



PeopleSoft 8.3 Global Payroll  
PeopleBook: Manage  
Professional Compliance

PeopleSoft 8.3 Global Payroll PeopleBook: Manage Professional Compliance

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# About the HRMS PeopleBooks

The HRMS PeopleBooks provide you with the information you will need for implementing and using PeopleSoft Human Resources Management System (HRMS) products.

This section describes information you should know before you begin working with PeopleSoft products and documentation, including PeopleSoft-specific documentation conventions, information specific to the PeopleSoft HRMS product line, how to order additional copies of our documentation, and so on.

## Before You Begin

To benefit fully from the information covered in these books, you need to have a basic understanding of how to use PeopleSoft applications. We recommend that you complete at least one PeopleSoft introductory training course.

You should be familiar with navigating around the system and adding, updating, and deleting information using PeopleSoft windows, menus, and pages. You should also be comfortable using the World Wide Web and the Microsoft® Windows or Windows NT graphical user interface.

Because we assume you already know how to navigate the PeopleSoft system, much of the information in these books is not procedural. That is, it does not typically provide step-by-step instructions on using tables, pages, and menus. Instead, we provide you with all the information you need to use the system most effectively and to implement your PeopleSoft application according to your organizational or departmental needs. These books expand on the material covered in PeopleSoft training classes.

## PeopleSoft Application Fundamentals for HRMS PeopleBook

The individual HRMS PeopleBooks provide you with implementation and processing information for the individual HRMS products. However, there is additional, essential information describing the setup and design of each HRMS product contained in the companion volume of documentation called *PeopleSoft Application Fundamentals for HRMS PeopleBook*.

The *PeopleSoft Application Fundamentals for HRMS PeopleBook* consists of important topics that apply to many or all PeopleSoft applications across the HRMS product line. Whether you are implementing a single HRMS product, some combination of products within the product line, or the entire PeopleSoft HRMS system, you should be familiar with the contents of this central PeopleBook. It is the starting point for fundamentals such as setting up control tables and administering security.

In the *PeopleSoft Applications Fundamentals for HRMS PeopleBook*, we've included common information pertinent to all applications in the HRMS product line, such as defining general options. If you're upgrading from a previous PeopleSoft release, you may notice that we've

removed some topics or topic headings from the individual application PeopleBooks and consolidated them in this single reference book. You'll now find only application-specific information in your individual application PeopleBooks. This makes the documentation as a whole less redundant. Throughout each PeopleBook, we provide cross-references to *PeopleSoft Application Fundamentals for HRMS* and other PeopleBooks.

## Related Documentation

To add to your knowledge of PeopleSoft applications and tools, you may want to refer to the documentation of other PeopleSoft applications. You can access additional documentation for this release from PeopleSoft Customer Connection ([www4.peoplesoft.com/cc](http://www4.peoplesoft.com/cc)). We post updates, troubleshooting documentation, and other items on Customer Connection, as well. In addition, documentation for this release is available on CD-ROM and in hard copy.

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**Important!** Before upgrading, it is *imperative* that you check PeopleSoft Customer Connection for updates to the upgrade instructions. We continually post updates as we refine the upgrade process.

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### Documentation on the Internet

You can order printed, bound versions of the complete PeopleSoft documentation delivered on your PeopleBooks CD-ROM. You can order additional copies of the PeopleBooks CDs through the Documentation section of the PeopleSoft Customer Connection Web site: <http://www4.peoplesoft.com/cc>

You'll also find updates to the documentation for this and previous releases on Customer Connection. Through the Documentation section of Customer Connection, you can download files to add to your PeopleBook library. You'll find a variety of useful and timely materials, including updates to the full PeopleSoft documentation delivered on your PeopleBooks CD.

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### Documentation on CD-ROM

Complete documentation for this release is provided on the CD-ROM *PeopleSoft 8.3 HRMS PeopleBooks*, SKU HR83PBR0, and *PeopleTools 8.14 PeopleBooks*, SKU PTB814R0.

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**Note.** Your access to PeopleSoft PeopleBooks depends on which PeopleSoft applications you've licensed. You may not have access to some of the PeopleBooks listed here.

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### Hardcopy Documentation

To order printed, bound volumes of the complete PeopleSoft documentation delivered on your PeopleBooks CD-ROM, visit the PeopleSoft Press Web site from the Documentation section

of PeopleSoft Customer Connection. The PeopleSoft Press Web site is a joint venture between PeopleSoft and Consolidated Publications Incorporated (CPI), our book print vendor.

We make printed documentation for each major release available shortly after the software is first shipped. Customers and partners can order printed PeopleSoft documentation using any of the following methods:

<b>Internet</b>	From the main PeopleSoft Internet site, go to the Documentation section of Customer Connection. You can find order information under the Ordering PeopleBooks topic. Use a Customer Connection ID, credit card, or purchase order to place your order.  PeopleSoft Internet site: <a href="http://www.peoplesoft.com">http://www.peoplesoft.com</a> .
<b>Telephone</b>	Contact Consolidated Publishing Incorporated (CPI) at <b>800 888 3559</b> .
<b>Email</b>	Email CPI at <a href="mailto:callcenter@conpub.com">callcenter@conpub.com</a> .

## PeopleBooks Standard Page Element Definitions

Throughout our product documentation, you will encounter fields that are used on many application pages or panels. This section lists the most common fields and provides standard definitions.

<b>Field</b>	<b>Definition</b>
<b>Address 1, Address 2, Address 3</b>	Freeflow text entry fields that enable you to describe street, street number, apartment number, and other address information.
<b>As of Date</b>	The last date for which a report or process includes data.
<b>Block (Bloque)</b>	In Spanish addresses, a building or buildings that are close together may be called a Block (Bloque). Include the Block name in the address, if necessary.
<b>Business Unit</b>	An identification code that represents a high-level organization of business information. You can use a business unit to define regional or departmental units within a larger organization.
<b>City</b>	Name of city for address.
<b>Comment(s)</b>	Freeflow text entry that enables you to add comments.
<b>Company</b>	A business organization. For US companies using PeopleSoft Payroll for North America or PeopleSoft Pension Administration, a business unit that has a unique federal Employer Identification Number (EIN) for payroll reporting purposes.

<b>Field</b>	<b>Definition</b>
<b>Country</b>	Country for address. Other address fields will be adjusted to reflect Country choice.  Select a country from the list of valid values and press TAB to move through the field. The system automatically displays the appropriate address fields using the standardized address formats previously set up in the Country Table. Enter the appropriate address data in the fields that appear.
<b>County (also Prefecture and Parish)</b>	Name of county (prefecture/parish) for address, if applicable.
<b>Currency Code</b>	The 3-letter code in which the currency is specified.
<b>Description</b>	Freeflow text up to 36 characters that describes what you are defining.
<b>Department</b>	An identification code that represents an organization in a company.
<b>Door (Puerta)</b>	In Spanish addresses, identifies the door name or number.
<b>Effective Date</b>	Date on which a table row becomes effective; the date that an action begins. For example, if you want to close out a ledger on June 30, the effective date for the ledger closing would be July 1. This date also determines when you can view and change the information. Pages or panels and batch processes that use the information use the current row.
<b>Email</b>	The email address for a person or organization.
<b>EmplID (employee ID)</b>	Unique identification code for an individual associated with your organization.
<b>Empl Rcd# (Employee Record Number)</b>	A system-assigned number that indicate an employee has more than one record in the system.
<b>Fax (also Fax Number)</b>	The fax number for a person or organization.
<b>Floor (Piso)</b>	In Spanish addresses, identifies the floor name or number.
<b>House</b>	Identifies the type of house.
<b>Initials</b>	Initials of individual.
<b>Language</b>	Language spoken by employee/applicant/non-employee.
<b>Language or Language Code</b>	The language in which you want the field labels and report headings of your reports to print. The field values appear as you enter them.  Language also refers to the language spoken by an employee, applicant, or non-employee.
<b>Last Run On</b>	The date that a report or process was last run.
<b>Locality</b>	A tax location within an organization.
<b>Name</b>	Name of individual.

<b>Field</b>	<b>Definition</b>
<b>National ID</b>	Identification code used by countries to track information on their residents for payroll, identification, benefits, and other purposes. For example, for US residents this would be their Social Security Number; for German residents it would be their Social Insurance Number, and for UK residents it would be their National Insurance Code.
<b>Number</b>	The number related to a street, avenue, or other address field in Spanish addresses. When an address has no number, enter s/n (sin numero) to indicate that there is no number.
<b>Phone</b>	The phone number for a person or organization.
<b>Phone Extension</b>	The phone extension number for a person or organization.
<b>Phone Type</b>	Identifies the type of phone number entered in the Telephone field. Valid values are <b>Business, Campus, Cellular, Dormitory, FAX, Home, Other, Pager 1, Pager 2, or Telex.</b>
<b>Post Code (also Postal)</b>	Postal code for address.
<b>Prefix</b>	Prefix for individual (such as Mr., Ms., Mrs., Dr., and so on)
<b>Process Frequency group box</b>	Designates the appropriate frequency in the <b>Process Frequency</b> group box:  <b>Once</b> executes the request the next time the batch process runs. After the batch process runs, the process frequency is automatically set to <b>Don't Run</b> .  <b>Always</b> executes the request every time the batch process runs.  <b>Don't Run</b> ignores the request when the batch process runs.
<b>Process Monitor</b>	This button takes you to the Process List page, where you can view the status of submitted process requests.
<b>Regulatory Region</b>	A regulatory region can be any region where there are specific laws and regulations that are addressed by functionality in PeopleSoft Human Resources. Many country-specific transactions are driven by regulatory requirements where Regulatory Region is used for transaction processing.
<b>Report ID</b>	Identifies a report.
<b>Report Manager</b>	This button takes you to the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
<b>Request ID</b>	A request identification that represents a set of selection criteria for a report or process.
<b>Run</b>	This button takes you to the Process Scheduler request page, where you can specify the location where a process or job runs and the process output format.

<b>Field</b>	<b>Definition</b>
<b>Run Control ID</b>	Identifies specific run control settings for a panel.
<b>Run Date</b>	The date that a process was run or a report was generated.
<b>Run Time</b>	The time that a process was run or a report was generated.
<b>SetID</b>	An identification code that represents a set of control table information. SetIDs enable the sharing of a set of control table information across two or more Business Units.
<b>Short Description</b>	Freeflow text up to 15 characters.
<b>Stair (Escalera)</b>	In Spanish addresses, identifies the stair name or number.
<b>State (also Province)</b>	State (Province) for address.
<b>Status</b>	Indicates whether a row in a table is <i>Active</i> or <i>Inactive</i> .
<b>Street Type</b>	Identifies whether an address is a place, street, avenue, road, or so on. Spanish law requires addresses in official documents to include the Street Type.
<b>Telephone (Phone)</b>	The telephone number for a person or organization.
<b>User ID</b>	The system identifier for the individual who generates a transaction.

**See Also**

*PeopleTools Development Tools: Application Designer PeopleBook*, “Creating Field Definitions,” Understanding Effective Dates

*PeopleSoft Process Scheduler*

## PeopleBook Standard Group Boxes

The following group boxes and field groupings appear throughout PeopleSoft HRMS. We have documented them once here.

---

### Entering Name Information

The following fields appear wherever you enter or display naming information:

**Format Using**

Select the country with name format appropriate for this employee. The system will display the appropriate fields for this format in the Person Name group box.

**Refresh the Name Field**

Click to refresh the Name field after you’ve edited any of the name fields. The system will refresh the name field when you save.

**Person Name or Current Name**

The following fields appear in the Person Name group box. You will not see all of the fields listed below at any one time. The system displays the fields necessary for the country you select in the Format Using field.

<b>Title</b>	Select a title. If you are reporting employee information under the German Duevo Directive, this field is required and must be completed according to the Duevo rules.
<b>Prefix and Name Prefix</b>	Select a Prefix or Name Prefix, if applicable.
<b>Royal Prefix</b>	Select a Royal Prefix, if applicable.
<b>First Name</b>	Enter the employee's official first name.
<b>Preferred First Name</b>	For The Netherlands, enter the employee's preferred first name, if different from the First Name. The system will use the preferred name when you generate form letters or mailing labels for this employee.
<b>Last Name Preference</b>	For the Netherlands, choose this link to provide additional name information for married employees. The Last Name Preference page contains three fields: Last Name Partner, Prefix Partner and Last Name Preference.
<b>Middle</b>	Enter the employee's middle name, if applicable.
<b>Last Name</b>	Enter the employee's official last name.
<b>Suffix</b>	Select a suffix, if applicable.
<b>Second Last Name</b>	For Spanish employees, enter the second surname (mother's surname).
<b>Alternate Character Name</b>	Use this field to enter the employee's name using alternate characters (such as Japanese phonetic characters).  <b>Note.</b> You can enter names using Japanese characters with or without a space between the surname and given name. Names using Roman alphanumeric characters require a comma delimiter.  <b>Warning!</b> Be sure to select the correct character set on the Installation Table – Alternate Characters page. Using the wrong character set generates an error message.
<b>Royal Suffix</b>	Select the appropriate royal suffix. If you are reporting employee information under the German Duevo Directive, this field is required and must be completed according to the Duevo rules.
<b>Name</b>	The system displays the employee's name as it will appear in the system.

### Displaying Japanese Names on Pages

Pages that display personal name fields usually display them in First Name, Last Name order. When the country is Japan, however (JPN in the Format Using field), those fields appear in the Last Name, First Name order.

Another difference is that the Name field displays “Last Name[space]First Name,” not “Last Name,First Name”; that is, a space separates the last and first names, not a comma.

Person Name	
Last:	津村
First:	友則
Alternate Character Name:	ツムラトモリ
Name:	津村 友則

Japanese name format on a page

### See Also

*PeopleSoft Applications Fundamentals for HRMS PeopleBook*, “Setting Up PeopleSoft HRMS,” Working With Double-Byte Characters

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## Entering Address Information

The following fields appear in address group boxes throughout PeopleSoft HRMS. You may not see all of the fields listed below as the system displays only the fields necessary for the country in use. Determine which address fields are required for each country on the Country Table – Address Format page.

<b>Country</b>	Select the country with address format appropriate for this address. The system will display the appropriate fields for this format in the address group box.
<b>Address 1, Address 2, Address 3, and Address 4</b>	Freeflow text entry fields that enable you to describe street, street number, apartment number, and other address information.
<b>City</b>	Enter the city.
<b>County</b>	Enter the county, if applicable.
<b>State (State, Province, or other)</b>	Enter the state or province.
<b>Postal</b>	Enter the postal, such as zip or postal code.
<b>Number 1, and Number 2</b>	Enter the number related to a street, avenue, or other address field in Spanish addresses. When an address has no number, enter s/n (sin numero) to indicate that there is no number.

<b>House Type</b>	Enter the house type, if applicable.
<b>Postal Search</b>	Click <b>Postal Search</b> to use international address formats.

---

## Entering or Viewing Pay Components

### Amounts Tab

### Pay Components - Amounts

<b>Rate Code</b>	Rate codes are IDs for pay components. The system inserts any compensation information associated with this rate code in the compensation grid.  <b>Note.</b> If a seniority rate code is inserted as a default value on the Job Data - Compensation page, the values for these rate codes are unavailable for entry.
<b>Seq (sequence)</b>	The sequence number of the rate code if it is used more than once.
<b>Details</b>	Click the <b>Details</b> button to open the Comp Rate Code Secondary Panel page.
<b>Comp Rate</b> , (compensation rate) <b>Currency</b> , and <b>Frequency</b>	The compensation rate, its currency, and the frequency (for example, annually, weekly, or hourly) the comp rate will be paid.
<b>Apply FTE</b>	If selected, the system multiplies the rate code value by the FTE factor for annualization and deannualization. FTE is the percent of full time the employee should normally work in the corresponding job. This field isn't available for <b>Percent</b> rate codes.
<b>Points</b>	The salary points associated with this rate code, if any.
<b>Percent</b>	If the rate code rate type is <b>Percent</b> , the system displays the percent to be applied to the job compensation rate or to a rate code group if you are using rate code groups.
<b>Rate Code Group</b>	A rate code group enables you to be more specific when calculating percentages based components as part of your employee compensation package.

**Comp Rate Code Secondary Panel**

**Comp Rate Code:** TSDFLT

**Description:** Salaried Default

**Base Pay**     **Use Highest Rate**

**Default Without Override**

**Rate Code Type:** Flat Amount

**Rate Code Class:**

### Comp Rate Code Secondary Panel

Access this page by clicking the Details link on the Amounts page. Displays additional information about the rate code.

### See Also

*PeopleSoft Application Fundamentals for HRMS PeopleBook*, “Working With Multiple Components of Pay,” **Defining Rate Codes**

### Changes Tab

Pay Components							First	1 of 1	Last
Amounts		Changes		Conversion					
*Rate Code	Seq	Manually Updated	Change Amount	Change Points	Change Percent				
1	0	<input type="checkbox"/>	0.000000		0.000	<input type="button" value="+"/>	<input type="button" value="-"/>		

### Pay Components – Changes page

This page displays the change in an employee’s salary.

<b>Manually Updated</b>	The system selects this if you have manually updated the pay components.
<b>Change Amount</b>	The overall change amount to this pay component rate.
<b>Change Points</b>	The overall change amount (in points) to this pay component, if applicable.
<b>Change Percent</b>	The overall percentage change to this pay component, if applicable.

Pay Components							First	1 of 1	Last
Amounts		Changes		Conversion					
*Rate Code	Seq	Source	Default Without Override	Apply FTE	Converted Comp Rate				
1		None	<input type="checkbox"/>	<input type="checkbox"/>		<input style="background-color: yellow;" type="button" value="+"/>	<input style="background-color: yellow;" type="button" value="-"/>		

### Pay Components – Conversion

This page displays the conversion rates in an employee's salary.

<b>Source</b>	The system displays the source of the rate code, such as <i>Absorbing Premium</i> , <i>Seniority Pay</i> , <i>Job Code</i> , or <i>Manual</i> .
<b>Default Without Override</b>	Selected if the worker's compensation package cannot be manually updated on the Job Data – Compensation page.
<b>Apply FTE</b>	Indicates if the converted rate code value will be multiplied by the FTE factor for annualization and deannualization.
<b>Converted Comp Rate</b>	Displays the converted compensation rate for this pay component. The system converts all base pay components to the Job currency and compensation frequency.

## Required Fields on Pages

When you see a field on a page with an asterisk ( \* ) preceding the field name, it means the field is required. You can not save a page without entering data into all of the required fields on a page.

<b>*Description:</b>	<input type="text" value="This is a required field"/>
----------------------	---

Example of a required field label

In some unique instances a field may be required even though there is no asterisk preceding the field name. In such cases, you will be prompted to enter data in these fields before saving the page.

## Typographical Conventions and Visual Cues

To help you locate and interpret information, we use a number of standard conventions in our online documentation.

Please take a moment to review the following typographical cues:

monospace font

Indicates PeopleCode.

<b>Bold</b>	Indicates field names and other page elements, such as buttons and group box labels, when these elements are documented below the page on which they appear. When we refer to these elements elsewhere in the documentation, we set them in Normal style (not in bold).  We also use boldface when we refer to navigational paths, menu names, or process actions (such as <b>Save</b> and <b>Run</b> ).
<i>Italics</i>	Indicates a PeopleSoft or other book-length publication. We also use italics for <i>emphasis</i> and to indicate specific field values. When we cite a field value under the page on which it appears we use this style: <i>field value</i> .  We also use italics when we refer to words as words or letters as letters, as in the following: Enter the number <i>0</i> , not the letter <i>O</i> .
KEY+KEY	Indicates a key combination action. For example, a plus sign (+) between keys means that you must hold down the first key while you press the second key. For ALT+W, hold down the ALT key while you press W.
<b>See Also</b>	PeopleBooks provide cross-references under the heading “See Also.” Capitalized titles in italics indicate the title of a PeopleBook; titles in quotes indicate the title of a chapter; titles in normal font refer to sections within the PeopleBook. Here's an example:

**See Also**

*About These HRMS PeopleBooks, PeopleSoft 8.3 HRMS PeopleBooks Preface*

---

**Note.** Text in this bar indicates information that you should pay particular attention to as you work with your PeopleSoft system. If the note is preceded by **Important!**, the note is crucial and includes information that concerns what you need to do for the system to function properly.

**Warning!** Text within this bar indicates a crucial configuration consideration. Pay very close attention to these warning messages.

---

## Process Introductory Table

In the documentation, each business process in the application is accompanied by an introductory table with pertinent information about the pages used in the process.

<i>Page</i>	<i>System Name</i>	<i>Navigation</i>	<i>Usage</i>
Name of the page.	Gives the system name of the page as specified in the PeopleTools Application Designer. For example, the system name of the Detail Calendar panel is DETAIL_CALENDAR1.	Provides the path for accessing the page.	Describes how you would use the page.

## USF U.S. Federal Government Functionality

Any functionality that is specific to the U.S. Federal Government sector will be designated by a USF marker. Most often this will appear at the beginning of a section heading (such as with this section), but the USF designation might also appear in a note or within text, if appropriate.

## E&G Education and Government Functionality

Any functionality that is specific to the Education and Government sector will be designated by an E&G marker. Most often this will appear at the beginning of a section heading (such as with this section), but the E&G designation might also appear in a note or within text, if appropriate.

## Local Country Functionality

Any functionality that is specific to an individual country will be designated by the three-character ISO code for that country. For example, functionality specific to Germany would be indicated by a DEU designation at the beginning of a section heading. Most often this will appear at the beginning of a section heading (such as with this section), but the country designation might also appear in a Note or within text, if appropriate.

## Comments and Suggestions

Your comments are important to us. We encourage you to tell us what you like, or what you would like changed about our documentation, PeopleBooks, and other PeopleSoft reference and training materials. Please send your suggestions to:

PeopleSoft HRMS Product Documentation Manager  
 PeopleSoft, Inc.  
 4460 Hacienda Drive  
 Pleasanton, CA 94588

Or send comments by email to the authors of the PeopleSoft documentation at:

**DOC@PEOPLESOFT.COM**

While we cannot guarantee to answer every email message, we will pay careful attention to your comments and suggestions. We are always improving our product communications for you.

## CHAPTER 1

# About the PeopleSoft 8.3 Human Resources PeopleBooks

This book provides you with the information you will need for implementing and using PeopleSoft Human Resources.

This preface complements and extends the About the HRMS PeopleBooks section of HRMS documentation by providing specific information on how to use the documentation for Human Resources. Much of the general information you should know before you begin using PeopleSoft documentation is presented in About the HRMS PeopleBooks.

---

**Note.** We strongly recommend that you read About the HRMS PeopleBooks. In particular, the PeopleSoft Application Fundamentals section lists where you can find information about topics that apply to many PeopleSoft applications across the HRMS product line. For example, you can find information about setting up control tables, administering security, and setting language and currency preferences in the *PeopleSoft Application Fundamentals for HRMS PeopleBook*.

---

### See Also

*PeopleSoft HRMS PeopleBooks Preface*, “About the HRMS PeopleBooks”

## PeopleBooks Standard Page Element Definitions

Throughout our product documentation, you will encounter fields that are used on many application pages. This section lists the most common fields and provides standard definitions for Human Resources.

<b>Field</b>	<b>Definition</b>
<b>Benefit Plan</b>	A specific benefit offering within a plan type.
<b>Benefit Plan Type</b>	Also known as Plan Type, it is a two-digit code that identifies a benefit category, such as health, life, or savings.
<b>Benefit Program</b>	A collection of benefit plans your company offers to a group of employees.
<b>Deduction</b>	Any amount taken from an employee’s pay check to offset all or part of the cost of the employee's benefits.

<b>Field</b>	<b>Definition</b>
<b>Deduction Code</b>	The code assigned to a benefit deduction.
<b>FSA Maximum Annual Pledge</b>	This is the total maximum an employee can pledge to contribution to a health or dependent care flexible spending accounts during a benefit plan year.
<b>FSA Minimum Check Amount</b>	This is the minimum amount for which a check will be printed.
<b>Plan Type</b>	Also known as Benefit Plan Type, it is a two-digit code that identifies a benefit category, such as health, life, or savings.

**See Also**

*PeopleSoft HRMS PeopleBooks Preface, "About the HRMS PeopleBooks," PeopleBooks Standard Page Element Definitions*

## Understanding the Documentation

Documentation for PeopleSoft Human Resources is made up of 25 business processes, each with their own book:

- Administer Company Cars
- Administer Festive Advance
- Administer Salaries for the Netherlands
- Administer Salary Packaging
- Administer Training
- Administer Variable Compensation
- Administer Workforce
- Base Benefits
- Manage Commitment Accounting
- Manage Competencies
- Manage French Public Sector
- Manage Netherlands Salary Administration
- Manage Performance
- Manage Positions
- Manage Professional Compliance

- Meet Regulatory Requirements
- Monitor Absence
- Monitor Health & Safety
- Plan Careers and Successions
- Plan Salaries
- Recruit Workforce
- Report Total Compensation
- Track Faculty Events
- Track Flexible Service
- Track Global Assignments

---

## Human Resources Reports

The documentation for the Human Resources reports is in the reports chapter in the *PeopleSoft Application Fundamentals for HRMS PeopleBook*. There you will find information about each report, listed by module.

### **See Also**

*PeopleSoft Application Fundamentals for HRMS PeopleBook*, “Appendix: PeopleSoft Application Fundamentals for HRMS Reports”



## CHAPTER 2

# Understanding and Setting Up Professional Compliance

In this chapter, we provide an overview of Professional Compliance functionality, and explain how to:

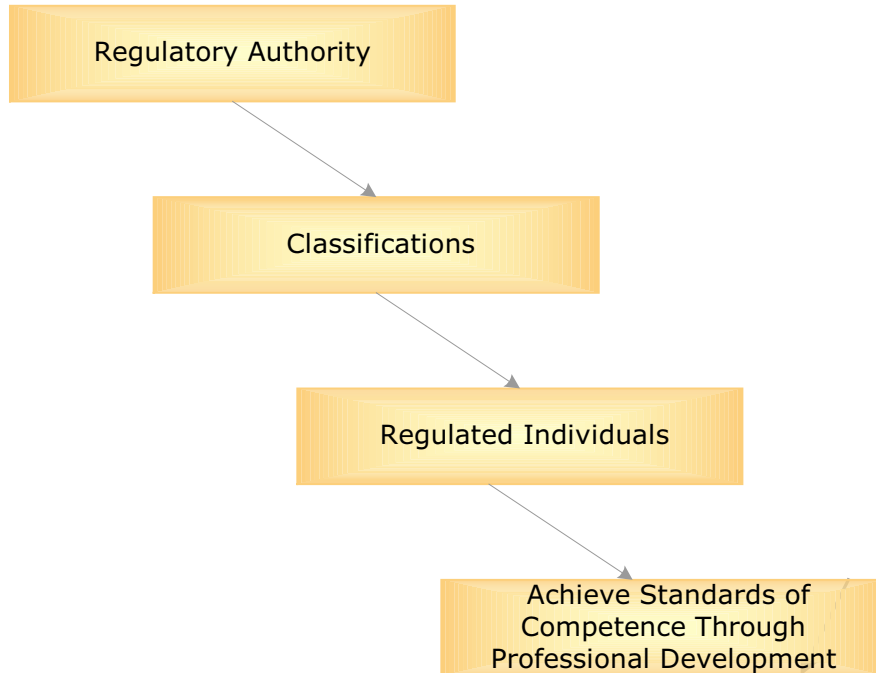
- Set up security.
- Understand the Enterprise Integration Points (EIPs).
- Set up required tables.
- Set up additional tables for the UK.

## Overview of Professional Compliance

The Professional Compliance process enables you to manage the professional certification of both employees and non-employees. Within Professional Compliance, you will do the following:

- Define the certification requirements established by a regulatory authority.
- Set up classifications used to define the status of regulated individuals (for example, an individual can be classified as compliant or non-compliant with the requirements for certification).
- Assign regulated individuals to compliance managers/supervisors.
- Enroll regulated individuals in development plans.

The following diagram provides a high-level overview of how the professional compliance process is structured.



#### Overview of Professional Compliance structure

As shown in the diagram, the Professional Compliance process can be divided into four main levels:

- The first level represents the 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 can be set up for use with compliance models that are entirely internal to a company.
- At the next level are classifications, which 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 1 or level 2 compliant, or be classified as competent, or as a supervisor or a manager, and each of these classifications could be associated with a different set of certification requirements).
- At the next level are regulated individuals (RIs)—that is, the employees/non-employees within a company who are involved in the compliance process.
- Finally, 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.

---

## Moving Individuals Toward Professional Compliance

The Professional Compliance process uses the following tools and techniques to move individuals toward compliance:

- **Development Plans.** As illustrated in the previous diagram, regulated individuals typically achieve minimum standards of competence by following a development plan. A development plan can include such things as coursework, testing, observations by a compliance supervisor, self-study, and other activities. The Professional Compliance 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 successfully move toward certification.

---

**Note.** Information about setting up development plans can be found in the section [Defining Development Plans](#).

---

- **Monitoring.** To enable you to determine whether your workforce is meeting compliance requirements, PeopleSoft provides supervisors/managers with the ability to monitor the progress of regulated individuals. This way, compliance supervisors/managers can respond quickly and effectively to deviations from the normal course of development.

The key elements of monitoring are reviews, observations, key performance indicators (KPIs), and checks.

---

**Note.** Information about these elements and monitoring in general can be found in the section [Monitoring Regulated Individuals](#).

---

- **Reports.** Reports provide compliance managers/supervisors with information they need to assess the progress of regulated individuals.

---

**Note.** Information about Professional Compliance reports can be found in the section [Manage Professional Compliance Reports](#).

---

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

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**Note.** Information about notifications can be found in the section [Setting Up Notifications in Professional Compliance](#).

---

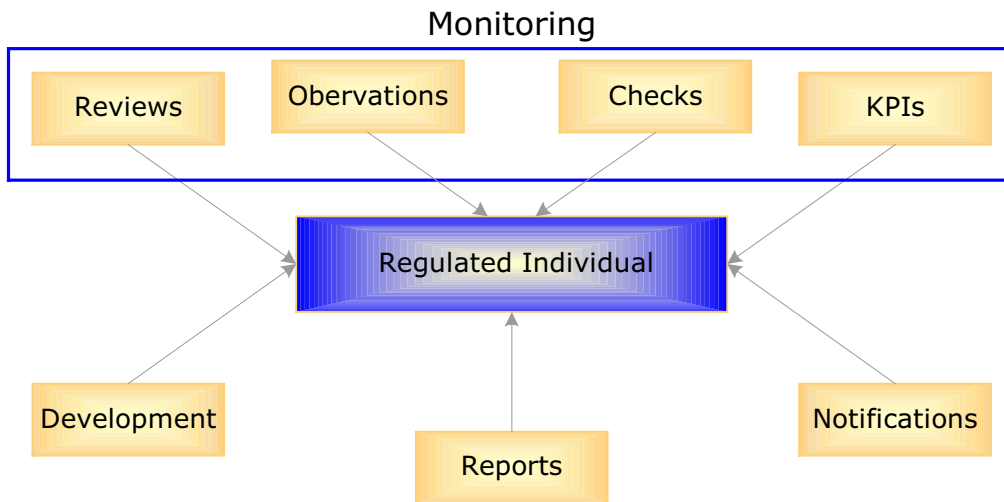
- Self-Service.** The Professional Compliance process provides self-service transactions for both compliance supervisors/managers and regulated individuals. Self-service pages for supervisors/managers enable supervisors to view the status of regulated individuals, and to perform such actions as completing development reviews, entering observations, and completing KPI (key performance indicator) reviews. Self-service pages for regulated individuals enable them to view key data related to their compliance status and development plans.

---

**Note.** Information about Self-service pages and transactions can be found in the section Using Self-Service in Professional Compliance.

---

The following diagram identifies the primary tools and techniques for moving regulated individuals toward professional compliance.



Overview of Regulated Individual (RI)

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## Understanding Security in Professional Compliance

Access to all menus and pages in the Professional Compliance process is determined by role. PeopleSoft delivers the following permissions, roles, and user IDs for compliance managers (super users) and compliance supervisors:

### Permission Lists

<b>Permission List</b>	<b>Menu Options</b>
CPHR7000	All <i>Setup</i> menu options, except <i>Compliance Manager-Supervisor</i> .
CPHR7010	<i>Setup/Compliance Manager-Supervisor</i> .
CPHR7020	<i>Use/Regulated Individual</i> .

<b>Permission List</b>	<b>Menu Options</b>
CPHR7030	All <i>Use</i> menu options, except <i>Regulated Individual</i> .
CPHR70UK	All <i>Use Lcl</i> menu options.
CPHR7040	All <i>Inquire</i> menu options for <i>Compliance Manager-Supervisor</i> .
CPHR7050	RI Status & RI Re-Certification <i>Inquire</i> menu options for <i>Professional Compliance Administrator</i> .
CPHR7060	Re-Certifications <i>Process</i> menu option, which can be used by both the <i>Compliance Manager-Supervisor</i> and the <i>Professional Compliance Administrator</i> .
CPHR7070	Reassign RI <i>Process</i> menu option for <i>Professional Compliance Administrator</i> .
CPHR7080	RI Review & Observation <i>Report</i> menu options.
CPHR7090	Company Compliance Plan <i>Report</i> menu option.
SPCMPINT	Contains Professional Compliance component interface permissions.

### **Roles**

<b>Role</b>	<b>Permissions</b>
Professional Compliance	CPHR7010, CPHR7020, CPHR7030, CPHR7040, CPHR7060, CPHR7080
Professional Compliance GBR	CPHR70UK
Professional Compliance Admin	CPHR7000, CPHR7050, CPHR7070, CPHR7080, CPHR7090

### **Users**

<b>User ID</b>	<b>Role(s)</b>
PS	Professional Compliance, Professional Compliance GBR, Professional Compliance Admin  <b>Note.</b> PS is a generic user. You need to assign roles to real, individual users as part of the Professional Compliance setup.

---

**Note.** Components and pages used to perform day to day compliance tasks are generally assigned to the compliance supervisor (through the Professional Compliance role). Components and pages that will not be used on a day to day basis by compliance supervisors have been assigned to the individual responsible for overall compliance management (through the Professional Compliance Admin role). The Professional Compliance GBR role controls access to the two *Use Lcl* menu options that are specific to the UK.

---

### See Also

*PeopleTools PeopleBook*, “Administration Tools,” Understanding PeopleSoft Security

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## Understanding Enterprise Integration Points

The Professional Compliance process uses a form of enterprise integration (EIP) based on Application Messaging technology. The application messages received within this module are initiated in response to saved field changes to the JOB record in PeopleSoft Human Resources. The following table lists the application messages received by Professional Compliance, the record initiating the message (in response to a saved field change), and an explanation of what happens when a message is initiated:

<b>Message Name</b>	<b>Message Subscription PeopleCode</b>	<b>Record</b>	<b>Explanation</b>
WORKFORCE_SY NC	Professional Compliance	JOB	Hire Process  When the JOB.ACTION is HIR and the JOB.JOBCODE has a default compliance type, the CI_PCMP_RI component interface is called to add the employee into the Professional Compliance module (a row is added to PCMP_RI, a worklist entry is created, and a notification email is sent to the employee's supervisor).
WORKFORCE_SY NC	Professional Compliance	JOB	Add Non-Employee Process  When the JOB.ACTION is ADD and the JOB.JOBCODE has a default compliance type, the CI_PCMP_RI component interface is called to add the employee into the Professional Compliance module (a row is added to PCMP_RI, a worklist entry is created, and a notification email is sent to the employee's supervisor).

<i>Message Name</i>	<i>Message Subscription PeopleCode</i>	<i>Record</i>	<i>Explanation</i>
WORKFORCE_SY NC	Professional Compliance	JOB	Update Job Data Process  When the JOB.ACTION is POS or XFR and the employee is part of Professional Compliance, the CI_PCMP_JOBCHG component interface is called to send a notification email to the compliance supervisor.
WORKFORCE_SY NC	Professional Compliance	JOB	Update Job Data Process  When the JOB.ACTION is TDL, TER, TWB or TWP and the employee is part of Professional Compliance, the CI_PCMP_JOBTER component interface is called to send a notification email to the compliance supervisor, and a worklist entry is created.

**See Also**

“Entering and Maintaining RI Data,” Understanding Application Messaging

“Setting Up Notifications in Professional Compliance,” Creating a Hire Notification

“Setting Up Notifications in Professional Compliance,” Creating a Hire Notification

“Setting Up Notifications in Professional Compliance,” Creating a Termination Notification

**Setting Up Required Tables**

To use the Professional Compliance functionality, 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 type of professional compliance used.

To set up Professional Compliance, you must define the following tables in this order:

1. Define Professional Compliance Types on the PC Type page

You must first define the compliance types you require—that is, the groups of professionals subject to compliance requirements in your organization. For example, you could set up compliance types for financial advisors, an engineering group, and a health and safety group, each with its own compliance requirements.

---

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

---

2. Define the Regulatory Authority, Regulatory Authority Address, and Regulatory Classifications on the Regulatory Authority, Address, and Classification pages

For each professional compliance type identified, you must 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.

---

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

---

3. Enter company compliance details on the Regulation page

On this page you must specify which compliance types and regulatory authorities (defined in Steps 1 and 2) are associated with each company.

4. Set Up Compliance Managers/Supervisors on the Manager/Supervisor page

On this page you identify the compliance managers/supervisors in charge of the compliance process, and place regulated individuals under the supervision of these managers/supervisors.

---

### Pages Used in the Basic Setup

<i>Page Name</i>	<i>Object Name</i>	<i>Navigation</i>	<i>Usage</i>
PC Type	PCMP_TYPE	Develop Workforce, Professional Compliance , Setup, Professional Compliance Type	Identify the different professional compliance types in your organization. These are the groups or categories of professionals subject to compliance requirements.
Reg Authority	PCMP_AUTHORITY	Develop Workforce, Professional Compliance , Setup, Regulatory Authority	For each professional compliance type you defined on the PC Type page, you must define the regulatory authority that governs the compliance type.

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
Address	PCMP_REG_AUTH_ADDR	Develop Workforce, Professional Compliance , Setup, Regulatory Authority	Enter regulatory authority address and phone information.
Classification	PCMP_CLASS	Develop Workforce, Professional Compliance , Setup, Regulatory Authority	Define the classification scheme created by a regulatory authority.
Regulation	PCMP_COMPANY_T BL1	Develop Workforce, Professional Compliance , Setup, Company Compliance	Associate professional compliance types and regulatory authorities with a company.
Manger/Supervisor	PCMP_MGR_SUPER	Develop Workforce, Professional Compliance , Setup, Compliance Manger/Supervisor	Assign regulated individuals to compliance managers/supervisors.

## Defining the PC Type

Access the Compliance Type - PC Type page.

Compliance Type - PC Type page

### SetID

SetIDs enable table sharing between different business units. SetID's are documented in the *PeopleSoft HRMS Application Fundamentals PeopleBook*.

## Professional Compliance Type

Enter a code for each professional compliance type you need to define, and enter a description in the **Description** field. Professional compliance types are the groups of professionals in your company who are subject to compliance requirements. For example, you could set up compliance types for engineers, health and safety experts, and so forth.

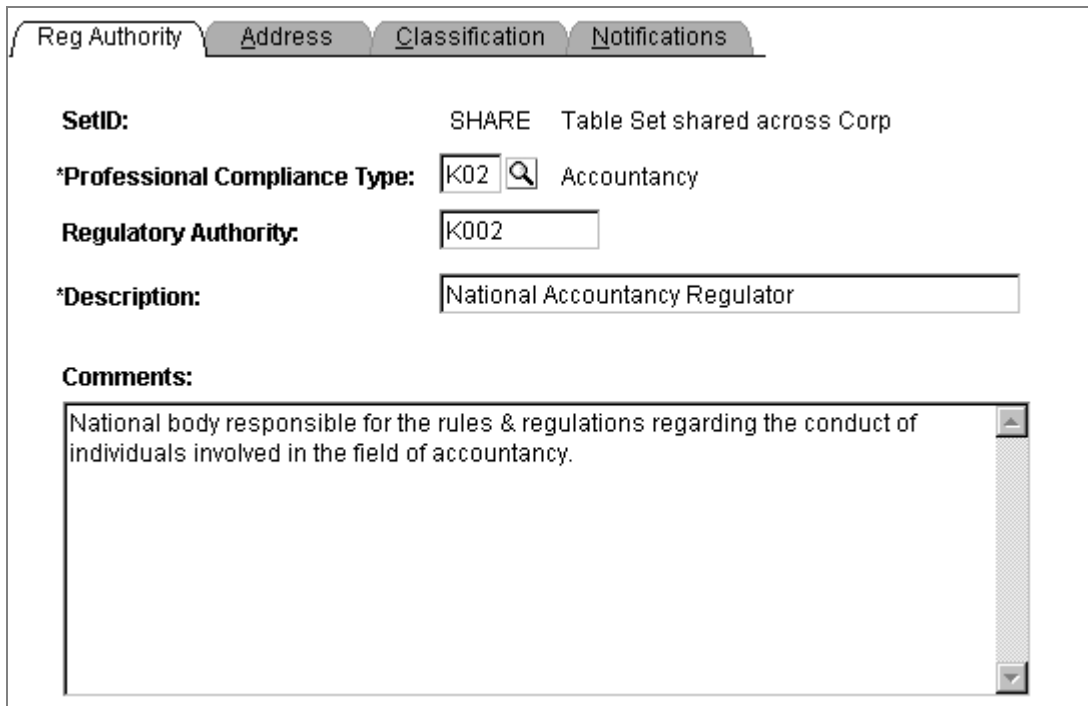
### See Also

*PeopleSoft HRMS Application Fundamentals PeopleBook*, “Regulating PeopleSoft HRMS System Data”

---

## Defining a Regulatory Authority

Access the Reg (regulatory) Authority page.



Reg Authority | Address | Classification | Notifications

**SetID:** SHARE Table Set shared across Corp

**\*Professional Compliance Type:** K02 Accountancy

**Regulatory Authority:** K002

**\*Description:** National Accountancy Regulator

**Comments:**  
National body responsible for the rules & regulations regarding the conduct of individuals involved in the field of accountancy.

Reg Authority page

### SetID

SetIDs enable table sharing between different business units. SetID's are documented in the *PeopleSoft HRMS Application Fundamentals PeopleBook*.

### Professional Compliance Type

Enter the professional compliance type you want to associate with a regulatory authority. The professional compliance types available for entry are those you defined on the PC Type page.

**Regulatory Authority**

Identify the regulatory authority—this is the body or organization that defines the compliance rules, standards, and regulations governing the professional compliance type you specified in the **Professional Compliance Type** field.

**See Also**

PeopleSoft HRMS Application Fundamentals PeopleBook, “Regulating PeopleSoft HRMS System Data”

---

**Entering the Regulatory Authority Address**

Access the Regulatory Authority - Address page.

---

**Note.** Address pages and fields are documented in About These HRMS PeopleBooks.

---

**See Also**

*PeopleSoft HRMS PeopleBooks Preface*, “About These HRMS PeopleBooks,” PeopleBook Standard Group Boxes

---

**Setting Up Regulatory Authority Classifications**

Access the Regulatory Authority - Classification page.

Reg Authority	Address	Classification	Notifications
<b>Professional Compliance Type:</b>	COM	Competent	
<b>Regulatory Authority:</b>	NSB		
<b>Description:</b>	National Safety Board		
<b>Classification</b> <span style="float: right;">View All First 1 of 1 Last</span>			
<b>*Classification:</b>	<input type="text"/>	+ -	
<b>*Description:</b>	<input type="text"/>		
<b>Comments:</b>	<input type="text"/>		

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, as competent, certified, pre-certified, and so forth.

---

## Entering Company Compliance Details

Access the Company Compliance - Regulation page.

Regulation Products Compliance Plan

Company: BN1 Company BN1

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

\*Professional Compliance Type:

\*Regulatory Authority:

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

Effective Date: 06/20/2001  Status: Active

Reference Number:

Contact Name:

Regulation page

### ***Company Compliance***

#### **Professional Compliance Type**

Enter the professional compliance type. The types available for entry are those you defined on the PC Type page.

#### **Regulatory Authority**

Enter the regulatory authority. The regulatory authorities available for entry are those you defined using the Regulatory Authority component.

### ***Compliance Details***

#### **Reference Number**

Enter a reference number. This is a regulatory authority-defined number identifying the company.

#### **Contact Name**

Enter a contact name at the regulatory authority.

---

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

Access the Manager/Supervisor page.

**Manager/Supervisor**

**EmplID:** KG0002 Hopkins,Dewi

**Role:** Supervisor **Date Assigned:** 07/05/2001

---

**Regulated Individual** View All First 1 of 3 Last

**\*EmplID:**   Theakston,Barry + -

**Regulatory Authority:**   Standard Financial Regulatory Authority

**Professional Compliance Type:** KG1 Financial

**Empl Rcd Nbr:** 0 **Business Unit:** GBR02

**Status:** Active

**Date Assigned:** 07/09/2001

Manager/Supervisor page

**Manager/Supervisor**

**EmplID**

The top of the page displays the EmplID of the compliance manager/supervisor. This is the ID you used to access the Manager/Supervisor component.

**Role**

This field displays the role (manager or supervisor) of the employee whose EmplID is displayed at the top of the page. The value displayed comes from the entry page for the component.

**Date Assigned**

This is the date the employee is assigned to the compliance manager/supervisor role.

**Regulated Individual**

**EmplID**

Enter the ID of the regulated individual you are bringing into the compliance process and associating with a manager/supervisor.

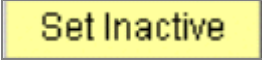
**Regulatory Authority**

Enter the regulatory authority—the organization that defines the compliance rules and regulations—for the regulated individual’s professional compliance type (see next field).

**Professional Compliance Type**

This field displays the professional compliance type associated with the regulatory authority you entered in the **Regulatory Authority** field.

**Note.** The association between professional compliance types and regulatory authorities is defined on the Reg Authority page.

<b>Empl Rcd Nbr</b>	This field identifies the job for which a manager/supervisor is assigned. There can be a different compliance manager/supervisor, and a different regulatory authority, for each job held by the regulated individual.
<b>Business Unit</b>	This field displays the employee's business unit.
<b>Status</b>	Displays the status of the association between a manager/supervisor and the regulated employee.
<b>Date Assigned</b>	This is the date the employee is assigned to the manager/supervisor whose EmplID is displayed at the top of the page. The value displayed comes from the system date.
	Click this button to set the employee's status to Inactive.

## (GBR) Setting Up Additional Tables for the UK

If you are setting up a compliance plan for the UK financial services sector, you must provide a full account of the compliance plan 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

<i>Page Name</i>	<i>Object Name</i>	<i>Navigation</i>	<i>Usage</i>
Compliance Plan	PCMP_COMPANY_T BL3	Develop Workforce, Professional Compliance , Setup, Company Compliance	Describe a company's compliance plan.

---

### Describing a Compliance Plan

Access the Company Compliance - Compliance Plan page.

Compliance Plan page

**Company Compliance Plan**

**Compliance Plan Year** Enter a year. This date identifies the year the compliance plan is in effect.

**Compliance Plan Description** Enter a description of the compliance plan.

**Plan Area**

**Sequence Number** A compliance plan can be divided into multiple areas or subsections. The sequence number you enter in this field is used to identify the individual sections (areas) of the plan and is used to order the information both on-screen and on the Company Compliance Plan report.

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

**Notes** Enter any notes related to the compliance plan area.

**See Also**

*PeopleSoft HRMS Application Fundamentals PeopleBook*, “Appendix: PeopleSoft Application Fundamentals for HRMS Reports,” Manage Professional Compliance Reports

## CHAPTER 3

# Defining Development Plans

This chapter provides an overview of development plans and explains how to set up a plan for your employees.

## 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 Professional Compliance process, you assemble development plans from the following elements or “building-blocks”:

- Training courses set up in Administer Training.
- Competencies defined in Manage Competencies.
- Accomplishments that have been set up in the Administer Training and Manage Competencies areas of Develop Workforce.
- An additional general category called “development activity” has been created so that other types of development not covered in the Develop Workforce process can be defined.

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. The development plan associated with the classification level can be complicated, or can be extremely simple (for example, an individual may only need to obtain one certificate, which can be defined using development accomplishments). You also have the flexibility to create individual development plans where no company development plan exists, or where further development is required by the individual in addition to that specified by the company development plan. You can also manage situations where development is an ongoing task for an individual, even after they become compliant, with the ability to assign more than one development plan to a classification.

In this section we describe the setup of each element of a development plan.

---

### Before You Begin

The accomplishments, competencies, and courses that you select for use within Professional Compliance must be set up in advance using the corresponding Develop Workforce

components. For example, you must set up the accomplishments and competencies you need for professional compliance within Manage Competencies, and define the training courses you need in Administer Training. This is to avoid duplication of data related to general employee development. The only development elements that you define entirely within Professional Compliance are activities; all other elements must first be set up in Develop Workforce.

## Setting Up a Development Plan

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

### To create a development plan:

1. Identify the appropriate accomplishments using the Development Accomplishment page.

Remember that you must first set up the accomplishments you need for professional compliance within Manage Competencies.

2. Identify the required competencies using the Development Competency page.

Remember that you must first set up the competencies you need for professional compliance within Manage Competencies.

3. Identify the relevant development courses on the Development Course page.

Remember that you must first define the training courses you need in Administer Training.

4. Set up professional compliance activities on the Development Activity page.

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

---

**Note.** A development activity is a general category used to define areas of development that are part of a Development Plan but which are not supported by the other Develop Workforce modules. Self-study time is an example of a development activity.

---

5. Assemble your development plan from the available list of accomplishments, competencies, courses, and activities using the Development Plan page.

After you identify the elements of your 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 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.

**Note.** 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 8.3 Human Resources PeopleBook: Manage Competencies

PeopleSoft 8.3 Human Resources PeopleBook: Administer Training

“Understanding and Setting Up Professional Compliance,” Setting Up Required Tables, Defining the PC Type

“Understanding and Setting Up Professional Compliance,” Setting Up Required Tables, Defining a Regulatory Authority

“Entering and Maintaining RI Data,” Enrolling Individuals in Development Plans

---

**Common Elements Used in This Section**

The following element is common to multiple development plan pages, and is defined once in the following table:

**SetID** SetIDs enable table sharing between different business units. SetID’s are documented in *PeopleSoft HRMS Application Fundamentals PeopleBook*.

**See Also**

*PeopleSoft HRMS Application Fundamentals PeopleBook*, “Regulating PeopleSoft HRMS System Data”

---

**Pages Used to Set Up Development Plans**

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
Development Accomplishment	PCMP_DEV_ACPS	Develop Workforce, Professional Compliance, Setup, Development Accomplishment	Identify the accomplishments you want to add to your development plans.
Development Competency	PCMP_DEV_COMP	Develop Workforce, Professional Compliance, Setup, Development Competency	Identify the competencies you want to add to your development plans.

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
Development Course	PCMP_DEV_CRSE	Develop Workforce, Professional Compliance, Setup, Development Course	Identify the courses you want to add to your development plans.
Development Activity	PCMP_DEV_ACT	Develop Workforce, Professional Compliance, Setup, Development Activity	Define the activities you want to add to your development plans.
Development Plan	PCMP_DEV_PLAN	Develop Workforce, Professional Compliance, Setup, Development Plan	Assemble development plans from the available list of accomplishments, competencies, courses, and activities.

## Identifying Accomplishments

Access the Dev (development) Accomplishment page.

Dev Accomplishment

**SetID:** SHARE Table Set shared across Corp

		View All	First	1-6 of 6	Last
*Accomplishment	Description	Renewal	Length	Period	
1006	Accounting Aptitude Test	<input type="checkbox"/>			+ -
3005	General Physical	<input type="checkbox"/>			+ -
ACCA	Assoc Chartered Certif Acctntrt	<input type="checkbox"/>			+ -
BS	Bachelor of Science	<input type="checkbox"/>			+ -
CGA	Certified General Accountant	<input type="checkbox"/>			+ -
CPR	Cardio Pulmonary Resuscitation	<input checked="" type="checkbox"/>		2 Years	+ -

Dev Accomplishment page

**Accomplishment**

Select the accomplishments you want to use in your professional compliance plan.

**Renewal**

This field is selected if renewal of the accomplishment is required. Renewal requirement data is associated with the accomplishment on the License/Certification Table Setup page, and must be defined in Manage Competencies at the time the accomplishment is set up. The Professional Compliance process pulls this information into the re-certification process.

<b>Length</b>	This field displays the renewal length. This information is associated with the accomplishment on the License/Certification Table Setup page, and must be defined in Manage Competencies at the time the accomplishment is set up. The Professional Compliance process references this information in the re-certification process.
<b>Period</b>	This field displays the renewal period. Period information is associated with the accomplishment on the License/Certification Table Setup page, and must be defined in Manage Competencies at the time the accomplishment is set up. The Professional Compliance process references this information in the re-certification process.

**See Also**

*PeopleSoft Human Resources PeopleBook: Manage Competencies*, “Setting Up Competencies and Accomplishments,” Tracking Licenses and Certification

---

## Identifying Competencies

Access the Dev (development) Competency page.

The screenshot shows the 'Dev Competency' page. At the top, it displays 'SetID: SHARE Table Set shared across Corp'. Below this is a table with columns for '\*Competency' and 'Description'. The table contains two rows of data, each with a search icon and '+' and '-' buttons.

*Competency	Description
1122	Aids/HIV Awareness
9101	First Aid: Emergency Care

Dev Competency page

<b>Competency</b>	Select the competencies you want to use in your professional compliance plan.
-------------------	---

---

## Identifying Development Courses

Access the Dev (development) Course page.

Dev Course

**SetID:** SHARE Table Set shared across Corp

View All First 1 of 1 Last

*Course Code	Description
F2010	Project Management

Dev Course page

**Course Code** Select the courses you want to use in your professional compliance plan.

---

## Creating Development Activities

Access the Dev (development) Activity page.

Dev Activity

**SetID:** SHARE Table Set shared across Corp

View All First 1-3 of 3 Last

*Development Activity	*Description
K01	Self Study
K02	Role Play
K03	Read industry literature

Dev Activity page

**Development Activity** Select and describe the activities you want to use in your professional compliance plan.

---

## Assembling a Development Plan

Access the Development Plan page.

---

**Note.** Development Plans are directly associated with particular classification levels. As a consequence, the search record associated with the Development Plan menu lists classification levels for each Professional Type/Regulatory Authority combination you have set up.

---

Development Plan

**SetID:** SHARE Table Set shared across Corp

**Professional Compliance Type:** Accountancy

**Regulatory Authority:** National Accountancy Regulator

**Classification:** Associate Accountant

Development Area		View All	First	1-2 of 2	Last
Development Type	*Development Area	Description			
Accomp	ACCA	Assoc Chartered Certif Accntrt			+ -
Activity	K01	Self Study			+ -

#### Development Plan page

#### Professional Compliance Type

This field displays the Professional Compliance Type you entered to access the page.

**Note.** To define Professional Compliance Types, use the Professional Compliance Type component.

#### Regulatory Authority

This field displays the Regulatory Authority you entered to access the page.

**Note.** To define Regulatory Authorities, use the Reg (regulatory) Authority component.

#### Classification

This field displays the Classification you entered to access the page.

**Note.** To define the Classifications, use the Regulatory Authority - Classification page.

#### Development Area

#### Development Type

Use this field to identify the type of development element that you want to include in your development plan. The types of development elements you can choose from are accomplishments, activities, competencies, and courses.

#### Development Area

Use this field to select the specific development elements (within each development type) that you want to include in your development plan.

---

**Note.** After you have created your development plans and have added regulated individuals to the Professional Compliance process, you can “enroll” individuals in these plans using the Development Record and Development Area pages.

---

**See Also**

“Understanding and Setting Up Professional Compliance,” Setting Up Required Tables, Defining the PC Type

“Understanding and Setting Up Professional Compliance,” Setting Up Required Tables, Defining a Regulatory Authority

“Understanding and Setting Up Professional Compliance,” Setting Up Required Tables, Setting Up Regulatory Authority Classifications

“Entering and Maintaining RI Data”

## CHAPTER 4

# Entering and Maintaining RI Data

This section provides an overview of the RI (regulated individual) data that you enter on a one-time basis when you first bring individuals into the Professional Compliance process, and RI data that you may need to maintain or review on an ongoing basis. It explains how to:

- Bring individuals into the compliance process.
- Enter the information needed to assign a regulated individual to a supervisor.
- Enter data to define a regulated individual's classification.
- Enroll individuals in development plans.
- Reassign individuals to compliance managers/supervisors.
- View references and prior work experience information.
- Enter information related to previous compliance.

## Understanding RI Data

The RI (regulated individual) data discussed in this section can be grouped into the following categories:

<b>Category</b>	<b>Explanation</b>
Data you enter once when you first bring individuals into the Professional Compliance process:	When you first hire an individual, you can bring them into the compliance process using the hire pages in PeopleSoft Human Resources. Alternatively, after an individual has been hired, you can bring them into the compliance process using the RI page. Adding an individual to the Professional Compliance process is a step you only need to perform once.

<b>Category</b>	<b>Explanation</b>
Data you must enter when the individual first comes into the Professional Compliance process, and then again as the individual's status changes:	<p>After you have brought an individual into the Professional Compliance module, you must enter additional information about that person. The order in which you should enter this information is as follows:</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 professional compliance process using the RI page).</li> <li>2. Specify the regulatory authority governing the individual on the RI page (regardless of how you brought the individual into the Professional Compliance process).</li> <li>3. Assign the individual to a compliance supervisor on the Manager/Supervisor page (only after this assignment has been made can you enter additional details for a regulated individual). If you need to assign an individual to a new manager/supervisor, use the Reassign RI page.</li> <li>4. Specify the regulated individual's classification on the RI 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>RI data such as professional compliance type, regulatory authority, and RI classification can change over time, and must be maintained on an ongoing basis.</p>
(GBR) Other RI data you can view or enter as needed:	Using the References page, you can view references provided by the regulated individual. And if you need to keep track of prior work experience or add specific information related to previous compliance, you can view or enter this information on the Prior Work page.

---

### Common Elements Used in This Section

The following elements are common to multiple RI data pages, and are defined once in the following table:

<b>Professional Compliance Type</b>	Compliance types are the groups of professionals subject to compliance requirements in your organization. For example, you could set up compliance types for financial advisors, an engineering group, and a health and safety group, each with its own compliance requirements. Professional compliance types are defined on the PC Type page.
<b>Regulatory Authority</b>	This is the body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field. Regulatory authorities are defined on the Regulatory Authority page.
<b>Classification</b>	These 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 kinds of professional activities (for example, an individual could be level 1 or level 2 compliant, or be classified as fully competent, and each of these classifications could be associated with a different set of certification requirements). Classifications are defined on the Classification page.

## Bringing Individuals Into the Compliance Process

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

- Automatic entry during the Hire Process:** You can 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 Global Human Resources Hire menu option, the system inserts a row into the Professional Compliance tables for each default compliance type. Once you complete the hire process (**Administer Workforce, Administer Workforce (GBL), Use, Hire**), you must remember to set the regulatory authority for each default compliance by going to the **Professional Compliance, Use, Regulated Individual** menu option.
- Manual Entry:** You can manually bring employees/non-employees into the Professional Compliance process using the **Use, Regulated Individual** menu option, where both the Professional Compliance Type and Regulatory Authority can be set.

---

**Note.** Both the manual and the automatic methods of entry have workflow (notification) functionality associated with them, to ensure that the next appropriate action is performed. The notification process is described in the section Setting Up Notifications in Professional Compliance.

---

---

## Understanding Application Messaging

To automatically enroll individuals in the compliance process, PeopleSoft uses Application Messaging technology. PeopleSoft adds message subscription PeopleCode to the WORKFORCE\_SYNC message to select all employee/non-employee job changes. If the JOB.ACTION is HIR or ADD, the necessary inserts into Professional Compliance occur.

### See Also

“Understanding and Setting Up Professional Compliance,” Understanding Enterprise Integration Points

---

## Setting Up Automatic and Manual Entry

The steps you must follow to bring a regulated individual into the system can be summarized as follows:

---

### To automatically add an individual during the hire process:

1. Set up a default compliance type for each individual using the Jobcode Compliance page.
2. Hire the individual using the Hire component in PeopleSoft Global Human Resources.
3. After hiring the individual, use the RI (regulated individual) page to set the regulatory authority for each default compliance type.
4. Assign the regulated individual to a compliance supervisor on the Compliance Manager/Supervisor page.

---

**Note.** The Compliance Manager/Supervisor page is documented in the section Understanding and Setting Up Professional Compliance.

---

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### To manually enter an individual:

1. Enter the individual using the RI (regulated individual) page.
2. Set the individual’s regulatory Authority and Compliance Type on the RI (regulated individual) page.
3. Assign the regulated individual to a compliance supervisor on the Compliance Manager/Supervisor page.

---

**Note.** The Compliance Manager/Supervisor page is documented in the section Understanding and Setting Up Professional Compliance.

---

## Pages Used to Bring Individuals into the Professional Compliance Module

Page Name	Object Name	Navigation	Usage
Jobcode Compliance	PCMP_JOBCODE	Develop Workforce, Professional Compliance, Setup	Set up a default compliance type for each regulated individual hired through PeopleSoft Human Resources.
RI (regulated individual)	PCMP_RI	Develop Workforce, Professional Compliance, Use, Regulated Individual	Bring individuals into the Professional Compliance process, and to set their professional compliance type and regulatory authority.

### Setting Up a Default Compliance Type

Access the Jobcode Compliance page.

Jobcode Compliance

**SetID:** SHARE Table Set shared across Corp

**Job Code:** KC001 Accounting Clerk

**Default Jobcode Compliance** View All First 1 of 1 Last

\*Professional Compliance Type: K02 Accountancy

Jobcode Compliance page

#### Job Code

This is the job code that you want to associate with a default professional compliance type at the moment of hire.

#### Professional Compliance Type

Select the professional compliance type that you want to automatically associate with the **Job Code** displayed at the top of the page. Professional compliance types are defined on the PC Type page.

#### See Also

“Understanding and Setting Up Professional Compliance,” Setting Up Required Tables, Defining the PC Type

---

## Manually Adding an Individual to the Compliance Process

Access the RI page.

The screenshot shows the 'RI Product' page for individual KG0002 (Hopkins, Dewi). The 'Empl Rcd Nbr' is 0. The 'Compliance Details' section is expanded, showing the following information:

Compliance Details		View All	First	1 of 1	Last
*Professional Compliance Type:	KG2	UK Health & Safety			
Regulatory Authority:	KG02	UK First Aid Regulatory Authority			
Date Registered:	08/15/2001				
Business Unit:	GBR02				

RI page

### Professional Compliance Type

Enter the professional compliance type for the individual whose EmplID is displayed at the top of the page. If you have set up a default compliance type based on the individual's job code, the professional compliance type that appears in this field will be the one you defined as the default.

### Regulatory Authority

Enter the regulatory authority corresponding to the individual's professional compliance type.

### Date Registered

This is the date the individual was registered with the regulatory authority.

---

## Manually Defining an Individual's Compliance Type and Regulatory Authority

Access the RI page.

---

**Note.** The RI Page is documented in the section Manually Adding an Individual to the Compliance Process.

---

## Assigning Regulated Individuals to Supervisors

In the Professional Compliance module, you'll assign regulated individuals to a compliance supervisor on the Compliance Manager/Supervisor page. This page is documented in the section Understanding and Setting Up Professional Compliance.

## Defining a Regulated Individual's Classification

In the Professional Compliance process, the classifications that a regulatory authority uses to specify the status of a regulated individual are defined on the Regulatory Authority - Classification page. Once you have defined the classifications you need, you must apply them to regulated individuals to define their compliance status.

### Page Used to Assign Classifications to a Regulated Individual

Page Name	Object Name	Navigation	Usage
RI Classification	PCMP_RI_CLASS	Develop Workforce, Professional Compliance, Use	Define the professional compliance status of regulated individuals.

### Assigning a Classification

Access the RI Classification page.

RI Classification

KG0005      O'Flaherty, Seamus Patrick      **Empl Rcd#:** 0

**Professional Compliance Type:** KG1 Financial

**Regulatory Authority:** KG01 Standard Financial Regulatory Authority

**Classification**      View All      First ◀ 1 of 1 ▶ Last

+ -

**\*Effective Date:** 12/01/2000

**Classification:** LEVEL3  Competent Individual

RI Classification page

**Classification**

Specify the classification level of the regulated individual.

**Note.** Classifications are defined on the Regulatory Authority - Classification page.

**See Also**

“Understanding and Setting Up Professional Compliance”

## Enrolling Individuals in Development Plans

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

<b>To enroll individuals in a development plan:</b>
---

1. On the Development Record page, specify the EmplID of the individual you want to enroll in a development plan.

At this point, you should have already specified the individual’s professional compliance type (using either the RI or the Jobcode Compliance page), defined his/her regulatory authority on the RI page, and entered the individual’s classification on the RI Classification page.

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

When you created your development plans on the Development Plan page, you associated each plan (and its associated development area elements) with a classification level. Because the system knows the classification level of the individual you want to enroll in a development plan (you defined this on the RI Classification page), you can now automatically load all the elements of the plan associated with the individual’s classification, making them part of his/her development course.

---

**Note.** You can add new development areas to the default plan you created for each classification level. In other words, you can personalize plans by adding to or subtracting from the default plan you created for each classification level on the Development Plan page. To do this, create new rows in the Development Record.

---

## Pages Used to Enroll Regulated Individuals

Page Name	Object Name	Navigation	Usage
Development Record	PCMP_RI_DEV_REC	Develop Workforce, Professional Compliance, Use	Enroll regulated individuals in a development plan.
Development Area	PCMP_RI_DEVAREA	Develop Workforce, Professional Compliance, Use	View development areas associated with a default development plan. Can also be used to add new development areas to a default plan.

## Creating a Development Record

Access the Development Record page.

Development Record
Development Area

**EmplID:** KG0005      O'Flaherty,Seamus Patrick

**Professional Compliance Type:** Financial

**Regulatory Authority:** Standard Financial Regulatory Authority

**Development Record Details**
View All    First ◀ 1 of 3 ▶ Last

**Classification:** Competent Individual + -

**Creation Date:** 12/04/2000

**Expected Completion Date:** 12/03/2001

**Actual Completion Date:**

**Status:**

Development Record page

- EmplID** This field displays the EmplID of the regulated individual you are enrolling in a development plan. This is the ID you entered to access the page.
- Creation Date** Enter the date you enrolled the regulated individual in the development plan.
- Expected Completion Date** Enter the expected completion date of the development plan.

**Actual Completion Date** This field displays the date you entered in the Actual Completion Date field on the RI Dev Review page.

**Status** This field displays the status you entered in the Status field on the RI Dev Review page.

**See Also**

“Monitoring Regulated Individuals,” Setting Up Monitoring Features and Procedures, Reviewing Regulated Individuals

“Defining Development Plans”

---

## Viewing and Inserting Development Areas

Access the Development Area page.

Development Area page

**EmplID** This field displays the EmplID of the regulated individual you are enrolling in a development plan. This is the ID you entered to access the page.

**Development Record Details**

**Creation Date** This is the creation date you entered on the Development Record page.

**Load Development Plan**

Click this button to load all the default elements of the development plan associated with the regulated individual's classification level.

**Note.** When you created your development plan on the Development Plan page, you associated it (and its related development areas) with a classification level. Because the system knows the classification level of the individual you want to enroll in the development plan (you defined this on the RI Classification page), you can now automatically load all the elements of the plan associated with the individual's classification by clicking this button. This makes them part of the individual's development course.

**Development Area****Development Type**

This field identifies the kinds of development elements that make up your development plan. The kinds of development elements are accomplishments, competencies, courses, and activities.

**Note.** Development types are defined on the Dev Accomplishment, Dev Competency, Dev Course, and Dev Activity pages.

**Development Area**

This field identifies the specific development elements (within each development type) that you have included in your development plan.

---

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

---

**See Also**

“Defining Development Plans”

## Reassigning Individuals to Supervisors/Managers

The initial assignment of a regulated individual to a compliance manager or supervisor is done on the Compliance Manager/Supervisor page. When you need to reassign an individual to another manager/supervisor, you do so on the Reassign RI page.

**See Also**

“Understanding and Setting Up Professional Compliance,” Assigning Regulated Individuals to Compliance Managers/Supervisors

## Page Use to Reassign Individuals to Managers/Supervisors

Page Name	Object Name	Navigation	Usage
Reassign RI (regulated individual)	RUN_CNTL_PCMP1	Develop Workforce, Professional Compliance, Process	Assign a regulated individual (or individuals) to a new compliance manager/'supervisor.

### Reassigning Regulated Individuals

Access the Reassign RI (regulated individual) page.

Reassign RI

Run Control ID: aa Report Manager Process Monitor

---

**Reassignment Selection**

Regulated Individuals  Compliance Supervisors

---

**Reassignment Option**

Single Individual  All Individuals

\*EmpId:

---

**Reassign To**

\*Supervisor:

Reassign RI page

## Reassignment Selection

### Regulated Individuals

Select this option if you want to assign a regulated individual to a new compliance manager/supervisor. When you select this option, you must 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** belonging to the current supervisor.
2. If you reassign a single individual, the **EmplID** field in the **Reassignment Option** group box becomes available. Use this field to identify the regulated individual you want to reassign.
3. If you are reassigning a single individual, the **Regulatory Authority**, **Empl Rcd Nbr** and **Supervisor** fields appear when you enter the individual's EmplID. To assign the individual to a new supervisor, you must identify the specific job you want to reassign (because there can be a different supervisor for each job). To do this, enter the **Regulatory Authority** governing the job (this job is identified in the **Empl Rcd Nbr** field). The current supervisor for the job is displayed in the **Supervisor** field.
4. If you reassign **All Individuals** under the care of a compliance supervisor, you must identify the compliance supervisor currently in charge of these individuals using the **Supervisor** field in the **Reassignment Option** group box. (This field becomes available only if you choose **All Individuals** as your **Reassignment Option**).
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** as your **Reassignment Selection**.)
6. To complete the reassignment of all individuals, identify the new supervisor in the **Supervisor** field of the **Reassign To** group box. (The **Supervisor** field becomes available when you select **Regulated Individuals** as your **Reassignment Selection**.)
7. Run the reassignment process.

**Compliance Supervisors**

Select this option if you want to place a compliance supervisor under the direction of a new compliance manager. When you select this option, you must perform the following actions:

1. In the **Reassignment Option** group box, specify whether you want to reassign a single supervisor to a new compliance manager (**Single Individual**), or all the supervisors belonging to the current manager (**All Individuals**).
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 you want to reassign.
3. If you are reassigning all the supervisors under the care of a compliance manager, you must identify the manager currently in charge of these supervisors using the **Manager** field in the **Reassignment Option** group box. (This field becomes available only if you select **All Individuals** as your **Reassignment Option**).
4. To complete the reassignment of a single supervisor, identify 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, identify the new compliance manager in the **Manager** field of the **Reassign To** group box. (The **Manager** field become available when you select **Compliance Supervisors** as your **Reassignment Selection**.)
6. Run the reassignment process.

**(GBR) Listing References and Prior Work Experience**

In the UK, regulated individuals may be required to provide employers with references and describe their prior work experience. The Professional Compliance process retrieves this information from employee or non-employee application details entered in PeopleSoft Human Resources (using the Develop Workforce > Recruit Workforce(GBL) > Use > References menu), and displays it on the References and Prior Work pages. In addition to viewing prior work details on the Prior Work page, 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.

**See Also**

*PeopleSoft Human Resources: Recruit Workforce*, “Managing Applicants,” Entering Work Experience and References

## Pages Used to View References and List Prior Work Experiences

<i>Page Name</i>	<i>Object Name</i>	<i>Navigation</i>	<i>Usage</i>
Reference Profile	PCMP_RI_REFEREN CE1	Develop Workforce, Professional Compliance, Use Lcl, UK RI References	Display reference profiles.
Reference Address	PCMP_RI_REFEREN CE2	Develop Workforce, Professional Compliance, Use Lcl, UK RI References	Display reference addresses.
Prior Work	PCMP_RI_PREV	Develop Workforce, Professional Compliance, Use Lcl, UK RI Prior Work Experience	Display prior work experience and record the previous classification of a regulated individual.

## Viewing a Reference Profile

Access the Reference Profile page.

Reference Profile    Reference Address

EmpID: N00012    Jones, James

View All    First 1 of 1    Last

Reference Nbr: 1

Date Contacted: 03/30/2001    Reference Type: Professnl

Reference Name: Walker, John

Title: Supervisor

Employer: NewTech Electronics

Comment: Gave a superb reference

Reference Profile page

**Note.** The fields on this page are display only. Reference profiles are entered through the Develop Workforce > Recruit Workforce (GBL) > Use > References menu.

## Viewing Reference Addresses

Access the Reference Address page.

Reference Profile Reference Address

EmpID: N00012 Jones,James

Reference Nbr: 1		Name: Walker,John	Contacted: 03/30/2001
Country:	USA	United States	
Address 1:	322 Tucson Lane		
Address 2:			
Address 3:			
City:	Phoenix		
County:		Postal:	22654
State:	AZ	Arizona	
Phone:	524/555-6738		

Reference Address page

**Note.** The fields on this page are display only. Reference address information is entered through the Develop Workforce > Recruit Workforce (GBL) > Use > References menu.

## Identifying Prior Work Experience

Access the Prior Work page.

Prior Work

EmpID: KG0005 O'Flaherty,Seamus Patrick

Prior Work Experience		View All	First	1 of 1	Last
Sequence Number:	1				
*Start/End Date:	<input type="text"/> <input type="text"/>	<input type="checkbox"/> Relevant Work Experience			
Employer:	<input type="text"/>				
Country:	USA <input type="text"/>	United States			
City:	<input type="text"/>				
State:	<input type="text"/>				
Phone:	<input type="text"/>				
Ending Job Title:	<input type="text"/>				
Ending Pay Rate:	<input type="text"/>	USD <input type="text"/>	*Pay Frequency:	Month	<input type="text"/>
	<input type="checkbox"/> Company Previously Regulated				
Previous Classification:	<input type="text"/>				
Reason for Leaving:	<input type="text"/>				
Job Description:	<input type="text"/>				

Prior Work page

This page displays the **Start** and **End** date of each prior position held by the regulated individual, previous employers' names and addresses, and **Job Title** and salary information. In addition, you can specify whether the previous employer was regulated, enter **Previous Classification** levels achieved, note **Reasons for Leaving**, and enter prior **Job Descriptions**.



## CHAPTER 5

# Monitoring Regulated Individuals

This chapter provides an overview of the monitoring process, and tells you how to:

- Review regulated individuals.
- Observe regulated individuals.
- Monitor Key Performance Indicators (KPIs).
- Perform checks against regulated individuals.

## Understanding the Monitoring Process

For a development plan to be successful, compliance supervisors and managers must be able to respond quickly and effectively to interruptions in the normal course of professional development. Thus a key step in the setup of Professional Compliance involves defining a process for monitoring the progress of individuals as they meet the requirements for professional certification.

In Professional Compliance, monitoring consists of the following features, procedures, and views:

### ***Monitoring Features and Procedures:***

Reviews	Reviews, together with observations and key performance indicators (see following entries), fall under the monitoring umbrella, enabling an assessment to be made of the 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 conclusions of the review, if the individual is identified as lacking in certain areas, further development plans can be set up. However, passing each element of the plan implies that the individual can move on to the next classification category, or may signify that the individual has become fully compliant/qualified.
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<p>Observation</p>	<p>Observations are another means of monitoring an individual during the compliance process, and are different from reviews in that they are not directly associated with a development plan. Their purpose is to ensure that an individual follows a certain pre-defined process, either within the working environment, or while the individual is with a client. For example, suppose an individual must follow the company's advisory process when selling financial advice to a client. A company will have the ability to set up these predefined processes in the form of observation models, which outline each specific step that will be observed. As with reviews, observations may show that the individual requires further development.</p>
<p>Key Performance Indicators</p>	<p>Key Performance Indicators (KPIs) are a means of monitoring the regulated individual's performance against predetermined standards. There are five KPIs delivered as part of UK Professional Financial Compliance process. The five core KPIs are:</p> <p><b>Complaints</b> – Number of complaints against the individual versus those against the company</p> <p><b>Persistency</b> (of business sold) – Percentage of business sold that is still in force</p> <p><b>Spread of Business</b> – Measure the range of products being sold by the individual</p> <p><b>Not Taken Up</b> (NTU) – Number of proposals submitted, but not put into force</p> <p><b>Factfind Completion</b> – Check on accuracy, completeness and quality of service</p> <p><b>Note.</b> These KPIs are directly targeted at the UK financial services arena. However, the key structure of the KPI records, and the way the functionality is incorporated within Professional Compliance, can be used as a guide for creating additional, custom KPIs.</p>
<p>Checks</p>	<p>Another aspect of monitoring is the ability to define background checks for regulated employees, and to monitor compliance with these checks. For example, you can set up a check for financial service employees requiring them to submit to a review of their finances before they can be certified.</p>

Inquiries	<p>The Professional Compliance process provides supervisors and managers with numerous inquiry pages for viewing information related to the monitoring elements described here. Supervisors and managers can view/review the following:</p> <ul style="list-style-type: none"> <li>• A regulated individual’s review history</li> <li>• A regulated individual’s observation history</li> <li>• A regulated individual’s check history</li> </ul> <p><b>Note.</b> Although the inquiry pages related to the monitoring process are discussed briefly in this section, go to the chapter Using Inquiry Pages for the complete documentation.</p>
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**See Also**

“Using Inquiry Pages”

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## Common Elements Used in This Chapter

The following elements are common to multiple monitoring pages, and are defined once in the following table:

<b>Professional Compliance Type</b>	Compliance types are the groups of professionals subject to compliance requirements in your organization. For example, you could set up compliance types for financial advisors, an engineering group, and a health and safety group, each with its own compliance requirements. professional compliance types are defined on the PC Type page.
<b>Regulatory Authority</b>	This is the body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field. Regulatory authorities are defined on the Regulatory Authority page.
<b>Classification</b>	These 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 kinds of professional activities (for example, an individual could be level 1 or level 2 compliant, or be classified as fully competent, and each of these classifications could be associated with a different set of certification requirements). Classifications are defined on the Classification page.

**SetID**

SetIDs enable table sharing between different business units. SetID's are documented in PeopleSoft HRMS Application Fundamentals.

**See Also**

*PeopleSoft HRMS Application Fundamentals PeopleBook*, “Regulating PeopleSoft HRMS System Data”

## Reviewing Regulated Individuals

To review a regulated individual, you must first set up a development plan for that person. This is because when you review an employee, 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 you created as part of the development plan setup).

The process of reviewing individuals can be broken down into the following steps:

<b>To review a regulated individual:</b>
--

1. Set up your development plan using the Development Plan pages.

The setup of development plans is documented in the section Defining Development Plans.

2. Enroll the individual in a development plan using the Development Record and Development Area pages.

The enrollment of individuals in development plans is documented in Entering and Maintaining RI Data.

3. Enter your review of the individual on the RI Dev Review and RI Dev Area Review pages.

4. View the review history of the individual on the RI Review History page.

This page is documented in the section Using Inquiry Pages.

5. Using the RI Review Report page, generate reports of employees' review histories to see how they have measured against the elements of a development plan.

This page is documented in the Manage Professional Compliance Reports.

**See Also**

*PeopleSoft HRMS Application Fundamentals PeopleBook*, “Appendix: PeopleSoft Application Fundamentals for HRMS Reports,” Manage Professional Compliance Reports

## Pages Used to Review Regulated Individuals

Page Name	Object Name	Navigation	Usage
RI Dev (regulated individual) Review	PCMP_RI_DEVREV W	Develop Workforce, Professional Compliance, Use, Development Review	Complete a development review.
RI Dev Area Review	PCMP_RI_DEVREV W2	Develop Workforce, Professional Compliance, Use, Development Review	Complete a development review.

## Entering Development Review Details

Access the RI Dev (development) Review page.

RI Dev Review
RI Dev Area Review

**EmpID:** KG0005      O'Flaherty,Seamus Patrick

**Professional Compliance Type:** Financial

**Regulatory Authority:** Standard Financial Regulatory Authority

**Development Review Details** View All    First ◀ 1 of 3 ▶ Last

**Classification:** Competent Individual

**Creation Date:** 12/04/2000    **Expected Completion Date:** 12/03/2001

**Actual Completion Date:**        **Status:**

**Comments:**

RI Dev Review page

### Creation Date

This is the creation date of the regulated individual's development plan (this date is the creation date of the development plan you entered on the Development Record page).

<b>Expected Completion Date</b>	This is the expected completion date of the regulated individual's development plan (this is the expected completion date you entered on the Development Record page).
<b>Actual Completion Date</b>	Enter the actual completion date of the regulated individual's development plan.
<b>Status</b>	Specify the status of the regulated individual relative to the broad goals of the development plan.
<b>Comments</b>	Enter any comments you have about the regulated individual's performance.

---

## Reviewing a Development Area

Access the RI Dev (development) Area Review page.

RI Dev Review
RI Dev Area Review

**EmpID:** KG0005      O'Flaherty,Seamus Patrick

**Professional Compliance Type:** Financial

**Regulatory Authority:** Standard Financial Regulatory Authority

**Development Review Details**
View All    First ◀ 1 of 3 ▶ Last

**Classification:** Competent Individual

**Creation Date:** 12/04/2000

**Development Area**
View All    First ◀ 1 of 2 ▶ Last

Development Type	Development Area
Activity	KG01      Self Study

**Status**

**Comments**

RI Dev Area Review page

<b>Development Type</b>	This is the type of development activity against which you are assessing the regulated individual. The four types are:  Accomplishments  Competencies  Courses  Activities  <b>Note.</b> These types are documented in the section Defining Development Plans.
<b>Development Area</b>	This is the specific activity within the development area (accomplishments, competencies, courses, activities) against which you are assessing the individual's performance.
<b>Status</b>	Specify the performance status of the regulated individual relative to the specific development activity displayed in the <b>Development Area</b> field.
<b>Comments</b>	Enter any comments you have about the regulated individual's performance.

**See Also**

“Defining Development Plans”

**Observing Regulated Individuals**

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, there are several setup steps you must perform before you can enter observation data. After you have completed these setup steps, you can enter observations, and then (just as in the case of reviews) review observation histories and generate observation reports.

<b>To perform observations:</b>
---------------------------------

1. Define your observation elements using the Observation Element page (setup).

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 (see Steps 2 and 3).

2. Name and describe the observation model you are creating on the Observation Model page (setup).

An observation model organizes individual observation elements (specific activities you want to observe) into a process or procedure that regulated individuals may be required to follow. For example, a broker or financial advisor may be required to inform a customer of all the charges that might apply when they purchase stock, and then advise them of all 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. Add observation elements to the observation model on the Model Elements page (setup).

To create an observation model, you must add the elements you defined in Step 1 to the model you named and described in Step 2.

4. Enter your observations of regulated individuals on the RI Observation and Obs Elements pages.

On these pages you assign regulated individuals to one of the observation models you defined in Step 2, and enter your evaluation of the individuals in relation to the observation elements that are part of the observation model.

5. Display the review history of the individual using the RI Observation History page.

This page is documented in the section Using Inquiry Pages.

6. Using the RI Observation reports page, generate reports of an employee’s observation history to see how they have measured against all of the elements of the observation model.

This page is documented in Manage Professional Compliance Reports.

**See Also**

*PeopleSoft HRMS Application Fundamentals PeopleBook*, “Appendix: PeopleSoft Application Fundamentals for HRMS Reports,” Manage Professional Compliance Reports

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

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
Element	PCMP_OBS_ELEM	Develop Workforce, Professional Compliance, Setup, Observation Element	Define the elements of an observation model.
Observation Model	PCMP_OBS_MODEL	Develop Workforce, Professional Compliance, Setup, Observation Model	Name and describe an observation model consisting of observation elements.
Model Elements	PCMP_OBS_MODEL 2	Develop Workforce, Professional Compliance , Setup, Observation Model	Add observation elements to a model.
RI Observation	PCMP_RI_OBS	Develop Workforce, Professional Compliance, Use, RI Observation	Enter an observation of a regulated individual.
Obs Elements	PCMP_RI_OBS2	Develop Workforce, Professional Compliance, Use, RI Observation	Enter an observation of a regulated individual.

---

**Defining Observation Elements**

Access the Element page.

Element page

**Observation Element** Name and describe the observation elements you want to use in the observation model you are constructing.

## Constructing Observation Models

Access the Observation Model page.

Observation Model page

**Observation Model** Name and describe your observation model.

**Comments** Enter any comments you have about the observation model.

## Adding Elements to Models

Access the Model Elements page.

The screenshot shows a web interface for managing observation models. At the top, there are two tabs: 'Observation Model' and 'Model Elements', with 'Model Elements' being the active tab. Below the tabs, the 'SetID' is 'SHARE' with a description 'Table Set shared across Corp'. A blue header bar for 'Observation Model' contains 'View All', 'First', '1 of 1', and 'Last'. The main content area shows 'Observation Model: MYT', 'Effective Date: 06/20/2001', and 'Status: Active'. Below this is another blue header bar for 'Observation Element' with 'View All', 'First', '1 of 1', and 'Last'. The 'Observation Element' section includes a search field with a magnifying glass icon, a '+ -' button, a checked 'Required' checkbox, and a 'Comments' text area with a vertical scrollbar.

Model Elements page

- |                            |  |
|----------------------------|--|
| <b>Observation Element</b> | Select the observation elements that you want to include in your observation model.  |
| <b>Required</b>            | Select this check box if the observation element you specified in the <b>Observation Element</b> field requires a mandatory “pass” status. |
| <b>Comments</b>            | Enter any comments you have about the observation elements.  |

## Entering an Observation

Access the RI Observation page.

RI Observation		Obs Elements	
<b>EmplID:</b>	KG0005	O'Flaherty,Seamus Patrick	
<b>Professional Compliance Type:</b>	Financial		
<b>Regulatory Authority:</b>	Standard Financial Regulatory Authority		
<b>Observation Details</b>		View All First 1 of 1 Last	
<b>Classification:</b>	Competent Individual		+ -
<b>*Observation Date:</b>	<input type="text" value="01/09/2001"/>		
<b>*Observation Model:</b>	<input type="text" value="KG01"/>		<b>Status:</b> <input type="text" value="Fail"/>
<b>Comments:</b>	<input type="text" value="Observation of customer meeting with S. Evans (ref: SE-631215-001) to ensure Seamus applies the skills and knowledge that he has gained through the compliance process in a satisfactory manner. Generally, Seamus handles himself well with customers but inexperience in live environment made Seamus slip up in a few areas. Maybe over"/>		

RI Observation page

- Observation Date** This is the date on which you are performing the observation.
- Observation Model** This is the observation model against which you are assessing the regulated individual whose EmplID appears at the top of the page.
- Status** Specify the general performance status of the regulated individual relative to the observation model.
- Comments** Enter any comments you have about the regulated individual's performance.

---

## Entering Observation Details

Access the Obs Elements page.

RI Observation		Obs Elements	
<b>EmpID:</b>	KG0005	O'Flaherty,Seamus Patrick	
<b>Professional Compliance Type:</b>	Financial		
<b>Regulatory Authority:</b>	Standard Financial Regulatory Authority		
<b>Observation Details</b>		View All First 1 of 1 Last	
<b>Classification:</b>	Competent Individual		
<b>Observation Date:</b>	01/09/2001	<b>Observation Model:</b>	KG01
<b>Observation Element</b>		View All First 1 of 6 Last	
<b>Observation Element:</b>	KG01	Reason for meeting	
<input checked="" type="checkbox"/> <b>Required</b>	<b>Status:</b>	Pass	
<b>Comments:</b>	Explained purpose of meeting and introduced me as Supervisor, customer comfortable with everything.		

Obs Elements page

### **Observation Element**

<b>Observation Element</b>	This field displays the individual activity you are assessing or observing.
<b>Required</b>	This check box is selected if the observation element displayed in the <b>Observation Element</b> field requires a “pass.” (You must specify whether an observation element requires a pass on the Model Elements page.)
<b>Status</b>	Specify the performance status of the regulated individual relative to the observation element.
<b>Comments</b>	Enter any comments you have about the regulated individual’s performance.

## **(GBR) Monitoring Key Performance Indicators**

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**Note.** The following key performance indicators (KPIs) are directly targeted at the UK financial services arena. However, the key structure of the KPI records, and how the functionality is incorporated within Professional Compliance, can be used as a guide for creating additional, custom KPIs.

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To measure an individual’s progress against key performance indicators (KPIs), you must first set up the specific indicators you want to use. PeopleSoft includes the following broad

categories of performance indicators as part of the delivered product; within these categories, however, you must choose (and in some cases set up) the exact indicators you want to use:

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

The process of defining performance individuals and evaluating employees against those indicators can be broken down into the following steps:

<b>To set up and use performance indicators:</b>
--

1. Define the complaint types you want to use on the Complaint Type page.

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

2. Register complaints against an individual on the RI Complaint page.
3. Define products and product types on the Product Type page.

Defining products and product types is part of the setup for monitoring key performance indicators. This is because most of the delivered KPIs—namely, persistency (a measure of products sold that are still in use by a customer), spread of business (a measure of the range of products sold), and NTUs (the number of proposals for product sales submitted but not put into force)—measure an individual’s success in selling or maintaining customer satisfaction with products.

---

**Note.** Before you can measure persistency, spread of business, and proposals not taken up (NTUs), you must define products and product types (Step 3), link these products and product types to a company (Step 4), and then associate the products (and services) to the regulated individuals who provide them (Step 5).

---

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

Before you can monitor these key performance indicators, you must specify the types/classes of products and services that your company provides, and then associate the products (or services) to the individuals who are responsible for selling them (Step 5).

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

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

6. Enter KPI review details on the KPI Review page.

On this page you define the review date and frequency type of the KPI (key performance indicator) review you are performing.

7. On the KPI Statistics page, enter complaint, persistency, spread of business, NTU (not taken up), and factfind completion data for the individual whose performance you want to measure.

### Pages Used to Set Up and Monitor Key Performance Indicators

<i>Page Name</i>	<i>Object Name</i>	<i>Navigation</i>	<i>Usage</i>
Complaint Type	PCMP_COMPL	Develop Workforce, Professional Compliance, Setup	Define the kinds of complaints that customers might make against a regulated individual.
RI Complaint	PCMP_RI_COMPL	Develop Workforce, Professional Compliance, Use, RI Complaint	Record complaints against an individual.
Product Type	PCMP_PROD_TYPE	Develop Workforce, Professional Compliance, Setup	Define the products and product types you want to use to measure persistency (a measure of products sold that are still in use by a customer), spread of business (a measure of the range of products sold), and NTUs (the number of proposals for product sales submitted but not put into force).
Company Compliance - Products	PCMP_COMPANY_T BL2	Develop Workforce, Professional Compliance, Setup	Specify the types/classes of products and services that a company provides.
RI Product	PCMP_RI_PROD	Develop Workforce, Professional Compliance, Use, Regulated Individual	Define the products and services a regulated individual is responsible for selling or providing.

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
KPI Review	PCMP_RI_KPI_REV	Develop Workforce, Professional Compliance, Use, RI KPI Review	Create a KPI (key performance indicator) review.
KPI Statistics	PCMP_RI_KPI_REV2	Develop Workforce, Professional Compliance, Use, RI KPI Review	Enter complaint, persistency, spread of business, NTU (not taken up), and factfind completion data for the individual whose performance you want to measure.

## Defining Complaint Types

Access the Complaint Type page.

Complaint Type

**SetID:** GBR01 Set ID for GBR01

View All First 1-7 of 7 Last

*Complaint Type	*Complaint Description	+	-
KG01	Gave wrong advice	+	-
KG02	Mis-diagnosis	+	-
KG03	Not qualified	+	-
KG04	Slow response	+	-
KG05	Did not explain conditions	+	-
KG06	Did not explain next steps	+	-
KG07	Continued without instruction	+	-

Complaint Type page

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

---

## Registering Complaints

Access the RI Complaint page.

RI Complaint

**EmplID:** KG0005      O'Flaherty,Seamus Patrick

**Professional Compliance Type:** Financial

**Regulatory Authority:** Standard Financial Regulatory Authority

**Regulated Individual Complaint**      View All    First ◀ 1 of 1 ▶ Last

**Classification:** Competent Individual + -

Supervisor: Hopkins,Dewi

**\*Complaint Type:**  🔍 Did not explain next steps

**\*Complaint Date:**  📅

**Comments:**

S. Evans (ref: SE-631215-001) wrote letter stating that not all information was explained during meeting.

RI Complaint page

### ***Regulated Individual Complaint***

- Supervisor**      This field displays the name of the regulated individual's supervisor.
- Complaint Type**      Enter the type of complaint you want to register against the individual whose EmplID is displayed at the top of the page. The complaint types available for entry are those you defined on the Complaint Type page.
- Complaint Date**      Supply the date on which you are entering the complaint.

---

## Defining Products

Access the Product Type page.

The screenshot shows the 'Product Type' page. At the top, there is a tab labeled 'Product Type'. Below it, the 'SetID' is 'GBR01' with the text 'Set ID for GBR01'. The '\*Product Type' field contains 'KG02'. The '\*Description' field contains 'Insurance'. Below these fields is a table titled 'Product' with columns '\*Product' and '\*Description'. The table lists four products: KG01 (Household), KG02 (Motor Vehicle), KG03 (Life), and KG04 (Critical Illness). Each row has '+' and '-' buttons. Navigation controls include 'View All', 'First', '1-4 of 4', and 'Last'.

Product Type page

**Product Type** This field displays the product type category you entered to access the component.

**Product** Specify and describe the individual products belonging to the product type category you entered to access the component.

## Associating Products With Companies

Access the Company Compliance - Products page.

The screenshot shows the 'Company Compliance-Products' page. It has three tabs: 'Regulation', 'Products', and 'Compliance Plan'. The 'Company' field is 'BN1' with the text 'Company BN1'. Below is a section titled 'Company Product Range' with a table. The table has columns for '\*Product Type' (containing 'KG02'), '\*Product' (containing 'KG002'), and 'Status'. The 'Status' field is 'Active'. There are also 'Effective Date' and 'Status' fields. Navigation controls include 'View All', 'First', '1 of 1', and 'Last'.

Company Compliance-Products page

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

**Product**

Select one of the products belonging to the broad product category you specified in the **Product Type** field.

---

**Associating Products With Individuals**

Access the RI Product page.

The screenshot displays the 'RI Product' page for employee KG0005. It includes fields for 'EmpID', 'Empl Rcd Nbr', 'Professional Compliance Type', and 'Regulatory Authority'. Below these is a scrollable area for 'Authorized Product Range' with two entries: 'Mortgages' and 'Capital Repayment'. A 'Status' section at the bottom shows an effective date of 01/01/2001 and a status of 'Active'.

RI Product page

**Product Type**

Select one of the product types (product ranges) you defined for the employee's company on the Company Compliance - Products page.

**Product**

Select one of the products belonging to the product category you specified in the **Product Type** field.

---

**Entering KPI Review Details**

Access the KPI Review page.

KPI Review		KPI Statistics	
<b>EmpID:</b>	KG0005	O'Flaherty,Seamus Patrick	
<b>Professional Compliance Type:</b>	Financial		
<b>Regulatory Authority:</b>	Standard Financial Regulatory Authority		
KPI Review Details		View All First 1 of 1 Last	
<b>Classification:</b>	Competent Individual	+ -	
Supervisor	Hopkins,Dewi		
<b>*Review Date:</b>	03/30/2001	[Calendar Icon]	
<b>Frequency Type:</b>	Quarterly		
<b>Comments:</b>	First KPI review since Seamus became a Competent Individual.		

KPI Review page

<b>Review Date</b>	Enter the date you are performing the review.
<b>Frequency Type</b>	Specify the frequency of the review.
<b>Comments</b>	Enter any comments you have about the regulated individual.

---

## Defining KPI Statistics

Access the KPI Statistics page.

KPI Review KPI Statistics

**EmpID:** KG0005 O'Flaherty,Seamus Patrick

**KPI Review Details** View All First 1 of 1 Last

**Review Date:** 03/30/2001

**Complaints**

**From Date:** 01/01/2001 **To Date:** 03/30/2001 **Number of Complaints:** 5

**Persistency**

**From Date:** 01/01/2001 **To Date:** 03/30/2001

Product Type	Product	Percentage
Mortgages	Capital Repayment	95
Mortgages	Endowment	97
Mortgages	Pension linked endowment	
Insurance	Household	100
Insurance	Motor Vehicle	100
Insurance	Life	
Insurance	Critical Illness	

KPI Statistics page (1 of 3)

**Spread of Business**

**From Date:** 01/01/2001 **To Date:** 03/30/2001

Product Type	Balance of Advice
Mortgages	Satisfactory
Insurance	Unsatisfactory

**Not Taken Up (NTUs)**

**From Date:** 01/01/2001 **To Date:** 03/30/2001

Product Type	Product	Percentage
Mortgages	Capital Repayment	6
Mortgages	Endowment	5
Mortgages	Pension linked endowment	
Insurance	Household	
Insurance	Motor Vehicle	
Insurance	Life	100
Insurance	Critical Illness	100

KPI Statistics page (2 of 3)

**Factfind Completion**

**From Date:** 01/01/2001 **To Date:** 03/30/2001 **Percentage:** 1

KPI Statistics page (3 of 3)

<b>Review Date</b>	This is the date of the KPI (key performance indicator) review.
<b>Complaints</b>	
<b>From Date/To Date</b>	Enter the range of dates for which you are entering the number of complaints directed against the regulated individual.
<b>Number of Complaints</b>	Enter the number of complaints within the date range you entered in the <b>From</b> and <b>To Date</b> fields.
<b>Persistency</b>	
<b>From Date/To Date</b>	Enter the range of dates for which you are specifying persistency of products sold.
<b>Product Type</b>	This field displays the type of product whose persistency you are evaluating.
<b>Product</b>	This field displays the specific product whose persistency you are evaluating.
<b>Percentage</b>	Enter a value indicating the percentage of each product sold that is still in force.
<b>Spread of Business</b>	
<b>From Date/To Date</b>	Enter the range of dates for which you are evaluating spread of business.
<b>Product Type</b>	This field displays the type of product for which you are measuring balance of advice (product spread).
<b>Balance of Advice</b>	Rate the balance of advice for each product.
<b>Not Taken Up</b>	
<b>From Date/To Date</b>	Enter the range of dates for which you are evaluating proposals not taken up (NTUs).
<b>Product Type</b>	This field displays the type of product for which you are measuring the percentage of proposals not take up (NTUs).
<b>Product</b>	This field displays the specific products for which you are measuring the percentage of proposals not taken up (NTUs).
<b>Percentage</b>	Enter the percentage of proposals not taken up for each product.

**Factfind Completion**

<b>From Date/To Date</b>	Enter the range of dates for which you are assessing the accuracy, completeness, and quality of service provided by the regulated individual.
<b>Percentage</b>	Enter a value representing the factfind assessment of the regulated individual.

**Setting Up and Entering Check Details**

The Professional Compliance process enables you to monitor compliance with various kinds of checks required for professional certification. For example, certain groups of employees in your company may need to submit to financial background checks or security checks before they can be certified. In Professional Compliance, you first define the types of checks you want to perform, and 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 page, enter data on each individual indicating whether they have passed the check, and specifying the check date.
3. Review the individual's check history on the RI Checks History page.

This page is documented in the section Using Inquiry Pages.

**Pages Used to Set Up and Enter Check Details**

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
Check Type	PCMP_CHK_TYPE	Develop Workforce, Professional Compliance, Setup	Define the types of checks a regulated individual needs to pass—for example, financial stability, health, or security checks.
RI Check	PCMP_RI_CHK	Develop Workforce, Professional Compliance, Use, RI Check	Enter data on each individual indicating whether they have passed a check, and specifying the check date.

---

## Defining Check Types

Access the Check Type page.

Check Type

**SetID:** SHARE Table Set shared across Corp

*Check Type	*Description	+	-
K01	Financial Background Check	+	-
K02	Security Check	+	-
K03	Financial Stability Check	+	-

View All First ◀ 1-3 of 3 ▶ Last

Check Type page

### Check Type

Define the kinds of checks that you want to perform of regulated individuals.

---

## Entering Check Data

Access the RI Check page.

RI Check

KG0005      O'Flaherty,Seamus Patrick      **Empl Rcd#:** 0

**Regulatory Authority:** KG01      Standard Financial Regulatory Authority

**Regulated Individual Check**      [View All](#)      First ◀ 1 of 3 ▶ Last

**Classification:** Competent Individual      + -

Supervisor      Hopkins,Dewi

**\*Check Date:** 01/05/2001

**\*Check Type:** KG03  Financial Stability Check

**Status:** Pass

**Comments:** Annual financial stability check revealed no concerns for Seamus.

RI Check page

<b>Supervisor</b>	This field displays the name of the regulated individual's supervisor.
<b>Check Date</b>	This is the date you perform the check.
<b>Check Type</b>	Select one of the check types you defined on the Check Type page.
<b>Status</b>	Specify the status of the individual relative to the check you are performing.
<b>Comments</b>	Enter any comments you have about the check.



## CHAPTER 6

# Setting Up Notifications in Professional Compliance

This chapter provides an overview of notifications in the Professional Compliance process, and explains how to:

- Understand notification formats and messages
- Set up notifications

## Understanding Notifications

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

Notifications in Professional Compliance are associated with the following activities and processes:

**Hire.** When individuals are added to the Professional Compliance process using the hire menu (**Administer Workforce, Administer Workforce (GBL), Use, Hire**), the system can be set up to inform the general supervisor of any actions they may need to take related to professional compliance.

---

**Note.** The hiring of regulated individuals is discussed in greater detail in the section Entering and Maintaining RI Data.

---

**RI Add.** When you bring individuals into the professional compliance process manually (rather than through the Hire menu in Global Human Resources), you can set the system up to inform that person's general supervisor of subsequent actions they may need to take.

---

**Note.** Adding regulated individuals to the Professional Compliance process is discussed in the section Entering and Maintaining RI Data.

---

**Classification Change.** When you reclassify an individual in the Professional Compliance process (that is, when you change their classification type from non-compliant to compliant, or from level 1 compliant to level 2 compliant, and so forth), you can set up the system to inform you of any subsequent actions you may need to take.

**Job Change.** You can set the system up to notify you of any actions you need to take in response to a job change—for example, you may need to enroll the employee in a different development plan suited to his/her new position.

**Termination.** When an employee leaves the company, you can set the system up to notify you of any actions you may need to take—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 you need to take to recertify individuals when a prior certification is about to expire.

---

## Understanding the Notification Formats and Messages

A notification is an email message that consists of the following three elements:

- A message text.
- An action line.
- A time requirement.

Although no component of the notification is required, notifications are most effective when they combine all three of the standard elements. Because notifications take the form of email messages, it is important that the message audience (that is, 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.

An example of how to activate a notification message is shown in the following illustration, using the Professional Compliance Type component.

Home > Develop Workforce > Professional Compliance > Setup > **Professional Compliance Type**

PC Type Notification

**Professional Compliance Type:** FIN UK FINANCIAL COMPLIANCE

Hire

**Notification Message**

Employee inserted into Professional Compliance.

**Notification Action**

Regulatory Authority needs setting.

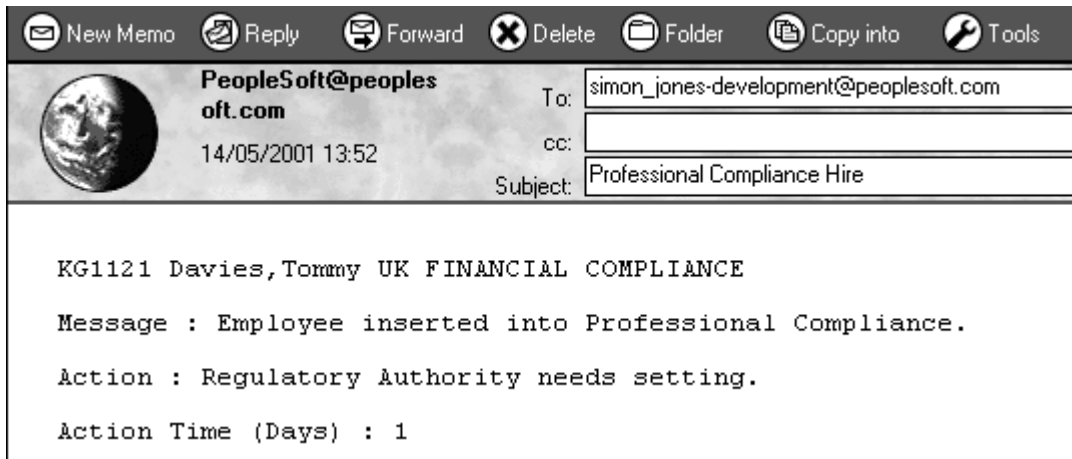
**Action Time Limit (Days):**

PC Type | Notification

Notice that the Hire check box is selected, indicating that the **Notification Message, Action,** and **Time Limits** shown in the exhibit should go out in response to a new hire.

The format of a notification message is shown in the following table, together with a resultant sample email.

<i>Message Line</i>	<i>Message Format</i>
Line 1	EmplID; Name; Professional Compliance Type
Line 2	Message: notification text message
Line 3	Action: notification action text
Line 4	Time limit (Days) : action time limit



**Note.** For more information about how to set up a notification in response to a hire, see Entering and Maintaining RI Data.

## Pages Used to Set Up Notifications

Because all notification pages are the same except those used to create re-certification notices, the only pages we discuss in detail in this section are those related to re-certification. For an example of the standard notification page and an explanation of how to trigger a notification, see the section Understanding Notification Formats and Messages.

The following pages are used to set up notifications in the system:

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
Professional Compliance Type – Notification	PCMP_TYPE_NOTIFICATION	Develop Workforce, Professional Compliance, Setup	Set up a notification related to a hire.
Regulatory Authority –Notification	PCMP_REGAUTH_NOTIF	Develop Workforce, Professional Compliance, Setup, Regulatory Authority	Provide regulatory authority notifications related to an RI add, a classification change, a job change, or a termination.
Admin (administrative) Re-Certs (re-certifications)	PCMP_RECERT_AE	Develop Workforce, Professional Compliance, Process	Generate a record of licenses and certificates held by regulated individuals, and the expiration dates of the licenses and certificates. This information is then used in the re-certification notification.

## Creating a Hire Notification

Access the Professional Compliance Type - Notification Page.

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

Note that at this point in the process, a regulatory authority has not yet been entered, and the regulated individual has not yet 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 Work Location page of the JOB component. The system creates an entry in the general supervisor's worklist directing them to the Use, Regulated Individual, RI page so that a Regulatory Authority can be entered. After that is done, a compliance supervisor can be assigned to the regulated individual.

---

**Note.** 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**

“Entering and Maintaining RI Data”

“Understanding and Setting Up Professional Compliance,” Understanding Enterprise Integration Points

---

## Creating an RI Add Notification

Access the Regulatory Authority - Notification Page.

When a regulated individual is added to the Professional Compliance process manually (as opposed to through 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 Work Location page of the JOB component, with an appropriate message so that the individual can be assigned to a compliance supervisor.

**See Also**

“Entering and Maintaining RI Data”

*PeopleSoft Human Resources PeopleBook: Administer Workforce*, “Hiring Your Workforce,” Entering Employee Job Location Information

---

## Creating a Classification Change Notification

Access the Regulatory Authority - Notification Page.

At the point of a classification change, the regulated individual is already within the Professional Compliance process and assigned to a compliance supervisor. When you create a classification change notification, an email is sent to the compliance supervisor informing him/her of the new classification, so that appropriate action can be taken.

### See Also

“Entering and Maintaining RI Data,” Defining A Regulated Individual’s Classification

---

## Creating a Job Change Notification

Access the Regulatory Authority - Notification Page.

When a regulated individual changes jobs, he/she is already within the Professional Compliance process and assigned to a compliance supervisor. When you create a job change notification, an email is sent to the compliance supervisor informing him/her of the change, so that appropriate action can be taken.

---

**Note.** Job changes are made within the JOB component of Administer Workforce. When a regulated individual changes jobs, the Professional Compliance subscription PeopleCode on the WORKFORCE\_SYNC application message initiates notification based on the POS and XFR Action settings.

---

### See Also

“Understanding and Setting Up Professional Compliance,” Understanding Enterprise Integration Points

---

## Creating a Termination Notification

Access the Regulatory Authority - Notification page.

Upon termination or retirement, the regulated individual must be deactivated within the Professional Compliance process. Note that 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 directing them to the Manager/Supervisor page so that the status of the regulated individual can be set to Inactive.

---

**Note.** Terminations are made within the JOB component of Administer Workforce. When a regulated individual is terminated or retires, the Professional Compliance subscription PeopleCode on the WORKFORCE\_SYNC application message initiates notification based on the TDL, TER, TWB, and TWP Action settings.

---

**See Also**

“Understanding and Setting Up Professional Compliance,” Setting Up Required Tables, Assigning Regulated Individuals to Compliance Managers/Supervisors

“Understanding and Setting Up Professional Compliance,” Understanding Enterprise Integration Points

---

## Creating a Re-Certification Notification

Access the Admin Re-Certs (recertification) run control page.

This page enables you to generate an email notification of upcoming or lapsed re-certification dates (if any) for regulated individuals within a specific business unit. You cannot customize or modify the message text of a recertification notice as you can with other notices.

To create a re-certification notification, you must run the Admin Re-certification process from the Admin Re-Certs page.

The process started from this page can be broken into the following steps:

1. The system searches through the Licenses and Certificates table in Develop Workforce for the expiration dates of the licenses and certificates (accomplishments) held by each regulated individual.
2. The data on upcoming or lapsed re-certification dates is referenced by the Professional Compliance process and sent to the compliance manager or supervisor in the form of an email message.

Admin Re-Certs

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

**Business Unit:**   Europe Services

**To Date:**

### Admin Re-Certs page

<b>Business Unit</b>	Enter the business unit for which you want to generate re-certification data for regulated individuals.
<b>To Date</b>	Specify the point in time up to which you want to generate data on upcoming or lapsed re-certification requirements. No re-certification 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 Recertification page.

---

## CHAPTER 7

# Using Inquiry Pages

This chapter provides an overview of inquiry pages used in the Professional Compliance process, and explains how to use these pages to retrieve information about regulated individuals.

## Understanding Inquiry Pages

The Professional Compliance process includes several different groups of inquiry pages. One group of pages provides supervisors and managers with information generated by the monitoring process:

- A regulated individual's review history
- A regulated individual's observation history
- A regulated individual's check history

---

**Note.** The monitoring process is documented in the section [Monitoring Regulated Individuals](#).

---

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

- The development status of regulated individuals (separate manager and supervisor views).
- The re-certification status and requirements of regulated individuals (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 under their supervision. Other pages are accessible only to managers (super users), and enable them to see the status of all regulated individuals in a business unit—regardless of who supervises them.

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

- RI Status (RI Status page)

- RI Review History (RI Review History page)
- RI Observation History (RI Observations page)
- RI Checks History (RI Checks page)
- RI Recertifications (RI Recertification page)

Managers can view/review the following information for all regulated individuals:

- Unassigned RIs (Unassigned RIs page)
- RI Status (Admin RI Status page)
- RI Re-Certifications (RI Re-Certs page)

---

**Note.** Access to inquiry and all other menus and pages is determined by role. A compliance supervisor who does not have the *Professional Compliance Admin* role can only use the supervisor inquiry pages to view regulated individuals they are responsible for. A manager with the *Professional Compliance Admin* role can view all regulated individuals on the manager inquiry pages, and can also access supervisor pages (as long as he/she is assigned to the *Professional Compliance* role).

---

### See Also

“Understanding and Setting Up Professional Compliance,” Understanding Professional Compliance, Understanding Security in Professional Compliance

*PeopleTools PeopleBook*, “Administration Tools,” Understanding PeopleSoft Security

---

## Common Elements Used in This Chapter

The following elements are common to multiple inquiry pages, and are defined once in the following table:

<b>Professional Compliance Type</b>	Compliance types are the groups of professionals subject to compliance requirements in your organization. For example, you could set up compliance types for financial advisors, an engineering group, and a health and safety group, each with its own compliance requirements. Professional compliance types are defined on the PC Type page.
<b>Regulatory Authority</b>	This is the body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field. Regulatory authorities are defined on the Regulatory Authority page.

**Classification**

These 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 kinds of professional activities (for example, an individual could be level 1 or level 2 compliant, or be classified as fully competent, and each of these classifications could be associated with a different set of certification requirements). Classifications are defined on the Classification page.

**SetID**

SetIDs enable table sharing between different business units.

**See Also**

*PeopleSoft HRMS Application Fundamentals PeopleBook*, “Regulating PeopleSoft HRMS System Data”

---

**Pages Used to View RI Data**
**Supervisor Views:**

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
RI (regulated individual) Status	PCMP_RISTAT_INQ2	Develop Workforce, Professional Compliance, Inquire, RI Status	Enable supervisors to view the development status of regulated individuals under their supervision.
RI (regulated individual) Review History	PCMP_RIREV_INQ	Develop Workforce, Professional Compliance, Inquire, RI Review History	Enable supervisors to check the review history of regulated individuals under their supervision.
RI (regulated individual) Observations	PCMP_RIOBS_INQ	Develop Workforce, Professional Compliance, Inquire, RI Observation History	Enable supervisors to view the observation history of regulated individuals under their supervision.
RI (regulated individual) Checks	PCMP_RICLK_INQ	Develop Workforce, Professional Compliance, Inquire, RI Checks History	Enable supervisors to view the check history of regulated individuals under their supervision.

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
RI (regulated individual) Recertification	PCMP_RI_RECERT_I NQ	Develop Workforce, Professional Compliance, Inquire, RI Re-Certifications	Enable supervisors to view the recertification status of regulated individuals under their supervision.

**Manager Views:**

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
Unassigned RIs (regulated individuals)	PCMP_UNASS_RI	Develop Workforce, Professional Compliance, Inquire, Unassigned RIs	Enable managers to view unassigned RIs (regulated individuals).
Admin RI Status	PCMP_RISTAT_INQ	Develop Workforce, Professional Compliance, Inquire, Admin RI Status	Enable managers to view the development status of all regulated individuals.
RI Re-Certs	PCMP_RI_RECERTI NQ2	Develop Workforce, Professional Compliance, Inquire, Admin RI Re- Certifications	Enable managers to view the recertification status of all regulated individuals.

---

## Viewing Development Status (Supervisor)

Access the RI Status page.

RI Status			
Name			Regulatory Authority
Classification			
EmplID	Empl Rcd Nbr	Name	Effective Date
	0		

RI Status page

### **Name**

The Name tab displays the **EmplID**, **Empl Rec Nbr**, **Name**, and **Effective Date** of the employee whose development status you are viewing.

### **Regulatory Authority**

The Regulatory Authority tab displays the **Professional Compliance Type** and **Regulatory Authority** of the employee whose status you are viewing.

### **Classification**

The Classification tab enables you to view the **Classification** of the individual whose record you are reviewing.

### **See Also**

“Understanding and Setting Up Professional Compliance”

“Defining Development Plans”

---

## **Checking Review History (Supervisor)**

Access the RI Review History page.

RI Review History			
<b>EmpID:</b>	KG0005	O'Flaherty, Seamus Patrick	
<b>Professional Compliance Type:</b>	Financial		
<b>Regulatory Authority:</b>	Standard Financial Regulatory Authority		
			First ◀ 1-3 of 3 ▶ Last
Creation Date	Expected Completion Date	Actual Completion Date	Status
12/04/2000	12/03/2001		
02/27/2000	12/01/2000	11/24/2000	Pass
01/12/2000	03/31/2000	02/25/2000	Pass

RI Review History page

**Creation Date**

This is the creation date of the regulated individual's development plan (this date is the creation date of the development plan you entered on the Development Record page).

**Expected Completion Date**

This is the expected completion date of the regulated individual's development plan (this is the expected completion date you entered on the Development Record page).

**Actual Completion Date**

This is the Actual Completion Date of the regulated individual's development plan (this is the actual completion date you entered on the RI Dev Review page).

**Status**

This is the regulated individual's status relative to the development goals in his/her development plan (this is the status you specified on the RI Dev Review page).

**See Also**

“Defining Development Plans”

“Monitoring Regulated Individuals”

“Entering and Maintaining RI Data”

---

## Reviewing Observation History (Supervisor)

Access the RI Observations page.

RI Observations			
<b>EmpID:</b>	KG0005	O'Flaherty,Seamus Patrick	
<b>Professional Compliance Type:</b>	Financial		
<b>Regulatory Authority:</b>	Standard Financial Regulatory Authority		
			First 1 of 1 Last
Observation Date	Observation Model	Description	Status
01/09/2001	KG01	Financial Observation 1	Fail

## RI Observations

- Observation Date** This is the date of the observation you entered on the RI Observation page.
- Observation Model** This is the observation model you specified on the RI Observation page.
- Status** This is the regulated individual's status relative to the observation (this is the status you entered on the RI Observation page).

### See Also

"Monitoring Regulated Individuals"

---

## Reviewing Check History (Supervisor)

Access the RI Checks page.

RI Checks			
KG0005	O'Flaherty,Seamus Patrick		
<b>Regulatory Authority:</b>	KG01	Standard Financial Regulatory Authority	
			First 1-3 of 3 Last
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 page

- Check Type** This is the type of check being performed against the regulated individual (this is the check type you specified on the RI Check page).
- Check Date** This is the date on which the check was performed.

**Status** This is the regulated individual’s status relative to the check being performed (this is the status you entered on the RI Check page).

**See Also**

“Monitoring Regulated Individuals”

---

## Viewing Recertification Status (Supervisor)

Access the RI Recertification page.

RI Recertification page

**Name**

The Name tab displays the **EmplID**, **Name**, and **Business Unit** of the regulated individual whose recertification status you are viewing. The **To Date** determines the point in time up to which the information is displayed.

**Re-Certification**

The Re-Certification tab displays the regulated individual’s **EmplID**, **Development Area**, **Accomplishment**, and **Expiration Date**. The **Accomplishment** displayed here must have been previously defined on the Licenses and Certificates page of Develop Workforce. The **Expiration Date** of the accomplishment (license or certificate) is the expiration date you entered on the Licenses and Certificates page.

---

**Important!** You must define the accomplishments you want to use in the Professional Compliance process in Administer Training and Manage Competencies.

---

**See Also**

*PeopleSoft Human Resources PeopleBook: Manage Competencies, Tracking Employee Competencies and Accomplishments*

PeopleSoft Human Resources PeopleBook: Administer Training

“Defining Development Plans”

“Setting Up Notifications in Professional Compliance”

---

## Identifying Unassigned RIs (Manager)

Access the Unassigned RIs page.

Unassigned RIs		
Name		Regulatory Authority
EmplID	Empl Rcd Nbr	Name
KG0012	0	Barnes,David

Unassigned RIs page

### **Name**

The Name tab displays the **EmplIDs**, **Empl Rcd Nbrs**, and **Names** of unassigned individuals.

### **Regulatory Authority**

The Regulatory Authority tab displays the **EmplIDs**, **Empl Rcd Nbrs**, **Professional Compliance Types**, and the **Regulatory Authority** of unassigned individuals.

---

**Note.** This inquiry should ideally return no rows. If it does, the unassigned RIs identified here should be assigned to a regulatory authority and a compliance supervisor.

---



---

## Viewing Development Status (Manager)

Access the RI Status page.

RI Status

**Business Unit:** BN2BU Benefit Administration

First ◀ 1 of 1 ▶ Last

Name	Regulatory Authority	Classification
<b>EmpID</b>	<b>Empl Rcd Nbr</b>	<b>Name</b>
	0	
		<b>Effective Date</b>

Admin RI Status page

---

**Note.** This page is identical to the RI Status page for supervisors, except that it enables managers to view the development status of all regulated individuals within a business unit.

---

**See Also**

Viewing Development Status (Supervisor)

---

**Viewing Recertification Status (Manager)**

Access the RI Re-Certs page.

RI Re-Certs

**Business Unit:** BN2BU Benefit Administration

**To Date:** 07/10/2001

First ◀ 1 of 1 ▶ Last

Name	Re-Certification
<b>EmpID</b>	<b>Name</b>
	<b>Business Unit</b>
	BN2BU

RI Re-Certs page

---

**Note.** This page is identical to the RI Re-Certs page for supervisors, except that it enables managers to view the recertification status of all regulated individuals within a business unit.

---

**See Also**

Viewing Recertification Status (Supervisor)

## CHAPTER 8

# Using Self-Service in Professional Compliance

This section provides an overview of the self-service transactions for Professional Compliance, and explains how to:

- Review a regulated individual.
- Create an observation.
- Create a KPI (Key Performance Indicator) review.
- View a development record.
- View development review history.
- View observation history.
- View a KPI review.

## Understanding Self-Service

The Professional Compliance process includes self-service Web pages for the following roles:

- **Compliance manager/supervisor.** Self-service transactions for managers/supervisors enable them to carry out functions associated with managing regulated individuals.
- **Regulated individuals.** Self-service pages for regulated individuals enable them to access important information related to their professional compliance status.

---

**Note.** When using self-service pages, compliance managers/supervisors have access to information for all staff under their supervision, while regulated individuals can only access their own information.

---

The Professional Compliance process contains the following self-service Web transactions:

***Manager/Supervisor Tasks:***

**Complete a Development Review.** This transaction enables compliance managers/supervisors to assess the progress of regulated individuals against the elements of their development plan.

**Complete an Observation.** This transaction enables compliance managers/supervisors to undertake observations of regulated individuals under their control, to ensure that they are adhering to predefined processes.

**Complete a KPI Review.** This transaction enables compliance managers/supervisors to undertake key performance indicator reviews of regulated individuals under their control. This enables them to measure the performance of regulated individuals against predetermined standards.

***Manager/Supervisor Views:***

**RI Development Record.** This transaction enables compliance managers/supervisors to view a development record for a regulated individual.

**RI Development Review.** This transaction enables compliance managers/supervisors to view a development review for a regulated individual.

**RI Observation.** This transaction enables compliance managers/supervisors to view an observation for a regulated individual.

**RI KPI Review.** This transaction enables compliance managers/supervisors to view KPI reviews for a regulated individual.

***Regulated Individual Views:***

**RI Development Record.** This transaction enables regulated individuals to view any current development plans.

**RI Development Review.** This transaction enables a regulated individual to view any completed development reviews.

**RI Observation.** This transaction enables a regulated individual to view any completed observations.

**RI KPI Review.** This transaction enables a regulated individual to view any completed key performance indicator reviews.

---

## **Understanding Security**

Each individual who accesses your self-service Web application has a user profile that determines the Web pages that the user can access. You create user profiles on the Maintain Security page in the User Profile component. You assign a role to each user profile, which is linked to access control lists. Each access control list identifies the pages that individuals can access. To modify the access for specific Web pages for each role, you modify the access control list for the user's role.

You also define which data the user has access to in the user profile.

**See Also**

*PeopleTools PeopleBook*, “Administration Tools,” Understanding PeopleSoft Security.

---

## Pages Used in Self-Service Transactions

**Manager/Supervisor Tasks:**

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
RI (regulated individual) Development Review	HR_PCMP_T_DEVRE V, HR_PCMP_T_DEVRE V3	Self Service, Manager, Tasks, RI Development Review	Complete a development review.
RI (regulated individual) Observation	HR_PCMP_T_RIOBS 2, HR_PCMP_T_RIOBS 3	Self Service, Manager, Tasks, RI Observation	Enter an observation.
RI (regulated individual) KPI Review	HR_PCMP_T_RIKPI2, HR_PCMP_T_RIKPI3	Self Service, Manager, Tasks, RI KPI Review	Perform a KPI (key performance indicator) review.

**Manager/Supervisor Views:**

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
RI (regulated individual) Development Record	HR_PCMP_DEVREC 2	Self Service, Manager, View, RI Development Record	View a development record.
RI (regulated individual) Development Review	HR_PCMP_DEVREV 2	Self Service, Manager, View, RI Development Review	View development review history.
RI (regulated individual) Observation	HR_PCMP_RIOBS2	Self Service, Manager, View, RI Observation	View observation history.
RI (regulated individual) KPI Review	HR_PCMP_RIKPI2	Self Service, Manager, View, RI KPI Review	View a KPI (key performance indicator) review.

**Regulated Individual Views**

<b>Page Name</b>	<b>Object Name</b>	<b>Navigation</b>	<b>Usage</b>
RI Development Plan	HR_PCMP_DEVREC 2	Self-Service, Employee, View, RI Development Plan	View a development plan.
RI Development Review	HR_PCMP_DEVREV 2	Self-Service, Employee, View, RI Development Review	View development review history.
RI Observation	HR_PCMP_RIOBS2	Self-Service, Employee, View, RI Observation	View an individual's observation history.
RI KPI Review	HR_PCMP_RIKPI2	Self-Service, Employee, View, RI KPI Review	View a KPI (key performance indicator) review.

**Reviewing a Regulated Individual (Supervisor/Manager)**

Access the Development Review page.

**Note.** The fields used in this self-service transaction are fully documented in the sections on the RI Dev Review and RI Dev Area Review pages.

This transaction enables a compliance manager/supervisor to select a regulated individual from a list and then to select a development plan that needs reviewing. The list of regulated individuals is limited to those under the control of the compliance manager/supervisor, and the list of development plans contains only those for which the Expected Completion Date (defined on the Development Record page) has not yet passed.

**To complete a development review:**

1. On the Development Review page, enter the Actual Completion Date and general review Status.
2. Enter any optional comments related to the review.
3. Click the Development Plan link to enter the Status of each development area in the development plan.
4. Enter optional comments related to each development area.
5. Click the Submit button to save the information entered.

**See Also**

“Defining Development Plans”

“Monitoring Regulated Individuals,” Reviewing Regulated Individuals

---

## Completing an Observation (Supervisor/Manager)

Access the Regulated Individual Observation page.

---

**Note.** The fields used in this self-service transaction are fully documented in the sections on the RI Observation and Obs Elements pages.

---

This transaction enables compliance managers/supervisors to select a regulated individual from a list and then to complete the observation. The list of regulated individuals is limited to those individuals under the control of the compliance manager/supervisor.

<b>To complete an observation:</b>
------------------------------------

1. On the Regulated Individual Observation page, enter the Observation Date and select an observation model against which to assess the employee's progress.

Observation models are defined on the Observation Model page.

2. Enter the general Status of the observation, together with any optional comments related to the observation.
3. Click the Observation Areas link to enter a Status for each of the observation elements within the observation model. Comments can be added regarding each observation element if desired.

Observation elements are defined on the Observation Element page.

4. Save the information entered.

### **See Also**

“Monitoring Regulated Individuals,” Observing Regulated Individuals

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## Completing a KPI Review (Supervisor/Manager)

Access the Key Performance Indicators Review page.

---

**Note.** The fields used in this self-service transaction are fully documented in the sections on the KPI Review and KPI Statistics pages.

---

This transaction enables compliance managers/supervisors to select a regulated individual from a list and then to enter KPI (key performance indicator) review details. The list of regulated individuals is limited to those individuals under the control of the compliance manager/supervisor.

**To complete a KPI review:**

1. Enter the Review Date and Frequency of the review, together with any optional comments related to the review.
2. Click the Key Performance Indicators Review link to enter details on each of the five key performance indicators.

The key performance indicators are complaints, persistency (of business), spread of business, proposals not taken up (NTUs), and factfind completion.

3. Save the information entered.

**See Also**

“Monitoring Regulated Individuals,” (GBR) Monitoring Key Performance Indicators

**View an RI Development Record (Supervisor/Manager)**

Access the Development Record page.

**Note.** The fields displayed on this self-service page are fully documented in the sections Defining Development Plans and Entering and Maintaining RI Data.

**To view a development record:**

1. On the Development Record page, select the regulated individual whose development record (plan) you want to view.

The list of regulated individuals is limited to those individuals under the control of the compliance manager/supervisor.

2. Select the development plan (by creation date) that you want to view.

The plans available for review are those for which there is no Actual Completion Date (defined on the Development Record page).

**Note.** To view a regulated individual’s development record, you must have created a development plan using the Development Plan page, and enrolled the individual in the plan using the Development Record and Development Area pages.

**See Also**

“Defining Development Plans”

“Entering and Maintaining RI Data,” Enrolling Individuals in Development Plans

---

## View an RI Development Review (Supervisor/Manager)

Access the Development Review page.

---

**Note.** The fields displayed on this self-service page are fully documented in the sections on the RI Dev Review and RI Dev Area Review pages.

---

<b>To view an RI development review:</b>
--

1. Select the regulated individual whose development review that you want to view.

The list of regulated individuals is limited to those individuals under the control of the compliance manager/supervisor.

2. Select the review (by review date) that you want to view.

---

**Note.** To view an RI development review, you must have created the review using the RI Dev Review and RI Dev Area Review pages.

---

### **See Also**

“Monitoring Regulated Individuals,” Reviewing Regulated Individuals

---

## View an RI Observation (Supervisor/Manager)

Access the Regulated Individual Observation page.

---

**Note.** The fields displayed on this self-service page are fully documented in the sections on the RI Observation and Obs Elements pages.

---

<b>To view an RI observation:</b>
-----------------------------------

1. Select the regulated individual whose observation that you want to review.

The list of regulated individuals is limited to those individuals under the control of the compliance manager/supervisor.

2. Select the observation (by observation date) that you want to view.

---

**Note.** To view an RI observation, you must have created the observation using the RI Observation and Obs Elements pages.

---

**See Also**

“Monitoring Regulated Individuals,” Observing Regulated Individuals

---

**View an RI KPI Review (Supervisor/Manager)**

Access the Key Performance Indicators Review page.

---

**Note.** The fields displayed on this self-service page are fully documented in the sections on the KPI Review and KPI Statistics pages.

---

<b>To view an RI KPI review:</b>
----------------------------------

1. Select the regulated individual whose KPI review that you want to view.

The list of regulated individuals is limited to those individuals under the control of the compliance manager/supervisor.

2. Select the KPI review (by review date) that you want to view.

---

**Note.** To view a KPI review, you must have created the review using the KPI Review and KPI Statistics pages.

---

**See Also**

“Monitoring Regulated Individuals,” (GBR) Monitoring Key Performance Indicators

---

**Viewing a Development Record (Regulated Individual)**

Access the RI Development Plan page.

---

**Note.** The fields displayed on this self-service page are fully documented in the sections Defining Development Plans and Entering and Maintaining RI Data.

---

<b>To view a development record:</b>
--------------------------------------

1. The regulated individual selects the development record (by creation date) to view.

Regulated individuals can view only their own records. The records available for review are those for which there is no Actual Completion Date (defined on the Development Record page).

2. When the individual selects a date, the development record appears.

**See Also**

“Defining Development Plans”

“Entering and Maintaining RI Data,” Enrolling Individuals in Development Plans

---

## Viewing a Development Review (Regulated Individual)

Access the RI Development Review page.

---

**Note.** The fields displayed on this self-service page are fully documented in the sections on the RI Dev Review and RI Dev Area Review pages.

---

<b>To view a development review:</b>
--------------------------------------

1. The regulated individual selects the development review (by creation date) to view.  
Regulated individuals can view only their own development reviews.
2. When the individual selects a date, the development review appears.

**See Also**

“Monitoring Regulated Individuals,” Reviewing Regulated Individuals

---

## Viewing Observation History (Regulated Individual)

Access the RI Observation page.

---

**Note.** The fields displayed on this self-service page are fully documented in the sections on the RI Observation and Obs Elements pages.

---

<b>To view an observation:</b>
--------------------------------

1. The regulated individual selects the observation (by creation date) to view.  
Regulated individuals can view only their own observations.
2. When the individual selects a date, the observation appears.

**See Also**

“Monitoring Regulated Individuals,” Observing Regulated Individuals

---

## Viewing a KPI Review (Regulated Individual)

Access the RI KPI Review page.

---

**Note.** The fields displayed on this self-service page are fully documented in the sections on the KPI Review and KPI Statistics pages.

---

<b>To view a KPI review:</b>
------------------------------

1. The regulated individual selects the KPI review (by creation date) to view.  
Regulated individuals can view only their own KPI reviews.
2. When the regulated individual selects a date, the KPI review appears.

**See Also**

“Monitoring Regulated Individuals,” (GBR) Monitoring Key Performance Indicators

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