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# PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Manage Professional Compliance

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**December 2006**

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# About This PeopleBook Preface

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

This preface discusses:

- PeopleSoft Enterprise application prerequisites.
- Application fundamentals.
- Documentation updates and printed documentation.
- Additional resources.
- Typographical conventions and visual cues.
- Comments and suggestions.
- Common elements in PeopleBooks.

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**Note.** PeopleBooks document only elements, such as fields and check boxes, that require additional explanation. If an 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 Enterprise applications are defined in this preface.

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## PeopleSoft Enterprise 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 Enterprise applications.

You might also want to complete at least one introductory training course, if applicable.

You should be familiar with navigating the system and adding, updating, and deleting information by using PeopleSoft Enterprise menus, pages, or windows. 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 Enterprise applications most effectively.

---

## Application Fundamentals

Each application PeopleBook provides implementation and processing information for your PeopleSoft Enterprise applications.

For some applications, additional, essential information describing the setup and design of your system appears in a companion volume of documentation called the application fundamentals PeopleBook. Most product lines have a version of the application fundamentals PeopleBook. The preface of each PeopleBook identifies the application fundamentals PeopleBooks that are associated with that PeopleBook.

The application fundamentals PeopleBook consists of important topics that apply to many or all PeopleSoft Enterprise applications. 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 the appropriate application fundamentals PeopleBooks. They provide the starting points for fundamental implementation tasks.

---

## Documentation Updates and Printed Documentation

This section discusses how to:

- Obtain documentation updates.
- Download and order printed documentation.

### Obtaining Documentation Updates

You can find updates and additional documentation for this release, as well as previous releases, on Oracle's PeopleSoft Customer Connection website. Through the Documentation section of Oracle's PeopleSoft Customer Connection, you can download files to add to your PeopleBooks Library. You'll find a variety of useful and timely materials, including updates to the full line of PeopleSoft Enterprise documentation that is delivered on your PeopleBooks CD-ROM.

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

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### See Also

Oracle's PeopleSoft Customer Connection, [http://www.oracle.com/support/support\\_peoplesoft.html](http://www.oracle.com/support/support_peoplesoft.html)

### Downloading and Ordering Printed Documentation

In addition to the complete line of documentation that is delivered on your PeopleBook CD-ROM, Oracle makes PeopleSoft Enterprise documentation available to you via Oracle's website. You can:

- Download PDF files.
- Order printed, bound volumes.

#### Downloading PDF Files

You can download PDF versions of PeopleSoft Enterprise documentation online via the Oracle Technology Network. Oracle makes these PDF files available online for each major release shortly after the software is shipped.

See Oracle Technology Network, <http://www.oracle.com/technology/documentation/psftent.html>.

#### Ordering Printed, Bound Volumes

You can order printed, bound volumes of selected documentation via the Oracle Store.

See Oracle Store, [http://oraclestore.oracle.com/OA\\_HTML/ibeCCtpSctDspRte.jsp?section=14021](http://oraclestore.oracle.com/OA_HTML/ibeCCtpSctDspRte.jsp?section=14021)

## Additional Resources

The following resources are located on Oracle's PeopleSoft Customer Connection website:

| Resource                              | Navigation                                                                                                                                                                                 |
|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Application maintenance information   | Updates + Fixes                                                                                                                                                                            |
| Business process diagrams             | Support, Documentation, Business Process Maps                                                                                                                                              |
| Interactive Services Repository       | Support, Documentation, Interactive Services Repository                                                                                                                                    |
| Hardware and software requirements    | Implement, Optimize + Upgrade; Implementation Guide; Implementation Documentation and Software; Hardware and Software Requirements                                                         |
| Installation guides                   | Implement, Optimize + Upgrade; Implementation Guide; Implementation Documentation and Software; Installation Guides and Notes                                                              |
| Integration information               | Implement, Optimize + Upgrade; Implementation Guide; Implementation Documentation and Software; Pre-Built Integrations for PeopleSoft Enterprise and JD Edwards EnterpriseOne Applications |
| Minimum technical requirements (MTRs) | Implement, Optimize + Upgrade; Implementation Guide; Supported Platforms                                                                                                                   |
| Documentation updates                 | Support, Documentation, Documentation Updates                                                                                                                                              |
| PeopleBooks support policy            | Support, Support Policy                                                                                                                                                                    |
| Prerelease notes                      | Support, Documentation, Documentation Updates, Category, Release Notes                                                                                                                     |
| Product release roadmap               | Support, Roadmaps + Schedules                                                                                                                                                              |
| Release notes                         | Support, Documentation, Documentation Updates, Category, Release Notes                                                                                                                     |
| Release value proposition             | Support, Documentation, Documentation Updates, Category, Release Value Proposition                                                                                                         |
| Statement of direction                | Support, Documentation, Documentation Updates, Category, Statement of Direction                                                                                                            |
| Troubleshooting information           | Support, Troubleshooting                                                                                                                                                                   |
| Upgrade documentation                 | Support, Documentation, Upgrade Documentation and Scripts                                                                                                                                  |

## Typographical Conventions and Visual Cues

This section discusses:

- Typographical conventions.
- Visual cues.
- Country, region, and industry identifiers.
- Currency codes.

### Typographical Conventions

This table contains the typographical conventions that are used in PeopleBooks:

| Typographical Convention or Visual Cue | Description                                                                                                                                                                                                                                                                                                                              |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Bold</b>                            | Indicates PeopleCode function names, business function names, event names, system 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 Enterprise or other book-length publication titles. In PeopleCode syntax, italic items are placeholders for arguments that your program must supply.<br><br>We also use italics when we refer to words as words or letters as letters, as in the following: Enter 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 the W key.                                                                                                                    |
| 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.                                                                                                                                                                                                                            |
| . . . (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 ( ).                                                                                                                                                                                                                                         |

| Typographical Convention or Visual Cue | Description                                                                                                                                                                                       |
|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| [ ] (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> |

## 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 Enterprise system.

---

**Note.** Example of a note.

---

If the note is preceded by *Important!*, the note 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.

---

### Cross-References

PeopleBooks provide cross-references either under the heading “See Also” or on a separate line preceded by the word *See*. Cross-references lead to other documentation that is pertinent to the immediately preceding documentation.

## Country, Region, and Industry Identifiers

Information that applies only to a specific country, region, or industry is preceded by a standard identifier in parentheses. This identifier typically appears at the beginning of a section heading, but it may also appear at the beginning of a note or other text.

Example of a country-specific heading: “(FRA) Hiring an Employee”

Example of a region-specific heading: “(Latin America) Setting Up Depreciation”

### Country Identifiers

Countries are identified with the International Organization for Standardization (ISO) country code.

## Region Identifiers

Regions are identified by the region name. The following region identifiers may appear in PeopleBooks:

- Asia Pacific
- Europe
- Latin America
- North America

## Industry Identifiers

Industries are identified by the industry name or by an abbreviation for that industry. The following industry identifiers may appear in PeopleBooks:

- USF (U.S. Federal)
- E&G (Education and Government)

## Currency Codes

Monetary amounts are identified by the ISO currency code.

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## 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 Oracle reference and training materials. Please send your suggestions to your product line documentation manager at Oracle Corporation, 500 Oracle Parkway, Redwood Shores, CA 94065, U.S.A. Or email us at [appsdoc@us.oracle.com](mailto:appsdoc@us.oracle.com).

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

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## Common Elements Used in PeopleBooks

|                       |                                                                                                                                                                                                                                                                                                                                                      |
|-----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>As of Date</b>     | The last date for which a report or process includes data.                                                                                                                                                                                                                                                                                           |
| <b>Business Unit</b>  | 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.                                                                                                                                                                          |
| <b>Description</b>    | Enter up to 30 characters of text.                                                                                                                                                                                                                                                                                                                   |
| <b>Effective Date</b> | 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. |

|                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Once, Always, and Don't Run</b> | <p>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.</p> <p>Select Always to run the request every time the batch process runs.</p> <p>Select Don't Run to ignore the request when the batch process runs.</p>                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Process Monitor</b>             | Click to access the Process List page, where you can view the status of submitted process requests.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Report Manager</b>              | 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).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Request ID</b>                  | An ID that represents a set of selection criteria for a report or process.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Run</b>                         | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>SetID</b>                       | <p>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.</p> |
| <b>Short Description</b>           | Enter up to 15 characters of text.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>User ID</b>                     | An ID that represents the person who generates a transaction.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |



# PeopleSoft Enterprise Human Resources Manage Professional Compliance Preface

This preface discusses:

- PeopleSoft products.
- PeopleSoft Enterprise HRMS Application Fundamentals.
- PeopleBook structure.

---

## PeopleSoft Products

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

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## PeopleSoft Enterprise HRMS Application Fundamentals

Additional, essential information describing the setup and design of your system appears in a companion volume of documentation called *PeopleSoft Enterprise HRMS 9.0 Application Fundamentals PeopleBook*. Each PeopleSoft product line has its own version of this documentation.

### See Also

*PeopleSoft Enterprise HRMS 9.0 Application Fundamentals PeopleBook*, “PeopleSoft Enterprise HRMS Application Fundamentals Preface”

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## PeopleBook Structure

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

The PeopleBooks structure conveys a task-based hierarchy of information. Each chapter describes a process that is required to set up or use the application. Chapter sections describe each task in the process. Subsections within a section describe a single step in the process task.

Some PeopleBooks may also be divided into parts. PeopleBook parts can group together similar implementation or business process chapters within an application or group together two or more applications that integrate into one overall business solution. When a book is divided into parts, each part is divided into chapters.

The following table provides the order and descriptions of chapters in a PeopleBook

| Chapters                 | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|--------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Preface                  | <p>This is the chapter you're reading now. It explains:</p> <ul style="list-style-type: none"> <li>• How to use the Application Fundamentals book.</li> <li>• How PeopleBooks are structured.</li> <li>• Common elements used in the PeopleBook, if necessary.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                     |
| Getting Started With...  | <p>This chapter discusses product implementation guidelines. It explains:</p> <ul style="list-style-type: none"> <li>• The business processes documented within the book.</li> <li>• Integrations between the product and other products.</li> <li>• A high-level documentation 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.</li> </ul>                                                                                                                                                                                                            |
| Navigation               | <p>(Optional) Some PeopleSoft applications provide custom navigation pages that contain groupings of folders that support a specific business process, task, or user role. When an application contains custom navigation pages, this chapter provides basic navigation information for these pages.</p> <p><b>Note.</b> Not all applications have delivered custom navigation pages.</p>                                                                                                                                                                                                                                                                     |
| Understanding...         | <p>(Optional) 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><b>Note.</b> 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> |

| Chapters                    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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><b>Note.</b> 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> |
| Appendixes                  | <p>(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.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Delivered Workflow Appendix | <p>(Optional) The delivered workflow appendix describes all of the workflows that are delivered for the application.</p> <p><b>Note.</b> Not all applications have delivered workflows.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Reports Appendix            | <p>(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.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |



# CHAPTER 1

## Getting Started with Manage Professional Compliance

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

This chapter discusses:

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

---

### Manage Professional Compliance Business Processes

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

- Track certification requirements by regulatory authority.

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

- Track worker certification compliance.

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

- Define development plans.

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

- Monitor regulated individuals.

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

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

## Manage Professional Compliance Business Process Integrations

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

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

We discuss integration considerations in this PeopleBook.

### See Also

*PeopleSoft Enterprise HRMS 9.0 Application Fundamentals PeopleBook*, “Working with Integration Points in Enterprise HRMS”

## Manage Professional Compliance Business Process Implementation

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

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

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

| Component       | Component Interface | Reference                                                                                                                                                  |
|-----------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PCMP_RI         | CI_PCMP_RI          | See <a href="#">Chapter 4, “Entering and Maintaining Regulated Individual Data,” Adding Regulated Individuals to the Compliance Process, page 29.</a>      |
| PCMP_RIJOBCHGVW | CI_PCMP_JOBCHG      | See <a href="#">Chapter 6, “Setting Up Notifications in Manage Professional Compliance Business Process,” Creating a Job Change Notification, page 66.</a> |

| Component        | Component Interface | Reference                                                                                                                                                       |
|------------------|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PCMP_RECERT_AE   | CI_PCMP_RECERT      | See <a href="#">Chapter 6, “Setting Up Notifications in Manage Professional Compliance Business Process,” Creating a Recertification Notification, page 67.</a> |
| PCMP_RI_JOBTERVW | CI_PCMP_JOBTER      | See <a href="#">Chapter 6, “Setting Up Notifications in Manage Professional Compliance Business Process,” Creating a Termination Notification, page 66.</a>     |

### Other Sources of Information

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

### See Also

*Enterprise PeopleTools PeopleBook: PeopleSoft Component Interfaces*

*Enterprise PeopleTools PeopleBook: PeopleSoft Setup Manager*



## CHAPTER 2

# Setting Up Manage Professional Compliance

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

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

---

## Understanding Manage Professional Compliance Business Processes

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

This section discusses:

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

## Manage Professional Compliance Business Process Structure

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

- Regulatory authority

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

- Classifications

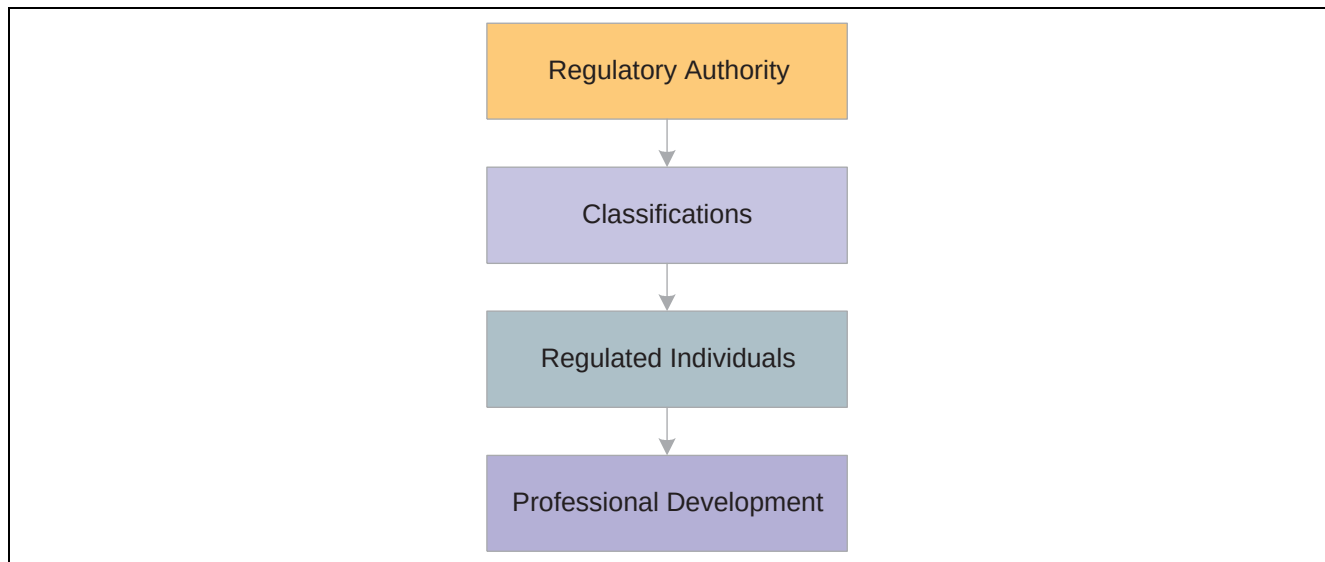
Classifications are the different categories that a regulatory authority uses to define individuals within the compliance process. The levels of classification can be simple or complex, reflecting various levels of compliance with the requirements for engaging in different professional activities. For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

- Regulated individuals (RIs)

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

- Professional development

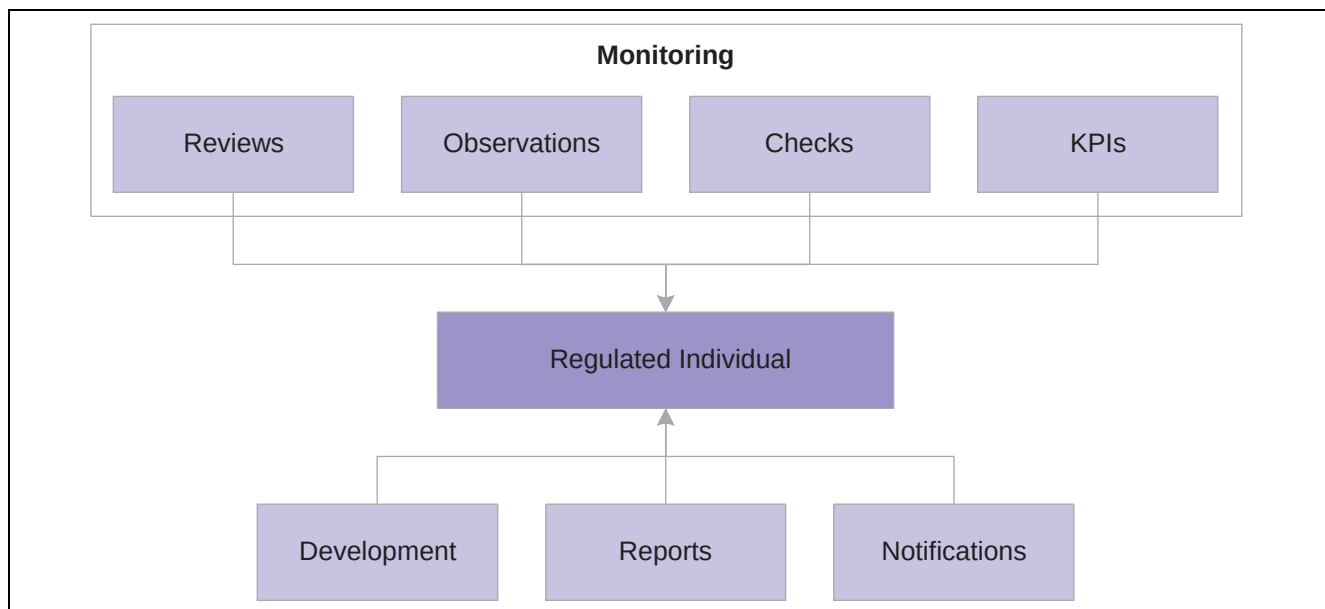
The compliance process concerns individuals obtaining minimum standards of competence to attain a classification level. To obtain these standards, individuals undergo a process of professional development, which may include coursework, testing, mandatory periods of supervision followed by performance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



Overview of the Manage Professional Compliance Structure

## Tools for Moving Individuals Toward Compliance

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



Manage Professional Compliance Tools

The Manage Professional Compliance business process includes the following tools:

- Development plans

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

- **Monitoring**

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

- **Reviews**

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

- **Observations**

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

- **Key performance indicators (KPIs)**

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

- **Checks**

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

- **Reports**

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

- **Notifications**

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

- **Self-service**

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

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

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

## **See Also**

[Chapter 3, "Defining Development Plans," page 17](#)

[Chapter 5, "Monitoring Regulated Individuals," page 41](#)

[Chapter 6, "Setting Up Notifications in Manage Professional Compliance Business Process," Setting Up Notifications, page 63](#)

## Using Integration Points in Manage Professional Compliance

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

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

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

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

## See Also

[Chapter 4, “Entering and Maintaining Regulated Individual Data,” Understanding PeopleSoft Integration Broker, page 28](#)

*Interactive Services Repository* in the Implementation Guide section of Customer Connection.

*Enterprise PeopleTools PeopleBook: Integration Broker*

*PeopleSoft Enterprise Components for PeopleSoft Enterprise HRMS and Campus Solutions 9.0 PeopleBook*

[Chapter 6, “Setting Up Notifications in Manage Professional Compliance Business Process,” Creating a Hire Notification, page 63](#)

[Chapter 6, “Setting Up Notifications in Manage Professional Compliance Business Process,” Creating a Termination Notification, page 66](#)

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## Setting Up Required Tables

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

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

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

## Understanding Required Table Setup

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

To set up Manage Professional Compliance business process tables:

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

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

---

**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 business process.

---

## 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 Monitoring, Professional Compliance, Define Compliance Information, Company Compliance, Regulation       | Enter company compliance details that associate professional compliance types and regulatory authorities with a company. |
| Manager/Supervisor                     | PCMP_MGR_SUPER     | Workforce Monitoring, Professional Compliance, Maintain Program, Assign Manager/Supervisor/RI, Manager/Supervisor  | Assign regulated individuals to compliance managers/supervisors.                                                         |

## Defining Professional Compliance Types

Access the PC Type page.

The screenshot shows the 'PC Type' page with 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

### Professional Compliance Type

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

### See Also

*PeopleSoft Enterprise HRMS 9.0 Application Fundamentals PeopleBook*, “Working with System Data Regulation in HRMS”

## Defining Regulatory Authorities

Access the Reg Authority page.

Reg Authority page

**Professional Compliance Type**

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

**Regulatory Authority**

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

---

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

---

**See Also**

*PeopleSoft Enterprise HRMS 9.0 Application Fundamentals PeopleBook*, “Working with System Data Regulation in HRMS”

## Setting Up Regulatory Authority Classifications

Access the Classification page.

Reg Authority Address **Classification** Notifications

**Professional Compliance Type:** KG1 Financial

**Regulatory Authority:** KG01

**Description:** Standard Financial Regulatory Authority

| Classification   |                                                                                                                                                                                                               |  | Find   View All | First | 1 of 3 | Last |
|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------|-------|--------|------|
| *Classification: | LEVEL1                                                                                                                                                                                                        |  |                 |       |        |      |
| *Description:    | New Entrant                                                                                                                                                                                                   |  |                 |       |        |      |
| Comments:        | Individuals with little or no experience within the financial services industry. These individuals are not permitted to sell products directly to customers, or conduct unsupervised meetings with customers. |  |                 |       |        |      |

Classification page

**Classification**

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

## Entering Company Compliance Details

Access the Regulation page.

Regulation **Products** Compliance Plan

**Company:** CFA Canadian Company CFA

| Company Compliance             |  | Find   View All | First | 1 of 1 | Last |
|--------------------------------|--|-----------------|-------|--------|------|
| *Professional Compliance Type: |  |                 |       |        |      |
| *Regulatory Authority:         |  |                 |       |        |      |

| Compliance Details |            | Find   View All | First  | 1 of 1 | Last |
|--------------------|------------|-----------------|--------|--------|------|
| Effective Date:    | 06/13/2006 | Status:         | Active |        |      |
| Reference Number:  |            |                 |        |        |      |
| Contact Name:      |            |                 |        |        |      |

Regulation page

## Company Compliance

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

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

## Compliance Details

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

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

## Assigning Regulated Individuals to Compliance Managers/Supervisors

Access the Manager/Supervisor page.

**Manager/Supervisor**

**EmplID:** KG0002      Dewi Hopkins

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

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

\***EmplID:** HGPC02 Barry Theakston

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

**Professional Compliance Type:** KG1 Financial

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

**Assignment Status** Find | View All First 1 of 1 Last

**Status Date:** 07/09/2001

**RI Status:** Active

Manager/Supervisor page

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

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

## Assignment Status

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

**RI Status**

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

## (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.

The screenshot shows the 'Compliance Plan' page in the Oracle system. At the top, there are three tabs: 'Regulation', 'Products', and 'Compliance Plan'. The 'Compliance Plan' tab is selected. Below the tabs, the 'Company' is listed as 'KG1 Business Institute - UK'. The main section is titled 'Company Compliance Plan' and includes a search bar with 'Find | View All' and navigation buttons for 'First', '1 of 1', and 'Last'. The form contains the following fields:

- \*Compliance Plan Year:** 2000
- \*Compliance Plan Description:** SFRA COMPLIANCE PLAN 2000
- Plan Area:** SUPERVISION
- \*Sequence Number:** 1
- Notes:** All Level 1 and Level 2 individuals will undertake formal development plans which will be fully supervised. Any refresher or remedial training will also be identified and applied. Continual professional development for Level 3 individuals will also be agreed and monitored.

Compliance Plan page

## Company Compliance Plan

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

### Plan Area

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

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

### See Also

*PeopleSoft Enterprise HRMS 9.0 Application Fundamentals PeopleBook*, “PeopleSoft Application Fundamentals for HRMS Reports,” Manage Professional Compliance Reports

## CHAPTER 3

# Defining Development Plans

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

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

---

## Understanding Development Plans

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

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

---

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

---

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

## Prerequisites

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

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

---

## Setting Up a Development Plan

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

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

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

## Understanding Development Plan Setup

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

To create a development plan:

1. Identify the appropriate accomplishments using the 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.

---

## See Also

*PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Manage Profiles*, “PeopleSoft Enterprise Human Resources PeopleBook Manage Profiles Preface”

*PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Administer Training*

[Chapter 2, “Setting Up Manage Professional Compliance,” Defining Professional Compliance Types, page 11](#)

*PeopleSoft Enterprise HRMS 9.0 Application Fundamentals PeopleBook*, “PeopleSoft Application Fundamentals for HRMS Reports,” Manage Professional Compliance Reports

[Chapter 4, “Entering and Maintaining Regulated Individual Data,” Enrolling Regulated Individuals in Development Plans, page 31](#)

## Pages Used to Set Up Development Plans

| Page Name                                          | Object Name   | Navigation                                                                                                                    | Usage                                                                                                            |
|----------------------------------------------------|---------------|-------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| Dev Accomplishment<br>(development accomplishment) | PCMP_DEV_ACPS | Workforce Monitoring,<br>Professional Compliance,<br>Define Development<br>Information, Accomplishment, Dev<br>Accomplishment | Identify accomplishments<br>that you want to add to the<br>development plan.                                     |
| Dev Competency<br>(development competency)         | PCMP_DEV_COMP | Workforce Monitoring,<br>Professional Compliance,<br>Define Development<br>Information, Competency,<br>Dev Competency         | Identify competencies that<br>you want to add to the<br>development plan.                                        |
| Dev Course (development<br>course)                 | PCMP_DEV_CRSE | Workforce Monitoring,<br>Professional Compliance,<br>Define Development<br>Information, Training<br>Course, Dev Course        | Identify courses that<br>you want to add to the<br>development plan.                                             |
| Dev Activity (development<br>activity)             | PCMP_DEV_ACT  | Workforce Monitoring,<br>Professional Compliance,<br>Define Development<br>Information, Activity, Dev<br>Activity             | Define the activities that<br>you want to add to the<br>development plan.                                        |
| Development Plan                                   | PCMP_DEV_PLAN | Workforce Monitoring,<br>Professional Compliance,<br>Define Development<br>Information, Development<br>Plan, Development Plan | Assemble a development<br>plan from the list of<br>accomplishments,<br>competencies, courses, and<br>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. You can select from items with these content types: test, degree, licenses/certificates, membership, NVQ, language, and honor/award.

**Renewal**

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

**Length**

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

**Period**

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

**See Also**

*PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Manage Profiles*, “Setting Up the Content Catalog”

## Identifying Competencies

Access the Dev Competency page.

Dev Competency

SetID: C Contract Employee

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

Dev Competency page

**Competency**

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

## See Also

*PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Manage Profiles*, “Setting Up the Content Catalog”

## Identifying Development Courses

Access the Dev Course page.

**Dev Course**

**SetID:** C Contract Employee

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

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**

**SetID:** C Contract Employee

| *Development Activity | Description                 |   |   |
|-----------------------|-----------------------------|---|---|
| K01                   | Read industry literature    | + | - |
| K02                   | Attend industry conferences | + | - |

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

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

**Professional Compliance Type:** Health & Safety Compliance

**Regulatory Authority:** National First Aid Standards

**Classification:** Non-Qualified First Aider

| Development Area                                     |                   |                                |   |   |
|------------------------------------------------------|-------------------|--------------------------------|---|---|
| Customize   Find   View All    First  1-4 of 4  Last |                   |                                |   |   |
| Development Type                                     | *Development Area | Description                    |   |   |
| Accomp                                               | 3005              | General Physical               | + | - |
| Accomp                                               | CPR               | Cardio Pulmonary Resuscitation | + | - |
| Competenc                                            | 1122              | Aids/HIV Awareness             | + | - |
| Competenc                                            | 9101              | First Aid: Emergency Care      | + | - |

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.

|                                     |                                                                                                                                                                             |
|-------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Professional Compliance Type</b> | 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. |
| <b>Regulatory Authority</b>         | Displays the regulatory authority that you entered to access the page . To define regulatory authorities, use the Reg Authority (regulatory authority) page.                |
| <b>Classification</b>               | Displays the classification that you entered to access the page. To define the classifications, use the Classification page.                                                |

## Development Area

|                         |                                                                                                                                                                                                                                                                                            |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Development Type</b> | Select a development element that you want to include in the development plan: <i>Accomp</i> (accomplishment), <i>Activity</i> , <i>Competency</i> , or <i>Course</i> .                                                                                                                    |
| <b>Development Area</b> | Select the specific development elements (accomplishment, competency, activity or course) that you want to include in the development plan. You can select from the elements that are defined for the SetID on the Dev Accomplishment, Dev Competency, Dev Course, and Dev Activity pages. |

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

**See Also**

[Chapter 2, “Setting Up Manage Professional Compliance,” Defining Professional Compliance Types, page 11](#)

[Chapter 2, “Setting Up Manage Professional Compliance,” Defining Regulatory Authorities, page 11](#)

[Chapter 2, “Setting Up Manage Professional Compliance,” Setting Up Regulatory Authority Classifications, page 12](#)

[Chapter 4, “Entering and Maintaining Regulated Individual Data,” page 25](#)

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## Running a Compliance Plan Report

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

### Page Used to Run a Compliance Plan Report

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



## CHAPTER 4

# Entering and Maintaining Regulated Individual Data

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

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

---

## Understanding Regulated Individual Data

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

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

## Common Elements Used in This Chapter

### Classification

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

|                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Professional Compliance Type</b> | <p>Define classifications on the Classification page.</p> <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 (professional compliance type) page.</p> |
| <b>Regulatory Authority</b>         | <p>Body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field.</p> <p>Define regulatory authorities on the Regulatory Authority page.</p>                                                                                                                                                                                            |

---

## Bringing Regulated Individuals into the Compliance Process

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

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

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

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

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

- Automatic entry during the Hire process.

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

- Manual entry.

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

---

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

---

See [Chapter 6, “Setting Up Notifications in Manage Professional Compliance Business Process,” page 61.](#)

## Understanding PeopleSoft Integration Broker

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

### See Also

[Chapter 2, “Setting Up Manage Professional Compliance,” Using Integration Points in Manage Professional Compliance, page 8](#)

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

To manually enter an individual:

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

### See Also

[Chapter 2, “Setting Up Manage Professional Compliance,” Assigning Regulated Individuals to Compliance Managers/Supervisors, page 14](#)

## Setting Up Default Compliance Types

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

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

Define professional compliance types on the PC Type page.

## See Also

Chapter 2, “Setting Up Manage Professional Compliance,” Defining Professional Compliance Types, page 11

## Adding Regulated Individuals to the Compliance Process

Access the RI page.

**RI** **RI Product**

**EmplID:** B-BARET205 Wanda Crawford

**Empl Rcd Nbr:** 1

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

\*Professional Compliance Type:

**Regulatory Authority:**

**Date Registered:** 06/09/2006

**Business Unit:** BN1BU Cobra Business Unit

RI page

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

---

## Assigning Regulated Individuals to Supervisors

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

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

---

## Defining Classifications of Regulated Individuals

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

This section discusses how to define classifications of regulated individuals.

### See Also

[Chapter 2, "Setting Up Manage Professional Compliance," Setting Up Regulatory Authority Classifications, page 12](#)

## Page Used to Define Classifications of Regulated Individuals

| 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 Classifications of Regulated Individuals

Access the RI Classification page.

**RI Classification**

HGPC02

Barry Theakston

Empl Rcd#: 0

**Prof Compliance Type:** KG1
 Financial

**RI Status:** Active

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

**Classification**
Find | View All
 First 1 of 1 Last

\*Effective Date:

07/09/2001

Classification:

LEVEL1

New Entrant

RI Classification page

## Enrolling Regulated Individuals in Development Plans

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

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

### Understanding the Process of Enrolling Individuals in Development Plans

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

To enroll an individual in a development plan, you:

1. Specify the ID of the individual whom you want to enroll in a development plan, on the Development Record page.  
You should have already specified the individual's professional compliance type (using either the RI page or the Jobcode Compliance page), defined the individual's regulatory authority on the RI page, and entered the individual's classification on the RI Classification page.
2. Enter the creation date and expected completion date of the development plan.
3. Load a preexisting development plan with all of its associated development area elements on the Development Area page.

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

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

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

## Pages Used to Enroll Regulated Individuals in Development Plans

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

## Creating Development Records

Access the Development Record page.

Development Record

Development Area

EmplID

HGPC02

Barry Theakston

Empl Rcd#

0

Prof Compliance Type:

Financial

RI Status:

Active

Regulatory Authority:

Standard Financial Regulatory Authority

Development Record Details

Find | View All

First

1 of 1

Last

+

-

Classification:

New Entrant

Creation Date:

06/09/2006

31

Expected Completion Date:

31

Actual Completion Date:

Status:

Development Record page

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

## Development Record Details

|                                 |                                                                                                                                                                                         |
|---------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Creation Date</b>            | Enter the date on which you enrolled the regulated individual in the development plan.                                                                                                  |
| <b>Expected Completion Date</b> | Enter the expected completion date of the development plan.                                                                                                                             |
| <b>Actual Completion Date</b>   | Displays the date that you entered in the Actual Completion Date field on the RI Dev Review (regulated individual development review) page.                                             |
| <b>Status</b>                   | Displays the status that you entered on the RI Dev Review page.<br><br>See <a href="#">Chapter 5, “Monitoring Regulated Individuals,” Entering Development Review Details, page 44.</a> |

## Viewing and Adding Development Areas

Access the Development Area page.

Development Area page

|               |                                                                                                                                                        |
|---------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>EmplID</b> | 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

|                              |                                                                                                                                                                                                                                                                                                                                                                |
|------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Creation Date</b>         | Displays the creation date that you entered on the Development Record page.                                                                                                                                                                                                                                                                                    |
| <b>Load Development Plan</b> | Click this button to load by default elements that are associated with the regulated individual's classification level.<br><br>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

|                         |                                                                                                                                                                      |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Development Type</b> | Select the kind of development element that makes up your development plan: <i>Accomp</i> (accomplishment), <i>Activity</i> , <i>Competency</i> , or <i>Course</i> . |
| <b>Development Area</b> | Enter the specific development element (within each development type) to include in your development plan.                                                           |

---

## Reassigning Regulated Individuals to New Compliance Managers or Supervisors

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

This section discusses how to reassign regulated individuals.

### See Also

Chapter 2, "Setting Up Manage Professional Compliance," Assigning Regulated Individuals to Compliance Managers/Supervisors, page 14

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

| 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 regulated individuals to new compliance managers or supervisors. |

## 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: HGPC03 Stephanie Andrews

Regulatory Authority: KG02 Empl Rcd Nbr: 0

Supervisor: KG0009 Robin de la Camara

Reassign To

\*Supervisor: KC0031 Marcel Saint-Amand

Reassign RI page

## Reassignment Selection

### Regulated Individuals

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

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

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

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

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

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

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

5. To complete the reassignment of a single individual, identify the new supervisor in the Supervisor field of the Reassign To group box.  
(The Supervisor field becomes available when you select Regulated Individuals in the Reassignment Selection group box.)
6. To complete the reassignment of all individuals, identify the new supervisor in the Supervisor field of the Reassign To group box.
7. Run the reassignment process.

### **Compliance Supervisors**

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

1. In the Reassignment Option group box, select Single Individual to reassign a single supervisor to a new compliance manager, or select All Individuals to reassign all of the supervisors who belong to the current manager.
2. If you are reassigning a single individual, the Supervisor field in the Reassignment Option group box becomes available.  
Use this field to identify the supervisor whom you want to reassign.
3. If you are reassigning all of the supervisors under the care of a compliance manager, enter the manager who is currently in charge of these supervisors in the Manager field in the Reassignment Option group box.  
(This field is available only if you select All Individuals.)
4. To complete the reassignment of a single supervisor, enter the new compliance manager in the Manager field of the Reassign To group box.  
(The Manager field becomes available when you select Compliance Supervisors as your reassignment selection.)
5. To complete the reassignment of all supervisors belonging to a compliance manager, enter the new compliance manager in the Manager field of the Reassign To group box.
6. Run the reassignment process.

---

## **(GBR) Reviewing References and Prior Work Experience**

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

This section discusses how to:

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

## Pages Used to Review References and Prior Work Experience

| Page Name         | 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. This page is display-only.                                         |
| 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

EmplID: KU0015   Carmichael Espinosa

Find | View All   First 1 of 1 Last

Reference Number: 1

\*Date Contacted: 08/26/2004   \*Reference Type: Professnl

Reference Name:

Title:

Employer:

Comment:

Reference Profile page

## Reviewing Reference Addresses

Access the Reference Address page.

| Reference Profile                            |                              | Reference Address      |            |
|----------------------------------------------|------------------------------|------------------------|------------|
| <b>EmplID:</b>                               | KU0015                       | Carmichael Espinosa    |            |
| <div>Find   View All First 1 of 1 Last</div> |                              |                        |            |
| <b>Reference Number:</b>                     | 1                            | <b>Reference Name:</b> |            |
| <b>Country:</b>                              | GBR United Kingdom           | <b>Date Contacted:</b> | 08/26/2004 |
| <b>Address:</b>                              | <a href="#">Edit Address</a> |                        |            |
| <b>Phone:</b>                                |                              |                        |            |

Reference Address page

## Reviewing Prior Work Experience

Access the Prior Work page.

| Prior Work                                                         |                                                                                                                     |                          |                                                   |
|--------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|--------------------------|---------------------------------------------------|
| <b>EmplID</b>                                                      | HGPC03                                                                                                              | <b>Stephanie Andrews</b> | <b>Empl Rcd#</b> 0                                |
| <b>Prof Compliance Type:</b>                                       | UK Health & Safety                                                                                                  |                          | <b>RI Status:</b> Active                          |
| <b>Regulatory Authority:</b>                                       | UK First Aid Regulatory Authority                                                                                   |                          |                                                   |
| <div>Prior Work Experience Find   View All First 1 of 1 Last</div> |                                                                                                                     |                          |                                                   |
| <b>Sequence Number:</b>                                            | 1                                                                                                                   |                          |                                                   |
| <b>*Start/End Date:</b>                                            | 08/05/2002 31                                                                                                       | 04/29/2004 31            | <input type="checkbox"/> Relevant Work Experience |
| <b>Employer:</b>                                                   | Auto Care, Ltd.                                                                                                     |                          |                                                   |
| <b>Country:</b>                                                    | GBR United Kingdom                                                                                                  |                          |                                                   |
| <b>City:</b>                                                       | London                                                                                                              |                          |                                                   |
| <b>County:</b>                                                     | GT LON Greater London                                                                                               |                          |                                                   |
| <b>Phone:</b>                                                      |                                                                                                                     |                          |                                                   |
| <b>Ending Job Title:</b>                                           | Customer Service Manager                                                                                            |                          |                                                   |
| <b>Ending Pay Rate:</b>                                            | 4,000.00                                                                                                            | GBP                      | <b>*Pay Frequency:</b> Month                      |
|                                                                    | <input type="checkbox"/> Company Previously Regulated                                                               |                          |                                                   |
| <b>Previous Classification:</b>                                    |                                                                                                                     |                          |                                                   |
| <b>Reason for Leaving:</b>                                         | Company merger                                                                                                      |                          |                                                   |
| <b>Job Description:</b>                                            | Responsible for managing the Total Quality customer service program for all dealerships within the sales territory. |                          |                                                   |

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 5

# Monitoring Regulated Individuals

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

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

---

## Understanding the Monitoring Process

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

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

- **Reviews**

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

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

- **Observations**

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

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

- **Key Performance Indicators (KPIs)**

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

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

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

---

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

---

- Checks

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

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

- Inquiries

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

## See Also

Chapter 7, "Using Inquiry Pages," page 69

## Common Elements Used in This Chapter

### Classification

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

Define classifications on the Classification page.

### Professional Compliance Type

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

Define professional compliance types on the PC Type page.

### Regulatory Authority

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

Define regulatory authorities on the Regulatory Authority page.

## See Also

*PeopleSoft Enterprise HRMS 9.0 Application Fundamentals PeopleBook*, "Working with System Data Regulation in HRMS"

---

## Reviewing Regulated Individuals

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

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

### Understanding Regulated Individual Reviews

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

To review a regulated individual:

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

### See Also

[Chapter 3, "Defining Development Plans," page 17](#)

[Chapter 4, "Entering and Maintaining Regulated Individual Data," page 25](#)

[Chapter 7, "Using Inquiry Pages," page 69](#)

## Pages Used to Review Regulated Individuals

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

## Entering Development Review Details

Access the RI Dev Review page.

The screenshot displays the 'RI Dev Review' page for employee KG0004, Matabele Brooke. The page includes tabs for 'RI Dev Review' and 'RI Dev Area Review'. Key information shown includes:
 

- EmplID:** KG0004, **Empl Rcd#:** 0
- Prof Compliance Type:** UK Health & Safety, **RI Status:** Active
- Regulatory Authority:** UK First Aid Regulatory Authority
- Development Review Details:** A section with a 'Find | View All' link and pagination 'First 1 of 1 Last'. It contains:
  - Classification:** Non Qualified First Aider
  - Creation Date:** 01/03/2000, **Expected Completion Date:** 01/31/2000
  - Actual Completion Date:** 01/28/2000 (with a calendar icon), **Status:** Pass (in a dropdown menu)
  - Comments:** A text area containing '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.

|                               |                                                                                                    |
|-------------------------------|----------------------------------------------------------------------------------------------------|
| <b>Actual Completion Date</b> | Enter the actual completion date of the regulated individual's development plan.                   |
| <b>Status</b>                 | Select the status of the regulated individual relative to the broad goals of the development plan. |
| <b>Comments</b>               | Enter comments about the regulated individual's performance.                                       |

## Reviewing a Development Area

Access the RI Dev Area Review page.

The screenshot displays the 'RI Dev Area Review' page. At the top, there are two tabs: 'RI Dev Review' and 'RI Dev Area Review'. Below the tabs, the following information is displayed:

- EmplID:** KG0004, **Matabele Brooke**, **Empl Rcd#:** 0
- Prof Compliance Type:** UK Health & Safety, **RI Status:** Active
- Regulatory Authority:** UK First Aid Regulatory Authority

The main section is titled 'Development Review Details' and includes a 'Find | View All' link and a pagination indicator 'First 1 of 1 Last'. Below this, the following details are shown:

- Classification:** Non Qualified First Aider
- Creation Date:** 01/03/2000

Below the 'Development Review Details' section is the 'Development Area' section, which includes a 'Find | View All' link and a pagination indicator 'First 1 of 4 Last'. This section contains a table with the following data:

| Development Type | Development Area      |
|------------------|-----------------------|
| Accomp           | 3005 General Physical |

Below the table, there is a 'Status' dropdown menu set to 'Pass' and a 'Comments' text area containing the text 'No medical problems.'

RI Dev Area Review page

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

## See Also

[Chapter 3, “Defining Development Plans,” page 17](#)

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# Observing Regulated Individuals

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

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

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

## Understanding Regulated Individual Observations

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

To perform observations:

1. (Setup) Define observation elements using the Observation 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 worker’s observation history to see how they measure against all of the elements of the observation model on the RI Observation Reports page.

## See Also

[Chapter 7, “Using Inquiry Pages,” page 69](#)

## 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, Elements, 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 Monitoring, Professional Compliance, Reports, RI Observation                                   | Use the RI Observation report (PCMP003) to collect complete details of a regulated individual's observation. |

## Defining Observation Elements

Access the Element page.

**Element**

**SetID:** AUS Australia

| *Observation Element | *Description         |
|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> |

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

+

-

Element page

**Observation Element and Description**

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

## Constructing Observation Models

Access the Observation Model page.

**Observation Model** | Model Elements

**SetID:** GBR01 Set ID for GBR01

**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:

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.

+

-

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.

**SetID:** GBR01    [Set ID for GBR01](#)

**Observation Model**    [Find](#) | [View All](#)    First 1 of 1 Last

**Observation Model:** KG01

**Effective Date:** 01/01/2000    **Status:** Active

**Observation Element**    [Find](#) | [View All](#)    First 1 of 6 Last

**\*Observation Element:**  Reason for meeting    [+](#) [-](#)

☒ **Required**

**Comments:**

Did the individual explain everything to the customer so that there was a mutual understanding for the meeting ?

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.

| RI Observation                                                                                         |                                                              | Obs Elements           |                          |
|--------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|------------------------|--------------------------|
| <b>EmplID</b>                                                                                          | KG0004                                                       | <b>Matabele Brooke</b> | <b>Empl Rcd#</b> 0       |
| <b>Prof Compliance Type:</b>                                                                           | UK Health & Safety                                           |                        | <b>RI Status:</b> Active |
| <b>Regulatory Authority:</b>                                                                           | UK First Aid Regulatory Authority                            |                        |                          |
| <b>Observation Details</b> <span style="float: right;">Find   View All    First ◀ 1 of 1 ▶ Last</span> |                                                              |                        |                          |
| <b>Classification:</b>                                                                                 | Qualified First Aider <span style="float: right;">+ -</span> |                        |                          |
| <b>*Observation Date:</b>                                                                              | 10/12/2006 <span style="float: right;">31</span>             |                        |                          |
| <b>*Observation Model:</b>                                                                             | <input type="text"/>                                         | <b>Status:</b>         | <input type="text"/>     |
| <b>Comments:</b>                                                                                       |                                                              |                        |                          |
| <div style="border: 1px solid black; height: 40px;"></div>                                             |                                                              |                        |                          |

RI Observation page

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

## Entering Observation Details

Access the Obs Elements page.

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

- EmplID:** KG0004, **Name:** Matabele Brooke, **Empl Rcd#:** 0
- Prof Compliance Type:** UK Health & Safety, **RI Status:** Active
- Regulatory Authority:** UK First Aid Regulatory Authority

The 'Observation Details' section shows:

- Classification:** Qualified First Aider
- Observation Date:** 10/12/2006, **Observation Model:** KG02

The 'Observation Element' section shows:

- Observation Element:** KG07, **Description:** Remained calm
- Required:** ☒
- Status:** Pass (selected from a dropdown menu)
- Comments:** (empty text area)

Obs Elements page

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

## (GBR) Monitoring KPIs

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

This section discusses how to:

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

## Understanding Monitoring KPIs

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

---

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

---

Performance indicator categories are:

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

To set up and use performance indicators:

1. Define complaint types on the Complaint Type page.

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

2. Register complaints against an individual on the RI 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.

## 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 Monitoring, Professional Compliance, Define Compliance Information, Company Compliance, Products   | Associate products with the companies that provide them.                                |
| KPI Review (key performance indicator review)         | PCMP_RI_KPI_REV   | Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Key Perf Indctr Rvw, KPI Review     | Enter KPI review details.                                                               |
| KPI Statistics (key performance indicator statistics) | PCMP_RI_KPI_REV2  | Workforce Monitoring, Professional Compliance, Monitor Progress, Conduct Key Perf Indctr Rvw, KPI Statistics | Define KPI statistics for the individual whose performance you want to measure.         |

## Defining Complaint Types

Access the Complaint Type page.

**Complaint Type**

**SetID:** GB Overseas Private Investment Co

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

First 1 of 1 Last

Customize | Find | View All | + | -

Complaint Type page

**Complaint Type and Complaint Description**

Enter a complaint type code and description.

## Registering Complaints

Access the RI Complaint page.

The screenshot displays the 'RI Complaint' page. At the top, there is a tab labeled 'RI Complaint'. Below this, the following information is shown:

- EmplID:** KG0004, **Matabele Brooke**, **Empl Rcd#:** 0
- Prof Compliance Type:** UK Health & Safety, **RI Status:** Active
- Regulatory Authority:** UK First Aid Regulatory Authority

Below this information is a section titled 'Regulated Individual Complaint' with a search bar and navigation controls. The search bar contains 'KG03' and a magnifying glass icon. To the right of the search bar, it says 'Not qualified'. Below the search bar, there is a date field with '06/09/2006' and a calendar icon. To the right of the date field, it says '31'. Below the date field, there is a text area with the comment 'Assigned to First Aid training program.'.

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.

**Product Type**

**SetID:** GBR01 Set ID for GBR01

**\*Product Type:**

**\*Description:**

| Product  |                          | First | 1-3 of 3 | Last |
|----------|--------------------------|-------|----------|------|
| *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.

**Regulation** **Products** **Compliance Plan**

**Company:** CT Commodity Futures Trading Comm

**Company Product Range** Find | View All First 1 of 1 Last

**\*Product Type:**

**\*Product:**

**Status** Find | View All First 1 of 1 Last

**Effective Date:**  **Status:**

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** **KPI Statistics**

**EmplID** KG0004 **Matabele Brooke** **Empl Rcd#** 0

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

**Regulatory Authority:** UK First Aid Regulatory Authority

**KPI Review Details** [Find](#) | [View All](#) First 1 of 1 Last

**Classification:** Qualified First Aider

**Supervisor:** Robin de la Camara

**\*Review Date:** 06/09/2006

**Frequency Type:** Quarterly

**Comments:**

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

EmplID

KG0004

Matabele Brooke

Empl Rcd#

0

KPI Review Details

Find | View All

First

1 of 1

Last

Review Date:

06/09/2006

Complaints

From Date:

To Date:

Number of Complaints:

0

Persistency

From Date:

To Date:

| Product Type | Product | Percentage |
|--------------|---------|------------|
|              |         |            |

Spread of Business

From Date:

To Date:

| Product Type | Balance of Advice |
|--------------|-------------------|
|              |                   |

Not Taken Up (NTUs)

From Date:

To Date:

| Product Type | Product | Percentage |
|--------------|---------|------------|
|              |         |            |

Factfind Completion

From Date:

To Date:

Percentage:

KPI Statistics page

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

## Complaints

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

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

## 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

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

## Not Taken Up (NTUs)

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

## Factfind Completion

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

---

## Setting Up and Entering Check Details

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

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

- Define check types.
- Enter check data.

## Understanding Check Detail Setup and Usage

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

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

To set up and use checks:

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

- Review the individual's check history on the RI Checks History (regulated individual checks history) page.

### See Also

Chapter 7, "Using Inquiry Pages," page 69

## 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, 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**

**SetID:** C Contract Employee

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

Check Type page

### Check Type

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

## Entering Check Data

Access the RI Check page.

**RI Check**

**EmplID:** HGPC03      Stephanie Andrews      **Empl Rcd#:** 0

**Prof Compliance Type:** KG2      UK Health & Safety      **RI Status:** Active

**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** Robin de la Camara

**\*Check Date:** 06/09/2006

**\*Check Type:** KG01 Financial Background Check

**Status:** Pass

**Comments:**

RI Check page

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

## CHAPTER 6

# Setting Up Notifications in Manage Professional Compliance Business Process

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

---

## Understanding Notifications in the Manage Professional Compliance Business Process

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

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

- Hire.

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

- RI add (regulated individual add).

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

- Classification change.

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

- Job change.

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

- Termination.

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

- Recertification.

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

### See Also

Chapter 4, "Entering and Maintaining Regulated Individual Data," page 25

## Identifying Notification Formats and Messages

This section discusses how to identify notification formats and messages.

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

- Message text
- Action line
- Time requirement

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

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

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

| 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 4, "Entering and Maintaining Regulated Individual Data," page 25

## Setting Up Notifications

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

This section discusses how to:

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

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

### See Also

Chapter 6, “Setting Up Notifications in Manage Professional Compliance Business Process,” Understanding Notifications in the Manage Professional Compliance Business Process, page 61

## 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. |
| Admin Re-Certs (administer recertification) | PCMP_RECERT_AE     | Workforce Monitoring, Professional Compliance, Monitor Progress, Notify Re-Certifications, Admin Re-Certs        | Create a recertification notification.                                                         |

## Creating a Hire Notification

Access the Compliance Type - Notification page.

| PC Type                                                                                                                       | Notification |
|-------------------------------------------------------------------------------------------------------------------------------|--------------|
| <b>Professional Compliance Type:</b> KG1   Financial                                                                          |              |
| <input checked="" type="checkbox"/> <b>Hire</b>                                                                               |              |
| <b>Notification Message</b><br><input type="text" value="Employee/Non-Employee has entered financial compliance programme."/> |              |
| <b>Notification Action</b><br><input type="text" value="Set regulatory authority."/>                                          |              |
| <b>Action Time Limit (Days):</b> <input type="text" value="1"/>                                                               |              |

Compliance Type - Notification page

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

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

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

## See Also

Chapter 4, "Entering and Maintaining Regulated Individual Data," page 25

## Creating an RI Add Notification

Access the Regulatory Authority - Notifications page.

| Reg Authority                                                                                                  | Address | Classification | Notifications |
|----------------------------------------------------------------------------------------------------------------|---------|----------------|---------------|
| <b>Professional Compliance Type:</b> KG1 Financial                                                             |         |                |               |
| <b>Regulatory Authority:</b> KG01                                                                              |         |                |               |
| <b>Description:</b> Standard Financial Regulatory Authority                                                    |         |                |               |
| <b>Add</b>                                                                                                     |         |                |               |
| <input checked="" type="checkbox"/> <b>Add</b>                                                                 |         |                |               |
| <b>Notification Message</b><br>Employee/Non-Employee has begun SFRA compliance.                                |         |                |               |
| <b>Notification Action</b><br>Assign Compliance Supervisor & set classification level. Form SFRA01 to be sent. |         |                |               |
| <b>Action Time Limit (Days):</b> 7                                                                             |         |                |               |
| <b>Change of Classification</b>                                                                                |         |                |               |
| <input checked="" type="checkbox"/> <b>Change of Classification</b>                                            |         |                |               |
| <b>Notification Message</b><br>New SFRA classification level set for individual.                               |         |                |               |
| <b>Notification Action</b><br>Form SFRA02 needs to be sent.                                                    |         |                |               |
| <b>Action Time Limit (Days):</b> 10                                                                            |         |                |               |

Regulatory Authority - Notifications page (1 of 2)

|                                                                                                   |  |  |  |
|---------------------------------------------------------------------------------------------------|--|--|--|
| <b>Change in Job</b>                                                                              |  |  |  |
| <input checked="" type="checkbox"/> <b>Change in Job</b>                                          |  |  |  |
| <b>Notification Message</b><br>Change of responsibilities for SFRA individual.                    |  |  |  |
| <b>Notification Action</b><br>Form SFRA03 must be sent giving details.                            |  |  |  |
| <b>Action Time Limit (Days):</b> 5                                                                |  |  |  |
| <b>Job Termination</b>                                                                            |  |  |  |
| <input checked="" type="checkbox"/> <b>Job Termination</b>                                        |  |  |  |
| <b>Notification Message</b><br>Employee/Non-Employee no longer part of SFRA compliance programme. |  |  |  |
| <b>Notification Action</b><br>Form SFRA04 needs to be sent.                                       |  |  |  |
| <b>Action Time Limit (Days):</b> 3                                                                |  |  |  |

Regulatory Authority - Notifications page (2 of 2)

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

### See Also

Chapter 4, "Entering and Maintaining Regulated Individual Data," Defining Classifications of Regulated Individuals, page 30

*PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Administer Workforce*, "Increasing the Workforce," Entering Job Information

## Creating a Classification Change Notification

Access the Regulatory Authority - Notifications 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 4, "Entering and Maintaining Regulated Individual Data," Defining Classifications of Regulated Individuals, page 30

## Creating a Job Change Notification

Access the Regulatory Authority - Notifications 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 handler on the WORKFORCE\_SYNC service operation initiates notification based on the POS and XFR Action settings.

---

### See Also

*PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Administer Workforce*, "Updating Person and Job Information," Changing Job Data

## Creating a Termination Notification

Access the Regulatory Authority - Notifications 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 handler on the WORKFORCE\_SYNC service operation initiates notification based on the TDL, TER, TWB, and TWP Action settings.

---

## See Also

[Chapter 2, “Setting Up Manage Professional Compliance,” Assigning Regulated Individuals to Compliance Managers/Supervisors, page 14](#)

*PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Administer Workforce*, “Updating Person and Job Information,” Changing Job Data

## Creating a Recertification Notification

Access the Admin Re-Certs page.

Admin Re-Certs page

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

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

The recertification process can be broken into two steps:

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

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

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

---

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

---



## CHAPTER 7

# Using Inquiry Pages

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

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

---

## Understanding Inquiry Pages

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

- Review history
- Observation history
- Check history

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

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

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

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

- Status (RI Status page).
- Review history (RI Review History page).
- Observation history (RI 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 (RIAdmin Re-Certs page).

---

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

---

## See Also

*Enterprise PeopleTools PeopleBook: Security Administration*

Chapter 5, “Monitoring Regulated Individuals,” page 41

## Common Elements Used in This Chapter

### Classification

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

Define classifications on the Classification page.

### Professional Compliance Type

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

Define professional compliance types on the PC Type page.

### Regulatory Authority

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

Define regulatory authorities on the Regulatory Authority page.

## See Also

*PeopleSoft Enterprise HRMS 9.0 Application Fundamentals PeopleBook*, “Working with System Data Regulation in HRMS”

---

## Viewing Regulated Individual Data for Supervisors

This section discusses how to:

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

## Pages Used to View Regulated Individual Data for Supervisors

| Page Name                                                 | Object Name        | Navigation                                                                                                             | Usage                        |
|-----------------------------------------------------------|--------------------|------------------------------------------------------------------------------------------------------------------------|------------------------------|
| RI Status (regulated individual status)                   | PCMP_RISTAT_INQ2   | Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Status, RI Status                     | View development status.     |
| RI Review History (regulated individual review history)   | PCMP_RIREV_INQ     | Workforce Monitoring, Professional Compliance, Review Compliance Information, RI Review History, RI Review History     | View review history.         |
| RI 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, RI Re-Certifications, RI Recertification | View recertification status. |

## Viewing Development Status

Access the RI Status page.

The screenshot shows the 'RI Status' page. At the top, there is a tab labeled 'RI Status'. Below the tab is a header bar with 'Customize | Find |' and navigation controls 'First', '1 of 1', and 'Last'. The main content area contains a table with the following columns: 'Name', 'Regulatory Authority', 'Classification', 'EmplID', 'Empl Rcd Nbr', 'Name', and 'Effective Date'. The table has one data row with the following values: '0', '0', and an empty cell.

RI Status page

### Name Tab

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

### Regulatory Authority Tab

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

## Classification Tab

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

## See Also

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

[Chapter 3, “Defining Development Plans,” page 17](#)

## Viewing Review History

Access the RI Review History page.

**RI Review History**

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

| Customize   Find  First  1 of 1  Last |                          |                        |        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|------------------------|--------|
| Creation Date                                                                                                                                                                                                                                                                                  | Expected Completion Date | Actual Completion Date | Status |
| 01/03/2000                                                                                                                                                                                                                                                                                     | 01/31/2000               | 01/28/2000             | Pass   |

RI Review History page

|                                 |                                                                                                                                                               |
|---------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Creation Date</b>            | Displays the creation date of the regulated individual’s development plan that you entered on the Development Record page.                                    |
| <b>Expected Completion Date</b> | Displays the expected completion date of the regulated individual’s development plan that you entered on the Development Record page.                         |
| <b>Actual Completion Date</b>   | Displays the actual completion date of the regulated individual’s development plan that you entered on the RI Dev Review page.                                |
| <b>Status</b>                   | Displays the regulated individual’s status relative to the development goals in the individual’s development plan that you entered on the RI Dev Review page. |

## See Also

[Chapter 3, “Defining Development Plans,” page 17](#)

[Chapter 5, “Monitoring Regulated Individuals,” page 41](#)

[Chapter 4, “Entering and Maintaining Regulated Individual Data,” page 25](#)

## Viewing Observation History

Access the RI Observations page.

RI Observations

EmplID:

KG0004

Matabele Brooke

Prof Compliance Type:

UK Health & Safety

RI Status: Active

Regulatory Authority:

UK First Aid Regulatory Authority

Customize | Find | 

First 1 of 1 Last

| Observation Date | Observation Model | Description           | Status |
|------------------|-------------------|-----------------------|--------|
| 09/17/2004       | KG02              | First Aid Observation | Pass   |

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 5, "Monitoring Regulated Individuals," page 41](#)

## Reviewing Check History

Access the RI Checks page.

RI Checks

EmplID:

KG0005

Seamus O'Flaherty

Prof Compliance Type:

Financial

RI Status: Active

Regulatory Authority:

Standard Financial Regulatory Authority

Customize | Find | 

First  1-3 of 3  Last

| Check Type | Description                | Check Date | Status |
|------------|----------------------------|------------|--------|
| KG03       | Financial Stability Check  | 01/05/2001 | Pass   |
| KG01       | Financial Background Check | 01/21/2000 | Pass   |
| KG02       | Security Check             | 01/21/2000 | Pass   |

RI Checks page

- Check Type** 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 5, "Monitoring Regulated Individuals," page 41](#)

## Viewing Recertification Status

Access the RI Recertification page.

RI Recertification page

### Name Tab

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

### Re-Certification Tab

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

---

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

---

### See Also

*PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Manage Profiles*, “Managing Profiles”

*PeopleSoft Enterprise Human Resources 9.0 PeopleBook: Administer Training*

[Chapter 3, “Defining Development Plans,” page 17](#)

[Chapter 6, “Setting Up Notifications in Manage Professional Compliance Business Process,” page 61](#)

---

## 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, Unassigned RIs       | Identify unassigned regulated individuals.                    |
| Admin RI Status (administration regulated individual status) | PCMP_RISTAT_INQ    | Workforce Monitoring, Professional Compliance, Review Compliance Information, Admin RI Status, RI Status           | View the development status of all regulated individuals.     |
| RI Re-Certs (regulated individual recertifications)          | PCMP_RI_RECERTINQ2 | Workforce Monitoring, Professional Compliance, Review Compliance Information, Admin Re-Certifications, RI Re-Certs | 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                    | David Barnes |

Unassigned RIs page (1 of 2)

| Unassigned RIs |                      |                              |                      |
|----------------|----------------------|------------------------------|----------------------|
| Name           | Regulatory Authority |                              |                      |
| EmplID         | Empl Rcd Nbr         | Professional Compliance Type | Regulatory Authority |
| KG0012         | 0                    | Financial                    |                      |

Unassigned RIs page (2 of 2)

### Name Tab

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

### Regulatory Authority Tab

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

---

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

---

# Glossary of PeopleSoft Enterprise Terms

|                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>absence entitlement</b>   | 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.                                                                                                                                                                                                                                               |
| <b>absence take</b>          | This element defines the conditions that must be met before a payee is entitled to take paid time off.                                                                                                                                                                                                                                                                                                                                                                      |
| <b>academic career</b>       | In PeopleSoft Enterprise Campus Solutions, all course work that a student undertakes at an academic institution and that is grouped in a single student record. For example, a university that has an undergraduate school, a graduate school, and various professional schools might define several academic careers—an undergraduate career, a graduate career, and separate careers for each professional school (law school, medical school, dental school, and so on). |
| <b>academic institution</b>  | In PeopleSoft Enterprise Campus Solutions, an entity (such as a university or college) that is independent of other similar entities and that has its own set of rules and business processes.                                                                                                                                                                                                                                                                              |
| <b>academic organization</b> | In PeopleSoft Enterprise Campus Solutions, an entity that is part of the administrative structure within an academic institution. At the lowest level, an academic organization might be an academic department. At the highest level, an academic organization can represent a division.                                                                                                                                                                                   |
| <b>academic plan</b>         | In PeopleSoft Enterprise Campus Solutions, an area of study—such as a major, minor, or specialization—that exists within an academic program or academic career.                                                                                                                                                                                                                                                                                                            |
| <b>academic program</b>      | In PeopleSoft Enterprise Campus Solutions, the entity to which a student applies and is admitted and from which the student graduates.                                                                                                                                                                                                                                                                                                                                      |
| <b>accounting class</b>      | 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.                                                                  |
| <b>accounting date</b>       | 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. |
| <b>accounting split</b>      | The accounting split method indicates how expenses are allocated or divided among one or more sets of accounting ChartFields.                                                                                                                                                                                                                                                                                                                                               |
| <b>accumulator</b>           | 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.                                                                                              |
| <b>action reason</b>         | 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 Enterprise Human Resources, PeopleSoft Enterprise Benefits                                                                                                                                  |

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|                                | Administration, PeopleSoft Enterprise Stock Administration, and the COBRA Administration feature of the Base Benefits business process.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>action template</b>         | In PeopleSoft Enterprise Receivables, outlines a set of escalating actions that the system or user performs based on the period of time that a customer or item has been in an action plan for a specific condition.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>activity</b>                | <p>In PeopleSoft Enterprise Learning Management, an instance of a catalog item (sometimes called a class) that is available for enrollment. The activity defines such things as the costs that are associated with the offering, enrollment limits and deadlines, and waitlisting capacities.</p> <p>In PeopleSoft Enterprise Performance Management, the work of an organization and the aggregation of actions that are used for activity-based costing.</p> <p>In PeopleSoft Enterprise Project Costing, the unit of work that provides a further breakdown of projects—usually into specific tasks.</p> <p>In PeopleSoft Workflow, a specific transaction that you might need to perform in a business process. Because it consists of the steps that are used to perform a transaction, it is also known as a step map.</p> |
| <b>address usage</b>           | In PeopleSoft Enterprise Campus Solutions, a grouping of address types defining the order in which the address types are used. For example, you might define an address usage code to process addresses in the following order: billing address, dormitory address, home address, and then work address.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>adjustment calendar</b>     | In PeopleSoft Enterprise Campus Solutions, the adjustment calendar controls how a particular charge is adjusted on a student's account when the student drops classes or withdraws from a term. The charge adjustment is based on how much time has elapsed from a predetermined date, and it is determined as a percentage of the original charge amount.                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>administrative function</b> | In PeopleSoft Enterprise Campus Solutions, a particular functional area that processes checklists, communication, and comments. The administrative function identifies which variable data is added to a person's checklist or communication record when a specific checklist code, communication category, or comment is assigned to the student. This key data enables you to trace that checklist, communication, or comment back to a specific processing event in a functional area.                                                                                                                                                                                                                                                                                                                                        |
| <b>admit type</b>              | In PeopleSoft Enterprise Campus Solutions, a designation used to distinguish first-year applications from transfer applications.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>agreement</b>               | In PeopleSoft Enterprise eSettlements, provides a way to group and specify processing options, such as payment terms, pay from a bank, and notifications by a buyer and supplier location combination.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>allocation rule</b>         | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>alternate account</b>       | A feature in PeopleSoft Enterprise 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>analysis database</b>       | In PeopleSoft Enterprise Campus Solutions, database tables that store large amounts of student information that may not appear in standard report formats. The analysis database tables contain keys for all objects in a report that an application program can use to reference other student-record objects that are not contained in the printed report. For instance, the analysis database contains data on courses that are considered                                                                                                                                                                                                                                                                                                                                                                                    |

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|                               | for satisfying a requirement but that are rejected. It also contains information on courses captured by global limits. An analysis database is used in PeopleSoft Enterprise Academic Advisement.                                                                                                           |
| <b>Application Messaging</b>  | PeopleSoft Application Messaging enables applications within the PeopleSoft Enterprise product family to communicate synchronously or asynchronously with other PeopleSoft Enterprise and third-party applications. An application message defines the records and fields to be published or subscribed to. |
| <b>AR specialist</b>          | Abbreviation for <i>receivables specialist</i> . In PeopleSoft Enterprise Receivables, an individual in who tracks and resolves deductions and disputed items.                                                                                                                                              |
| <b>arbitration plan</b>       | The arbiter when multiple price rules match the transaction. This plan determines the order in which the price rules are applied to the transaction base price.                                                                                                                                             |
| <b>assessment rule</b>        | In PeopleSoft Enterprise Receivables, a user-defined rule that the system uses to evaluate the condition of a customer's account or of individual items to determine whether to generate a follow-up action.                                                                                                |
| <b>asset class</b>            | An asset group used for reporting purposes. It can be used in conjunction with the asset category to refine asset classification.                                                                                                                                                                           |
| <b>attribute/value pair</b>   | In PeopleSoft Enterprise Directory Interface, relates the data that makes up an entry in the directory information tree.                                                                                                                                                                                    |
| <b>auction event</b>          | In PeopleSoft Strategic Sourcing, a sourcing event where bidders actively compete against one another to achieve the best price or score.                                                                                                                                                                   |
| <b>audience</b>               | In PeopleSoft Enterprise Campus Solutions, a segment of the database that relates to an initiative, or a membership organization that is based on constituent attributes rather than a dues-paying structure. Examples of audiences include the Class of '65 and Undergraduate Arts & Sciences.             |
| <b>authentication server</b>  | A server that is set up to verify users of the system.                                                                                                                                                                                                                                                      |
| <b>base time period</b>       | In PeopleSoft Enterprise Business Planning, the lowest level time period in a calendar.                                                                                                                                                                                                                     |
| <b>benchmark job</b>          | In PeopleSoft Enterprise Workforce Analytics Solution, a benchmark job is a job code for which there is corresponding salary survey data from published, third-party sources.                                                                                                                               |
| <b>bid response</b>           | In PeopleSoft Strategic Sourcing, the response by a bidder to an event.                                                                                                                                                                                                                                     |
| <b>billing career</b>         | In PeopleSoft Enterprise Campus Solutions, the one career under which other careers are grouped for billing purposes if a student is active simultaneously in multiple careers.                                                                                                                             |
| <b>bio bit or bio brief</b>   | In PeopleSoft Enterprise Campus Solutions, a report that summarizes information stored in the system about a particular constituent. You can generate standard or specialized reports.                                                                                                                      |
| <b>book</b>                   | In PeopleSoft Enterprise Asset Management, used for storing financial and tax information, such as costs, depreciation attributes, and retirement information on assets.                                                                                                                                    |
| <b>branch</b>                 | A tree node that rolls up to nodes above it in the hierarchy, as defined in PeopleSoft Tree Manager.                                                                                                                                                                                                        |
| <b>budgetary account only</b> | 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."                                                                                                                 |

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| <b>budget check</b>              | In commitment control, the processing of source transactions against control budget ledgers, to see if they pass, fail, or pass with a warning.                                                                                                                                                                                                                                                              |
| <b>budget control</b>            | 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. |
| <b>budget period</b>             | 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.                                                                                                                                                |
| <b>business activity</b>         | The name of a subset of a detailed business process. This might be a specific transaction, task, or action that you perform in a business process.                                                                                                                                                                                                                                                           |
| <b>business event</b>            | <p>In PeopleSoft Enterprise Receivables, defines the processing characteristics for the Receivable Update process for a draft activity.</p> <p>In PeopleSoft Enterprise 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).</p>                                              |
| <b>business process</b>          | <p>A standard set of 17 business processes are defined and maintained by the PeopleSoft Enterprise product families and are supported by the Business Process Engineering group. An example of a business process is Order Fulfillment, which is a business process that manages sales orders and contracts, inventory, billing, and so forth.</p> <p>See also <i>detailed business process</i>.</p>         |
| <b>business unit constraints</b> | In PeopleSoft Strategic Sourcing, these constraints apply to a selected Strategic Sourcing business unit. Spend is tracked across all of the events within the selected Strategic Sourcing business unit.                                                                                                                                                                                                    |
| <b>business task</b>             | The name of the specific function depicted in one of the business processes.                                                                                                                                                                                                                                                                                                                                 |
| <b>business unit</b>             | A corporation or a subset of a corporation that is independent with regard to one or more operational or accounting functions.                                                                                                                                                                                                                                                                               |
| <b>buyer</b>                     | In PeopleSoft Enterprise eSettlements, an organization (or business unit, as opposed to an individual) that transacts with suppliers (vendors) within the system. A buyer creates payments for purchases that are made in the system.                                                                                                                                                                        |
| <b>buy event</b>                 | In PeopleSoft Strategic Sourcing, for event creators, the purchase of goods or services, most typically associated with a request for quote, proposal, or reverse auction. For bidders, the sale of goods or services.                                                                                                                                                                                       |
| <b>campus</b>                    | In PeopleSoft Enterprise Campus Solutions, an entity that is usually associated with a distinct physical administrative unit, that belongs to a single academic institution, that uses a unique course catalog, and that produces a common transcript for students within the same academic career.                                                                                                          |
| <b>cash drawer</b>               | A repository for monies and payments taken locally.                                                                                                                                                                                                                                                                                                                                                          |
| <b>catalog item</b>              | 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. A catalog item can have one or more learning activities.                                       |
| <b>catalog map</b>               | In PeopleSoft Enterprise Catalog Management, translates values from the catalog source data to the format of the company's catalog.                                                                                                                                                                                                                                                                          |

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| <b>catalog partner</b>             | In PeopleSoft Enterprise Catalog Management, shares responsibility with the enterprise catalog manager for maintaining catalog content.                                                                                                                                                                                            |
| <b>categorization</b>              | Associates partner offerings with catalog offerings and groups them into enterprise catalog categories.                                                                                                                                                                                                                            |
| <b>category</b>                    | In PeopleSoft Enterprise Campus Solutions, a broad grouping to which specific comments or communications (contexts) are assigned. Category codes are also linked to 3C access groups so that you can assign data-entry or view-only privileges across functions.                                                                   |
| <b>channel</b>                     | In PeopleSoft MultiChannel Framework, email, chat, voice (computer telephone integration [CTI]), or a generic event.                                                                                                                                                                                                               |
| <b>ChartField</b>                  | A field that stores a chart of accounts, resources, and so on, depending on the PeopleSoft Enterprise application. ChartField values represent individual account numbers, department codes, and so forth.                                                                                                                         |
| <b>ChartField balancing</b>        | You can require specific ChartFields to match up (balance) on the debit and the credit side of a transaction.                                                                                                                                                                                                                      |
| <b>ChartField combination edit</b> | The process of editing journal lines for valid ChartField combinations based on user-defined rules.                                                                                                                                                                                                                                |
| <b>ChartKey</b>                    | 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.                                                                                                                                                                                  |
| <b>checkbook</b>                   | In PeopleSoft Enterprise Promotions Management, enables you to view financial data (such as planned, incurred, and actual amounts) that is related to funds and trade promotions.                                                                                                                                                  |
| <b>checklist code</b>              | In PeopleSoft Enterprise Campus Solutions, a code that represents a list of planned or completed action items that can be assigned to a staff member, volunteer, or unit. Checklists enable you to view all action assignments on one page.                                                                                        |
| <b>claimback</b>                   | In the wholesale distribution industry, a contract between supplier and distributor, in which monies are paid to the distributor on the sale of specified products or product groups to targeted customers or customer groups.                                                                                                     |
| <b>class</b>                       | In PeopleSoft Enterprise Campus Solutions, a specific offering of a course component within an academic term.<br><br>See also <i>course</i> .                                                                                                                                                                                      |
| <b>Class ChartField</b>            | 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> .                                                                                                                     |
| <b>clearance</b>                   | In PeopleSoft Enterprise Campus Solutions, the period of time during which a constituent in PeopleSoft Enterprise Contributor Relations is approved for involvement in an initiative or an action. Clearances are used to prevent development officers from making multiple requests to a constituent during the same time period. |
| <b>clone</b>                       | 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.                                                                                                                                     |
| <b>cohort</b>                      | In PeopleSoft Enterprise Campus Solutions, the highest level of the three-level classification structure that you define for enrollment management. You can define a cohort level, link it to other levels, and set enrollment target numbers for it.<br><br>See also <i>population</i> and <i>division</i> .                      |

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| <b>collection</b>                      | 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, PeopleTools maintains a set of collections (one per language code) for each search index object. |
| <b>collection rule</b>                 | In PeopleSoft Enterprise Receivables, a user-defined rule that defines actions to take for a customer based on both the amount and the number of days past due for outstanding balances.                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>comm key</b>                        | See <i>communication key</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>communication key</b>               | In PeopleSoft Enterprise Campus Solutions, a single code for entering a combination of communication category, communication context, communication method, communication direction, and standard letter code. Communication keys (also called <i>comm keys</i> or <i>speed keys</i> ) can be created for background processes as well as for specific users.                                                                                                                                                                                                                                             |
| <b>compensation object</b>             | 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.                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>compensation structure</b>          | In PeopleSoft Enterprise Incentive Management, a hierarchical relationship of compensation objects that represents the compensation-related relationship between the objects.                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>component interface</b>             | A component interface is a set of application programming interfaces (APIs) that you can use to access and modify PeopleSoft Enterprise database information using a program instead of the PeopleSoft client.                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>condition</b>                       | In PeopleSoft Enterprise Receivables, occurs when there is a change of status for a customer's account, such as reaching a credit limit or exceeding a user-defined balance due.                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>configuration parameter catalog</b> | Used to configure an external system with PeopleSoft Enterprise. For example, a configuration parameter catalog might set up configuration and communication parameters for an external server.                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>configuration plan</b>              | 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.                                                                                                                                                                                                                                                                                                                                                        |
| <b>constituents</b>                    | In PeopleSoft Enterprise Campus Solutions, friends, alumni, organizations, foundations, or other entities affiliated with the institution, and about which the institution maintains information. The constituent types delivered with PeopleSoft Enterprise Contributor Relations Solutions are based on those defined by the Council for the Advancement and Support of Education (CASE).                                                                                                                                                                                                               |
| <b>constraint</b>                      | A business policy or rule that affects how a sourcing event is awarded. There are three types of constraints: business, global, and event.                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>content reference</b>               | 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.                                                                                                                                                                                                                                                                                                                                                                               |
| <b>context</b>                         | In PeopleCode, determines which buffer fields can be contextually referenced and which is the current row of data on each scroll level when a PeopleCode program is running.<br><br>In PeopleSoft Enterprise Campus Solutions, a specific instance of a comment or communication. One or more contexts are assigned to a category, which you link to                                                                                                                                                                                                                                                      |

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|                                | 3C access groups so that you can assign data-entry or view-only privileges across functions.                                                                                                                                                                                                                                                            |
|                                | 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.                                                                                                                                |
| <b>control table</b>           | Stores information that controls the processing of an application. This type of processing might be consistent throughout an organization, or it might be used only by portions of the organization for more limited sharing of data.                                                                                                                   |
| <b>cost plus contract line</b> | A rate-based contract line associated with a fee component of Award, Fixed, Incentive, or Other. Rate-based contract lines associated with a fee type of None are not considered cost-plus contract lines.                                                                                                                                              |
| <b>cost plus pricing</b>       | In PeopleSoft Enterprise Pricer, a pricing method that begins with cost of goods as the basis.                                                                                                                                                                                                                                                          |
| <b>cost profile</b>            | 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.                                                                                                     |
| <b>cost row</b>                | A cost transaction and amount for a set of ChartFields.                                                                                                                                                                                                                                                                                                 |
| <b>counter sale</b>            | A face-to-face customer transaction where the customer typically selects items from the storefront or picks up products that they ordered ahead of time. Customers pay for the goods at the counter and take the goods with them instead of having the goods shipped from a warehouse.                                                                  |
| <b>course</b>                  | In PeopleSoft Enterprise Campus Solutions, a course that is offered by a school and that is typically described in a course catalog. A course has a standard syllabus and credit level; however, these may be modified at the class level. Courses can contain multiple components such as lecture, discussion, and lab.<br><br>See also <i>class</i> . |
| <b>course share set</b>        | In PeopleSoft Enterprise Campus Solutions, a tag that defines a set of requirement groups that can share courses. Course share sets are used in PeopleSoft Enterprise Academic Advisement.                                                                                                                                                              |
| <b>current learning</b>        | In PeopleSoft Enterprise Learning Management, a self-service repository for all of a learner's in-progress learning activities and programs.                                                                                                                                                                                                            |
| <b>data acquisition</b>        | 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).                                                                                                                                                              |
| <b>data cube</b>               | In PeopleSoft Analytic Calculation Engine, a data cube is a container for one kind of data (such as Sales data) and works with in tandem with one or more dimensions. Dimensions and data cubes in PeopleSoft Analytic Calculation Engine are unrelated to dimensions and online analytical processing (OLAP) cubes in PeopleSoft Cube Manager.         |
| <b>data elements</b>           | Data elements, at their simplest level, define a subset of data and the rules by which to group them.<br><br>For Workforce Analytics, data elements are rules that tell the system what measures to retrieve about your workforce groups.                                                                                                               |
| <b>dataset</b>                 | A data grouping that enables role-based filtering and distribution of data. You can limit the range and quantity of data that is displayed for a user by associating dataset rules with user roles. The result of dataset rules is a set of data that is appropriate for the user's roles.                                                              |

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| <b>delivery method</b>            | <p>In PeopleSoft Enterprise Learning Management, identifies the primary type of delivery method in which a particular learning activity is offered. Also provides default values for the learning activity, such as cost and language. This is primarily used to help learners search the catalog for the type of delivery from which they learn best. Because PeopleSoft Enterprise Learning Management is a blended learning system, it does not enforce the delivery method.</p> <p>In PeopleSoft Enterprise Supply Chain Management, identifies the method by which goods are shipped to their destinations (such as truck, air, and rail). The delivery method is specified when creating shipment schedules.</p> |
| <b>delivery method type</b>       | In PeopleSoft Enterprise Learning Management, identifies how learning activities can be delivered—for example, through online learning, classroom instruction, seminars, books, and so forth—in an organization. The type determines whether the delivery method includes scheduled components.                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>detailed business process</b>  | A subset of the business process. For example, the detailed business process named Determine Cash Position is a subset of the business process called Cash Management.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>dimension</b>                  | <p>In PeopleSoft Analytic Calculation Engine, a dimension contains a list of one kind of data that can span various contexts, and it is a basic component of an analytic model. Within the analytic model, a dimension is attached to one or more data cubes. In PeopleSoft Cube Manager, a dimension is the most basic component of an OLAP cube and specifies the PeopleSoft metadata to be used to create the dimension's rollup structure. Dimensions and data cubes in PeopleSoft Analytic Calculation Engine are unrelated to dimensions and OLAP cubes in PeopleSoft Cube Manager.</p>                                                                                                                          |
| <b>direct receipt</b>             | Items shipped from a warehouse or vendor to another warehouse.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>direct ship</b>                | Items shipped from the vendor or warehouse directly to the customer (formerly referred to as <i>drop ship</i> ).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>directory information tree</b> | In PeopleSoft Enterprise Directory Interface, the representation of a directory's hierarchical structure.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>division</b>                   | <p>In PeopleSoft Enterprise Campus Solutions, the lowest level of the three-level classification structure that you define in PeopleSoft Enterprise Recruiting and Admissions for enrollment management. You can define a division level, link it to other levels, and set enrollment target numbers for it.</p> <p>See also <i>population</i> and <i>cohort</i>.</p>                                                                                                                                                                                                                                                                                                                                                  |
| <b>document sequencing</b>        | A flexible method that sequentially numbers the financial transactions (for example, bills, purchase orders, invoices, and payments) in the system for statutory reporting and for tracking commercial transaction activity.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>dynamic detail tree</b>        | A tree that takes its detail values—dynamic details—directly from a table in the database, rather than from a range of values that are entered by the user.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>edit table</b>                 | A table in the database that has its own record definition, such as the Department table. As fields are entered into a PeopleSoft Enterprise application, they can be validated against an edit table to ensure data integrity throughout the system.                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>effective date</b>             | A method of dating information in PeopleSoft Enterprise 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.                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>EIM ledger</b>                 | 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.                                                                                                                                                                                                                                                                                                                                                                        |

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| <b>elimination set</b>           | In PeopleSoft Enterprise General Ledger, a related group of intercompany accounts that is processed during consolidations.                                                                                                                                                                                                                                                                                                                                         |
| <b>entry event</b>               | In PeopleSoft Enterprise General Ledger, Receivables, Payables, Purchasing, and Billing, a business process that generates multiple debits and credits resulting from single transactions to produce standard, supplemental accounting entries.                                                                                                                                                                                                                    |
| <b>equitization</b>              | In PeopleSoft Enterprise General Ledger, a business process that enables parent companies to calculate the net income of subsidiaries on a monthly basis and adjust that amount to increase the investment amount and equity income amount before performing consolidations.                                                                                                                                                                                       |
| <b>equity item limit</b>         | In PeopleSoft Enterprise Campus Solutions, the amounts of funds set by the institution to be awarded with discretionary or gift funds. The limit could be reduced by amounts equal to such things as expected family contribution (EFC) or parent contribution. Students are packaged by Equity Item Type Groups and Related Equity Item Types. This limit can be used to assure that similar student populations are packaged equally.                            |
| <b>event</b>                     | <p>A predefined point either in the Component Processor flow or in the program flow. As each point is encountered, the event activates each component, triggering any PeopleCode program that is associated with that component and that event. Examples of events are FieldChange, SavePreChange, and RowDelete.</p> <p>In PeopleSoft Enterprise Human Resources, also refers to an incident that affects benefits eligibility.</p>                               |
| <b>event constraints</b>         | In PeopleSoft Strategic Sourcing, these constraints are associated with a specific sourcing event. Spend is tracked within the selected event.                                                                                                                                                                                                                                                                                                                     |
| <b>event propagation process</b> | In PeopleSoft Enterprise 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. PeopleSoft Enterprise Enterprise Sales Incentive Management uses this mechanism to implement splits, roll-ups, and so on. Event propagation determines who receives the credit.        |
| <b>exception</b>                 | In PeopleSoft Enterprise Receivables, an item that either is a deduction or is in dispute.                                                                                                                                                                                                                                                                                                                                                                         |
| <b>exclusive pricing</b>         | In PeopleSoft Enterprise Order Management, a type of arbitration plan that is associated with a price rule. Exclusive pricing is used to price sales order transactions.                                                                                                                                                                                                                                                                                           |
| <b>fact</b>                      | In PeopleSoft Enterprise 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.                                                                                                                                                            |
| <b>financial aid term</b>        | In PeopleSoft Enterprise Campus Solutions, a combination of a period of time that the school determines as an instructional accounting period and an academic career. It is created and defined during the setup process. Only terms eligible for financial aid are set up for each financial aid career.                                                                                                                                                          |
| <b>financial sanctions</b>       | <p>For U.S. based companies and their foreign subsidiaries, a federal regulation from the Office of Foreign Assets Control (OFAC) requires that vendors be validated against a Specially Designated Nationals (SDN) list prior to payment.</p> <p>For PeopleSoft Payables, eSettlements, Cash Management, and Order to Cash, you can validate your vendors against any financial sanctions list (for example, the SDN list, a European Union list, and so on).</p> |
| <b>forecast item</b>             | A logical entity with a unique set of descriptive demand and forecast data that is used as the basis to forecast demand. You create forecast items for a wide range of uses, but they ultimately represent things that you buy, sell, or use in your organization and for which you require a predictable usage.                                                                                                                                                   |

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| <b>fund</b>                 | In PeopleSoft Enterprise Promotions Management, a budget that can be used to fund promotional activity. There are four funding methods: top down, fixed accrual, rolling accrual, and zero-based accrual.                                                                                                                                                                                                                                                                                                         |
| <b>gap</b>                  | In PeopleSoft Enterprise Campus Solutions, an artificial figure that sets aside an amount of unmet financial aid need that is not funded with Title IV funds. A gap can be used to prevent fully funding any student to conserve funds, or it can be used to preserve unmet financial aid need so that institutional funds can be awarded.                                                                                                                                                                        |
| <b>generic process type</b> | 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.                                                                                                                                                                                                                                                                                                            |
| <b>gift table</b>           | In PeopleSoft Enterprise Campus Solutions, a table or so-called <i>donor pyramid</i> describing the number and size of gifts that you expect will be needed to successfully complete the campaign in PeopleSoft Enterprise Contributor Relations. The gift table enables you to estimate the number of donors and prospects that you need at each gift level to reach the campaign goal.                                                                                                                          |
| <b>GDS</b>                  | Abbreviation for <i>Global Distribution System</i> . Broad-based term to describe all computer reservation systems for making travel plans.                                                                                                                                                                                                                                                                                                                                                                       |
| <b>GL business unit</b>     | Abbreviation for <i>general ledger business unit</i> . A unit in an organization that is an independent entity for accounting purposes. It maintains its own set of accounting books.<br><br>See also <i>business unit</i> .                                                                                                                                                                                                                                                                                      |
| <b>GL entry template</b>    | Abbreviation for <i>general ledger entry template</i> . In PeopleSoft Enterprise Campus Solutions, a template that defines how a particular item is sent to the general ledger. An item-type maps to the general ledger, and the GL entry template can involve multiple general ledger accounts. The entry to the general ledger is further controlled by high-level flags that control the summarization and the type of accounting—that is, accrual or cash.                                                    |
| <b>GL Interface process</b> | Abbreviation for <i>General Ledger Interface process</i> . In PeopleSoft Enterprise Campus Solutions, a process that is used to send transactions from PeopleSoft Enterprise Student Financials to the general ledger. Item types are mapped to specific general ledger accounts, enabling transactions to move to the general ledger when the GL Interface process is run.                                                                                                                                       |
| <b>global constraints</b>   | In PeopleSoft Strategic Sourcing, these constraints apply across multiple Strategic Sourcing business units. Spend is tracked across all of the events from the multiple Strategic Sourcing business units.                                                                                                                                                                                                                                                                                                       |
| <b>group</b>                | In PeopleSoft Enterprise Billing and Receivables, a posting entity that comprises one or more transactions (items, deposits, payments, transfers, matches, or write-offs).<br><br>In PeopleSoft Enterprise Human Resources Management and Supply Chain Management, any set of records that are associated under a single name or variable to run calculations in PeopleSoft business processes. In PeopleSoft Enterprise Time and Labor, for example, employees are placed in groups for time reporting purposes. |
| <b>ideal response</b>       | In PeopleSoft Strategic Sourcing, a question that requires the response to match the ideal value for the bid to be considered eligible for award. If the response does not match the ideal value, you can still submit the bid, but it will be disqualified and ineligible for award.                                                                                                                                                                                                                             |
| <b>incentive object</b>     | 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, and user interaction objects.                                                                                                                                                                                                                                                   |

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| <b>incentive rule</b>      | In PeopleSoft Enterprise 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>incur</b>               | In PeopleSoft Enterprise Promotions Management, to become liable for a promotional payment. In other words, you owe that amount to a customer for promotional activities.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>initiative</b>          | In PeopleSoft Enterprise Campus Solutions, the basis from which all advancement plans are executed. It is an organized effort targeting a specific constituency, and it can occur over a specified period of time with specific purposes and goals. An initiative can be a campaign, an event, an organized volunteer effort, a membership drive, or any other type of effort defined by the institution. Initiatives can be multipart, and they can be related to other initiatives. This enables you to track individual parts of an initiative, as well as entire initiatives.                                                                                                                                                                                                                                                           |
| <b>inquiry access</b>      | In PeopleSoft Enterprise Campus Solutions, a type of security access that permits the user only to view data.<br><br>See also <i>update access</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>institution</b>         | In PeopleSoft Enterprise Campus Solutions, an entity (such as a university or college) that is independent of other similar entities and that has its own set of rules and business processes.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>integration</b>         | A relationship between two compatible integration points that enables communication to take place between systems. Integrations enable PeopleSoft Enterprise applications to work seamlessly with other PeopleSoft Enterprise applications or with third-party systems or software.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>integration point</b>   | An interface that a system uses to communicate with another PeopleSoft Enterprise application or an external application.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>integration set</b>     | A logical grouping of integrations that applications use for the same business purpose. For example, the integration set <code>ADVANCED_SHIPPING_ORDER</code> contains all of the integrations that notify a customer that an order has shipped.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>item</b>                | In PeopleSoft Enterprise Inventory, a tangible commodity that is stored in a business unit (shipped from a warehouse).<br><br>In PeopleSoft Enterprise Demand Planning, Inventory Policy Planning, and Supply Planning, a noninventory item that is designated as being used for planning purposes only. It can represent a family or group of inventory items. It can have a planning bill of material (BOM) or planning routing, and it can exist as a component on a planning BOM. A planning item cannot be specified on a production or engineering BOM or routing, and it cannot be used as a component in a production. The quantity on hand will never be maintained.<br><br>In PeopleSoft Enterprise Receivables, an individual receivable. An item can be an invoice, a credit memo, a debit memo, a write-off, or an adjustment. |
| <b>item shuffle</b>        | In PeopleSoft Enterprise Campus Solutions, a process that enables you to change a payment allocation without having to reverse the payment.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>itinerary</b>           | In PeopleSoft Expenses, a collection of travel reservations. Itineraries can have reservations that are selected and reserved with the travel vendor. These itineraries are not yet paid for and can be referred to as <i>pending reservations</i> . Reservations that have been paid for are referred to as <i>confirmed reservations</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>joint communication</b> | In PeopleSoft Enterprise Campus Solutions, one letter that is addressed jointly to two people. For example, a letter might be addressed to both Mr. Sudhir Awat and Ms. Samantha Mortelli. A relationship must be established between the two individuals in the database, and at least one of the individuals must have an ID in the database.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

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| <b>keyword</b>              | In PeopleSoft Enterprise Campus Solutions, a term that you link to particular elements within PeopleSoft Enterprise Student Financials, Financial Aid, and Contributor Relations. You can use keywords as search criteria that enable you to locate specific records in a search dialog box.                                                                                                                                                                                                                                                                                                                  |
| <b>KPI</b>                  | An abbreviation for <i>key performance indicator</i> . A high-level measurement of how well an organization is doing in achieving critical success factors. This defines the data value or calculation upon which an assessment is determined.                                                                                                                                                                                                                                                                                                                                                                |
| <b>KVI</b>                  | Abbreviation for <i>Known Value Item</i> . Term used for products or groups of products where the selling price cannot be reduced or increased.                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>landlord</b>             | In PeopleSoft Real Estate Management, an entity that owns real estate and leases the real estate to tenants.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>LDIF file</b>            | Abbreviation for <i>Lightweight Directory Access Protocol (LDAP) Data Interchange Format file</i> . Contains discrepancies between PeopleSoft Enterprise data and directory data.                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>learner group</b>        | In PeopleSoft Enterprise Learning Management, a group of learners who are linked to the same learning environment. Members of the learner group can share the same attributes, such as the same department or job code. Learner groups are used to control access to and enrollment in learning activities and programs. They are also used to perform group enrollments and mass enrollments in the back office.                                                                                                                                                                                             |
| <b>learning components</b>  | In PeopleSoft Enterprise Learning Management, the foundational building blocks of learning activities. PeopleSoft Enterprise Learning Management supports six basic types of learning components: web-based, session, webcast, test, survey, and assignment. One or more of these learning component types compose a single learning activity.                                                                                                                                                                                                                                                                |
| <b>learning environment</b> | In PeopleSoft Enterprise Learning Management, identifies a set of categories and catalog items that can be made available to learner groups. Also defines the default values that are assigned to the learning activities and programs that are created within a particular learning environment. Learning environments provide a way to partition the catalog so that learners see only those items that are relevant to them.                                                                                                                                                                               |
| <b>learning history</b>     | In PeopleSoft Enterprise Learning Management, a self-service repository for all of a learner's completed learning activities and programs.                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>lease</b>                | In PeopleSoft Real Estate Management, a legally binding agreement between a landlord and a tenant, where the tenant rents all or part of a physical property from the landlord.                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>lease abstract</b>       | In PeopleSoft Real Estate Management, a summarized version of the complete lease contract with only the important terms. The lease abstract usually fits on one page and does not include legal terminology.                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>ledger mapping</b>       | 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. |
| <b>library section</b>      | 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.                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>line</b>                 | In PeopleSoft Strategic Sourcing, an individual item or service upon which there can be a bid.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

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| <b>linked section</b>         | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>linked variable</b>        | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>LMS</b>                    | Abbreviation for <i>learning management system</i> . In PeopleSoft Enterprise Campus Solutions, LMS is a PeopleSoft Enterprise Student Records feature that provides a common set of interoperability standards that enable the sharing of instructional content and data between learning and administrative environments.                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>load</b>                   | In PeopleSoft Enterprise Inventory, identifies a group of goods that are shipped together. Load management is a feature of PeopleSoft Enterprise Inventory that is used to track the weight, the volume, and the destination of a shipment.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>local functionality</b>    | In PeopleSoft Enterprise 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>location</b>               | 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.                                                                                                                                                                                                                                                                                                                                               |
| <b>logistical task</b>        | In PeopleSoft Enterprise Services Procurement, an administrative task that is related to hiring a service provider. Logistical tasks are linked to the service type on the work order so that different types of services can have different logistical tasks. Logistical tasks include both preapproval tasks (such as assigning a new badge or ordering a new laptop) and postapproval tasks (such as scheduling orientation or setting up the service provider email). The logistical tasks can be mandatory or optional. Mandatory preapproval tasks must be completed before the work order is approved. Mandatory postapproval tasks, on the other hand, must be completed before a work order is released to a service provider. |
| <b>market template</b>        | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>mass change</b>            | In PeopleSoft Enterprise Campus Solutions, mass change is a SQL generator that can be used to create specialized functionality. Using mass change, you can set up a series of Insert, Update, or Delete SQL statements to perform business functions that are specific to the institution.<br><br>See also <i>3C engine</i> .                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>match group</b>            | In PeopleSoft Enterprise Receivables, a group of receivables items and matching offset items. The system creates match groups by using user-defined matching criteria for selected field values.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>MCF server</b>             | Abbreviation for <i>PeopleSoft MultiChannel Framework server</i> . Comprises the universal queue server and the MCF log server. Both processes are started when <i>MCF Servers</i> is selected in an application server domain configuration.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>merchandising activity</b> | In PeopleSoft Enterprise Promotions Management, a specific discount type that is associated with a trade promotion (such as off-invoice, billback or rebate, or lump-sum payment) that defines the performance that is required to receive the discount. In the industry, you may know this as an offer, a discount, a merchandising event, an event, or a tactic.                                                                                                                                                                                                                                                                                                                                                                      |

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| <b>meta-SQL</b>            | 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.                                                                                                                                                                   |
| <b>metastring</b>          | Metastrings are special expressions included in SQL string literals. The metastrings, 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.                                                                                                                |
| <b>multibook</b>           | In PeopleSoft Enterprise General Ledger, multiple ledgers having multiple-base currencies that are defined for a business unit, with the option to post a single transaction to all base currencies (all ledgers) or to only one of those base currencies (ledgers).                                                                                                            |
| <b>multicurrency</b>       | The ability to process transactions in a currency other than the business unit's base currency.                                                                                                                                                                                                                                                                                 |
| <b>national allowance</b>  | In PeopleSoft Enterprise Promotions Management, a promotion at the corporate level that is funded by nondiscretionary dollars. In the industry, you may know this as a national promotion, a corporate promotion, or a corporate discount.                                                                                                                                      |
| <b>NDP</b>                 | Abbreviation for <i>Non-Discountable Products</i> . Term used for products or groups of products where the selling price cannot be decreased.                                                                                                                                                                                                                                   |
| <b>need</b>                | In PeopleSoft Enterprise Campus Solutions, the difference between the cost of attendance (COA) and the expected family contribution (EFC). It is the gap between the cost of attending the school and the student's resources. The financial aid package is based on the amount of financial need. The process of determining a student's need is called <i>need analysis</i> . |
| <b>node-oriented tree</b>  | A tree that is based on a detail structure, but the detail values are not used.                                                                                                                                                                                                                                                                                                 |
| <b>Optimization Engine</b> | A PeopleTools component that Strategic Sourcing leverages to evaluate bids and determine an ideal award allocation. The award recommendation is based on maximizing the value while adhering to purchasing and company objectives and constraints.                                                                                                                              |
| <b>pagelet</b>             | Each block of content on the home page 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 Enterprise and non-PeopleSoft Enterprise content.                                                                                               |
| <b>participant</b>         | In PeopleSoft Enterprise Incentive Management, participants are recipients of the incentive compensation calculation process.                                                                                                                                                                                                                                                   |
| <b>participant object</b>  | Each participant object may be related to one or more compensation objects.<br>See also <i>compensation object</i> .                                                                                                                                                                                                                                                            |
| <b>partner</b>             | A company that supplies products or services that are resold or purchased by the enterprise.                                                                                                                                                                                                                                                                                    |
| <b>pay cycle</b>           | In PeopleSoft Enterprise Payables, a set of rules that define the criteria by which it should select scheduled payments for payment creation.                                                                                                                                                                                                                                   |
| <b>payment shuffle</b>     | In PeopleSoft Enterprise Campus Solutions, a process allowing payments that have been previously posted to a student's account to be automatically reapplied when a higher priority payment is posted or the payment allocation definition is changed.                                                                                                                          |
| <b>pending item</b>        | In PeopleSoft Enterprise Receivables, an individual receivable (such as an invoice, a credit memo, or a write-off) that has been entered in or created by the system, but hasn't been posted.                                                                                                                                                                                   |

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| <b>PeopleCode</b>                            | PeopleCode is a proprietary language, executed by the PeopleSoft Enterprise component processor. PeopleCode generates results based on existing data or user actions. By using various tools provided with PeopleTools, external services are available to all PeopleSoft Enterprise applications wherever PeopleCode can be executed.                                                                                                                                                                                                                                                                               |
| <b>PeopleCode event</b>                      | See <i>event</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>PeopleSoft Pure Internet Architecture</b> | The fundamental architecture on which PeopleSoft 8 applications are constructed, consisting of a relational database management system (RDBMS), an application server, a web server, and a browser.                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>performance measurement</b>               | 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.                                                                                                                                                                                                                                                                        |
| <b>period context</b>                        | 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.                                                                                                                                                                                                                                    |
| <b>person of interest</b>                    | A person about whom the organization maintains information but who is not part of the workforce.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>personal portfolio</b>                    | In PeopleSoft Enterprise Campus Solutions, the user-accessible menu item that contains an individual's name, address, telephone number, and other personal information.                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>phase</b>                                 | A level 1 task, meaning that if a task had subtasks, the level 1 task would be considered the phase.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>pickup quantity</b>                       | The product quantity that the customer is taking with them from the counter sales environment.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>plan</b>                                  | In PeopleSoft Enterprise 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.                                                                                                                                                                                                                                                                                                                                                                           |
| <b>plan context</b>                          | 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. |
| <b>plan template</b>                         | 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.                                                                                                                                                                                                                                                                                                              |
| <b>planned learning</b>                      | In PeopleSoft Enterprise Learning Management, a self-service repository for all of a learner's planned learning activities and programs.                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>planning instance</b>                     | In PeopleSoft Enterprise Supply Planning, a set of data (business units, items, supplies, and demands) constituting the inputs and outputs of a supply plan.                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>population</b>                            | In PeopleSoft Enterprise Campus Solutions, the middle level of the three-level classification structure that you define in PeopleSoft Enterprise Recruiting and                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

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|                              | Admissions for enrollment management. You can define a population level, link it to other levels, and set enrollment target numbers for it.<br><br>See also <i>division</i> and <i>cohort</i> .                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>portal registry</b>       | In PeopleSoft Enterprise 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.                                                                                                                                                                                                                                   |
| <b>predecessor task</b>      | A task that you must complete before you start another task.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>price breaks</b>          | In PeopleSoft Strategic Sourcing, a price discount or surcharge that a bidder may apply based on the quantity awarded.                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>price components</b>      | In PeopleSoft Strategic Sourcing, the various components, such as material costs, labor costs, shipping costs, and so on that make up the overall bid price.                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>price list</b>            | Enables you to select products and conditions for which the price list applies to a transaction. During a transaction, the system either determines the product price based on the predefined search hierarchy for the transaction or uses the product's lowest price on any associated, active price lists. This price is used as the basis for any further discounts and surcharges.                                                                                                                                                                                                        |
| <b>price rule</b>            | The conditions that must be met for adjustments to be applied to the base price. Multiple rules can apply when conditions of each rule are met.                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>price rule conditions</b> | Conditions that select the price-by fields, the values for the price-by fields, and the operator that determines how the price-by fields relate to the transaction.                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>price rule key</b>        | The fields that are available to define price rule conditions (which are used to match a transaction) on the price rule.                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>primacy number</b>        | In PeopleSoft Enterprise Campus Solutions, a number that the system uses to prioritize financial aid applications when students are enrolled in multiple academic careers and academic programs at the same time. The Consolidate Academic Statistics process uses the primacy number indicated for both the career and program at the institutional level to determine a student's primary career and program. The system also uses the number to determine the primary student attribute value that is used when you extract data to report on cohorts. The lowest number takes precedence. |
| <b>primary name type</b>     | In PeopleSoft Enterprise Campus Solutions, the name type that is used to link the name stored at the highest level within the system to the lower-level set of names that an individual provides.                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>process category</b>      | In PeopleSoft Process Scheduler, processes that are grouped for server load balancing and prioritization.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>process group</b>         | In PeopleSoft Enterprise Financials, a group of application processes (performed in a defined order) that users can initiate in real time, directly from a transaction entry page.                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>process definition</b>    | Process definitions define each run request.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>process instance</b>      | 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.                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>process job</b>           | 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.                                                                                                                                                                                                                                                                                                                                                                                            |

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| <b>process request</b>     | A single run request, such as a Structured Query Report (SQR), a COBOL or Application Engine program, or a Crystal report that you run through PeopleSoft Process Scheduler.                                                                                                                                                                                                                                                             |
| <b>process run control</b> | 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.                                                                                                       |
| <b>product</b>             | A PeopleSoft Enterprise or third-party product. PeopleSoft organizes its software products into product families and product lines. Interactive Services Repository contains information about every release of every product that PeopleSoft sells, as well as products from certified third-party companies. These products appear with the product name and release number.                                                           |
| <b>product adds</b>        | The pricing functionality where buying product A gets product B for free or at a price (formerly referred to as <i>giveaways</i> ).                                                                                                                                                                                                                                                                                                      |
| <b>product bidding</b>     | In PeopleSoft Strategic Sourcing, the placing of a bid on behalf of the bidder, up or down to the bidder's specified amount, so that the bidder can be the leading bidder.                                                                                                                                                                                                                                                               |
| <b>product category</b>    | In PeopleSoft Enterprise Incentive Management, indicates an application in the PeopleSoft Enterprise Incentive Management suite of products. Each transaction in the PeopleSoft Enterprise Incentive Management system is associated with a product category.                                                                                                                                                                            |
| <b>product family</b>      | A group of products that are related by common functionality. The family names that can be searched using Interactive Service Repository are Oracle's PeopleSoft Enterprise, PeopleSoft EnterpriseOne, PeopleSoft World, and third-party, certified partners.                                                                                                                                                                            |
| <b>product line</b>        | The name of a PeopleSoft Enterprise product line or the company name of a third-party certified partner. Integration Services Repository enables you to search for integration points by product line.                                                                                                                                                                                                                                   |
| <b>programs</b>            | In PeopleSoft Enterprise Learning Management, a high-level grouping that guides the learner along a specific learning path through sections of catalog items. PeopleSoft Enterprise Learning Systems provides two types of programs—curricula and certifications.                                                                                                                                                                        |
| <b>progress log</b>        | In PeopleSoft Enterprise Services Procurement, tracks deliverable-based projects. This is similar to the time sheet in function and process. The service provider contact uses the progress log to record and submit progress on deliverables. The progress can be logged by the activity that is performed, by the percentage of work that is completed, or by the completion of milestone activities that are defined for the project. |
| <b>project transaction</b> | In PeopleSoft Enterprise Project Costing, an individual transaction line that represents a cost, time, budget, or other transaction row.                                                                                                                                                                                                                                                                                                 |
| <b>promotion</b>           | In PeopleSoft Enterprise Promotions Management, a trade promotion, which is typically funded from trade dollars and used by consumer products manufacturers to increase sales volume.                                                                                                                                                                                                                                                    |
| <b>prospects</b>           | In PeopleSoft Enterprise Campus Solutions, students who are interested in applying to the institution.<br><br>In PeopleSoft Enterprise Contributor Relations, individuals and organizations that are most likely to make substantial financial commitments or other types of commitments to the institution.                                                                                                                             |
| <b>proxy bidding</b>       | In PeopleSoft Strategic Sourcing, the placing of a bid on behalf of the bidder, up or down to the bidder's specified amount, so that the bidder can be the leading bidder.                                                                                                                                                                                                                                                               |

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| <b>publishing</b>              | In PeopleSoft Enterprise Incentive Management, a stage in processing that makes incentive-related results available to participants.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>rating components</b>       | In PeopleSoft Enterprise Campus Solutions, variables used with the Equation Editor to retrieve specified populations.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>record group</b>            | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>record input VAT flag</b>   | Abbreviation for <i>record input value-added tax flag</i> . Within PeopleSoft Enterprise 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 Enterprise Order Management, Billing, or Receivables, where it is assumed that you are always recording only output VAT, or in PeopleSoft Enterprise Expenses, where it is assumed that you are always recording only input VAT. |
| <b>record output VAT flag</b>  | Abbreviation for <i>record output value-added tax flag</i> .<br>See <i>record input VAT flag</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>recname</b>                 | The name of a record that is used to determine the associated field to match a value or set of values.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>recognition</b>             | In PeopleSoft Enterprise Campus Solutions, the recognition type indicates whether the PeopleSoft Enterprise Contributor Relations donor is the primary donor of a commitment or shares the credit for a donation. Primary donors receive hard credit that must total 100 percent. Donors that share the credit are given soft credit. Institutions can also define other share recognition-type values such as memo credit or vehicle credit.                                                                                                                                                                                                                                                                                                                                                                |
| <b>reference data</b>          | In PeopleSoft Enterprise Sales Incentive Management, system objects that represent the sales organization, such as territories, participants, products, customers, and channels.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>reference object</b>        | 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).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>reference transaction</b>   | 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.                                                                                                                                   |
| <b>regional sourcing</b>       | In PeopleSoft Enterprise Purchasing, provides the infrastructure to maintain, display, and select an appropriate vendor and vendor pricing structure that is based on a regional sourcing model where the multiple ship to locations are grouped. Sourcing may occur at a level higher than the ship to location.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>relationship object</b>     | In PeopleSoft Enterprise Incentive Management, these objects further define a compensation structure to resolve transactions by establishing associations between compensation objects and business objects.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>remote data source data</b> | Data that is extracted from a separate database and migrated into the local database.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

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| <b>REN server</b>           | Abbreviation for <i>real-time event notification server</i> in PeopleSoft MultiChannel Framework.                                                                                                                                                                                                                                                                     |
| <b>requester</b>            | In PeopleSoft Enterprise eSettlements, an individual who requests goods or services and whose ID appears on the various procurement pages that reference purchase orders.                                                                                                                                                                                             |
| <b>reservations</b>         | In PeopleSoft Expenses, travel reservations that have been placed with the travel vendor.                                                                                                                                                                                                                                                                             |
| <b>reversal indicator</b>   | In PeopleSoft Enterprise Campus Solutions, an indicator that denotes when a particular payment has been reversed, usually because of insufficient funds.                                                                                                                                                                                                              |
| <b>RFI event</b>            | In PeopleSoft Strategic Sourcing, a request for information.                                                                                                                                                                                                                                                                                                          |
| <b>RFx event</b>            | In PeopleSoft Strategic Sourcing, a request for proposal or request for a quote event when bidders submit their overall best bids and during which bidders do not actively compete against one another.                                                                                                                                                               |
| <b>role</b>                 | 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.                                                                                                                                            |
| <b>role user</b>            | 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. |
| <b>roll up</b>              | In a tree, to roll up is to total sums based on the information hierarchy.                                                                                                                                                                                                                                                                                            |
| <b>run control</b>          | 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.                                                                                                                                                                             |
| <b>run control ID</b>       | A unique ID to associate each user with his or her own run control table entries.                                                                                                                                                                                                                                                                                     |
| <b>run-level context</b>    | 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.                                                 |
| <b>saved bid</b>            | In PeopleSoft Strategic Sourcing, a bid that has been created but not submitted. Only submitted bids are eligible for award.                                                                                                                                                                                                                                          |
| <b>score</b>                | In PeopleSoft Strategic Sourcing, the numerical sum of answers (percentages) to bid factors on an event. Scores appear only to bidders on auction events.                                                                                                                                                                                                             |
| <b>SCP SCBM XML message</b> | Abbreviation for <i>Supply Chain Planning Supply Chain Business Modeler Extensible Markup Language message</i> . Supply Chain Business Modeler uses XML as the format for all data that it imports and exports.                                                                                                                                                       |
| <b>search query</b>         | 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.                                                                                                                                                                                          |
| <b>search/match</b>         | In PeopleSoft Enterprise Campus Solutions and PeopleSoft Enterprise Human Resources Management Solutions, a feature that enables you to search for and identify duplicate records in the database.                                                                                                                                                                    |
| <b>seasonal address</b>     | In PeopleSoft Enterprise Campus Solutions, an address that recurs for the same length of time at the same time of year each year until adjusted or deleted.                                                                                                                                                                                                           |

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| <b>section</b>                 | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>security event</b>          | In commitment control, security events trigger security authorization checking, such as budget entries, transfers, and adjustments; exception overrides and notifications; and inquiries.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>sell event</b>              | In PeopleSoft Strategic Sourcing, for event creators, the sale of goods or services most typically associated with forward auctions. For bidders, the purchase of goods or services.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>serial genealogy</b>        | In PeopleSoft Enterprise Manufacturing, the ability to track the composition of a specific, serial-controlled item.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>serial in production</b>    | In PeopleSoft Enterprise Manufacturing, enables the tracing of serial information for manufactured items. This is maintained in the Item Master record.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>service impact</b>          | In PeopleSoft Enterprise Campus Solutions, the resulting action triggered by a service indicator. For example, a service indicator that reflects nonpayment of account balances by a student might result in a service impact that prohibits registration for classes.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>service indicator</b>       | In PeopleSoft Enterprise Campus Solutions, indicates services that may be either withheld or provided to an individual. Negative service indicators indicate holds that prevent the individual from receiving specified services, such as check-cashing privileges or registration for classes. Positive service indicators designate special services that are provided to the individual, such as front-of-line service or special services for disabled students.                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>session</b>                 | <p>In PeopleSoft Enterprise Campus Solutions, time elements that subdivide a term into multiple time periods during which classes are offered. In PeopleSoft Enterprise Contributor Relations, a session is the means of validating gift, pledge, membership, or adjustment data entry . It controls access to the data entered by a specific user ID. Sessions are balanced, queued, and then posted to the institution's financial system. Sessions must be posted to enter a matching gift or pledge payment, to make an adjustment, or to process giving clubs or acknowledgements.</p> <p>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.</p> |
| <b>session template</b>        | 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.                                                                                                                                                                                                                                                                                                                                                  |
| <b>setup relationship</b>      | In PeopleSoft Enterprise Incentive Management, a relationship object type that associates a configuration plan with any structure node.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>share driver expression</b> | In PeopleSoft Enterprise Business Planning, a named planning method similar to a driver expression, but which you can set up globally for shared use within a single planning application or to be shared between multiple planning applications through PeopleSoft Enterprise Warehouse.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>short-term customer</b>     | A customer not in the system who is entered during sales order entry using a template.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |

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| <b>single signon</b>         | With single signon, users can, after being authenticated by a PeopleSoft Enterprise application server, access a second PeopleSoft Enterprise application server without entering a user ID or password.                                                                                                                                                                                                                                                                                                   |
| <b>source key process</b>    | In PeopleSoft Enterprise Campus Solutions, a process that relates a particular transaction to the source of the charge or financial aid. On selected pages, you can drill down into particular charges.                                                                                                                                                                                                                                                                                                    |
| <b>source transaction</b>    | In commitment control, any transaction generated in a PeopleSoft Enterprise 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.                                                                                                                                                                             |
| <b>sourcing objective</b>    | For constraints, the option to designate whether a business rule is required (mandatory) or is only recommended (target).                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>speed key</b>             | See <i>communication key</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>SpeedChart</b>            | 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.                                                                                                                                                                                                                                                                                                                            |
| <b>SpeedType</b>             | A code representing a combination of ChartField values. SpeedTypes simplify the entry of ChartFields commonly used together.                                                                                                                                                                                                                                                                                                                                                                               |
| <b>staging</b>               | A method of consolidating selected partner offerings with the offerings from the enterprise's other partners.                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>standard letter code</b>  | In PeopleSoft Enterprise Campus Solutions, a standard letter code used to identify each letter template available for use in mail merge functions. Every letter generated in the system must have a standard letter code identification.                                                                                                                                                                                                                                                                   |
| <b>statutory account</b>     | Account required by a regulatory authority for recording and reporting financial results. In PeopleSoft Enterprise, this is equivalent to the Alternate Account (ALTACCT) ChartField.                                                                                                                                                                                                                                                                                                                      |
| <b>step</b>                  | In PeopleSoft Enterprise Sales Incentive Management, a collection of sections in a plan. Each step corresponds to a step in the job run.                                                                                                                                                                                                                                                                                                                                                                   |
| <b>storage level</b>         | In PeopleSoft Enterprise Inventory, identifies the level of a material storage location. Material storage locations are made up of a business unit, a storage area, and a storage level. You can set up to four storage levels.                                                                                                                                                                                                                                                                            |
| <b>subcustomer qualifier</b> | A value that groups customers into a division for which you can generate detailed history, aging, events, and profiles.                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Summary ChartField</b>    | 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).                                                                                                                                                                      |
| <b>summary ledger</b>        | 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. |
| <b>summary time period</b>   | In PeopleSoft Enterprise Business Planning, any time period (other than a base time period) that is an aggregate of other time periods, including other summary time periods and base time periods, such as quarter and year total.                                                                                                                                                                                                                                                                        |

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| <b>summary tree</b>     | 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.                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>syndicate</b>        | To distribute a production version of the enterprise catalog to partners.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>system function</b>  | In PeopleSoft Enterprise Receivables, an activity that defines how the system generates accounting entries for the general ledger.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>system source</b>    | <p>The system source identifies the source of a transaction row in the database. For example, a transaction that originates in PeopleSoft Enterprise Expenses contains a system source code of BEX (Expenses Batch).</p> <p>When PeopleSoft Enterprise Project Costing prices the source transaction row for billing, the system creates a new row with a system source code of PRP (Project Costing pricing), which represents the system source of the new row. System source codes can identify sources that are internal or external to the PeopleSoft Enterprise system. For example, processes that import data from Microsoft Project into PeopleSoft Enterprise applications create transaction rows with a source code of MSP (Microsoft Project).</p> |
| <b>TableSet</b>         | A means of sharing similar sets of values in control tables, where the actual data values are different but the structure of the tables is the same.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>TableSet sharing</b> | Shared data that is stored in many tables that are based on the same TableSets. Tables that use TableSet sharing contain the SETID field as an additional key or unique identifier.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>target currency</b>  | The value of the entry currency or currencies converted to a single currency for budget viewing and inquiry purposes.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>task</b>             | A deliverable item on the detailed sourcing plan.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>tax authority</b>    | In PeopleSoft Enterprise Campus Solutions, a user-defined element that combines a description and percentage of a tax with an account type, an item type, and a service impact.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>template</b>         | 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 Enterprise, you use templates to build a page by combining HTML from a number of sources. For a PeopleSoft Enterprise portal, all templates must be registered in the portal registry, and each content reference must be assigned a template.                                                                                                                                                                                                                                                                                                                                                        |
| <b>tenant</b>           | In PeopleSoft Real Estate Management, an entity that leases real estate from a landlord.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>territory</b>        | In PeopleSoft Enterprise Sales Incentive Management, hierarchical relationships of business objects, including regions, products, customers, industries, and participants.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>third party</b>      | A company or vendor that has extensive PeopleSoft Enterprise product knowledge and whose products and integrations have been certified and are compatible with PeopleSoft Enterprise applications.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>tiered pricing</b>   | Enables different portions of a schedule to be priced differently from one another.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>time span</b>        | A relative period, such as year-to-date or current period, that various PeopleSoft General Ledger functions and reports can use when a rolling time frame, rather than a specific date, is required.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>total cost</b>       | In PeopleSoft Strategic Sourcing, the estimated dollar cost (sum of real price dollars and potential “soft” or non-price dollars) of a particular award approach.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

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| <b>travel group</b>                | In PeopleSoft Expenses, the organization's travel rules and policies that are associated with specific business units, departments, or employees. You must define at least one travel group when setting up the PeopleSoft Expenses travel feature. You must define and associate at least one travel group with a travel vendor.                                                                                                                                                       |
| <b>travel partner</b>              | In PeopleSoft Expenses, the travel vendor with which the organization has a contractual relationship.                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>3C engine</b>                   | Abbreviation for <i>Communications, Checklists, and Comments engine</i> . In PeopleSoft Enterprise Campus Solutions, the 3C engine enables you to automate business processes that involve additions, deletions, and updates to communications, checklists, and comments. You define events and triggers to engage the engine, which runs the mass change and processes the 3C records (for individuals or organizations) immediately and automatically from within business processes. |
| <b>3C group</b>                    | Abbreviation for <i>Communications, Checklists, and Comments group</i> . In PeopleSoft Enterprise Campus Solutions, a method of assigning or restricting access privileges. A 3C group enables you to group specific communication categories, checklist codes, and comment categories. You can then assign the group inquiry-only access or update access, as appropriate.                                                                                                             |
| <b>trace usage</b>                 | In PeopleSoft Enterprise Manufacturing, enables the control of which components will be traced during the manufacturing process. Serial- and lot-controlled components can be traced. This is maintained in the Item Master record.                                                                                                                                                                                                                                                     |
| <b>transaction allocation</b>      | 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.                                                                                                                                                                                                           |
| <b>transaction state</b>           | 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.                                                                                                 |
| <b>Translate table</b>             | 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.                                                                                                                                                                                                                                                                                                                        |
| <b>tree</b>                        | The graphical hierarchy in PeopleSoft Enterprise systems that displays the relationship between all accounting units (for example, corporate divisions, projects, reporting groups, account numbers) and determines roll-up hierarchies.                                                                                                                                                                                                                                                |
| <b>tuition lock</b>                | In PeopleSoft Enterprise Campus Solutions, a feature in the Tuition Calculation process that enables you to specify a point in a term after which students are charged a minimum (or <i>locked</i> ) fee amount. Students are charged the locked fee amount even if they later drop classes and take less than the normal load level for that tuition charge.                                                                                                                           |
| <b>unclaimed transaction</b>       | 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.                                                                                                                                                                |
| <b>universal navigation header</b> | Every PeopleSoft Enterprise 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.                                                                                                                       |
| <b>update access</b>               | In PeopleSoft Enterprise Campus Solutions, a type of security access that permits the user to edit and update data.                                                                                                                                                                                                                                                                                                                                                                     |

See also *inquiry access*.

|                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|--------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>user interaction object</b> | In PeopleSoft Enterprise Sales Incentive Management, used to define the reporting components and reports that a participant can access in his or her context. All PeopleSoft Enterprise 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). |
| <b>variable</b>                | In PeopleSoft Enterprise 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.                                                                                                                  |
| <b>VAT exception</b>           | Abbreviation for <i>value-added tax exception</i> . A temporary or permanent exemption from paying VAT that is granted to an organization. This term refers to both VAT exoneration and VAT suspension.                                                                                                                                                                                                                                           |
| <b>VAT exempt</b>              | Abbreviation for <i>value-added tax exempt</i> . Describes goods and services that are not subject to VAT. Organizations that supply exempt goods or services are unable to recover the related input VAT. This is also referred to as exempt without recovery.                                                                                                                                                                                   |
| <b>VAT exoneration</b>         | Abbreviation for <i>value-added tax exoneration</i> . An organization that has been granted a permanent exemption from paying VAT due to the nature of that organization.                                                                                                                                                                                                                                                                         |
| <b>VAT suspension</b>          | Abbreviation for <i>value-added tax suspension</i> . An organization that has been granted a temporary exemption from paying VAT.                                                                                                                                                                                                                                                                                                                 |
| <b>warehouse</b>               | A PeopleSoft Enterprise data warehouse that consists of predefined ETL maps, data warehouse tools, and DataMart definitions.                                                                                                                                                                                                                                                                                                                      |
| <b>weight or weighting</b>     | In PeopleSoft Strategic Sourcing, how important the line or question is to the overall event. Weighting is used to score and analyze bids. For RFx and RFI events, weightings may or may not appear to bidders.                                                                                                                                                                                                                                   |
| <b>work order</b>              | In PeopleSoft Enterprise Services Procurement, enables an enterprise to create resource-based and deliverable-based transactions that specify the basic terms and conditions for hiring a specific service provider. When a service provider is hired, the service provider logs time or progress against the work order.                                                                                                                         |
| <b>worker</b>                  | A person who is part of the workforce; an employee or a contingent worker.                                                                                                                                                                                                                                                                                                                                                                        |
| <b>workset</b>                 | A group of people and organizations that are linked together as a set. You can use worksets to simultaneously retrieve the data for a group of people and organizations and work with the information on a single page.                                                                                                                                                                                                                           |
| <b>worksheet</b>               | A way of presenting data through a PeopleSoft Enterprise Business Analysis Modeler interface that enables users to do in-depth analysis using pivoting tables, charts, notes, and history information.                                                                                                                                                                                                                                            |
| <b>worklist</b>                | 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.                                                                                                                                                                                                                                            |
| <b>XML link</b>                | The XML Linking language enables you to insert elements into XML documents to create a links between resources.                                                                                                                                                                                                                                                                                                                                   |
| <b>XML schema</b>              | An XML definition that standardizes the representation of application messages, component interfaces, or business interlinks.                                                                                                                                                                                                                                                                                                                     |
| <b>XPI</b>                     | Abbreviation for <i>eXtended Process Integrator</i> . PeopleSoft XPI is the integration infrastructure that enables both real-time and batch communication with JD Edwards EnterpriseOne applications.                                                                                                                                                                                                                                            |

**yield by operation**

In PeopleSoft Enterprise Manufacturing, the ability to plan the loss of a manufactured item on an operation-by-operation basis.

**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. Organizations that supply zero-rated goods and services can still recover the related input VAT. This is also referred to as exempt with recovery.



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