are specifying persistence of sold products.

**Product Type** Displays the type of product whose persistence you are evaluating.

**Product** Displays the specific product whose persistence you are evaluating.

**Percentage** Enter the percentage of each sold product that is still in force.

### ***Spread of Business***

**From Date and To Date** Enter the range of dates for which you are evaluating spread of business.

**Product Type** Displays the type of product for which you are measuring the balance of advice (product spread).

**Balance of Advice** Select a rating for the balance of advice for each product.

### ***Not Taken Up (NTUs)***

**From Date and To Date** Enter the range of dates for which you are evaluating NTUs.

**Product Type** Displays the type of product for which you are measuring the percentage of NTUs.

**Product** Displays the specific products for which you are measuring the percentage of NTUs.

**Percentage** Enter the percentage of proposals that have not been taken up for each product.

### ***Factfind Completion***

**From Date and To Date** Enter the range of dates for which you are assessing the regulated individual's accuracy, completeness, and quality of service.

**Percentage** Enter a percentage that represents the factfind assessment of the regulated individual.

## Setting Up and Entering Check Details

To set up check details, use the RI Checks (PCMP\_RI\_CHK), and Check Type (PCMP\_CHK\_TYPE) components.

This section provides an overview of setting up and entering check details and discusses how to:

- Define check types.
- Enter check data.

## Understanding Check Detail Setup and Usage

Use the Manage Professional Compliance business process to monitor compliance with various kinds of checks that are required for professional certification. For example, certain groups of workers in your company may need to submit to financial background checks or security checks before they can be certified.

First, define the types of checks you want to perform; then, enter data on each individual as they pass or fail the required checks. Using an inquiry page, you can then review each individual's compliance status.

To set up and use checks:

1. Define the check types that you want to use on the Check Type page.
2. On the RI Check (regulated individual check) page, for each individual, enter whether they have passed the check and enter the check date.
3. Review the individual's check history on the RI Checks History (regulated individual checks history) page.

### See Also

[Chapter 7, "Using Inquiry Pages," page 79](#)

## Pages Used to Set Up and Enter Check Details

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Check Type	PCMP_CHK_TYPE	Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Check Type, Check Type	Define check types that a regulated individual needs to pass.
RI Checks (regulated individual checks)	PCMP_RI_CHK	Workforce Monitoring, Professional Compliance, Monitor Progress, RI Checks, RI Checks	Enter check data.

## Defining Check Types

Access the Check Type page (Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Check Type, Check Type).

Check Type

Set ID: C

*Check Type	*Description		
KG01	Financial background check	+	-
KG02	Security check	+	-
KG03	Financial stability check	+	-

Check Type page

### Check Type

Enter the types of check—for example, financial, stability, health, or security—that you want to perform .

## Entering Check Data

Access the RI Checks page (Workforce Monitoring, Professional Compliance, Monitor Progress, RI Checks, RI Checks).

RI Checks			
EmplID:	HGPC03	Stephanie Andrews	Empl Record: 0
Prof Compliance Type:	KG2	UK Health & Safety	RI Status: Active
Regulatory Authority:	KG02	UK First Aid Regulatory Authority	
Regulated Individual Check <span style="float: right;">Find   View All First <b>1 of 1</b> Last</span>			
Classification:	Non Qualified First Aider		+ -
Supervisor	Robin de la Camara		
*Check Date:	<input type="text" value="04/27/2009"/>		
*Check Type:	<input type="text"/>		
Status:	<input type="text" value="Pass"/>		
Comments:	<input type="text"/>		

RI Checks page

- Supervisor** Displays the name of the regulated individual's supervisor.
- Check Date** Enter the date on which you perform the check.
- Check Type** Select one of the check types that you defined on the Check Type page.
- Status** Select the status of the individual relative to the check that you are performing.
- Comments** Enter comments about the check.



## Chapter 6

# Setting Up Notifications in Manage Professional Compliance Business Process

This chapter provides an overview of notifications in the Manage Professional Compliance business process and discusses how to set up notifications.

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## Understanding Notifications in the Manage Professional Compliance Business Process

Manager and supervisors who are in charge of bringing workers into compliance with professional certification requirements are often required to take time-critical actions—for example, when a company hires an individual and assigns the individual to a development plan, the supervisor may need to register that person with the regulatory authority that is responsible for certifying members of the individual's professional group. For this reason, PeopleSoft built a flexible form of notification into the Manage Professional Compliance process, which includes workflow so that the system can inform managers and supervisors of any critical actions that they must take.

Notifications in Manage Professional Compliance are associated with six activities and processes:

- Hire.

When you add an individual to the Manage Professional Compliance process using Workforce Administration, Personal Information, Add a person, you can set up the system to inform the general supervisor of any actions that they may need to take related to professional compliance.

- RI add (regulated individual add).

When you bring an individual into the professional compliance process manually (rather than through the Add a Person option in the Workforce Administration, Personal Information menu), you can set up the system to inform the individual's supervisor of subsequent actions that they may need to take.

- Classification change.

When you reclassify an individual in the Manage Professional Compliance process (that is, when you change the individual's classification type from noncompliant to compliant, or from level 1 compliant to level 2 compliant, and so on), you can set up the system to inform you of any subsequent actions that you may need to take.

- Job change.

You can set up the system to notify you of any actions that you need to take in response to a job change. For example, you may need to enroll the employee in a different development plan that is suited to the new position.

- Termination.

You can set up the system to notify you of any actions you may need to take when an employee leaves the company. For example, you may need to inform the regulatory authority that certifies members of the employee's professional group that the employee has been terminated.

- Recertification.

You can set up the system to notify you of any actions that you need to take to recertify individuals when a prior certification is about to expire.

### **See Also**

[Chapter 4, "Entering and Maintaining Regulated Individual Data," page 27](#)

## **Identifying Notification Formats and Messages**

This section discusses how to identify notification formats and messages.

A notification is an email message that can consist of the three elements:

- Message text
- Action line
- Time requirement

Although these components are optional, notifications are most effective when they combine all three. Because notifications take the form of email messages, it is important that the message audience (supervisors, compliance supervisors, and compliance managers) have valid email addresses set up within their user profiles. Also, workflow must be activated for each employee and for the system in general.

Notice that the Hire check box is selected, indicating that the notification message, action and time limits shown in the exhibit should appear in a notification to a new hire.

The format of a notification message and a resultant sample email is shown in this table:

<b><i>Message Line</i></b>	<b><i>Message Format</i></b>
One	EmplID; Name; Professional Compliance Type
Two	Message: notification text message
Three	Action: notification action text

<i>Message Line</i>	<i>Message Format</i>
Four	Time limit (days) : action time limit

**See Also**

Chapter 4, "Entering and Maintaining Regulated Individual Data," page 27

---

## Setting Up Notifications

To set up notifications, use the Compliance Type (PCMP\_TYPE), Regulatory Authority (PCMP\_REG\_AUTH), and Notify Re-Certifications (PCMP\_RECERT\_AE) components. Use the CI\_PCMP\_JOBCHG, CI\_PCMP\_JOBTER, and CI\_PCMP\_RECERT component interfaces to load data into the tables for the notification components.

This section discusses how to:

- Create a hire notification.
- Create an RI add notification.
- Create a classification change notification.
- Create a job change notification.
- Create a termination notification.
- Create a recertification notification.

---

**Note.** Because all notification pages are the same except those used to create recertification notices, the only pages that this section discusses are related to recertification.

---

**See Also**

Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process," Understanding Notifications in the Manage Professional Compliance Business Process, page 69

## Pages Used to Set Up Notifications

Page Name	Definition Name	Navigation	Usage
Compliance Type - Notification	PCMP_TYPE_NOTIFY	Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Compliance Type, Notification	Create a hire notification.
Regulatory Authority - Notifications	PCMP_REGAUTH_NOTIF	Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Regulatory Authority, Notifications	Create the following notifications: RI add, classification change, job change, or termination.
Admin Re-Certs (administer recertification)	PCMP_RECERT_AE	Workforce Monitoring, Professional Compliance, Monitor Progress, Notify Re-Certifications, Admin Re-Certs	Create a recertification notification.

## Creating a Hire Notification

Access the Compliance Type - Notification page (Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Compliance Type, Notification).

PC Type
Notification

**Professional Compliance Type:**    KG1   Financial

Hire

**Notification Message**

Employee/Non-Employee has entered financial compliance programme.

**Notification Action**

Set regulatory authority.

**Action Time Limit (Days):**

Compliance Type - Notification page

During the hire process in the Administer Workforce business process, a check is made to see if there are any default professional compliance types associated with the job code of the employee or non-employee who is being hired. This check is carried out within the Professional Compliance handler on the WORKFORCE\_SYNC service operation, which is associated with changes to the JOB record. If the action is set to *HIR* or *ADD*, and default professional compliance types are associated with the job code, then the employee/non-employee is added to the Manage Professional Compliance process.

---

**Note.** At this point in the process, a regulatory authority has not been entered, nor has the regulated individual been assigned to a compliance supervisor. For this reason, hire notifications are not sent to compliance supervisors, but to the employee's general supervisor, as defined on the JOB - Work Location page. The system creates an entry in the general supervisor's worklist including navigation to the RI page so that the supervisor can enter a regulatory authority. Then, a compliance supervisor can be assigned to the regulated individual.

Hire notifications use the [Role] Supervisor-No Posn Mgt role query to determine the supervisor of the employee/non-employee. Alternative role queries can be substituted, such as [Role] Full Posn Mgt if, for example, position management is used.

---

### **See Also**

[Chapter 4, "Entering and Maintaining Regulated Individual Data," page 27](#)

## **Creating an RI Add Notification**

Access the Regulatory Authority - Notifications page (Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Regulatory Authority, Notifications).

Reg Authority	Address	Classification	Notifications
<b>Professional Compliance Type:</b> KG1 Financial			
<b>Regulatory Authority:</b> KG01			
<b>Description:</b> Standard Financial Regulatory Authority			
<b>Add</b>			
<input checked="" type="checkbox"/> Add			
<b>Notification Message</b> Employee/Non-Employee has begun SFRA compliance.			
<b>Notification Action</b> Assign Compliance Supervisor & set classification level. Form SFRA01 to be sent.			
<b>Action Time Limit (Days):</b> <input type="text" value="7"/>			
<b>Change of Classification</b>			
<input checked="" type="checkbox"/> Change of Classification			
<b>Notification Message</b> New SFRA classification level set for individual.			
<b>Notification Action</b> Form SFRA02 needs to be sent.			
<b>Action Time Limit (Days):</b> <input type="text" value="10"/>			
<b>Change in Job</b>			
<input checked="" type="checkbox"/> Change in Job			
<b>Notification Message</b> Change of responsibilities for SFRA individual.			
<b>Notification Action</b> Form SFRA03 must be sent giving details.			
<b>Action Time Limit (Days):</b> <input type="text" value="5"/>			
<b>Job Termination</b>			
<input checked="" type="checkbox"/> Job Termination			
<b>Notification Message</b> Employee/Non-Employee no longer part of SFRA compliance programme.			
<b>Notification Action</b> Form SFRA04 needs to be sent.			
<b>Action Time Limit (Days):</b> <input type="text" value="3"/>			

Regulatory Authority - Notifications page

When you manually add a regulated individual to the Manage Professional Compliance business process (as opposed to the hire process), the professional compliance type and regulatory authority are entered, but no assignment to a compliance supervisor has been made. For this reason, RI add notifications are not sent to compliance supervisors, but to the employee's general supervisor, as defined on the JOB - Work Location page with an appropriate message so that the individual can be assigned to a compliance supervisor.

### **See Also**

[Chapter 4, "Entering and Maintaining Regulated Individual Data," Defining Classifications of Regulated Individuals, page 32](#)

*PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Administer Workforce*, "Increasing the Workforce," Entering Job Information

## **Creating a Classification Change Notification**

Access the Regulatory Authority - Notifications page (Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Regulatory Authority, Notifications).

During a classification change, the regulated individual is already within the Manage Professional Compliance process and assigned to a compliance supervisor. When you create a classification change notification, the system sends an email that informs the compliance supervisor of the new classification, so that the supervisor can take appropriate action.

### **See Also**

[Chapter 4, "Entering and Maintaining Regulated Individual Data," Defining Classifications of Regulated Individuals, page 32](#)

## **Creating a Job Change Notification**

Access the Regulatory Authority - Notifications page (Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Regulatory Authority, Notifications).

When a regulated individual changes jobs, the individual is already within the Manage Professional Compliance process and assigned to a compliance supervisor. When you create a job change notification, the system sends an email that informs the compliance supervisor of the change, so that the supervisor can take appropriate action.

---

**Note.** Make job changes in the JOB component of Administer Workforce. When a regulated individual changes jobs, the Professional Compliance handler on the WORKFORCE\_SYNC service operation initiates notification based on the POS and XFR Action settings.

---

### **See Also**

*PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Administer Workforce*, "Updating Person and Job Information," Changing Job Data

## Creating a Termination Notification

Access the Regulatory Authority - Notifications page (Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Regulatory Authority, Notifications).

Upon termination or retirement, the regulated individual must be deactivated within the Manage Professional Compliance process. Historical information is not removed from the system, but retained for all regulated individuals. When you create a notification, an email is sent to the compliance supervisor, and an entry is made in that person's worklist including navigation to the Assign Manager/Supervisor/RI page so that the supervisor can set the regulated individual's status to *Inactive*.

---

**Note.** Make terminations in the JOB component of Administer Workforce. When a regulated individual is terminated or retires, the Professional Compliance handler on the WORKFORCE\_SYNC service operation initiates notification based on the TDL, TER, TWB, and TWP Action settings.

---

### See Also

[Chapter 2, "Setting Up Manage Professional Compliance," Assigning Regulated Individuals to Compliance Managers/Supervisors, page 15](#)

*PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Administer Workforce*, "Updating Person and Job Information," Changing Job Data

## Creating a Recertification Notification

Access the Admin Re-Certs page (Workforce Monitoring, Professional Compliance, Monitor Progress, Notify Re-Certifications, Admin Re-Certs).

The screenshot shows the 'Admin Re-Certs' page interface. At the top left, there is a tab labeled 'Admin Re-Certs'. Below the tab, the 'Run Control ID' is set to '100'. To the right of the ID are two links: 'Report Manager' and 'Process Monitor', followed by a 'Run' button. Below these elements, there are two search criteria: 'Business Unit' with a dropdown menu showing 'EGVBU' and a magnifying glass icon, and 'To Date' with a date field showing '01/01/2004' and a calendar icon. The text 'Educ & Govt/State' is visible next to the Business Unit dropdown.

Admin Re-Certs page

This page enables you to generate an email notification of upcoming or lapsed recertification dates (if any) for regulated individuals within a specific business unit. You cannot configure or modify the message text of a recertification notice.

To create a recertification notification, run the Notify Recertification process from the Admin Re-Certs page.

The recertification process can be broken into two steps:

1. The system searches through the Licenses and Certificates table for the expiration dates of the licenses and certificates (accomplishments) that each regulated individual holds.
2. Manage Professional Compliance references the data on upcoming or lapsed recertification dates and sends it to the compliance manager or supervisor in the form of an email message.

**Business Unit** Displays the business unit for which you want to generate recertification data for regulated individuals.

**To Date** Enter the date up to which you want to generate data on upcoming or lapsed recertification requirements. No recertification requirement following this date will be reported.

---

**Note.** As a compliance manager or supervisor, you can also view upcoming or lapsed recertification dates (if any) for regulated individuals on the Re-Certification tab of the RI Re-Certifications page.

---



## Chapter 7

# Using Inquiry Pages

This chapter provides an overview of inquiry pages and discusses how to:

- View regulated individual data for supervisors.
- View regulated individual data for managers.

---

## Understanding Inquiry Pages

The Manage Professional Compliance business process includes several different groups of inquiry pages. One group provides supervisors and managers (super users) with information that the monitoring process generates about regulated individuals:

- Review history
- Observation history
- Check history

Other inquiry pages give managers and supervisors access to additional information about regulated individuals:

- Development status (separate manager and supervisor views).
- Recertification status and requirements (separate manager and supervisor views).
- Information about regulated individuals without assigned supervisors (manager view only).

Some inquiry pages enable supervisors to view information related only to the individuals who are under their supervision. Other pages are accessible only to managers, and enables them to view the status of all regulated individuals in a business unit, regardless of who supervises them.

Supervisors can view the following information about the regulated individuals under their supervision:

- Status (RI Status page).
- Review history (RI Review History page).
- Observation history (RI Observation History page).
- Checks history (RI Checks History page).
- Recertifications (RI Re-Certifications page).

Managers can view the following information about all regulated individuals:

- Unassigned RIs (Unassigned RIs page).
- Status (Admin RI Status page).
- Recertifications (RIAdmin Re-Certs page).

---

**Note.** Access to inquiry and other pages is determined by role. A compliance supervisor who does not have the Professional Compliance Admin (professional compliance administrator) role can use only the supervisor inquiry pages to view information about regulated individuals for whom the supervisor is responsible. A manager with the same role can view information about all regulated individuals on the manager inquiry pages and can access supervisor pages (as long as the manager is assigned to the Professional Compliance role).

---

### **See Also**

*Enterprise PeopleTools PeopleBook: Security Administration*

Chapter 5, "Monitoring Regulated Individuals," page 45

## **Common Elements Used in This Chapter**

<b>Classification</b>	<p>Category that a regulatory authority uses to define individuals within the compliance process. The levels of classification can be simple or complex, reflecting various levels of compliance with the requirements for engaging in different kinds of professional activities. For example, an individual could be level 1 or level 3 compliant, or fully compliant, and each of these classifications could be associated with a different set of certification requirements.</p> <p>Define classifications on the Classification page.</p>
<b>Professional Compliance Type</b>	<p>Groups of professionals who are subject to compliance requirements in your organization. For example, you can set up professional compliance types for financial advisor, engineering, and health and safety groups, each with its own compliance requirements.</p> <p>Define professional compliance types on the PC Type page.</p>
<b>Regulatory Authority</b>	<p>Body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field.</p> <p>Define regulatory authorities on the Regulatory Authority page.</p>

### **See Also**

*PeopleSoft Enterprise HRMS 9.1 Application Fundamentals PeopleBook, "Working with System Data Regulation in HRMS"*

## Viewing Regulated Individual Data for Supervisors

This section discusses how to:

- View development status.
- View review history.
- View observation history.
- View check history.
- View recertification status.

### Pages Used to View Regulated Individual Data for Supervisors

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
RI Status (regulated individual status)	PCMP_RISTAT_INQ2	Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Status, RI Status	View development status.
RI Review History (regulated individual review history)	PCMP_RIREV_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Review History, RI Review History	View review history.
RI Observation History (regulated individual observation history)	PCMP_RIOBS_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Observation History, RI Observation History	View observation history.
RI Checks History (regulated individual checks history)	PCMP_RICLK_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Checks History, RI Checks History	View check history.
RI Re-Certifications (regulated individual re-certifications)	PCMP_RI_RECERT_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Re-Certifications, RI Re-Certifications	View recertification status.

## Viewing Development Status

Access the RI Status page (Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Status, RI Status).

RI Status			
Details			
Customize   Find   1 of 1			
Name Regulatory Authority Classification			
EmplID	Empl Record	Name	Effective Date
	0		

RI Status page

### **Name Tab**

Displays the employee ID, employee record number, name, and effective date of the employee.

### **Regulatory Authority Tab**

Displays the professional compliance type and regulatory authority of the employee.

### **Classification Tab**

Displays the classification of the individual whose record you are reviewing.

### **See Also**

[Chapter 2, "Setting Up Manage Professional Compliance," page 5](#)

[Chapter 3, "Defining Development Plans," page 19](#)

## Viewing Review History

Access the RI Review History page (Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Review History, RI Review History).

RI Review History			
Employee ID:	KG0004	Matabele Brooke	
Prof Compliance Type:	UK Health & Safety		
RI Status:	Active		
Regulatory Authority:	UK First Aid Regulatory Authority		
History Details			
Customize   Find   1 of 1			
Creation Date	Expected Completion Date	Actual Completion Date	Status
01/03/2000	01/31/2000	01/28/2000	Pass

RI Review History page

**Creation Date** Displays the creation date of the regulated individual's development plan that you entered on the Development Record page.

**Expected Completion Date** Displays the expected completion date of the regulated individual's development plan that you entered on the Development Record page.

**Actual Completion Date** Displays the actual completion date of the regulated individual's development plan that you entered on the RI Dev Review page.

**Status** Displays the regulated individual's status relative to the development goals in the individual's development plan that you entered on the RI Dev Review page.

### See Also

[Chapter 3, "Defining Development Plans," page 19](#)

[Chapter 5, "Monitoring Regulated Individuals," page 45](#)

[Chapter 4, "Entering and Maintaining Regulated Individual Data," page 27](#)

## Viewing Observation History

Access the RI Observation History page (Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Observation History, RI Observation History).

RI Observation History			
Employee ID:	KG0004	Matabele Brooke	
Prof Compliance Type:	UK Health & Safety		
RI Status:	Active		
Regulatory Authority:	UK First Aid Regulatory Authority		
History Details			
Observation Date	Observation Model	Description	Status
04/28/2009	KG02	First Aid Observation	Pass

RI Observation History page

- Observation Date**      Displays the date of the observation that you entered on the RI Observation page.
- Observation Model**      Displays the observation model that you specified on the RI Observation page.
- Status**                      Displays the regulated individual's status relative to the observation that you defined on the RI Observation page.

**See Also**

[Chapter 5, "Monitoring Regulated Individuals," page 45](#)

## Reviewing Check History

Access the RI Checks History page (Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Checks History, RI Checks History).

RI Checks History			
Employee ID:	KG0005	Seamus O'Flaherty	
Prof Compliance Type:	Financial	RI Status:	Active
Regulatory Authority:	Standard Financial Regulatory Authority		
History Details			
Check Type	Description	Check Date	Status
KG03	Financial Stability Check	01/05/2001	Pass
KG01	Financial Background Check	01/21/2000	Pass
KG02	Security Check	01/21/2000	Pass

RI Checks History page

**Check Type** Displays the type of check that you are performing against the regulated individual. You entered this check type on the RI Check page.

**Check Date** Displays the date on which you performed the check.

**Status** Displays the regulated individual's status relative to the check being performed. You entered this status on the RI Checks History page.

### See Also

[Chapter 5, "Monitoring Regulated Individuals," page 45](#)

## Viewing Re-Certification Status

Access the RI Re-Certifications page (Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Re-Certifications, RI Re-Certifications).

RI Re-Certifications		
To Date:	<input type="text" value="01/01/2004"/>	
Details		
Name	Re-Certification	
EmpID	Name	Business Unit

RI Re-Certifications page

**Name Tab**

Displays the employee ID, name, and business unit of the regulated individual whose recertification status you are viewing.

**Re-Certification Tab**

Displays the regulated individual's employee ID, development area, accomplishment (license or certificate), and expiration date. You must previously define the accomplishment that appears here on the Licenses and Certificates page. The expiration date of the accomplishment is the expiration date that you entered for the individual on the Licenses and Certificates page.

---

**Important!** Define the accomplishments that you want to use in the Manage Professional Compliance business process in Administer Training or Manage Profiles.

---

**See Also**

*PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Manage Profiles, "Managing Profiles"*

*PeopleSoft Enterprise Human Resources 9.1 PeopleBook: Administer Training*

Chapter 3, "Defining Development Plans," page 19

Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process," page 69

---

## Viewing Regulated Individual Data for Managers

This section discusses how to identify unassigned regulated individuals.

**Pages Used to View RI Data - Manager Views**

<b>Page Name</b>	<b>Definition Name</b>	<b>Navigation</b>	<b>Usage</b>
Unassigned RIs (unassigned regulated individuals)	PCMP_UNASS_RI	Workforce Monitoring, Professional Compliance, Review Compliance Information, Unassigned RIs, Unassigned RIs	Identify unassigned regulated individuals.
Admin RI Status (administration regulated individual status)	PCMP_RISTAT_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, Admin RI Status, RI Status	View the development status of all regulated individuals.

<b>Page Name</b>	<b>Definition Name</b>	<b>Navigation</b>	<b>Usage</b>
Admin Re-Certifications (administrative re-certifications)	PCMP_RI_RECERTINQ2	Workforce Monitoring, Professional Compliance, Review Compliance Information, Admin Re-Certifications, Admin Re-Certifications	View the recertification status of all regulated individuals.

## Identifying Unassigned Regulated Individuals

Access the Unassigned RIs page (Workforce Monitoring, Professional Compliance, Review Compliance Information, Unassigned RIs, Unassigned RIs).

<b>Unassigned RIs</b>		
<b>Details</b>		
Name Regulatory Authority 		
EmplID	Empl Record	Name
KG0012	0	David Barnes

Unassigned RIs page: Name tab

<b>Unassigned RIs</b>			
<b>Details</b>			
Name Regulatory Authority 			
EmplID	Empl Record	Professional Compliance Type	Regulatory Authority
KG0012	0	Financial	

Unassigned RIs page: Regulatory Authority tab

### **Name Tab**

Displays the employee IDs, employee record numbers, and names of unassigned individuals.

### **Regulatory Authority Tab**

Displays the employee IDs, employee record numbers, professional compliance types, and regulatory authorities of unassigned individuals.

---

**Note.** Ideally, this inquiry should return no rows. If it does, assign the unassigned regulated individuals who are identified here to a regulatory authority and a compliance supervisor.

---



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