

PeopleSoft®

PeopleSoft 8.8
Human Resources PeopleBook:
Manage Professional Compliance

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Human Resources PeopleBook:
Manage Professional Compliance
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About This PeopleBook

PeopleBooks provide you with the information that you need to implement and use PeopleSoft applications.

This preface discusses:

- PeopleSoft application prerequisites.
- PeopleSoft application fundamentals.
- Related documentation.
- Typographical elements and visual cues.
- Comments and suggestions.
- Common elements in PeopleBooks.

Note. PeopleBooks document only page elements that require additional explanation. If a page element is not documented with the process or task in which it is used, then either it requires no additional explanation or it is documented with common elements for the section, chapter, PeopleBook, or product line. Elements that are common to all PeopleSoft applications are defined in this preface.

PeopleSoft Application Prerequisites

To benefit fully from the information that is covered in these books, you should have a basic understanding of how to use PeopleSoft applications.

See *Using PeopleSoft Applications*.

You might also want to complete at least one PeopleSoft introductory training course.

You should be familiar with navigating the system and adding, updating, and deleting information by 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.

These books do not review navigation and other basics. They present the information that you need to use the system and implement your PeopleSoft applications most effectively.

PeopleSoft Application Fundamentals

Each application PeopleBook provides implementation and processing information for your PeopleSoft database. However, additional, essential information describing the setup and design of your system appears in a companion volume of documentation called the application fundamentals PeopleBook. Each PeopleSoft product line has its own version of this documentation.

The application fundamentals PeopleBook consists of important topics that apply to many or all PeopleSoft applications across a product line. Whether you are implementing a single application, some combination of applications within the product line, or the entire product line, 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.

Related Documentation

This section discusses how to:

- Obtain documentation updates.
- Order printed documentation.

Obtaining Documentation Updates

You can find updates and additional documentation for this release, as well as previous releases, on the PeopleSoft Customer Connection Website. Through the Documentation section of PeopleSoft 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 that is delivered on your PeopleBooks CD-ROM.

Important! Before you upgrade, you must check PeopleSoft Customer Connection for updates to the upgrade instructions. PeopleSoft continually posts updates as the upgrade process is refined.

See Also

PeopleSoft Customer Connection Website, <http://www.peoplesoft.com/corp/en/login.asp>

Ordering Printed Documentation

You can order printed, bound volumes of the complete PeopleSoft documentation that is delivered on your PeopleBooks CD-ROM. PeopleSoft makes printed documentation available for each major release shortly after the software is shipped. Customers and partners can order printed PeopleSoft documentation by using any of these methods:

- Web
- Telephone
- Email

Web

From the Documentation section of the PeopleSoft Customer Connection Website, access the PeopleSoft Press Website under the Ordering PeopleBooks topic. The PeopleSoft Press Website is a joint venture between PeopleSoft and Consolidated Publications Incorporated (CPI), the book print vendor. Use a credit card, money order, cashier's check, or purchase order to place your order.

Telephone

Contact CPI at 800 888 3559.

Email

Send email to CPI at psoftpress@cc.larwood.com.

See Also

PeopleSoft Customer Connection Website, <http://www.peoplesoft.com/corp/en/login.asp>

Typographical Conventions and Visual Cues

This section discusses:

- Typographical conventions.
- Visual cues.

Typographical Conventions

The following table contains the typographical conventions that are used in PeopleBooks:

Typographical Convention or Visual Cue	Description
Bold	Indicates PeopleCode function names, method names, language constructs, and PeopleCode reserved words that must be included literally in the function call.
<i>Italics</i>	Indicates field values, emphasis, and PeopleSoft or other book-length publication titles. In PeopleCode syntax, italic items are placeholders for arguments that your program must supply. 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.
Monospace font	Indicates a PeopleCode program or other code example.
(quotation marks)	Indicate chapter titles in cross-references and words that are used differently from their intended meanings.

Typographical Convention or Visual Cue	Description
... (ellipses)	Indicate that the preceding item or series can be repeated any number of times in PeopleCode syntax.
{ } (curly braces)	Indicate a choice between two options in PeopleCode syntax. Options are separated by a pipe ().
[] (square brackets)	Indicate optional items in PeopleCode syntax.
& (ampersand)	<p>When placed before a parameter in PeopleCode syntax, an ampersand indicates that the parameter is an already instantiated object.</p> <p>Ampersands also precede all PeopleCode variables.</p>
(ISO)	<p>Information that applies to a specific country, to the U.S. federal government, or to the education and government market, is preceded by a three-letter code in parentheses.</p> <p>The code for the U.S. federal government is USF; the code for education and government is E&G, and the country codes from the International Standards Organization are used for specific countries. Here is an example:</p> <p>(DEU) If you're administering German employees, German law requires you to indicate special nationality and citizenship information for German workers using nationality codes established by the German DEUEV Directive.</p>
Cross-references	PeopleBooks provide cross-references either below the heading See Also or on a separate line preceded by the word <i>See</i> . Cross-references lead to other documentation that is pertinent to the immediately preceding documentation.

Visual Cues

PeopleBooks contain the following visual cues.

Notes

Notes indicate information that you should pay particular attention to as you work with the PeopleSoft system.

Note. Example of a note.

A note that is preceded by *Important!* is crucial and includes information that concerns what you must do for the system to function properly.

Important! Example of an important note.

Warnings

Warnings indicate crucial configuration considerations. Pay close attention to warning messages.

Warning! Example of a warning.

Comments and Suggestions

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

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

Or send email comments to doc@peoplesoft.com.

While we cannot guarantee to answer every email message, we will pay careful attention to your comments and suggestions.

Common Elements in These PeopleBooks

As of Date	The last date for which a report or process includes data.
Business Unit	An ID 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.
Description	Enter up to 30 characters of text.
Effective Date	The date on which a table row becomes effective; the date that an action begins. For example, 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.
Once, Always, and Don't Run	Select Once to run the request the next time the batch process runs. After the batch process runs, the process frequency is automatically set to Don't Run . Select Always to run the request every time the batch process runs. Select Don't Run to ignore the request when the batch process runs.

Report Manager	Click to access 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).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify the location where a process or job runs and the process output format.
Request ID	An ID that represents a set of selection criteria for a report or process.
User ID	An ID that represents the person who generates a transaction.
SetID	An ID that represents a set of control table information, or TableSets. TableSets enable you to share control table information and processing options among business units. The goal is to minimize redundant data and system maintenance tasks. When you assign a setID to a record group in a business unit, you indicate that all of the tables in the record group are shared between that business unit and any other business unit that also assigns that setID to that record group. For example, you can define a group of common job codes that are shared between several business units. Each business unit that shares the job codes is assigned the same setID for that record group.
Short Description	Enter up to 15 characters of text.

See Also

Using PeopleSoft Applications

PeopleSoft Process Scheduler

PeopleSoft Human Resources Manage Professional Compliance

This preface discusses:

- PeopleSoft application fundamentals.
- PeopleBook structure.

Note. This PeopleBook documents only page elements that require additional explanation. If a page element is not documented with the process or task in which it is used, then either it requires no additional explanation or it is documented with common elements for the section, chapter, PeopleBook, or product line.

PeopleSoft Application Fundamentals

The *PeopleSoft Human Resources PeopleBook: Manage Professional Compliance* provides you with implementation and processing information for your PeopleSoft Human Resources system. Additionally, essential information describing the setup and design of your system appears in a companion volume of documentation called *PeopleSoft Application Fundamentals for HRMS PeopleBook*. Each PeopleSoft product line has its own version of this documentation.

PeopleSoft Application Fundamentals for HRMS PeopleBook consists of important topics that apply to many or all PeopleSoft applications across the PeopleSoft HRMS product line. No matter which PeopleSoft HRMS products you are implementing, 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.

See Also

PeopleSoft 8.8 Human Resources PeopleBook: Manage Professional Compliance, “Setting Up PeopleSoft Human Resources Manage Professional Compliance”

PeopleBook Structure

PeopleSoft PeopleBooks follow a common structure. By understanding this structure, you can use this PeopleBook more efficiently.

Chapters	Description
Preface	<p>This is the chapter you're reading now. It explains:</p> <ul style="list-style-type: none"> • How to use the Application Fundamentals book. • How PeopleBooks are structured.
Getting Started With...	<p>This chapter discusses product implementation guidelines. It explains:</p> <ul style="list-style-type: none"> • The business processes documented within the book. • Integrations between the product and other products. • A high-level guide to how our documentation maps to the overall implementation process; it doesn't offer step-by-step guidance on how to perform an actual implementation.
Understanding...	<p>This is an introductory chapter that broadly explains the product and the functionality within the product.</p>
Setup and Implementation	<p>This can be one or more chapters. These chapters contain documentation to assist you in setting up and implementing the product. For example, if functionality X is part of a product, this chapter would be devoted to explaining how to set up functionality X, not necessarily how to use functionality X. You would look to the corresponding business process chapter to learn how to use the functionality.</p> <p>Note. There may be times when a small amount of business process information is included in a setup chapter if the amount of business process documentation was insufficient to create a separate section in the book.</p>
Business Process	<p>This can be one or more chapters. These chapters contain documentation that addresses specific business processes with each chapter generally devoted to a specific functional area. For example, if functionality X is part of a product, this chapter would be devoted to explain how the functionality works, not necessarily how to set up functionality X. You would look to the corresponding setup and implementation chapter to learn how to set up the functionality.</p> <p>Note. There may be times when a small amount of setup and implementation information is included in a business process chapter if the amount of setup and implementation documentation was insufficient to create a separate chapter in the book.</p>

Chapters	Description
Appendixes	(optional) If the book requires it, one or more appendixes might be included in the book. Appendixes contain information considered supplemental to the primary documentation.
Reports Appendix	(optional) This appendix contains an abbreviated list of all of the product's reports. The detailed documentation on the use of these reports is usually included in the related business process chapter.

CHAPTER 1

Getting Started With the PeopleSoft Human Resources Manage Professional Compliance

This chapter discusses:

- PeopleSoft Human Resources Manage Professional Compliance business processes.
- PeopleSoft Human Resources Manage Professional Compliance implementation.

PeopleSoft Human Resources Manage Professional Compliance Business Processes

The following lists the PeopleSoft Human Resources Manage Professional Compliance business processes:

- Track certification requirements by regulatory authority.
- Track employee certification compliance.
- Define development plans.
- Monitor regulated individuals.

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

PeopleSoft Human Resources Manage Professional Compliance Implementation

The Manage Professional Compliance table-loading implementation can be divided into three phases: fundamental, core, and additional. Set up tables to enable your system to support Manage Professional Compliance features.

In the planning phases of your implementation, take advantage of all PeopleSoft sources of information, including installation guides and table-loading sequences.

This section includes tables that guide you through these phases:

- Setting up PeopleSoft HRMS fundamental tables.
- Setting up core tables for Manage Professional Compliance.
- Setting up an additional table for Manage Professional Compliance.

Important! The order in which you set up the tables required to implement Manage Professional Compliance may vary. You do not necessarily set up each application in sequence. For example, you might set up HRMS tables, then tables for the PeopleSoft Human Resources Manage Professional Compliance core application, then tables specific to the relevant country or industry, and then additional PeopleSoft Human Resources Manage Professional Compliance core tables. In addition, the order in which you set up tables may depend on the features that you want to use. This chapter explains how PeopleSoft documentation corresponds to the overall implementation process. The chapter does not provide step-by-step instructions on how to perform an actual implementation.

Setting Up PeopleSoft HRMS Fundamental Tables

The PeopleSoft Human Resources Manage Professional Compliance business process requires that you set up fundamental HRMS tables that are common to multiple PeopleSoft HRMS applications. Follow these steps to define information in the PeopleSoft fundamental tables. The information that you define in these tables lays the foundation for the Manage Professional Compliance–specific setup.

Step	Reference
1. Set up PeopleSoft HRMS fundamental tables.	<i>PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook</i> , “Getting Started With PeopleSoft HRMS”
2. Set up PeopleSoft Human Resources fundamental tables.	<i>PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook</i> , “Getting Started With PeopleSoft HRMS”

Setting Up Core Tables for Manage Professional Compliance

The steps that are discussed in this section suggest an order in which you define information in the core tables for Manage Professional Compliance. The information that you defined in the fundamental tables lays the foundation for this setup.

Setting up these core tables prepares the system to support these business processes:

- Track certification requirements by regulatory authority.
- Track employee certification compliance.
- Define development plans.
- Monitor regulated individuals.

Step	Reference
1. Define professional compliance types.	Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Setting Up Required Tables, page 13
2. Define regulatory authority details and classifications.	Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Setting Up Required Tables, page 13
3. Associate compliance types and regulatory authorities.	Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Setting Up Required Tables, page 13

Setting Up an Additional Table for Manage Professional Compliance

Setting up this additional table prepares your system to support Manage Professional Compliance functionality for the U.K.

Step	Reference
1. Describe the company's compliance plan.	Chapter 3, "Setting Up PeopleSoft Human Resources Manage Professional Compliance," (GBR) Setting Up Additional Tables for the U.K., page 20

CHAPTER 2

Understanding PeopleSoft Human Resources Manage Professional Compliance

This chapter provides an overview of PeopleSoft Human Resources Manage Professional Compliance and discusses:

- PeopleSoft Human Resources Manage Professional Compliance business processes.
- PeopleSoft Human Resources Manage Professional Compliance integrations.
- Core PeopleSoft Human Resources Manage Professional Compliance tables setup.
- Additional PeopleSoft Human Resources Manage Professional Compliance tables setup

PeopleSoft Human Resources Manage Professional Compliance

With PeopleSoft Human Resources Manage Professional Compliance, you can manage the certification requirements of employees and non-employees in professional service organizations.

PeopleSoft Human Resources Manage Professional Compliance Business Processes

PeopleSoft Human Resources Manage Professional Compliance supports the following business processes:

- Track certification requirements by regulatory authority.

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

- Track employee certification compliance.

Manage Professional Compliance enables you to track your employees' to ensure that they comply with all requirements.

- Define development plans.

Manage Professional Compliance enables you to define development plans for your employees. Development plans include coursework, testing, self-study and other activities.

- Monitor regulated individuals.

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

PeopleSoft Human Resources Manage Professional Compliance Integrations

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

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

We discuss integration considerations in this PeopleBook.

See Also

PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook, “Understanding Enterprise Integration Points in HRMS”

Core PeopleSoft Human Resources Manage Professional Compliance Tables Setup

After you have set up your PeopleSoft HRMS fundamental tables, set up the following tables for PeopleSoft Human Resources Manage Professional Compliance. The information that you defined in your fundamental tables lays the foundation for this setup.

1. Define professional compliance types.
2. Define regulatory authority details and classifications.
3. Associate compliance types and regulatory authorities.

Additional PeopleSoft Human Resources Manage Professional Compliance Tables Setup

This table prepares the system to support PeopleSoft Human Resources Manage Professional Compliance functionality for the U.K. Set up this additional table to describe the company's compliance plan.

CHAPTER 3

Setting Up PeopleSoft Human Resources Manage Professional Compliance

This chapter provides an overview of Manage Professional Compliance and discusses how to:

- Set up global tables.
- Set up additional tables for the U.K.

Understanding Manage Professional Compliance

The Manage Professional Compliance process enables you to manage the certification, training, development and competency requirements of employees and non-employees who are part of professional service organizations that require a form of compliance.

This section discusses:

- The structure of Manage Professional Compliance.
- Tools for moving individuals toward compliance.
- Manage Professional Compliance security.
- Enterprise integration points (EIPs) in Manage Professional Compliance.

Manage Professional Compliance

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

- The first level is that of the regulatory authority.

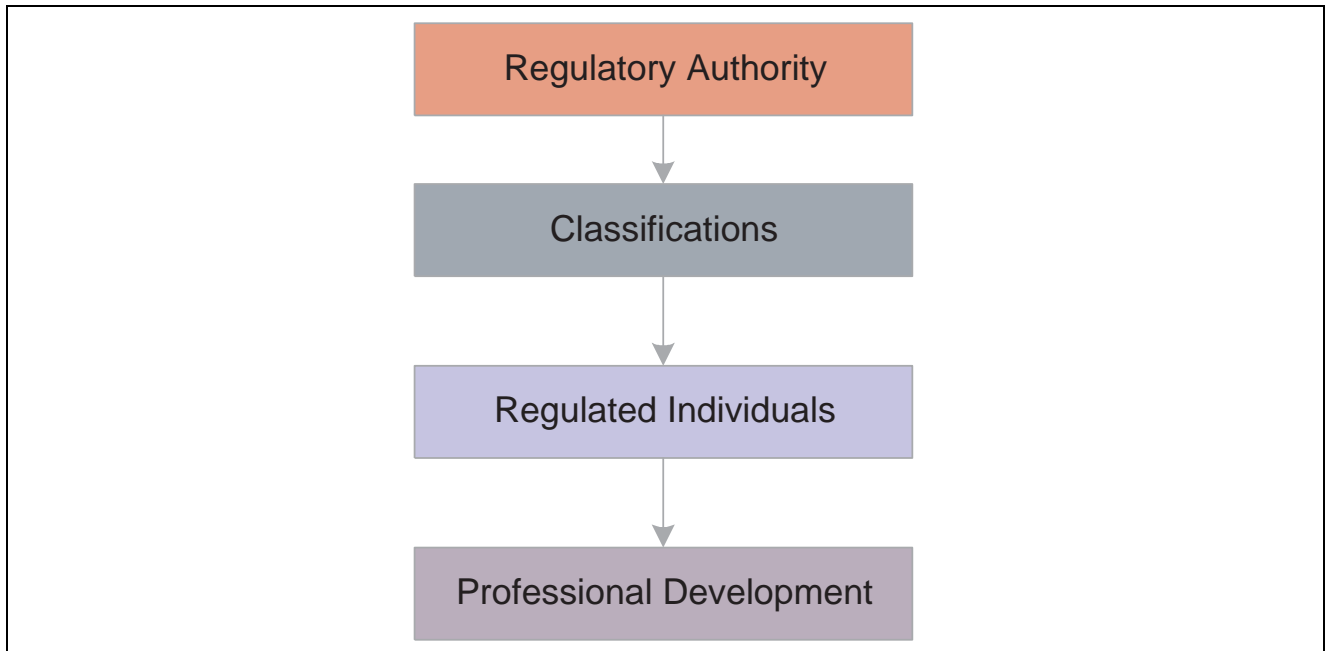
This is the body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field. The regulatory authority does not have to be defined as an external organization, but it can be set up for use with compliance models that 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, classified as competent, or classified as a supervisor or a manager, and each of these classifications could be associated with a different set of certification requirements).

- At the next level are regulated individuals (RIs)—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.

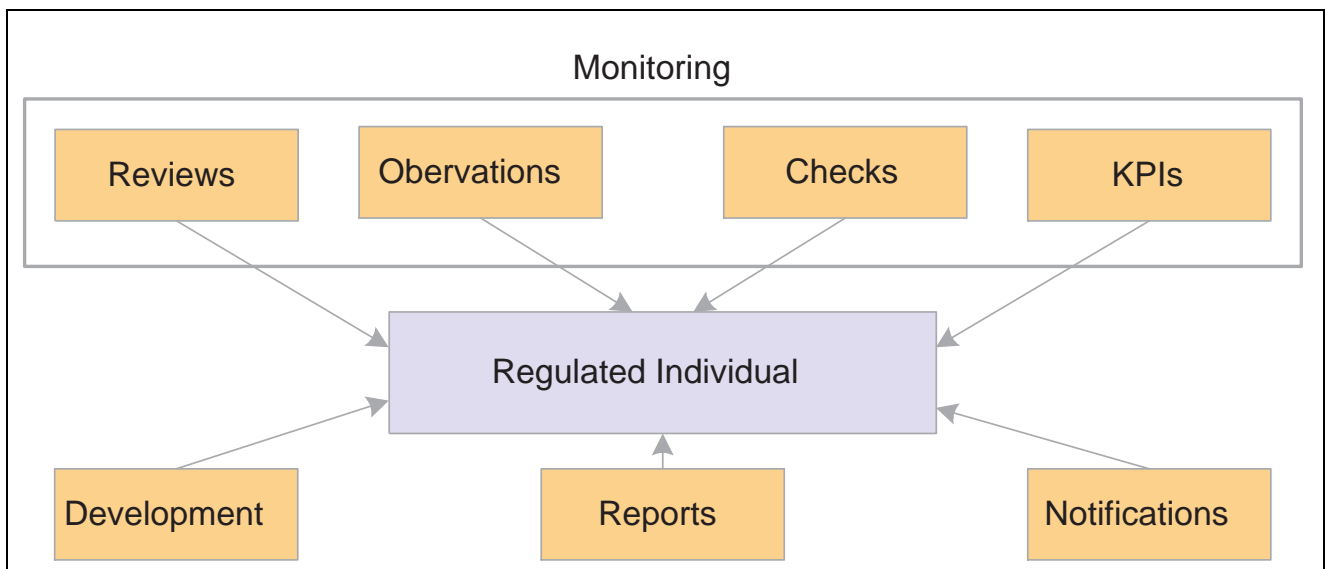
To obtain these standards, individuals undergo a process of professional development, which may include coursework, testing, mandatory periods of supervision followed by performance reviews, and so forth.



Overview of the Manage Professional Compliance Structure

Tools for Moving Individuals Toward Compliance

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



Manage Professional Compliance Tools

The Manage Professional Compliance process includes the following tools:

- Development Plans

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

- Monitoring

PeopleSoft provides you with monitoring tools that you can use to promote professional compliance goals and determine whether your workforce is meeting compliance requirements.

Monitoring consists of these elements:

- Reviews

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

- Observations

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

- Key performance indicators (KPIs)

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

- Checks

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

- Reports

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

- Notifications

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

- Self-service

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

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

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

See Also

[Chapter 4, “Defining Development Plans,” page 23](#)

[Chapter 6, “Monitoring Regulated Individuals,” page 47](#)

[Chapter 7, “Setting Up Notifications in Manage Professional Compliance,” page 67](#)

PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook, “PeopleSoft Application Fundamentals for HRMS Reports,” Manage Professional Compliance Reports

Managing Professional Compliance Security

Access to all menus and pages in the Manage 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	
Permission List	Menu Options.
CPHR7000	All Setup menu options, except Compliance Manager-Supervisor.
CPHR7010	Setup/Compliance Manager-Supervisor.
CPHR7020	Use/Regulated Individual.
CPHR7030	All Use menu options, except Regulated Individual.
CPHR70UK	All Use Lcl menu options.
CPHR7040	All Inquire menu options for Compliance Manager-Supervisor.
CPHR7050	RI Status & RI Re-Certification Inquire menu options for Professional Compliance Administrator.
CPHR7060	Re-Certifications Process menu option, which both the Compliance Manager-Supervisor and the Professional Compliance Administrator can use.
CPHR7070	Reassign RI Process menu option for Professional Compliance Administrator.
CPHR7080	RI Review & Observation Report menu options.

Permission Lists	
CPHR7090	Company Compliance Plan Report menu option.
SPCMPINT	Contains Professional Compliance component interface permissions.

Roles	
Role	Permissions
Professional Compliance	CPHR7010, CPHR7020, CPHR7030, CPHR7040, CPHR7060, CPHR7080
Professional Compliance Admin	CPHR7000, CPHR7050, CPHR7070, CPHR7080, CPHR7090
Professional Compliance GBR	CPHR70UK Note. The Professional Compliance GBR role controls access to the two Use Lcl menu options that are specific to the U.K.

Users	
User ID	Roles
PS	Professional Compliance, Professional Compliance GBR, Professional Compliance Admin Note. PS is a generic user. Assign roles to real, individual users as part of the Professional Compliance setup.

Note. Components and pages that you use to perform day-to-day compliance tasks are generally assigned to the compliance supervisor (through the Professional Compliance role). Components and pages that compliance supervisors do not use daily are assigned to the individual who is responsible for overall compliance management (through the Professional Compliance Admin role).

See Also

PeopleTools PeopleBook: PeopleTools Security

Using Enterprise Integration Points in Manage Professional Compliance

The Manage Professional Compliance process uses a form of enterprise integration based on PeopleSoft 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. This table lists the application messages that PeopleSoft Human Resources Manage Professional Compliance receives, the record initiating the message (in response to a saved field change), and an explanation of what happens when a message is initiated.

Message Name	Message Subscription PeopleCode	Record	Explanation
WORKFORCE_SYNC	Professional Compliance	JOB	The Hire process runs When the JOB.ACTION is HIR and the JOB.JOBCODE has a default PC (professional compliance) type, the CI_PCMP_RI component interface to add the employee into the Professional Compliance 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_SYNC	Professional Compliance	JOB	The Add Non-Employee process runs. When the JOB.ACTION is ADD and the JOB.JOBCODE has a default PC type, the system call the CI_PCMP_RI component interface to add the employee into the Professional Compliance module (a row is added to PCMP_RI, a worklist entry is created, and a notification email is sent to the employee's supervisor).

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

See Also

[Chapter 5, “Entering and Maintaining Regulated Individual Data,” Understanding PeopleSoft Application Messaging, page 33](#)

[Chapter 7, “Setting Up Notifications in Manage Professional Compliance,” Creating a Hire Notification, page 69](#)

[Chapter 7, “Setting Up Notifications in Manage Professional Compliance,” Creating a Termination Notification, page 71](#)

Setting Up Required Tables

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

To set up Manage Professional Compliance tables:

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

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

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

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

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

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

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

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

This section discusses how to:

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

Pages Used to Set Up Required Tables

Page Name	Object Name	Navigation	Usage
PC Type (professional compliance type)	PCMP_TYPE	Workforce Monitoring, Professional Compliance, Define Compliance Information, Compliance Type, PC Type	Define the different professional compliance types in your organization.
Reg Authority (regulatory authority)	PCMP_AUTHORITY	Workforce Monitoring, Professional Compliance, Define Compliance Information, Regulatory Authority, Reg Authority	Define the regulatory authority that governs the compliance types.
Address	PCMP_REG_AUTH_ADDR	Workforce Monitoring, Professional Compliance, Define Compliance Information, Regulatory Authority, Address	Enter regulatory authority address and phone information.
Classification	PCMP_CLASS	Workforce Monitoring, Professional Compliance, Define Compliance Information, Regulatory Authority, Classification	Set up regulatory authority classification schemes.
Regulation	PCMP_COMPANY_TBL1	Workforce Administration, Professional Compliance, Define Compliance Information, Company Compliance, Regulation	Enter company compliance details that associate professional compliance types and regulatory authorities with a company.
Manger/Supervisor	PCMP_MGR_SUPER	Workforce Monitoring, Professional Compliance, Maintain Program, Assign Manager/Supervisor/RI, Manger/Supervisor	Assign regulated individuals to compliance managers/supervisors.

Defining Professional Compliance Types

Access the PC Type page.

The screenshot shows the 'PC Type' page in PeopleSoft HRMS. At the top, there are two tabs: 'PC Type' (which is selected) and 'Notification'. Below the tabs, the form contains the following fields:

- SetID:** GBR01 Set ID for GBR01
- *Professional Compliance Type:** KG1
- *Description:** Financial
- Comments:** Compliance category for the UK Financial Services industry.

PC Type page

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

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

Description Enter a professional compliance type description.

See Also

PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook, “Understanding PeopleSoft HRMS System Data Regulation”

Defining Regulatory Authorities

Access the Reg Authority page.

The screenshot shows the 'Reg Authority' page with the following data:

- SetID:** GBR01 (Set ID for GBR01)
- *Professional Compliance Type:** KG1 (Financial)
- Regulatory Authority:** KG01
- *Description:** Standard Financial Regulatory Authority
- Comments:** Standard body that regulates the conduct of individuals that sell financial products.

Reg Authority page

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

SetID	SetIDs enable table sharing between different business units.
Professional Compliance Type	Enter the professional compliance type that you want to associate with a regulatory authority. The valid professional compliance types are those that you defined on the PC Type page.
Regulatory Authority	Enter a code for the regulatory authority—the body or organization that defines the compliance rules, standards, and regulations governing the specified professional compliance type.

See Also

PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook, “Understanding PeopleSoft HRMS System Data Regulation”

Setting Up Regulatory Authority Classifications

Access the Classification page.

Classification page

Classification

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

Entering Company Compliance Details

Access the Regulation page.

Regulation page

Company Compliance

Professional Compliance Type Enter the professional compliance type.

Regulatory Authority Enter a code for the regulatory authority.

Compliance Details

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

Contact Name Enter a contact name at the regulatory authority.

Assigning Regulated Individuals to Compliance Managers/Supervisors

Access the Manager/Supervisor page.

Manager/Supervisor

EmpID: KG0002 Hopkins, Dewi

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

Regulated Individual Find | View All First 1 of 3 Last

***EmpID:** HGPC02 Theakston, Barry

Regulatory Authority: KG01 Standard Financial Regulatory Authority

Professional Compliance Type: KG1 Financial

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

Status: Active **Set Inactive**

Date Assigned: 07/09/2001

Manager/Supervisor page

Manager/Supervisor

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

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

Regulated Individual

Status	Displays the status of the association between the manager/supervisor and the regulated employee.
Set Inactive	Click to set the employee's status to inactive.
Date Assigned	Displays the date on which the employee is assigned to the manager/supervisor whose ID appears at the top of the page. This value comes from the system date.

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

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

Page Used to Describe a Compliance Plan

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

Describing a Compliance Plan

Access the Compliance Plan page.

Compliance Plan page

Company Compliance Plan

Compliance Plan Year Enter the year that 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 that you enter in this field is used to identify the individual sections (areas) of the plan and to order the information both on-screen and on the Company Compliance Plan report.

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

Notes Enter any notes related to the compliance plan area.

See Also

PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook, “PeopleSoft Application Fundamentals for HRMS Reports,” Manage Professional Compliance Reports

CHAPTER 4

Defining Development Plans

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

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

Understanding Development Plans

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

- 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.
- An additional general category called *development activity* has been created so that you can define other types of development.

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

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

Prerequisites

Before defining development plans, set up the accomplishments, competencies, and courses that you select for use within Manage Professional Compliance. For example, set up the accomplishments and competencies that you need for professional compliance within Manage Competencies, and define the training courses that you need in Administer Training. These preparations avoid duplication of data related to general employee development.

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

Setting Up a Development Plan

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

To create a development plan:

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

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

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

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

This section lists common elements and discusses how to:

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

See Also

PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook, “PeopleSoft Application Fundamentals for HRMS Reports,” Manage Professional Compliance Reports

PeopleSoft 8.8 Human Resources PeopleBook: Administer Training

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Defining Professional Compliance Types, page 15](#)

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Defining Regulatory Authorities, page 16](#)

[Chapter 5, “Entering and Maintaining Regulated Individual Data,” Enrolling a Regulated Individual in a Development Plan, page 37](#)

Common Element Used in This Section

SetID SetIDs enable table sharing between different business units.

See Also

PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook, “Understanding PeopleSoft HRMS System Data Regulation”

Pages Used to Set Up Development Plans

Page Name	Object Name	Navigation	Usage
Dev Accomplishment (development accomplishment)	PCMP_DEV_ACPS	Workforce Monitoring, Professional Compliance, Define Development Information, Accomplishment	Identify accomplishments that you want to add to the development plan.
Dev Competency (development competency)	PCMP_DEV_COMP	Workforce Monitoring, Professional Compliance, Define Development Information, Competency, Dev Competency	Identify competencies that you want to add to the development plan.
Dev Course (development course)	PCMP_DEV_CRSE	Workforce Monitoring, Professional Compliance, Define Development Information, Training Course, Dev Course	Identify courses that you want to add to the development plan.
Dev Activity (development activity)	PCMP_DEV_ACT	Workforce Monitoring, Professional Compliance, Define Development Information, Activity, Dev Activity	Define the activities that you want to add to the development plan.
Development Plan	PCMP_DEV_PLAN	Workforce Monitoring, Professional Compliance, Define Development Information, Development Plan, Development Plan	Assemble a development plan from the list of accomplishments, competencies, courses, and activities.

Identifying Accomplishments

Access the Dev Accomplishment page.

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

Dev Accomplishment page

Accomplishment Select the accomplishments that you want to use in the development plan.

Renewal This field is selected if you require accomplishment renewal. Renewal requirement data is associated with the accomplishment on the License/Certification Table Setup page, and must be defined in Manage Competencies during accomplishment setup. The Manage Professional Compliance process pulls this information into the recertification process.

Length Displays the renewal length. Associate this information with the accomplishment on the License/Certification Table Setup page, and define it in Manage Competencies during accomplishment setup. The Manage Professional Compliance process references this information in the recertification process.

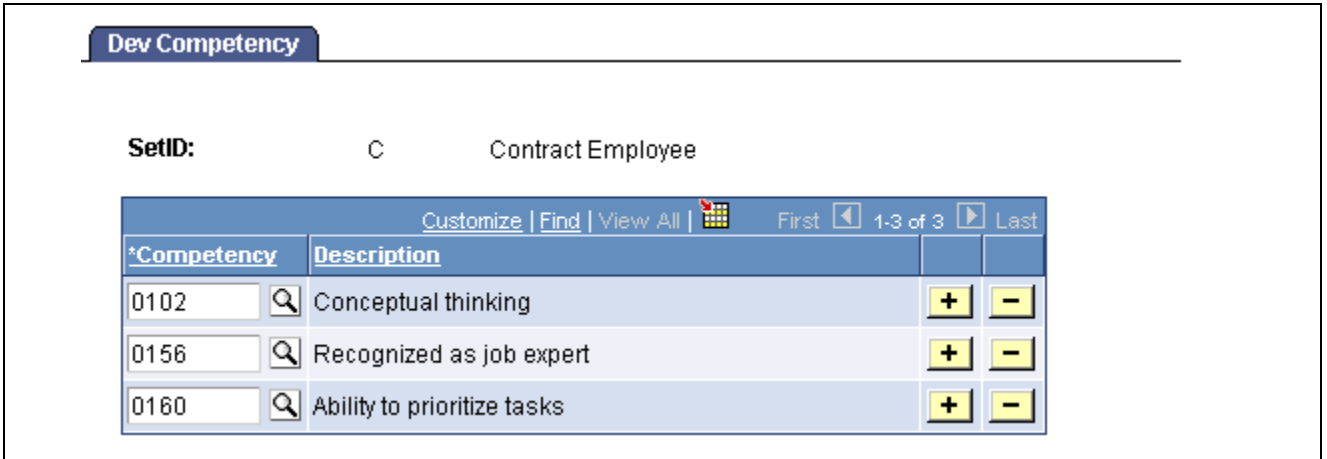
Period Displays the renewal period. Associate this information with the License/Certification Table Setup page, and define it in Manage Competencies during accomplishment setup. The Manage Professional Compliance process references this information in the recertification process.

See Also

PeopleSoft 8.8 Human Resources PeopleBook: Manage Competencies, “Setting Up Competencies and Accomplishments,” Tracking Licenses and Certification

Identifying Competencies

Access the Dev Competency page.

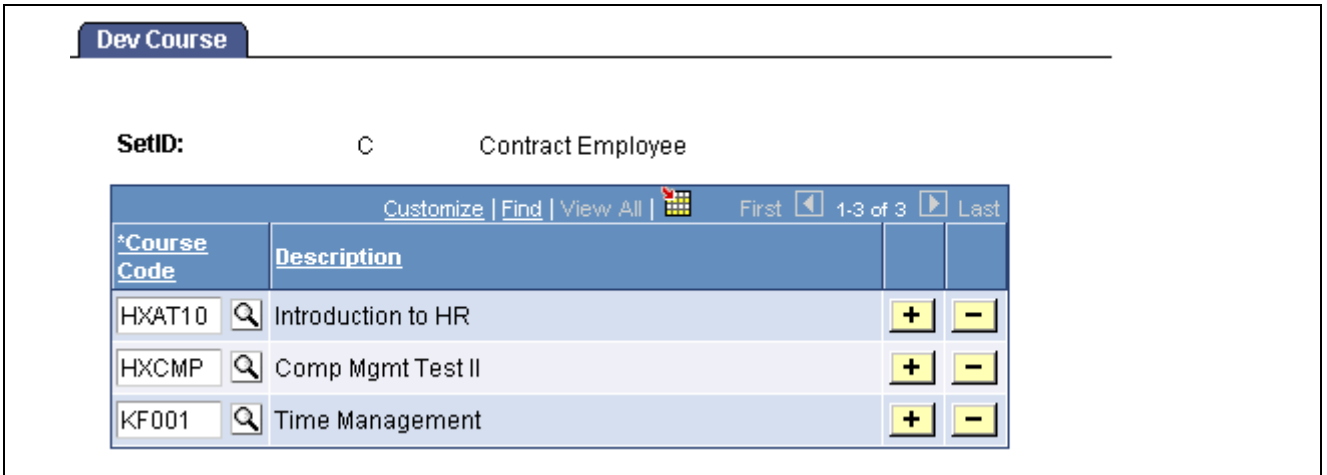


Dev Competency page

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

Identifying Development Courses

Access the Dev Course page.

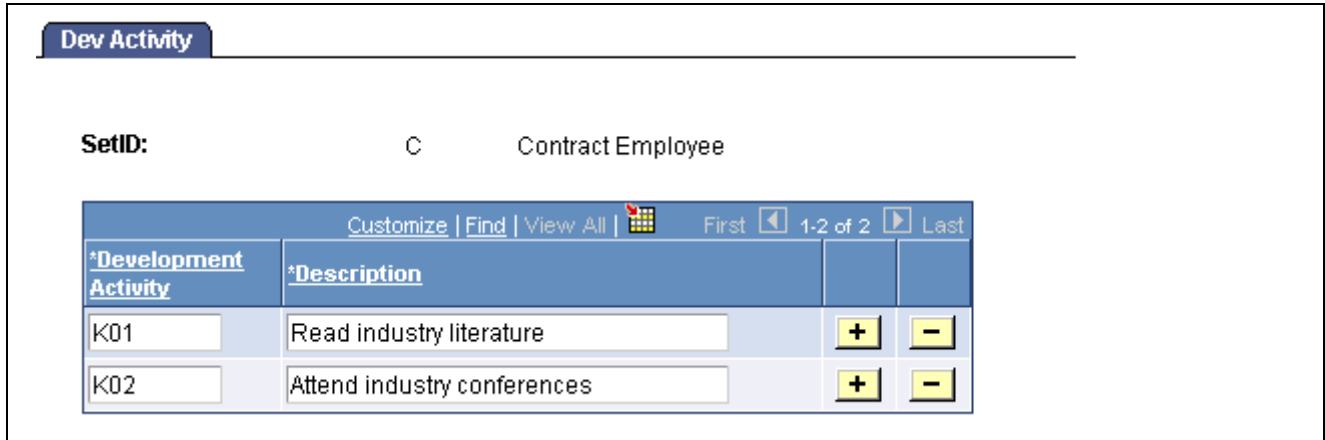


Dev Course page

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

Creating Development Activities

Access the Dev Activity page.

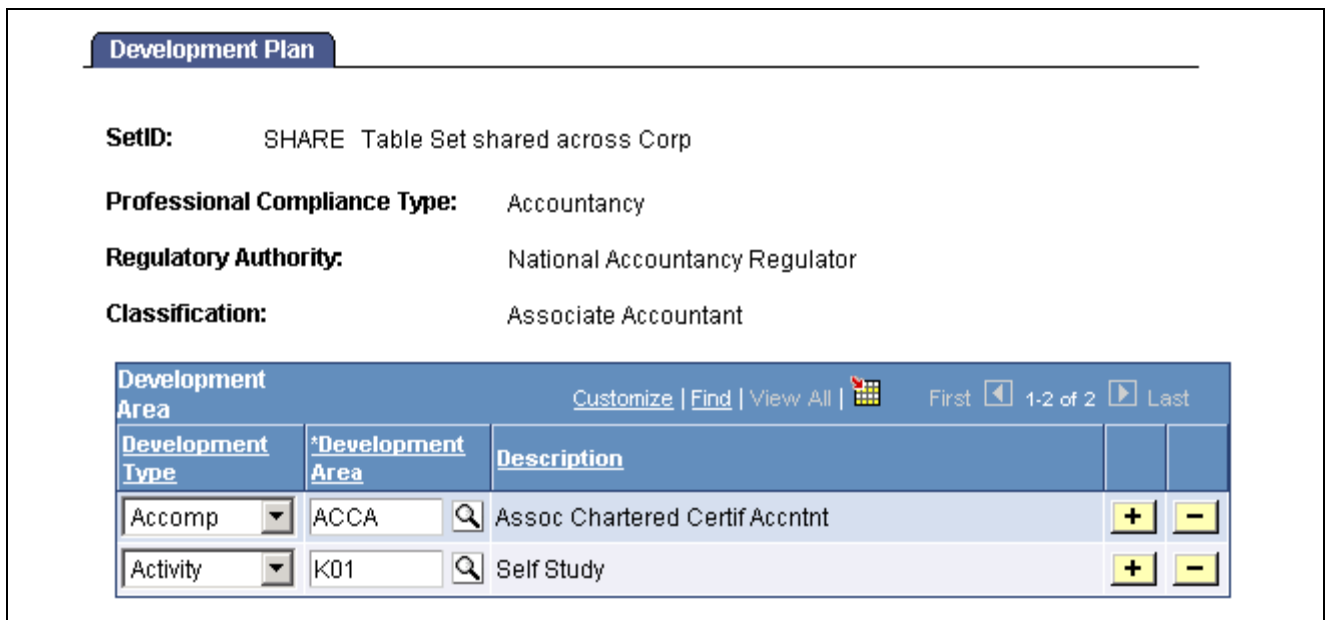


Dev Activity page

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

Assembling a Development Plan

Access the Development Plan page.



Development Plan page

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

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

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

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

Development Area

Development Type Select a development element that you want to include in the development plan: accomplishment, activity, competency, and course.

Development Area Select the specific development elements (within each development type) that you want to include in the development plan.

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

See Also

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Defining Professional Compliance Types, page 15](#)

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Defining Regulatory Authorities, page 16](#)

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Setting Up Regulatory Authority Classifications, page 17](#)

[Chapter 5, “Entering and Maintaining Regulated Individual Data,” page 31](#)

Running a Compliance Plan Report

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

Page Used to Run a Compliance Plan Report

Page Name	Object Name	Navigation	Usage
Compliance Plan	RUN_CNTL_PCMP2	Workforce Monitoring, Professional Compliance, Reports, Company Compliance Plan, Compliance Plan	Use the Compliance Plan report (PCMP002) to collect complete details of a company’s compliance plan.

CHAPTER 5

Entering and Maintaining Regulated Individual Data

This section provides an overview of the regulated individual data and discusses how to:

- Bring a regulated individual into the compliance process.
- Assign a regulated individual to a supervisor.
- Define a regulated individual's classification.
- Enroll a regulated individual in a development plan.
- Reassign a regulated individual to a new compliance manager or supervisor.
- (GBR) Review references and prior work experience.

Understanding Regulated Individual Data

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

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

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

Common Elements Used in This Chapter

Classification

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

Define classifications on the Classification page.

Professional Compliance Type

Groups of professionals who are subject to compliance requirements in your organization. For example, you can set up professional compliance

types for financial advisor, engineering, and health and safety groups, each with its own compliance requirements.

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

Regulatory Authority

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

Define regulatory authorities on the Regulatory Authority page.

Bringing a Regulated Individual Into the Compliance Process

There are two ways to bring an individual into the compliance process:

- Automatic entry during the Hire process.

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

- Manual entry.

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

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

This section provides an overview of PeopleSoft Application Messaging and discusses how to:

- Set up a default compliance type.
- Add a regulated individual to the Manage Professional Compliance manually.

Understanding PeopleSoft 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 or non-employee job changes. If the JOB.ACTION is HIR or ADD, the necessary inserts into Professional Compliance occur.

See Also

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Using Enterprise Integration Points in Manage Professional Compliance, page 12](#)

Pages Used to Bring Individuals into the Professional Compliance Process

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

Setting Up Automatic and Manual Entry

To automatically add an individual during the hire process:

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

To manually enter an individual:

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

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

Setting Up a Default Compliance Type

Access the Jobcode Compliance page.

Jobcode Compliance

SetID: SHARE Table Set shared across Corp

Job Code: 110000 Accountant

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

Jobcode Compliance page

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

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

Define professional compliance types on the PC Type page.

See Also

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance.”](#)
[Defining Professional Compliance Types, page 15](#)

Adding a Regulated Individual to the Compliance Process

Access the RI page.

The screenshot shows a web interface for 'RI Product'. At the top, there are two tabs: 'RI' and 'RI Product'. Below the tabs, the following information is displayed:

- EmplID:** B-BARET205 Crawford,Wanda
- Empl Rcd Nbr:** 0

A 'Compliance Details' section is shown in a blue-bordered box. It includes a search bar with 'Find | View All' and navigation controls for 'First', '1 of 1', and 'Last'. The details are as follows:

- *Professional Compliance Type:** [Empty field with search icon]
- Regulatory Authority:** [Empty field with search icon]
- Date Registered:** 11/07/2002 [Calendar icon]
- Business Unit:** BN1BU

RI page

- Professional Compliance Type** Enter the professional compliance type for the individual whose employee ID appears at the top of the page. If you set up a default compliance type based on the individual’s job code, the professional compliance type that appears in this field is the one that you defined as the default.
- Regulatory Authority** Enter the regulatory authority that corresponds to the individual’s professional compliance type.
- Date Registered** Enter the date on which the individual was registered with the regulatory authority.

Assigning a Regulated Individual to a Supervisor

In Manage Professional Compliance, you 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.

See [Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” page 7.](#)

Defining a Regulated Individual’s Classification

In Manage Professional Compliance, define the classifications that a regulatory authority uses to specify a regulated individual’s status on the Regulatory Authority - Classification page. Then apply classification to the individual to define one’s compliance status.

This section discusses how to define a regulated individual’s classification.

Page Used to Define a Regulated Individual’s Classifications

Page Name	Object Name	Navigation	Usage
RI Classification (regulated individual classification)	PCMP_RI_CLASS	Workforce Monitoring, Professional Compliance, Monitor Progress, Classification Status, RI Classification	Define a regulated individual’s classification.

Defining a Regulated Individual’s Classification

Access the RI Classification page.

The screenshot shows the 'RI Classification' page for employee HGPC03, Andrews, Stephanie. The 'Empl Rcd#' is 0. The 'Professional Compliance Type' is KG2 UK Health & Safety, and the 'Regulatory Authority' is KG02 UK First Aid Regulatory Authority. A 'Classification' window is open, showing an effective date of 07/09/2001 and a classification of NONQFA (Non Qualified First Aider).

RI Classification page

See Also

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” page 7](#)

Enrolling a Regulated Individual in a Development Plan

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

To enroll an individual in a development plan:

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

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

2. Enter the creation date and expected completion date of the development plan.

3. Load a pre-existing development plan with all of its associated development area elements on the Development Area page.

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

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

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

This section discusses how to:

- Create a development record.
- View and add development areas.

Pages Used to Enroll a Regulated Individual in a Development Plan

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

Creating a Development Record

Access the Development Record page.

Development Record		Development Area	
EmpIID:	HGPC03	Andrews,Stephanie	
Professional Compliance Type:	UK Health & Safety		
Regulatory Authority:	UK First Aid Regulatory Authority		
Development Record Details Find View All First 1 of 1 Last			
Classification:	Non Qualified First Aider		
Creation Date:	11/07/2002		
Expected Completion Date:	<input type="text"/>		
Actual Completion Date:			
Status:			

Development Record page

EmpIID	Displays the employee ID of the regulated individual whom you are enrolling in a development plan. This is the ID that you entered to access the page.
Creation Date	Enter the date on which you enrolled the regulated individual in the development plan.
Expected Completion Date	Enter the expected completion date of the development plan.
Actual Completion Date	Displays the date on which you entered in the Actual Completion Date field on the RI Dev Review (regulated individual development review) page.
Status	Displays the status that you entered on the RI Dev Review page.

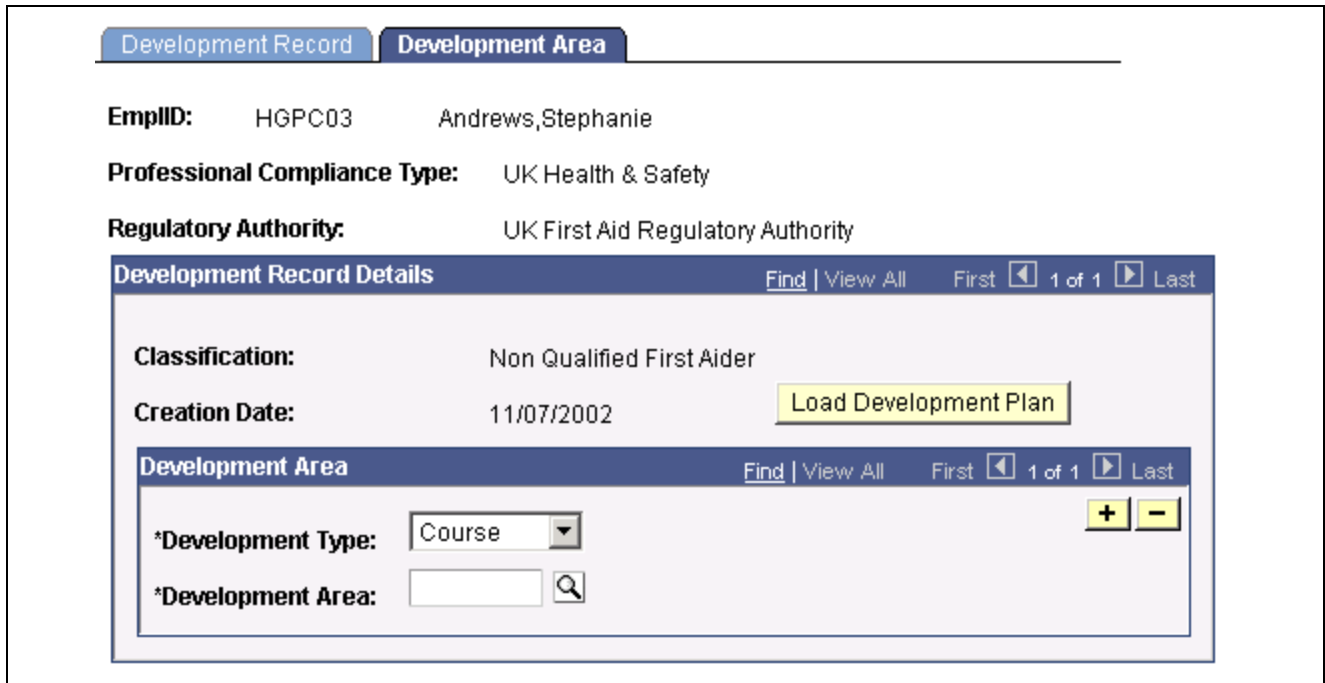
See Also

[Chapter 6, “Monitoring Regulated Individuals,” Reviewing Regulated Individuals, page 49](#)

[Chapter 4, “Defining Development Plans,” page 23](#)

Viewing and Adding Development Areas

Access the Development Area page.



Development Area page

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

Development Record Details

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

Load Development Plan Click this button to default elements that are associated with the regulated individual’s classification level.

When you created the development plan , you associated it (and its related development areas) with a professional compliance type and classification level. Now, you can automatically load all of the elements of the plan that is associated with the individual’s classification making them part of the individual’s development course.

Development Area

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

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

See Also

Chapter 4, “Defining Development Plans,” page 23

Reassigning a Regulated Individual to a New Compliance Manager or Supervisor

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

This section discusses how to reassign a regulated individual.

See Also

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Assigning Regulated Individuals to Compliance Managers/Supervisors, page 19](#)

Page Used to Reassign a Regulated Individual to a New Compliance Manager or Supervisor

Page Name	Object Name	Navigation	Usage
Reassign RI (reassign regulated individual)	RUN_CNTL_PCMP1	Workforce Monitoring, Professional Compliance, Maintain Program, Reassign RI, Reassign RI	Reassign a regulated individual to a new compliance manager or supervisor.

Reassigning Regulated Individuals

Access the Reassign RI page.

Reassign RI

Run Control ID: GN2

[Report Manager](#)
[Process Monitor](#)
Run

Reassignment Selection

Regulated Individuals

 Compliance Supervisors

Reassignment Option

Single Individual

 All Individuals

***Emplid:** Andrews,Stephanie

Regulatory Authority: **Empl Rcd Nbr:** 0

Supervisor: KG0009 de la Camara,Robin

Reassign To

***Supervisor:** Saint-Amand,Marcel

Reassign RI page

Reassignment Selection

Regulated Individuals

Select to assign a regulated individual to a new compliance manager or supervisor. When you select this option, perform the following actions:

1. In the Reassignment Option group box, specify whether you want to reassign a single individual to a new supervisor, or all individuals who belong to the current supervisor.
2. If you are reassigning a single individual, the Emplid field becomes available.

Enter an employee ID to identify the regulated individual whom you are reassigning.

3. If you are reassigning a single individual, the Regulatory Authority, Empl Rcd Nbr (employee record number), and Supervisor fields appear when you enter the individual’s employee ID.

To assign the individual to a new supervisor, identify the specific job that you want to reassign (because there can be a different supervisor for each job). To do this, enter the regulatory authority governing the job; enter this job in the Empl Rcd Nbr field. The system displays the current supervisor for the job in the Supervisor field.

4. If you reassign all individuals under the care of a compliance supervisor, enter the compliance supervisor in the Supervisor field in the Reassignment Option group box.

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

5. To complete the reassignment of a single individual, identify the new supervisor in the Supervisor field of the Reassign To group box.

(The Supervisor field becomes available when you select Regulated Individuals in the Reassignment Selection group box.)

6. To complete the reassignment of all individuals, identify the new supervisor in the Supervisor field of the Reassign To group box.
7. Run the reassignment process.

Compliance Supervisors

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

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

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

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

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

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

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

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

(GBR) Reviewing References and Prior Work Experience

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

This section discusses how to:

- Review reference profiles.
- Review reference addresses.

- Review prior work experience.

See Also

PeopleSoft 8.8 Human Resources PeopleBook: Recruit Workforce, “Managing Applicants,”
 Entering Work Experience and References

Pages Used to Review References and Prior Work Experience

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

Reviewing Reference Profiles

Access the Reference Profile page.

Reference Profile | Reference Address

Miller, Jan **Applicant ID:** A0000045
Applicant Type: External Applicant **EmplID:**

Applicant Information Find | View All First 1 of 1 Last

Reference Number:		
*Date Contacted:	11/13/2002	*Reference Type: Professnl
*Reference Name:	Johnson, Emily	
Title:	Director	
Employer:	GRC Corporation	
Comment:		

Reference Profile page

Reviewing Reference Addresses

Access the Reference Address page.

Reference Profile | **Reference Address**

Miller, Jan **Applicant ID:** A0000045
Applicant Type: External Applicant **EmpID:**

Applicant Information Find | View All First 1 of 1 Last

Reference Number: 1 **Name:** Johnson, Emily **Contacted:** 11/13/2002

Country: USA United States

Address: 1 Silver Avenue
San Francisco, CA 94134 [Edit Address](#)

Phone:

Reference Address page

The fields on this page are display-only.

Reviewing Prior Work Experience

Access the Prior Work page.

Prior Work

EmpID: HGPC03 Andrews,Stephanie

Prior Work Experience

Find | View All First ◀ 1 of 1 ▶ Last

Sequence Number: + -

***Start/End Date:** **Relevant Work Experience**

Employer:

Country:

City:

State:

Phone:

Ending Job Title:

Ending Pay Rate: ***Pay Frequency:**

Company Previously Regulated

Previous Classification:

Reason for Leaving:

Job Description:

Prior Work page

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

CHAPTER 6

Monitoring Regulated Individuals

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

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

Understanding the Monitoring Process

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

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

- **Reviews**

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

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

- **Observations**

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

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

- **Key Performance Indicators**

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

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

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

- Checks

Checks allow you 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 that requires them to submit a review of their finances before they can be certified.

- Inquiries

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

See Also

Chapter 8, "Using Inquiry Pages," page 73

Common Elements Used in This Chapter

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

See Also

PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook, “Understanding PeopleSoft HRMS System Data Regulation”

Reviewing Regulated Individuals

Before you review a regulated individual, 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 that you created as part of the development plan setup).

To review a regulated individual:

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

This section discusses how to:

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

See Also

[Chapter 4, “Defining Development Plans,” page 23](#)

[Chapter 5, “Entering and Maintaining Regulated Individual Data,” page 31](#)

[Chapter 8, “Using Inquiry Pages,” page 73](#)

Pages Used to Review Regulated Individuals

Page Name	Object Name	Navigation	Usage
RI Dev Review (regulated individual development review)	PCMP_RI_DEVREVV	Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Development Review, RI Dev Review	Enter development review details.
RI Dev Area Review (regulated individual development area review)	PCMP_RI_DEVREVV2	Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Development Review, RI Dev Area Review	Review a development area.
RI Review (regulated individual review)	RUN_CNTL_PCMP4	Workforce Monitoring, Professional Compliance, Reports, RI Review	Use the RI Review report (PCMP004) to collect complete details of a regulated individual's review.

Entering Development Review Details

Access the RI Dev Review page.

The screenshot shows the 'RI Dev Review' page with the following details:

- EmpID:** KG0004, Brooke, Matabele
- Professional Compliance Type:** UK Health & Safety
- Regulatory Authority:** UK First Aid Regulatory Authority
- Development Review Details:**
 - Classification:** Non Qualified First Aider
 - Creation Date:** 01/03/2000
 - Expected Completion Date:** 01/31/2000
 - Actual Completion Date:** 01/28/2000
 - Status:** Pass
 - Comments:** Matabele has now qualified as a first aider.

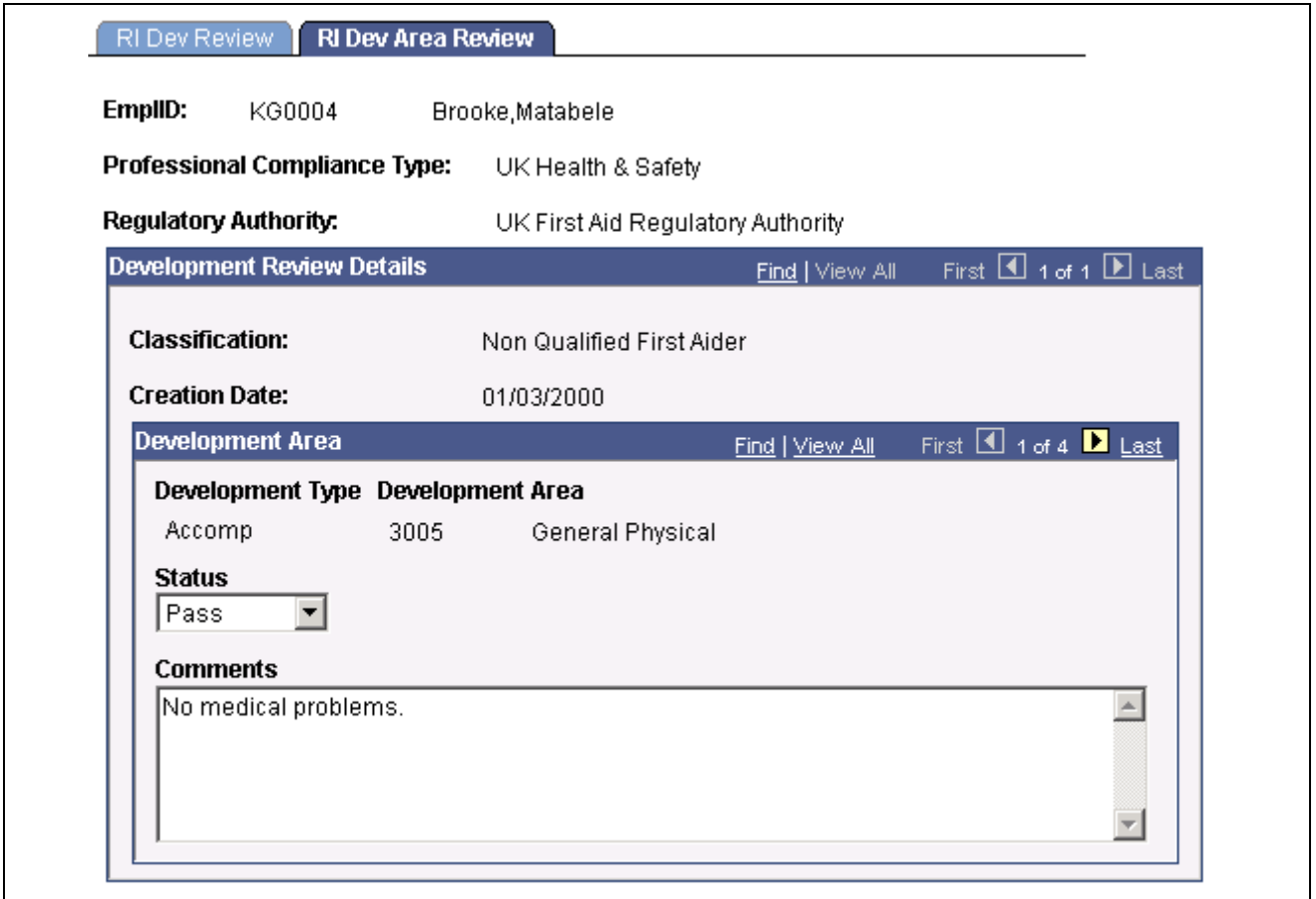
RI Dev Review page

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

- Status** Select the status of the regulated individual relative to the broad goals of the development plan.
- Comments** Enter comments about the regulated individual’s performance.

Reviewing a Development Area

Access the RI Dev Area Review page.



RI Dev Area Review page

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

See Also

[Chapter 4, “Defining Development Plans,” page 23](#)

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, you must perform several setup steps before you can enter observation data. After you have completed these setup steps, you can enter observations, review observation histories, and generate observation reports.

To perform observations:

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

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

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

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

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

This section discusses how to:

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

See Also

[Chapter 8, “Using Inquiry Pages,” page 73](#)

Pages Used to Set Up Observation Elements and Observe Regulated Individuals

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

Defining Observation Elements

Access the Element page.

Element page

Observation Element

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

Constructing Observation Models

Access the Observation Model page.

The screenshot shows a web-based interface for managing observation models. At the top, there are two tabs: "Observation Model" and "Model Elements". Below the tabs, the "SetID" is "GBR01" with a link "Set ID for GBR01". A table with one row displays the details for an observation model:

Observation Model		Find View All	First	1 of 1	Last
*Observation Model:	KG01				
Effective Date:	01/01/2000	Status:	Active		
Description:	Financial Observation 1				
Comments:	<p>This observation model applies to individuals who are dealing directly with customers and ensure that they are following best practice methods, as defined by the company. This process is designed to protect both the individual and customer by specifying all necessary information that must be given to and obtained from the customer.</p>				

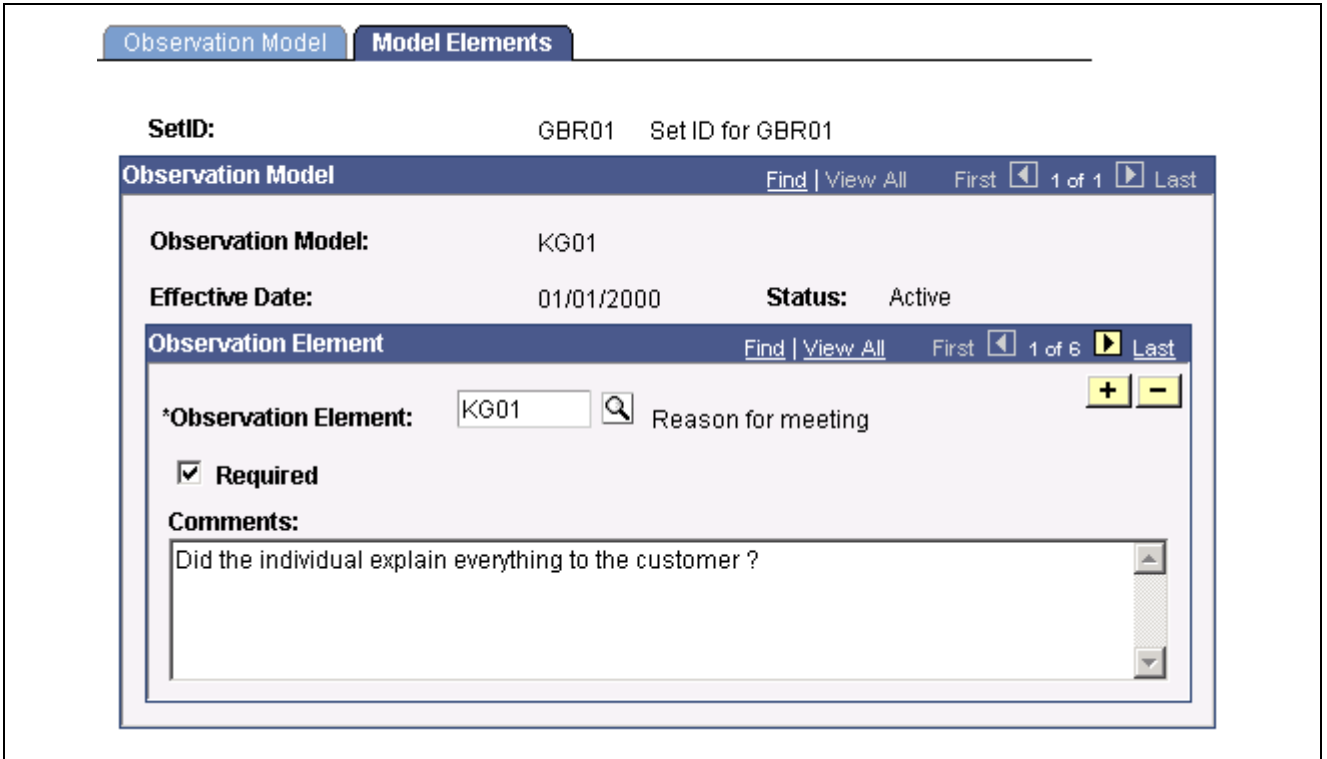
Observation Model page

Observation Model Enter name for the observation model.

Comments Enter comments about the observation model.

Adding Observation Elements to Models

Access the Model Elements page.



Model Elements page

- Observation Element** Enter the observation elements that you want to include in the observation model.
- Required** Select if the observation element that you specified requires a mandatory “pass” status.
- Comments** Enter comments about the observation elements.

Entering Observations

Access the RI Observation page.

The screenshot displays the 'RI Observation' page with the following information:

- EmpID:** HGPC03 Andrews, Stephanie
- Professional Compliance Type:** UK Health & Safety
- Regulatory Authority:** UK First Aid Regulatory Authority

The **Observation Details** section includes:

- Classification:** Non Qualified First Aider
- *Observation Date:** 11/07/2002
- *Observation Model:** KG01
- Status:** [Dropdown menu]
- Comments:** [Text area]

RI Observation page

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

Entering Observation Details

Access the Obs Elements page.

Obs Elements page

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

(GBR) Monitoring KPIs

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

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

Performance indicator categories are:

- Complaints: Number of complaints against the individual versus those against the company.
- Persistency (of business sold): Percentage of the sold business that is still in force.

- Spread of Business: The range of products that the individual is selling.
- Not Taken Up (NTU): Number of proposals that have been submitted, but not put into force.
- Factfind Completion: Check on accuracy, completeness, and quality of service

To set up and use performance indicators:

1. Define complaint types on the Complaint Type page.

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

2. Register complaints against an individual on the RI Complaint (regulated individual complaint) page.

3. Define products and product types on the Product Type page.

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

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

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

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

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

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

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

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

This section discusses how to:

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

Pages Used to Monitor KPIs

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

Defining Complaint Types

Access the Complaint Type page.

Complaint Type			
SetID:		GBR01 Set ID for GBR01	
Customize Find View All			
		First	Last
		1-7 of 7	
*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 description.

Registering Complaints

Access the RI Complaint page.

RI Complaint	
EmplID:	HGPC03 Andrews,Stephanie
Professional Compliance Type:	UK Health & Safety
Regulatory Authority:	UK First Aid Regulatory Authority
Regulated Individual Complaint	
Find View All	
First 1 of 1 Last	
Classification:	Non Qualified First Aider + -
Supervisor	de la Camara,Robin
*Complaint Type:	<input type="text"/>
*Complaint Date:	11/07/2002
Comments:	<div style="border: 1px solid gray; height: 60px;"></div>

RI Complaint page

- Supervisor** Displays the name of the regulated individual’s supervisor.
- Complaint Type** Enter the type of complaint that you want to register against the individual whose employee ID appears at the top of the page. Values are the complaint types that you defined on the Complaint Type page.
- Complaint Date** Enter the date on which you log the complaint.

Defining Products

Access the Product Type page.

The screenshot shows the 'Product Type' configuration page. It includes the following elements:

- Product Type** (Page Header)
- SetID:** GBR01 Set ID for GBR01
- *Product Type:** KG01
- *Description:** Mortgages
- Table:**

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

Product Type page

- Product Type** Displays the product type category that you entered to access the component.
- Product** Enter and describe the individual products that belong to the product type category.

Associating Products With Companies

Access the Products page.

Products page

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

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

Entering KPI Review Details

Access the KPI Review page.

KPI Review page

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

Frequency Type Select the frequency of the review.

Comments Enter comments about the regulated individual.

Defining KPI Statistics

Access the KPI Statistics page.

KPI Review **KPI Statistics**

EmpID: HGPC03 Andrews, Stephanie

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

Review Date: 11/07/2002

Complaints

From Date: **To Date:** **Number of Complaints:**

Persistency

From Date: **To Date:**

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

Spread of Business

From Date: **To Date:**

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

KPI Statistics page (1 of 2)

Not Taken Up (NTUs)

From Date: **To Date:**

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

Factfind Completion

From Date: **To Date:** **Percentage:**

KPI Statistics page (2 of 2)

Review Date Displays the date of the KPI review.

Complaints

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

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

Persistency

From Date and To Date	Enter the range of dates for which you are specifying persistency of sold products.
Product Type	Displays the type of product whose persistency you are evaluating.
Product	Displays the specific product whose persistency you are evaluating.
Percentage	Enter the percentage of each sold product that is still in force.

Spread of Business

From Date and To Date	Enter the range of dates for which you are evaluating spread of business.
Product Type	Displays the type of product for which you are measuring the balance of advice (product spread).
Balance of Advice	Enter a rating for the balance of advice for each product.

Not Taken Up (NTUs)

From Date and To Date	Enter the range of dates for which you are evaluating NTUs.
Product Type	Displays the type of product for which you are measuring the percentage of NTUs.
Product	Displays the specific products for which you are measuring the percentage of NTUs.
Percentage	Enter the percentage of proposals that have not been taken up for each product.

Factfind Completion

From Date and To Date	Enter the range of dates for which you are assessing the regulated individual's accuracy, completeness, and quality of service.
Percentage	Enter a percentage that represents the factfind assessment of the regulated individual.

Setting Up and Entering Check Details

Use the Manage Professional Compliance process to monitor compliance with various kinds of checks that are 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.

To do so, 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 (regulated individual check) page, for each individual, enter whether they have passed the check and enter the check date.
3. Review the individual’s check history on the RI Checks History (regulated individual checks history) page.

This section discusses how to:

- Define check types.
- Enter check data.

See Also

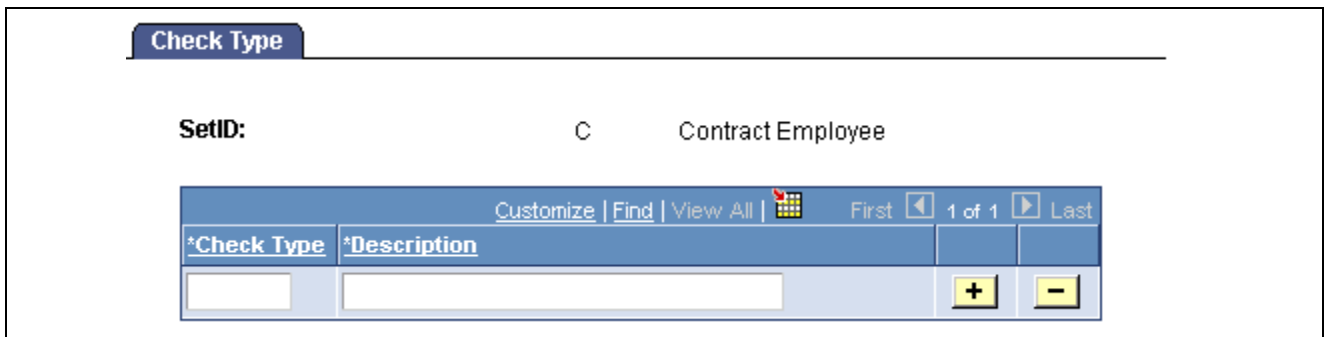
Chapter 8, “Using Inquiry Pages,” page 73

Pages Used to Set Up and Enter Check Details

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

Defining Check Types

Access the Check Type page.



Check Type page

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

Entering Check Data

Access the RI Check page.

RI Check

HGPC03 Andrews,Stephanie

Empl Rcd#: 0

Regulatory Authority: KG02 UK First Aid Regulatory Authority

Regulated Individual Check
Find | View All First ◀ 1 of 1 ▶ Last

Classification: Non Qualified First Aider + -

Supervisor de la Camara,Robin

***Check Date:**

***Check Type:** Financial Background Check

Status: ▼

Comments:

RI Check page

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

CHAPTER 7

Setting Up Notifications in Manage Professional Compliance

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

Understanding Notifications in the Manage Professional Compliance Business Process

Manager and supervisors who are 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 the individual to a development plan, the supervisor may need to register that person with the regulatory authority that is responsible for certifying members of the individual’s professional group. For this reason, PeopleSoft built a flexible form of notification into the Manage Professional Compliance process, which includes workflow so that the system can inform managers and supervisors of any critical actions that they must take.

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

- Hire

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

- RI add (regulated individual add)

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

- Classification change

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

- Job change

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

- Termination

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

- Recertification

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

This section discusses how to identify notification formats and messages.

See Also

Chapter 5, "Entering and Maintaining Regulated Individual Data," page 31

Identifying Notification Formats and Messages

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

- Message text
- Action line
- Time requirement

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

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

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

Message Line	Message Format
One	EmplID; Name; Professional Compliance Type
Two	Message: notification text message
Three	Action: notification action text
Four	Time limit (days): action time limit

See Also

Chapter 5, "Entering and Maintaining Regulated Individual Data," page 31

Setting Up Notifications

This section discusses how to:

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

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

See Also

[Chapter 7, “Setting Up Notifications in Manage Professional Compliance,” Understanding Notifications in the Manage Professional Compliance Business Process, page 67](#)

Pages Used to Set Up Notifications

Page Name	Object Name	Navigation	Usage
Compliance Type – Notification	PCMP_TYPE_NOTIFY	Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Compliance Type, Notification	Create a hire notification.
Regulatory Authority – Notifications	PCMP_REGAUTH_NOTIF	Set Up HRMS, Product Related, Workforce Monitoring, Professional Compliance, Regulatory Authority, Notifications	Create the following notifications: RI add, classification change, job change, or termination.
RI Re-Certs (regulated individual recertifications)	PCMP_RI_RECERTINQ2	Workforce Monitoring, Professional Compliance, Review Compliance Information, Admin Re-Certifications, RI Re-Certs	Create a recertification notification.

Creating a Hire Notification

Access the Professional Compliance Type - Notification page.

During the hire process in the PeopleSoft Human Resources Administer Workforce business process, a check is made to see if there are any default professional compliance types associated with the job code of the employee or non-employee who is being hired. This check is carried out within the Manage 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 default professional compliance types are associated with the job code, then the employee/non-employee is added to the Manage Professional Compliance process.

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

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

See Also

[Chapter 5, “Entering and Maintaining Regulated Individual Data,” page 31](#)

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Using Enterprise Integration Points in Manage Professional Compliance, page 12](#)

Creating an RI Add Notification

Access the Regulatory Authority - Notification page.

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

See Also

[Chapter 5, “Entering and Maintaining Regulated Individual Data,” page 31](#)

PeopleSoft 8.8 Human Resources PeopleBook: Administer Workforce, “Hiring Your Workforce,” Entering Employee Job Location and Position Information

Creating a Classification Change Notification

Access the Regulatory Authority - Notification page.

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

See Also

[Chapter 5, “Entering and Maintaining Regulated Individual Data,” Defining a Regulated Individual’s Classification, page 36](#)

Creating a Job Change Notification

Access the Regulatory Authority - Notification page.

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

Note. Make job changes in the JOB component of Administer Workforce. When a regulated individual changes jobs, the Professional Compliance subscription PeopleCode on the WORKFORCE_SYNC application message initiates notification based on the POS and XFR Action settings.

See Also

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Using Enterprise Integration Points in Manage Professional Compliance, page 12](#)

Creating a Termination Notification

Access the Regulatory Authority - Notification page.

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

Note. Make terminations in the JOB component of Administer Workforce. When a regulated individual is terminated or retires, the Professional Compliance subscription PeopleCode on the WORKFORCE_SYNC application message initiates notification based on the TDL, TER, TWB, and TWP Action settings.

See Also

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Assigning Regulated Individuals to Compliance Managers/Supervisors, page 19](#)

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” Using Enterprise Integration Points in Manage Professional Compliance, page 12](#)

Creating a Recertification Notification

Access the RI Re-Certs page.

RI Re-Certs

Business Unit: EGVBU Educ & Govt/State

To Date:

Customize Find		
Name	Re-Certification	First 1 of 1 Last
EmplID	Name	Business Unit
		EGVBU

RI Re-Certs page

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

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

The Admin Re-certification process can be broken into two steps:

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

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

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

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

CHAPTER 8

Using Inquiry Pages

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

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

Understanding Inquiry Pages

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

- Review history
- Observation history
- Check history

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

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

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

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

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

Managers can view the following information about all regulated individuals:

- Unassigned RIs (Unassigned RIs page).
- Status (Admin RI Status page).

- Recertifications (RI Re-Certs page).

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

See Also

PeopleTools PeopleBook: PeopleTools Security

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,”
Managing Professional Compliance Security, page 10](#)

[Chapter 6, “Monitoring Regulated Individuals,” page 47](#)

Common Elements Used in This Chapter

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

See Also

PeopleSoft 8.8 Application Fundamentals for HRMS PeopleBook, “Understanding PeopleSoft HRMS System Data Regulation”

Viewing Regulated Individual Data for Supervisors

This section discusses how to:

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

Pages Used to View Regulated Individual Data for Supervisors

Page Name	Object Name	Navigation	Usage
RI Status (regulated individual status)	PCMP_RISTAT_INQ2	Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Status	View development status.
RI Review History (regulated individual review history)	PCMP_RIREV_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Review History	View review history.
RI Observations (regulated individual observations)	PCMP_RIOBS_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Observation History, RI Observations	View observation history.
RI Checks (regulated individual checks)	PCMP_RICLK_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Checks History, RI Checks	View check history.
RI Recertification (regulated individual recertification)	PCMP_RI_RECERT_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, Admin Re-Certifications, RI Recertification	View recertification status.

Viewing Development Status

Access the RI Status page.

RI Status

Business Unit: EGVBU Educ & Govt/State

Customize Find First ◀ 1 of 1 ▶ Last			
Name	Regulatory Authority	Classification	
EmplID	Empl Rcd Nbr	Name	Effective Date
	0		

RI Status page

Name

The Name tab displays the employee ID, employee record number, name, and effective date of the employee.

Regulatory Authority

The Regulatory Authority tab displays the professional compliance type and regulatory authority of the employee.

Classification

The Classification tab displays the classification of the individual whose record you are reviewing.

See Also

[Chapter 3, “Setting Up PeopleSoft Human Resources Manage Professional Compliance,” page 7](#)

[Chapter 4, “Defining Development Plans,” page 23](#)

Viewing Review History

Access the RI Review History page.

RI Review History

EmplID: KC0021 Davies,Craig R

Professional Compliance Type: Health & Safety Compliance

Regulatory Authority: National First Aid Standards

Customize Find First ◀ 1 of 1 ▶ Last			
Creation Date	Expected Completion Date	Actual Completion Date	Status
02/05/2001	02/28/2001		

RI Review History page

Creation Date

Displays the creation date of the regulated individual’s development plan that you entered on the Development Record page.

- Expected Completion Date** Displays the expected completion date of the regulated individual's development plan that you entered on the Development Record page.
- Actual Completion Date** Displays the actual completion date of the regulated individual's development plan that you entered on the RI Dev Review page.
- Status** Displays the regulated individual's status relative to the development goals in the individual's development plan that you entered on the RI Dev Review page.

See Also

[Chapter 4, "Defining Development Plans," page 23](#)

[Chapter 6, "Monitoring Regulated Individuals," page 47](#)

[Chapter 5, "Entering and Maintaining Regulated Individual Data," page 31](#)

Viewing Observation History

Access the RI Observations page.

RI Observations			
EmpID:	KC0021	Davies,Craig R	
Professional Compliance Type:	Health & Safety Compliance		
Regulatory Authority:	National First Aid Standards		
Customize Find First 1 of 1 Last			
Observation Date	Observation Model	Description	Status
11/07/2002			

RI Observations page


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

See Also

[Chapter 6, "Monitoring Regulated Individuals," page 47](#)

Reviewing Check History

Access the RI Checks page.

RI Checks			
Davies,Craig R		Employee	
Regulatory Authority:	K001	National First Aid Standards	
Customize Find  First ◀ 1 of 1 ▶ Last			
Check Type	Description	Check Date	Status
		11/07/2002	

RI Checks page

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

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



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

See Also

[Chapter 6, "Monitoring Regulated Individuals," page 47](#)

Viewing Recertification Status

Access the RI Recertification page.

RI Recertification											
To Date:	11/26/2002 										
Customize Find  First ◀ 1 of 1 ▶ Last											
<table border="1"> <thead> <tr> <th colspan="2">Name</th> <th>Re-Certification</th> </tr> <tr> <th>EmplID</th> <th>Name</th> <th>Business Unit</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>			Name		Re-Certification	EmplID	Name	Business Unit			
Name		Re-Certification									
EmplID	Name	Business Unit									

RI Recertification page

Name

The Name tab displays the employee ID, name, and business unit of the regulated individual whose recertification status you are viewing.

Re-Certification

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

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

See Also

PeopleSoft 8.8 Human Resources PeopleBook: Manage Competencies, “Tracking Employee Competencies and Accomplishments”

PeopleSoft 8.8 Human Resources PeopleBook: Administer Training

[Chapter 4, “Defining Development Plans,” page 23](#)

[Chapter 7, “Setting Up Notifications in Manage Professional Compliance,” page 67](#)

Viewing Regulated Individual Data for Managers

This section discusses how to identify unassigned regulated individuals.

Pages Used to View RI Data - Manager Views

Page Name	Object Name	Navigation	Usage
Unassigned RIs (unassigned regulated individuals)	PCMP_UNASS_RI	Workforce Monitoring, Professional Compliance, Review Compliance Information, Unassigned RIs	Identify unassigned regulated individuals.
Admin RI Status (administration regulated individual status)	PCMP_RISTAT_INQ	Workforce Monitoring, Professional Compliance, Review Compliance Information, Admin RI Status	View the development status of all regulated individuals.
RI Re-Certs (regulated individual recertifications)	PCMP_RI_RECERTINQ2	Workforce Monitoring, Professional Compliance, Review Compliance Information, Admin RI Re-Certifications	View the recertification status of all regulated individuals.

Identifying Unassigned Regulated Individuals

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

Regulatory Authority

The Regulatory Authority tab displays the employee IDs, employee record numbers, professional compliance types, and regulatory authorities of unassigned individuals.

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

Glossary of PeopleSoft Terms

absence entitlement	This element defines rules for granting paid time off for valid absences, such as sick time, vacation, and maternity leave. An absence entitlement element defines the entitlement amount, frequency, and entitlement period.
absence take	This element defines the conditions that must be met before a payee is entitled to take paid time off.
account	You use an account code to record and summarize financial transactions as expenditures, revenues, assets, or liabilities balances. The use of this delivered PeopleSoft ChartField is typically defined when you implement PeopleSoft General Ledger.
accounting class	In PeopleSoft Enterprise Performance Management, the accounting class defines how a resource is treated for generally accepted accounting practices. The Inventory class indicates whether a resource becomes part of a balance sheet account, such as inventory or fixed assets, while the Non-inventory class indicates that the resource is treated as an expense of the period during which it occurs.
accounting date	The accounting date indicates when a transaction is recognized, as opposed to the date the transaction actually occurred. The accounting date and transaction date can be the same. The accounting date determines the period in the general ledger to which the transaction is to be posted. You can only select an accounting date that falls within an open period in the ledger to which you are posting. The accounting date for an item is normally the invoice date.
accounting entry	A set of related debits and credits. An accounting entry is made up of multiple accounting lines. In most PeopleSoft applications, accounting entries are always balanced (debits equal credits). Accounting entries are created to record accruals, payments, payment cancellations, manual closures, project activities in the general ledger, and so forth, depending on the application.
accounting split	The accounting split method indicates how expenses are allocated or divided among one or more sets of accounting ChartFields.
accumulator	You use an accumulator to store cumulative values of defined items as they are processed. You can accumulate a single value over time or multiple values over time. For example, an accumulator could consist of all voluntary deductions, or all company deductions, enabling you to accumulate amounts. It allows total flexibility for time periods and values accumulated.
action reason	The reason an employee's job or employment information is updated. The action reason is entered in two parts: a personnel action, such as a promotion, termination, or change from one pay group to another and a reason for that action. Action reasons are used by PeopleSoft Human Resources, PeopleSoft Benefits Administration, PeopleSoft Stock Administration, and the COBRA Administration feature of the Base Benefits business process.
activity	In PeopleSoft Enterprise Learning Management, an instance of a catalog item delivery method it may also be called a class. The activity defines such things as meeting times and locations, instructors, reserved equipment and materials, and detailed costs that are associated with the offering, enrollment limits and deadlines, and waitlisting capacities.
allocation rule	In PeopleSoft Enterprise Incentive Management, an expression within compensation plans that enables the system to assign transactions to nodes and participants. During transaction allocation, the allocation engine traverses the compensation structure

	from the current node to the root node, checking each node for plans that contain allocation rules.
alternate account	A feature in PeopleSoft General Ledger that enables you to create a statutory chart of accounts and enter statutory account transactions at the detail transaction level, as required for recording and reporting by some national governments.
application agent	An application agent is an online agent that is loaded into memory with a PeopleSoft page. It detects when a business rule has been triggered and determines the appropriate action.
asset class	An asset group used for reporting purposes. It can be used in conjunction with the asset category to refine asset classification.
attachment	In PeopleSoft Enterprise Learning Management, nonsystem-defined electronic material that supplements a learning resource, such as an equipment items user handbook or the site map of a large facility.
background process	In PeopleSoft, background processes are executed through process-specific COBOL programs and run outside the Windows environment.
benchmark job	In PeopleSoft Workforce Analytics, a benchmark job is a job code for which there is corresponding salary survey data from published, third-party sources.
branch	A tree node that rolls up to nodes above it in the hierarchy, as defined in PeopleSoft Tree Manager.
budgetary account only	An account used by the system only and not by users; this type of account does not accept transactions. You can only budget with this account. Formerly called system-maintained account.
budget check	In commitment control, the processing of source transactions against control budget ledgers, to see if they pass, fail, or pass with a warning.
budget control	In commitment control, budget control ensures that commitments and expenditures don't exceed budgets. It enables you to track transactions against corresponding budgets and terminate a document's cycle if the defined budget conditions are not met. For example, you can prevent a purchase order from being dispatched to a vendor if there are insufficient funds in the related budget to support it.
budget period	The interval of time (such as 12 months or 4 quarters) into which a period is divided for budgetary and reporting purposes. The ChartField allows maximum flexibility to define operational accounting time periods without restriction to only one calendar.
business event	In PeopleSoft Sales Incentive Management, an original business transaction or activity that may justify the creation of a PeopleSoft Enterprise Incentive Management event (a sale, for example).
catalog item	In PeopleSoft Enterprise Learning Management, a specific topic that a learner can study and have tracked. For example, Introduction to Microsoft Word. A catalog item contains general information about the topic and includes a course code, description, categorization, keywords, and delivery methods.
category	In PeopleSoft Enterprise Learning Management, a way to classify catalog items so that users can easily browse and search relevant entries in the learning catalog. Categories can be hierarchical.
ChartField	A field that stores a chart of accounts, resources, and so on, depending on the PeopleSoft application. ChartField values represent individual account numbers, department codes, and so forth.
ChartField balancing	You can require specific ChartFields to match up (balance) on the debit and the credit side of a transaction.

ChartField combination edit	The process of editing journal lines for valid ChartField combinations based on user-defined rules.
ChartKey	One or more fields that uniquely identify each row in a table. Some tables contain only one field as the key, while others require a combination.
child	In PeopleSoft Tree Manager trees, a child is a node or detail on a tree linked to another, higher-level node (referred to as the parent). Child nodes can be rolled up into the parent. A node can be a child and a parent at the same time depending on its location within the tree.
Class ChartField	A ChartField value that identifies a unique appropriation budget key when you combine it with a fund, department ID, and program code, as well as a budget period. Formerly called <i>sub-classification</i> .
clone	In PeopleCode, to make a unique copy. In contrast, to <i>copy</i> may mean making a new reference to an object, so if the underlying object is changed, both the copy and the original change.
collection	To make a set of documents available for searching in Verity, you must first create at least one collection. A collection is set of directories and files that allow search application users to use the Verity search engine to quickly find and display source documents that match search criteria. A collection is a set of statistics and pointers to the source documents, stored in a proprietary format on a file server. Because a collection can only store information for a single location, PeopleSoft maintains a set of collections (one per language code) for each search index object.
compensation object	In PeopleSoft Enterprise Incentive Management, a node within a compensation structure. Compensation objects are the building blocks that make up a compensation structure's hierarchical representation.
compensation structure	In PeopleSoft Enterprise Incentive Management, a hierarchical relationship of compensation objects that represents the compensation-related relationship between the objects.
configuration parameter catalog	Used to configure an external system with PeopleSoft. For example, a configuration parameter catalog might set up configuration and communication parameters for an external server.
configuration plan	In PeopleSoft Enterprise Incentive Management, configuration plans hold allocation information for common variables (not incentive rules) and are attached to a node without a participant. Configuration plans are not processed by transactions.
content reference	Content references are pointers to content registered in the portal registry. These are typically either URLs or iScripts. Content references fall into three categories: target content, templates, and template pagelets.
context	In PeopleSoft Enterprise Incentive Management, a mechanism that is used to determine the scope of a processing run. PeopleSoft Enterprise Incentive Management uses three types of context: plan, period, and run-level.
corporate account	Equivalent to the Account ChartField. Distinguishes between the chart of accounts typically used to record and report financial information for management, stockholders, and the general public, as opposed to a chart of statutory (alternate) accounts required by a regulatory authority for recording and reporting financial information.
cost profile	A combination of a receipt cost method, a cost flow, and a deplete cost method. A profile is associated with a cost book and determines how items in that book are valued, as well as how the material movement of the item is valued for the book.
cost row	A cost transaction and amount for a set of ChartFields.

data acquisition	In PeopleSoft Enterprise Incentive Management, the process during which raw business transactions are acquired from external source systems and fed into the operational data store (ODS).
data elements	Data elements, at their simplest level, define a subset of data and the rules by which to group them. For Workforce Analytics, data elements are rules that tell the system what measures to retrieve about your workforce groups.
data row	Contains the entries for each field in a table. To identify each data row uniquely, PeopleSoft applications use a key consisting of one or more fields in the table.
data validation	In PeopleSoft Enterprise Incentive Management, a process of validating and cleansing the feed data to resolve conflicts and make the data processable.
DAT file	This text file, used with the Verity search engine, contains all of the information from documents that are searchable but not returned in the results list.
delivery method	In PeopleSoft Enterprise Learning Management, identifies a learning activity's delivery method type. An activity can have one or more delivery methods.
delivery method type	In PeopleSoft Enterprise Learning Management, specifies a method that your organization uses to deliver learning activities, for example, scheduled or self-paced learning.
distribution	The process of assigning values to ChartFields. A distribution is a string of ChartField values assigned to items, payments, and budget amounts.
double byte character	If you're working with Japanese or other Asian employees, you can enter the employee's name using double-byte characters. The standard double byte character set name format in PeopleSoft applications is: [last name] space [first name].
dynamic tree	A tree that takes its detail values dynamically directly from a table in the database, rather than from a range of values entered by the user.
edit table	A table in the database that has its own record definition, such as the Department table. As fields are entered into a PeopleSoft application, they can be validated against an edit table to ensure data integrity throughout the system.
effective date	A method of dating information in PeopleSoft applications. You can predate information to add historical data to your system, or postdate information in order to enter it before it actually goes into effect. By using effective dates, you don't delete values; you enter a new value with a current effective date.
EIM job	Abbreviation for <i>Enterprise Incentive Management job</i> . In PeopleSoft Enterprise Incentive Management, a collection of job steps that corresponds to the steps in an organization's compensation-related business process. An EIM job can be stopped to allow manual changes or corrections to be applied between steps, and then resumed from where it left off, continuing with the next step. A run can also be restarted or rolled back.
EIM ledger	Abbreviation for <i>Enterprise Incentive Management ledger</i> . In PeopleSoft Enterprise Incentive Management, an object to handle incremental result gathering within the scope of a participant. The ledger captures a result set with all of the appropriate traces to the data origin and to the processing steps of which it is a result.
equipment	In PeopleSoft Enterprise Learning Management, resource items that can be assigned to a training facility, to a specific training room, or directly to an activity session. Equipment items are generally items that are used (sometimes for a fee) and returned after the activity is complete.

event	Events are predefined points either in the application processor flow or in the program flow. As each point is encountered, the event activates each component, triggering any PeopleCode program associated with that component and that event. Examples of events are FieldChange, SavePreChange, and OnRouteSubscription. In PeopleSoft Human Resources, <i>event</i> also refers to incidents that affect benefits eligibility.
event propagation process	In PeopleSoft Sales Incentive Management, a process that determines, through logic, the propagation of an original PeopleSoft Enterprise Incentive Management event and creates a derivative (duplicate) of the original event to be processed by other objects. Sales Incentive Management uses this mechanism to implement splits, roll-ups, and so on. Event propagation determines who receives the credit.
external system	In PeopleSoft, any system that is not directly compiled with PeopleTools servers.
fact	In PeopleSoft applications, facts are numeric data values from fields from a source database as well as an analytic application. A fact can be anything you want to measure your business by, for example, revenue, actual, budget data, or sales numbers. A fact is stored on a fact table.
filter	In PeopleSoft applications, a filter creates a subset of information. Filters are used in templates to limit your information from a pick list of attribute values.
generic process type	In PeopleSoft Process Scheduler, process types are identified by a generic process type. For example, the generic process type SQR includes all SQR process types, such as SQR process and SQR report.
group	Any set of records associated under a single name or variable in order to run calculations in PeopleSoft business processes. In PeopleSoft Time and Labor, for example, employees are placed in groups for time reporting purposes.
homepage	Users can personalize the homepage, or the page that first appears when they access the portal.
incentive object	In PeopleSoft Enterprise Incentive Management, the incentive-related objects that define and support the PeopleSoft Enterprise Incentive Management calculation process and results, such as plan templates, plans, results data, user interaction objects, and so on.
incentive rule	In PeopleSoft Sales Incentive Management, the commands that act on transactions and turn them into compensation. A rule is one part in the process of turning a transaction into compensation.
key	One or more fields that uniquely identify each row in a table. Some tables contain only one field as the key, while others require a combination.
learner group	In PeopleSoft Enterprise Learning Management, a group of learners within the same learning environment that share the same attributes, such as department or job code.
learning activity	See <i>activity</i> .
learning history	In PeopleSoft Enterprise Learning Management, a self-service repository for all of a learner's completed learning activities.
learning plan	In PeopleSoft Enterprise Learning Management, a self-service repository for all of a learner's planned and in-progress learning activities.
ledger mapping	You use ledger mapping to relate expense data from general ledger accounts to resource objects. Multiple ledger line items can be mapped to one or more resource IDs. You can also use ledger mapping to map dollar amounts (referred to as <i>rates</i>) to business units. You can map the amounts in two different ways: an actual amount that represents actual costs of the accounting period, or a budgeted amount that can be used to calculate the capacity rates as well as budgeted model results. In PeopleSoft Enterprise Warehouse, you can map general ledger accounts to the EW Ledger table.

level	A section of a tree that organizes groups of nodes.
library section	In PeopleSoft Enterprise Incentive Management, a section that is defined in a plan (or template) and that is available for other plans to share. Changes to a library section are reflected in all plans that use it.
linked section	In PeopleSoft Enterprise Incentive Management, a section that is defined in a plan template but appears in a plan. Changes to linked sections propagate to plans using that section.
linked variable	In PeopleSoft Enterprise Incentive Management, a variable that is defined and maintained in a plan template and that also appears in a plan. Changes to linked variables propagate to plans using that variable.
load	The feature that initiates a process to automatically load information into a PeopleSoft application for example, populating the PeopleSoft Benefits database with plan-level election information.
local functionality	In PeopleSoft HRMS, the set of information that is available for a specific country. You can access this information when you click the appropriate country flag in the global window, or when you access it by a local country menu.
location	Locations enable you to indicate the different types of addresses for a company, for example, one address to receive bills, another for shipping, a third for postal deliveries, and a separate street address. Each address has a different location number. The primary location indicated by a <i>1</i> is the address you use most often and may be different from the main address.
market template	In PeopleSoft Enterprise Incentive Management, additional functionality that is specific to a given market or industry and is built on top of a product category.
material	In PeopleSoft Enterprise Learning Management, a resource item that can be assigned to the sessions of an activity. Material items are generally consumed during the duration of an activity and not returned, and they may have an associated cost.
message definition	An object definition specified in PeopleSoft Application Designer that contains message information for PeopleSoft Application Messaging.
meta-SQL	Meta-SQL constructs expand into platform-specific SQL substrings. They are used in functions that pass SQL strings, such as in SQL objects, the SQLExec function, and PeopleSoft Application Engine programs.
metastring	Metastings are special expressions included in SQL string literals. The metastings, prefixed with a percent (%) symbol, are included directly in the string literals. They expand at run time into an appropriate substring for the current database platform.
multibook	Processes in PeopleSoft applications that can create both application entries and general ledgers denominated in more than one currency.
multicurrency	The ability to process transactions in a currency other than the business unit's base currency.
objective	In PeopleSoft Enterprise Learning Management, an individual's learning goal. An example of a learning goal is a competency gap.
override	In PeopleSoft Enterprise Incentive Management, the ability to make a change to a plan that applies to only one plan context.
pagelet	Each block of content on the homepage is called a pagelet. These pagelets display summary information within a small rectangular area on the page. The pagelet provide users with a snapshot of their most relevant PeopleSoft and non-PeopleSoft content.

parent node	A tree node linked to lower-level nodes or details that roll up into it. A node can be a parent and a child at the same time, depending on its location within the tree.
participant	In PeopleSoft Enterprise Incentive Management, participants are recipients of the incentive compensation calculation process.
participant object	Each participant object may be related to one or more compensation objects. See also <i>participant object</i> .
payout	In PeopleSoft Enterprise Incentive Management, the resulting incentive plan computation that is provided to payroll.
PeopleCode	PeopleCode is a proprietary language, executed by the PeopleSoft application processor. PeopleCode generates results based upon existing data or user actions. By using business interlink objects, external services are available to all PeopleSoft applications wherever PeopleCode can be executed.
PeopleCode event	An action that a user takes upon an object, usually a record field, that is referenced within a PeopleSoft page.
PeopleSoft Internet Architecture	The fundamental architecture on which PeopleSoft 8 applications are constructed, consisting of an RDBMS, an application server, a Web server, and a browser.
performance measurement	In PeopleSoft Enterprise Incentive Management, a variable used to store data (similar to an aggregator, but without a predefined formula) within the scope of an incentive plan. Performance measures are associated with a plan calendar, territory, and participant. Performance measurements are used for quota calculation and reporting.
period context	In PeopleSoft Enterprise Incentive Management, because a participant typically uses the same compensation plan for multiple periods, the period context associates a plan context with a specific calendar period and fiscal year. The period context references the associated plan context, thus forming a chain. Each plan context has a corresponding set of period contexts.
per seat cost	In PeopleSoft Enterprise Learning Management, the cost per learner, based on the total activity costs divided by either minimum attendees or maximum attendees. Organizations use this cost to price PeopleSoft Enterprise Learning Management activities.
plan	In PeopleSoft Sales Incentive Management, a collection of allocation rules, variables, steps, sections, and incentive rules that instruct the PeopleSoft Enterprise Incentive Management engine in how to process transactions.
plan context	In PeopleSoft Enterprise Incentive Management, correlates a participant with the compensation plan and node to which the participant is assigned, enabling the PeopleSoft Enterprise Incentive Management system to find anything that is associated with the node and that is required to perform compensation processing. Each participant, node, and plan combination represents a unique plan context. If three participants are on a compensation structure, each has a different plan context. Configuration plans are identified by plan contexts and are associated with the participants that refer to them.
plan section	In PeopleSoft Enterprise Incentive Management, a segment of a plan that handles a specific type of event processing.
plan template	In PeopleSoft Enterprise Incentive Management, the base from which a plan is created. A plan template contains common sections and variables that are inherited by all plans that are created from the template. A template may contain steps and sections that are not visible in the plan definition.
portal registry	In PeopleSoft applications, the portal registry is a tree-like structure in which content references are organized, classified, and registered. It is a central repository that

	defines both the structure and content of a portal through a hierarchical, tree-like structure of folders useful for organizing and securing content references.
private view	A user-defined view that is available only to the user who created it.
process	See <i>Batch Processes</i> .
process definition	Process definitions define each run request.
process instance	A unique number that identifies each process request. This value is automatically incremented and assigned to each requested process when the process is submitted to run.
process job	You can link process definitions into a job request and process each request serially or in parallel. You can also initiate subsequent processes based on the return code from each prior request.
process request	A single run request, such as an SQR, a COBOL program, or a Crystal report that you run through PeopleSoft Process Scheduler.
process run control	A PeopleTools variable used to retain PeopleSoft Process Scheduler values needed at runtime for all requests that reference a run control ID. Do not confuse these with application run controls, which may be defined with the same run control ID, but only contain information specific to a given application process request.
product category	In PeopleSoft Enterprise Incentive Management, indicates an application in the Enterprise Incentive Management suite of products. Each transaction in the PeopleSoft Enterprise Incentive Management system is associated with a product category.
publishing	In PeopleSoft Enterprise Incentive Management, a stage in processing that makes incentive-related results available to participants.
record definition	A logical grouping of data elements.
record field	A field within a record definition.
record group	A set of logically and functionally related control tables and views. Record groups help enable TableSet sharing, which eliminates redundant data entry. Record groups ensure that TableSet sharing is applied consistently across all related tables and views.
record input VAT flag	Abbreviation for <i>record input value-added tax flag</i> . Within PeopleSoft Purchasing, Payables, and General Ledger, this flag indicates that you are recording input VAT on the transaction. This flag, in conjunction with the record output VAT flag, is used to determine the accounting entries created for a transaction and to determine how a transaction is reported on the VAT return. For all cases within Purchasing and Payables where VAT information is tracked on a transaction, this flag is set to Yes. This flag is not used in PeopleSoft Order Management, Billing, or Receivables, where it is assumed that you are always recording only output VAT, or in PeopleSoft Expenses, where it is assumed that you are always recording only input VAT.
record output VAT flag	Abbreviation for <i>record output value-added tax flag</i> . See <i>record input VAT flag</i> .
reference data	In PeopleSoft Sales Incentive Management, system objects that represent the sales organization, such as territories, participants, products, customers, channels, and so on.
reference object	In PeopleSoft Enterprise Incentive Management, this dimension-type object further defines the business. Reference objects can have their own hierarchy (for example, product tree, customer tree, industry tree, and geography tree).
reference transaction	In commitment control, a reference transaction is a source transaction that is referenced by a higher-level (and usually later) source transaction, in order to

	automatically reverse all or part of the referenced transaction's budget-checked amount. This avoids duplicate postings during the sequential entry of the transaction at different commitment levels. For example, the amount of an encumbrance transaction (such as a purchase order) will, when checked and recorded against a budget, cause the system to concurrently reference and relieve all or part of the amount of a corresponding pre-encumbrance transaction, such as a purchase requisition.
relationship object	In PeopleSoft Enterprise Incentive Management, these objects further define a compensation structure to resolve transactions by establishing associations between compensation objects and business objects.
results management process	In PeopleSoft Sales Incentive Management, the process during which compensation administrators may review processing results, manually change transactions, process draws, update and review payouts, process approvals, and accumulate and push payments to the EIM ledger.
role user	A PeopleSoft Workflow user. A person's role user ID serves much the same purpose as a user ID does in other parts of the system. PeopleSoft Workflow uses role user IDs to determine how to route worklist items to users (through an email address, for example) and to track the roles that users play in the workflow. Role users do not need PeopleSoft user IDs.
role	Describes how people fit into PeopleSoft Workflow. A role is a class of users who perform the same type of work, such as clerks or managers. Your business rules typically specify what user role needs to do an activity.
roll up	In a tree, to roll up is to total sums based on the information hierarchy.
routing	Connects activities in PeopleSoft Workflow. Routings specify where the information goes and what form it takes email message, electronic form, or worklist entry.
run control	A run control is a type of online page that is used to begin a process, such as the batch processing of a payroll run. Run control pages generally start a program that manipulates data.
run control ID	A unique ID to associate each user with his or her own run control table entries.
run-level context	In PeopleSoft Enterprise Incentive Management, associates a particular run (and batch ID) with a period context and plan context. Every plan context that participates in a run has a separate run-level context. Because a run cannot span periods, only one run-level context is associated with each plan context.
search query	You use this set of objects to pass a query string and operators to the search engine. The search index returns a set of matching results with keys to the source documents.
section	In PeopleSoft Enterprise Incentive Management, a collection of incentive rules that operate on transactions of a specific type. Sections enable plans to be segmented to process logical events in different sections.
security event	In commitment control, security events trigger security authorization checking, such as budget entries, transfers, and adjustments; exception overrides and notifications; and inquiries.
self-service application	Self-service refers to PeopleSoft applications that are accessed by end users with a browser.
session	In PeopleSoft Enterprise Learning Management, a single meeting day of an activity (that is, the period of time between start and finish times within a day). The session stores the specific date, location, meeting time, and instructor. Sessions are used for scheduled training.
session template	In PeopleSoft Enterprise Learning Management, enables you to set up common activity characteristics that may be reused while scheduling a PeopleSoft Enterprise

Learning Management activity characteristics such as days of the week, start and end times, facility and room assignments, instructors, and equipment. A session pattern template can be attached to an activity that is being scheduled. Attaching a template to an activity causes all of the default template information to populate the activity session pattern.

setup relationship	In PeopleSoft Enterprise Incentive Management, a relationship object type that associates a configuration plan with any structure node.
sibling	A tree node at the same level as another node, where both roll up into the same parent. A node can be a sibling, parent, and child all at the same time, depending on its location in the tree.
single signon	With single signon, users can, after being authenticated by a PeopleSoft application server, access a second PeopleSoft application server without entering a user ID or password.
source transaction	In commitment control, any transaction generated in a PeopleSoft or third-party application that is integrated with commitment control and which can be checked against commitment control budgets. For example, a pre-encumbrance, encumbrance, expenditure, recognized revenue, or collected revenue transaction.
SpeedChart	A user-defined shorthand key that designates several ChartKeys to be used for voucher entry. Percentages can optionally be related to each ChartKey in a SpeedChart definition.
SpeedType	A code representing a combination of ChartField values. SpeedTypes simplify the entry of ChartFields commonly used together.
SQR	See <i>Structured Query Report (SQR)</i> .
statutory account	Account required by a regulatory authority for recording and reporting financial results. In PeopleSoft, this is equivalent to the Alternate Account (ALTACCT) ChartField.
step	In PeopleSoft Sales Incentive Management, a collection of sections in a plan. Each step corresponds to a step in the job run.
Structured Query Report (SQR)	A type of printed or displayed report generated from data extracted from a PeopleSoft SQL-based relational database. PeopleSoft applications provide a variety of standard SQRs that summarize table information and data. You can use these reports as is, customize them, or create your own.
Summary ChartField	You use summary ChartFields to create summary ledgers that roll up detail amounts based on specific detail values or on selected tree nodes. When detail values are summarized using tree nodes, summary ChartFields must be used in the summary ledger data record to accommodate the maximum length of a node name (20 characters).
summary ledger	An accounting feature used primarily in allocations, inquiries, and PS/nVision reporting to store combined account balances from detail ledgers. Summary ledgers increase speed and efficiency of reporting by eliminating the need to summarize detail ledger balances each time a report is requested. Instead, detail balances are summarized in a background process according to user-specified criteria and stored on summary ledgers. The summary ledgers are then accessed directly for reporting.
summary tree	A tree used to roll up accounts for each type of report in summary ledgers. Summary trees enable you to define trees on trees. In a summary tree, the detail values are really nodes on a detail tree or another summary tree (known as the <i>basis</i> tree). A summary tree structure specifies the details on which the summary trees are to be built.

table	The underlying PeopleSoft data format, in which data is stored by columns (fields) and rows (records, or instances).
TableSet sharing	Specifies control table data for each business unit so that redundancy is eliminated.
target currency	The value of the entry currency or currencies converted to a single currency for budget viewing and inquiry purposes.
template	A template is HTML code associated with a Web page. It defines the layout of the page and also where to get HTML for each part of the page. In PeopleSoft, you use templates to build a page by combining HTML from a number of sources. For a PeopleSoft portal, all templates must be registered in the portal registry, and each content reference must be assigned a template.
territory	In PeopleSoft Sales Incentive Management, hierarchical relationships of business objects, including regions, products, customers, industries, and participants.
TimeSpan	A relative period, such as year-to-date or current period, that can be used in various PeopleSoft General Ledger functions and reports when a rolling time frame, rather than a specific date, is required. TimeSpans can also be used with flexible formulas in PeopleSoft Projects.
transaction allocation	In PeopleSoft Enterprise Incentive Management, the process of identifying the owner of a transaction. When a raw transaction from a batch is allocated to a plan context, the transaction is duplicated in the PeopleSoft Enterprise Incentive Management transaction tables.
transaction loading process	In PeopleSoft Enterprise Incentive Management, the process during which transactions are loaded into Sales Incentive Management. During loading, the source currency is converted to the business unit currency while retaining the source currency code. At the completion of this stage, the transaction is in the first state.
transaction state	In PeopleSoft Enterprise Incentive Management, a value assigned by an incentive rule to a transaction. Transaction states enable sections to process only transactions that are at a specific stage in system processing. After being successfully processed, transactions may be promoted to the next transaction state and picked up by a different section for further processing.
transaction type	In PeopleSoft Enterprise Incentive Management, a way to categorize transactions to identify specific transaction types (for example, shipment, order, opportunity, and so on). Plan sections process only one type of transaction type. Transaction types can be defined based on a company's specific processes model.
Translate table	A system edit table that stores codes and translate values for the miscellaneous fields in the database that do not warrant individual edit tables of their own.
tree	The graphical hierarchy in PeopleSoft systems that displays the relationship between all accounting units (for example, corporate divisions, projects, reporting groups, account numbers) and determines roll-up hierarchies.
unclaimed transaction	In PeopleSoft Enterprise Incentive Management, a transaction that is not claimed by a node or participant after the allocation process has completed, usually due to missing or incomplete data. Unclaimed transactions may be manually assigned to the appropriate node or participant by a compensation administrator.
uniform resource locator (URL)	In PeopleSoft, the term URL refers to the entire query string. The following is an example of a URL: <code>http://serverx/InternetClient/InternetClientServlet?ICType=Script&ICScriptProgramName=WEBLIB_BEN_401k.PAGES.FieldFormula.iScript_Home401k</code>
universal navigation header	Every PeopleSoft portal includes the universal navigation header, intended to appear at the top of every page as long as the user is signed on to the portal. In addition to

providing access to the standard navigation buttons (like Home, Favorites, and signoff) the universal navigation header can also display a welcome message for each user.

URL

See *uniform resource locator (URL)*.

user interaction object

In PeopleSoft Sales Incentive Management, used to define the reporting components and reports that a participant can access in his or her context. All Sales Incentive Management user interface objects and reports are registered as user interaction objects. User interaction objects can be linked to a compensation structure node through a compensation relationship object (individually or as groups).

variable

In PeopleSoft Sales Incentive Management, the intermediate results of calculations. Variables hold the calculation results and are then inputs to other calculations. Variables can be plan variables that persist beyond the run of an engine or local variables that exist only during the processing of a section.

warehouse

A PeopleSoft data warehouse that consists of predefined ETL maps, data warehouse tools, and DataMart definitions.

worksheet

A way of presenting data through a PeopleSoft Business Analysis Modeler interface that enables users to do in-depth analysis using pivoting tables, charts, notes, and history information.

workflow

The background process that creates a list of administrative actions based on selection criteria and specifies the procedure associated with each action.

worklist

The automated to-do list that PeopleSoft Workflow creates. From the worklist, you can directly access the pages you need to perform the next action, and then return to the worklist for another item.

zero-rated VAT

Abbreviation for *zero-rated value-added tax*. A VAT transaction with a VAT code that has a tax percent of zero. Used to track taxable VAT activity where no actual VAT amount is charged.

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