
PeopleSoft HCM 9.2: PeopleSoft Human Resources Manage Professional Compliance

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Preface

Understanding the PeopleSoft Online Help and PeopleBooks

The PeopleSoft Online Help is a website that enables you to view all help content for PeopleSoft applications and PeopleTools. The help provides standard navigation and full-text searching, as well as context-sensitive online help for PeopleSoft users.

Hosted PeopleSoft Online Help

You can access the hosted PeopleSoft Online Help on the [Oracle Help Center](#). The hosted PeopleSoft Online Help is updated on a regular schedule, ensuring that you have access to the most current documentation. This reduces the need to view separate documentation posts for application maintenance on My Oracle Support. The hosted PeopleSoft Online Help is available in English only.

To configure the context-sensitive help for your PeopleSoft applications to use the Oracle Help Center, see [Configuring Context-Sensitive Help Using the Hosted Online Help Website](#).

Locally Installed PeopleSoft Online Help

If you're setting up an on-premises PeopleSoft environment, and your organization has firewall restrictions that prevent you from using the hosted PeopleSoft Online Help, you can install the online help locally. Installable PeopleSoft Online Help is made available with selected PeopleSoft Update Images and with PeopleTools releases for on-premises installations, through the [Oracle Software Delivery Cloud](#).

Your installation documentation includes a chapter with instructions for how to install the online help for your business environment, and the documentation zip file may contain a README.txt file with additional installation instructions. See *PeopleSoft 9.2 Application Installation* for your database platform, "Installing PeopleSoft Online Help."

To configure the context-sensitive help for your PeopleSoft applications to use a locally installed online help website, see [Configuring Context-Sensitive Help Using a Locally Installed Online Help Website](#).

Downloadable PeopleBook PDF Files

You can access downloadable PDF versions of the help content in the traditional PeopleBook format on the [Oracle Help Center](#). The content in the PeopleBook PDFs is the same as the content in the PeopleSoft Online Help, but it has a different structure and it does not include the interactive navigation features that are available in the online help.

Common Help Documentation

Common help documentation contains information that applies to multiple applications. The two main types of common help are:

- Application Fundamentals

- Using PeopleSoft Applications

Most product families provide a set of application fundamentals help topics that discuss essential information about the setup and design of your system. This information applies to many or all applications in the PeopleSoft product family. Whether you are implementing a single application, some combination of applications within the product family, or the entire product family, you should be familiar with the contents of the appropriate application fundamentals help. They provide the starting points for fundamental implementation tasks.

In addition, the *PeopleTools: Applications User's Guide* introduces you to the various elements of the PeopleSoft Pure Internet Architecture. It also explains how to use the navigational hierarchy, components, and pages to perform basic functions as you navigate through the system. While your application or implementation may differ, the topics in this user's guide provide general information about using PeopleSoft applications.

Field and Control Definitions

PeopleSoft documentation includes definitions for most fields and controls that appear on application pages. These definitions describe how to use a field or control, where populated values come from, the effects of selecting certain values, and so on. If a field or control is not defined, then it either requires no additional explanation or is documented in a common elements section earlier in the documentation. For example, the Date field rarely requires additional explanation and may not be defined in the documentation for some pages.

Typographical Conventions

The following table describes the typographical conventions that are used in the online help.

| <i>Typographical Convention</i> | <i>Description</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. |
| . . . (ellipses) | Indicate that the preceding item or series can be repeated any number of times in PeopleCode syntax. |
| { } (curly braces) | Indicate a choice between two options in PeopleCode syntax. Options are separated by a pipe (). |
| [] (square brackets) | Indicate optional items in PeopleCode syntax. |
| & (ampersand) | When placed before a parameter in PeopleCode syntax, an ampersand indicates that the parameter is an already instantiated object. Ampersands also precede all PeopleCode variables. |

| <i>Typographical Convention</i> | <i>Description</i> |
|--|--|
| ⇒ | This continuation character has been inserted at the end of a line of code that has been wrapped at the page margin. The code should be viewed or entered as a single, continuous line of code without the continuation character. |

ISO Country and Currency Codes

PeopleSoft Online Help topics use International Organization for Standardization (ISO) country and currency codes to identify country-specific information and monetary amounts.

ISO country codes may appear as country identifiers, and ISO currency codes may appear as currency identifiers in your PeopleSoft documentation. Reference to an ISO country code in your documentation does not imply that your application includes every ISO country code. The following example is a country-specific heading: "(FRA) Hiring an Employee."

The PeopleSoft Currency Code table (CURRENCY_CD_TBL) contains sample currency code data. The Currency Code table is based on ISO Standard 4217, "Codes for the representation of currencies," and also relies on ISO country codes in the Country table (COUNTRY_TBL). The navigation to the pages where you maintain currency code and country information depends on which PeopleSoft applications you are using. To access the pages for maintaining the Currency Code and Country tables, consult the online help for your applications for more information.

Region and Industry Identifiers

Information that applies only to a specific 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 region-specific heading: "(Latin America) Setting Up Depreciation"

Region Identifiers

Regions are identified by the region name. The following region identifiers may appear in the PeopleSoft Online Help:

- 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 the PeopleSoft Online Help:

- USF (U.S. Federal)

- E&G (Education and Government)

Translations and Embedded Help

PeopleSoft 9.2 software applications include translated embedded help. With the 9.2 release, PeopleSoft aligns with the other Oracle applications by focusing our translation efforts on embedded help. We are not planning to translate our traditional online help and PeopleBooks documentation. Instead we offer very direct translated help at crucial spots within our application through our embedded help widgets. Additionally, we have a one-to-one mapping of application and help translations, meaning that the software and embedded help translation footprint is identical—something we were never able to accomplish in the past.

Using and Managing the PeopleSoft Online Help

Select About This Help in the left navigation panel on any page in the PeopleSoft Online Help to see information on the following topics:

- Using the PeopleSoft Online Help.
- Managing hosted Online Help.
- Managing locally installed PeopleSoft Online Help.

PeopleSoft HCM Related Links

[Oracle Help Center](#)

[PeopleSoft Online Help Home](#)

[PeopleSoft Information Portal](#)

[My Oracle Support](#)

[PeopleSoft Training from Oracle University](#)

[PeopleSoft Video Feature Overviews on YouTube](#)

[PeopleSoft Business Process Maps \(Microsoft Visio format\)](#)

[“HCM Abbreviations” \(Application Fundamentals\)](#)



[PeopleSoft Spotlight Series](#)

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Please include the applications update image or PeopleTools release that you’re using.

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Chapter 1

Getting Started with Manage Professional Compliance

Manage Professional Compliance Business Processes

Manage Professional Compliance business processes in PeopleSoft HR 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 topics in this production documentation.

Manage Professional Compliance Business Process Integrations

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

Manage Professional Compliance business process integrations shared tables are available to many PeopleSoft HCM 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 product documentation.

Related Links

“Identifying Integrations for Your Implementation” (Application Fundamentals)

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 product 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 RI Page . |
| PCMP_RIJOBCHGVW | CI_PCMP_JOBCHG | See Setting Up Notifications . |
| PCMP_RECERT_AE | CI_PCMP_RECERT | See Admin Re-Certs Page . |
| PCMP_RI_JOBTERVW | CI_PCMP_JOBTER | See Setting Up Notifications . |

Refer to the *PeopleSoft HCM 9.2 - Reorganization of Component Interface Permissions* (Doc ID [2342162.1](#)) article on My Oracle Support for a list of system-delivered CIs and their usage, the mapping of CIs and associated permission lists, and the mapping of CI permission lists and user roles.

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:

- *PeopleTools: Component Interfaces*
- *PeopleTools: Setup Manager*

Chapter 2

Setting Up Manage Professional Compliance

Understanding Manage Professional Compliance Business Processes

Manage Professional Compliance is a business process in PeopleSoft HR 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 topic discusses:

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

Manage Professional Compliance Business Process Structure

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

- Regulatory authority

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

- Classifications

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

- Regulated individuals (RIs)

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

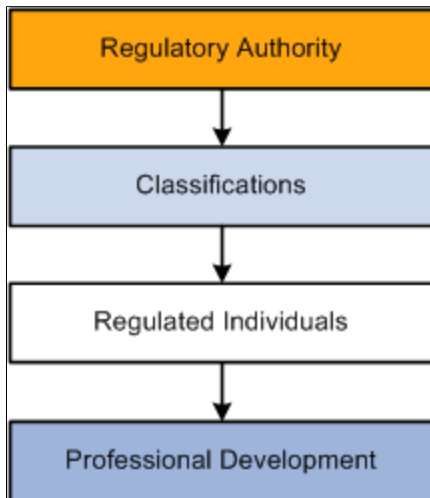
- Professional development

The compliance process concerns individuals obtaining minimum standards of competence to attain a classification level. To obtain these standards, individuals undergo a process of professional

development, which may include coursework, testing, mandatory periods of supervision followed by performance reviews, and so forth.

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

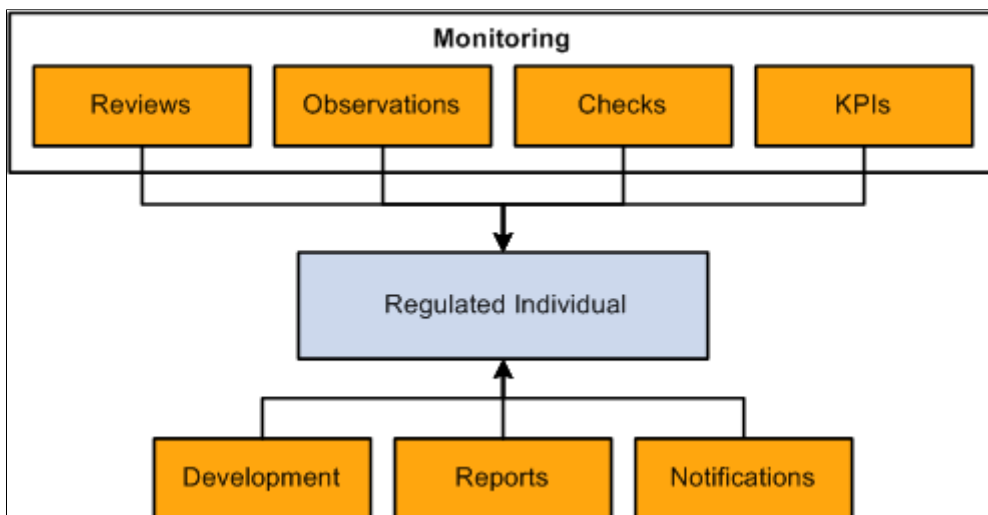
This diagram provides an overview of the Manage Professional Compliance structure.



Tools for Moving Individuals Toward Compliance

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

This diagram illustrates tools and techniques for promoting professional compliance



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.

Related Links

[Understanding Development Plans](#)

[Understanding the Monitoring Process](#)

[Setting Up Notifications](#)

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 HR.

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

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

For more information see:

- *Interactive Services Repository* in the Implementation Guide section of MetaLink
- *PeopleTools: Integration Broker Service Operations Monitor* product documentation.
- *PeopleSoft Components for PeopleSoft HCM and Campus Solutions* product documentation.

Related Links

[Understanding PeopleSoft Integration Broker](#)

[Compliance Type - Notification Page](#)

[Setting Up Notifications](#)

Setting Up Required Tables

This topic provides an overview of setting up required tables.

Pages Used to Set Up Required Tables

| <i>Page Name</i> | <i>Definition Name</i> | <i>Usage</i> |
|---|------------------------|--|
| PC Type Page | PCMP_TYPE | Define the different professional compliance types in your organization. |
| Reg Authority Page | PCMP_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 Page | PCMP_CLASS | Set up regulatory authority classification schemes. |
| Regulation Page | PCMP_COMPANY_TBL1 | Enter company compliance details that associate professional compliance types and regulatory authorities with a company. |
| Assign Manager/Supervisor/RI (assign manager/supervisor/regulated individual) | PCMP_MGR_SUPER | Workforce Monitoring > Professional Compliance > Maintain Program > Assign Manager/Supervisor/RI > Assign Manager/Supervisor/RI Assign regulated individuals to compliance managers/supervisors. |

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 Job Code 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 Classification Status page.

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

PC Type Page

Use the PC Type (professional compliance type) page (PCMP_TYPE) to define the different professional compliance types in your organization.

Navigation:

Workforce Monitoring > Professional Compliance > Define Compliance Information > Compliance Type > PC Type

This example illustrates the fields and controls on the PC Type page.

| <i>Field or Control</i> | <i>Description</i> |
|-------------------------------------|--|
| 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. |

Related Links

“Understanding PeopleSoft HCM System Data Regulation” (Application Fundamentals)

Reg Authority Page

Use the Reg Authority (regulatory authority) page (PCMP_AUTHORITY) to define the regulatory authority that governs the compliance types.

Navigation:

Workforce Monitoring > Professional Compliance > Define Compliance Information > Regulatory Authority > Reg Authority

This example illustrates the fields and controls on the Reg Authority page.

Reg Authority

Address

Classification

Notifications

Set ID

GBR01

Set ID for GBR01

'Professional Compliance Type

KG1

Financial

Regulatory Authority

KG01

'Description

Standard Financial Regulatory Authority

Comments

Standard body that regulates the conduct of individuals that sell financial products.

| Field or Control | Description |
|------------------------------|--|
| 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 HCM, "PeopleSoft HCM Preface."

Related Links

“Understanding PeopleSoft HCM System Data Regulation” (Application Fundamentals)

Classification Page

Use the Classification page (PCMP_CLASS) to set up regulatory authority classification schemes.

Navigation:

Workforce Monitoring > Professional Compliance > Define Compliance Information > Regulatory Authority > Classification

This example illustrates the fields and controls on the Classification page.

Reg AuthorityAddressClassificationNotifications

Professional Compliance Type KG1Financial

Regulatory Authority KG01

Description Standard Financial Regulatory Authority

ClassificationFind | View AllFirst1 of 3Last

*ClassificationLEVEL1

*DescriptionNew Entrant

CommentsIndividuals 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.

| Field or Control | Description |
|------------------|---|
| 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 |

Regulation Page

Use the Regulation page (PCMP_COMPANY_TBL1) to enter company compliance details that associate professional compliance types and regulatory authorities with a company.

Navigation:

Workforce Monitoring > Professional Compliance > Define Compliance Information > Company Compliance > Regulation

This example illustrates the fields and controls on the Regulation page.

RegulationProductsCompliance Plan

Company CFA Canadian Company CFA

Company ComplianceFind | View AllFirst1 of 1Last

'Professional Compliance Type'

'Regulatory Authority'

Compliance DetailsFind | View AllFirst1 of 1Last

Effective Date05/21/2013StatusActive

Reference Number

Contact Name

Company Compliance

| Field or Control | Description |
|------------------------------|--|
| Professional Compliance Type | Enter the professional compliance type. |
| Regulatory Authority | Enter a code for the regulatory authority. |

Compliance Details

| Field or Control | Description |
|------------------|--|
| Reference Number | Enter a regulatory authority–defined reference number that identifies the company. |
| Contact Name | Enter a contact name at the regulatory authority. |

Assign Manager/Supervisor/RI Page

Use the Assign Manager/Supervisor/RI (assign manager/supervisor/regulated individual) page (PCMP_MGR_SUPER) to assign regulated individuals to compliance managers/supervisors.

Navigation:

Workforce Monitoring > Professional Compliance > Maintain Program > Assign Manager/Supervisor/RI > Assign Manager/Supervisor/RI

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This example illustrates the fields and controls on the Assign Manager/Supervisor/RI page.

Assign Manager/Supervisor/RI

Empl ID KG0002 **Dewi Hopkins**

Role Supervisor
Date Assigned 07/05/2001

Regulated Individual Find | View All First 1 of 3 Last

Empl ID HGPC02 Barry Theakston

Regulatory Authority KG01 Standard Financial Regulatory Authority

Professional Compliance Type KG1 Financial

Empl Record 0 Business Unit GBR02

Assignment Status Find | View All First 1 of 1 Last

Status Date 07/09/2001

RI Status Active

| Field or Control | Description |
|------------------|--|
| 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

| Field or Control | Description |
|------------------|--|
| 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 topic). This account consists of a series of high-level, summary notes about how your company processes the different areas of regulation, such as supervision, continual professional development, and so forth.

Page Used to Describe a Compliance Plan

| <i>Page Name</i> | <i>Definition Name</i> | <i>Navigation</i> | <i>Usage</i> |
|------------------|------------------------|--|---------------------------------------|
| Compliance Plan | PCMP_COMPANY_TBL3 | Workforce Monitoring > Professional Compliance > Define Compliance Information > Company Compliance > Compliance Plan | Describe a company's compliance plan. |

Compliance Plan Page

Use the Compliance Plan page (PCMP_COMPANY_TBL3) to describe a company's compliance plan.

Navigation:

Workforce Monitoring > Professional Compliance > Define Compliance Information > Company Compliance > Compliance Plan

This example illustrates the fields and controls on the Compliance Plan page.

The screenshot shows the 'Compliance Plan' page with the following details:

- Tabs:** Regulation, Products, Compliance Plan (selected)
- Company:** KG1 Business Institute - UK
- Company Compliance Section:**
 - Find | View All | First 1 of 2 Last
 - 'Professional Compliance Type': KG1 (Financial)
 - 'Regulatory Authority': KG01 (Standard Financial Regulatory Authority)
- Compliance Details Section:**
 - Find | View All | First 1 of 1 Last
 - Effective Date: 01/01/2000
 - Status: Active
 - Reference Number: SFRA 14527
 - Contact Name: Stephen Tomkinson

Company Compliance Plan

| <i>Field or Control</i> | <i>Description</i> |
|-----------------------------|---|
| Compliance Plan Year | Enter the year that the compliance plan is in effect. |

Plan Area

| <i>Field or Control</i> | <i>Description</i> |
|--------------------------------|--|
| 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. |

Related Links

“Manage Professional Compliance Reports” (Application Fundamentals)

Chapter 3

Defining Development Plans

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

This topic provides an overview of development plan setup.

Pages Used to Set Up Development Plans

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

Understanding Development Plan Setup

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

To create a development plan:

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

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

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

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

Related Links

“Manage Profiles Overview” (PeopleSoft Human Resources Manage Profiles)

“Human Resources Administer Workforce Overview” (PeopleSoft Human Resources Administer Workforce)

[PC Type Page](#)

“Manage Professional Compliance Reports” (Application Fundamentals)

[Enrolling Regulated Individuals in Development Plans](#)

Accomplishment Page

Use the Accomplishment page (PCMP_DEV_ACPS) to identify accomplishments that you want to add to the development plan.

Navigation:

Workforce Monitoring > Professional Compliance > Define Development Information > Accomplishment > Accomplishment

This example illustrates the fields and controls on the Accomplishment page.

| <i>Field or Control</i> | <i>Description</i> |
|--------------------------------|---|
| 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. |

Related Links

“Understanding the Content Catalog” (PeopleSoft Human Resources Manage Profiles)

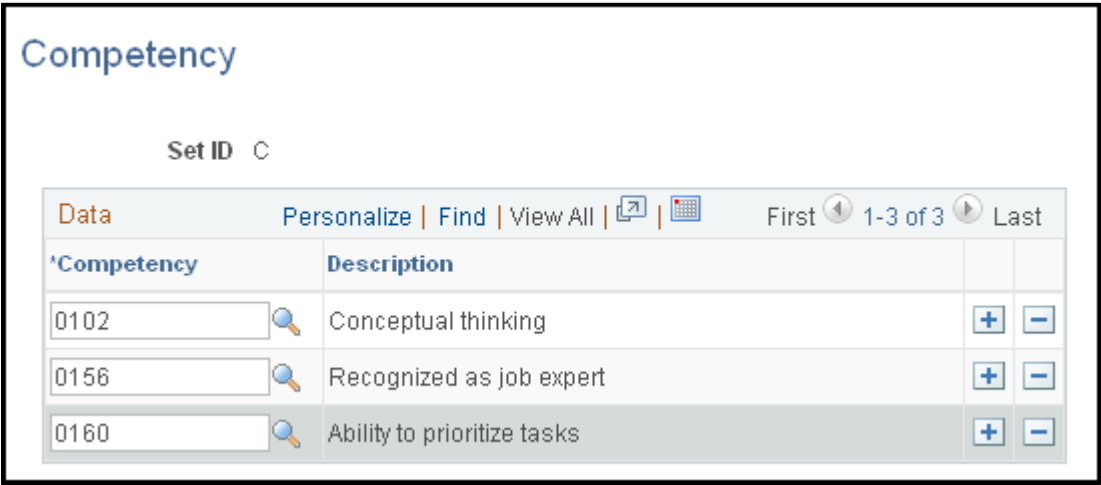
Competency Page

Use the Competency page (PCMP_DEV_COMP) to identify competencies that you want to add to the development plan.

Navigation:

Workforce Monitoring > Professional Compliance > Define Development Information > Competency > Competency

This example illustrates the fields and controls on the Competency page.



| Field or Control | Description |
|------------------|---|
| Competency | Select the competencies that you want to use in the development plan. |

Related Links

“Understanding the Content Catalog” (PeopleSoft Human Resources Manage Profiles)

Training Course Page

Use the Training Course page (PCMP_DEV_CRSE) to identify courses that you want to add to the development plan.

Navigation:

Workforce Monitoring > Professional Compliance > Define Development Information > Training Course > Training Course

This example illustrates the fields and controls on the Training Course page.

Training Course

Set ID C

| Data | | Personalize | Find | View All | First | 1-3 of 3 | Last |
|--------------|--------------------|-------------|------|----------|-------|----------|------|
| 'Course Code | Description | | | | | | |
| HXAT10 | Introduction to HR | | | | | | |
| HXCMP | Comp Mgmt Test II | | | | | | |
| KF001 | Time Management | | | | | | |

| Field or Control | Description |
|------------------|--|
| Course Code | Select the courses that you want to use in the development plan. |

Activity Page

Use the Activity page (PCMP_DEV_ACT) to define the activities that you want to add to the development plan.

Navigation:

Workforce Monitoring > Professional Compliance > Define Development Information > Activity > Activity

This example illustrates the fields and controls on the Activity page.

Activity

Set ID C

| Data | | Personalize | Find | View All | First | 1-2 of 2 | Last |
|-----------------------|-----------------------------|-------------|------|----------|-------|----------|------|
| 'Development Activity | Description | | | | | | |
| K01 | Read Industry literature | | | | | | |
| K02 | Attend Industry conferences | | | | | | |

| Field or Control | Description |
|-----------------------------|--|
| Development Activity | Select and describe the activities that you want to use in the development plan. |

Development Plan Page

Use the Development Plan page (PCMP_DEV_PLAN) to assemble a development plan from the list of accomplishments, competencies, courses, and activities.

Navigation:

Workforce Monitoring > Professional Compliance > Define Development Information > Development Plan > Development Plan

This example illustrates the fields and controls on the Development Plan page.

Development Plan



Set ID SHARE

Professional Compliance Type Health & Safety Compliance









Regulatory Authority National First Aid Standards

Classification Non-Qualified First Aider

Development Area

Personalize | Find | View All |  

First 1-4 of 4 Last

| Development Type | Development Area | Description | | |
|------------------|------------------|--------------------------------|---|---|
| Accomplishment | 3005 | General Physical |  |  |
| Accomplishment | CPR | Cardio Pulmonary Resuscitation |  |  |
| Competency | 1122 | Aids/HIV Awareness |  |  |
| Competency | 9101 | First Aid: Emergency Care |  |  |

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.

| Field or Control | Description |
|-------------------------------------|---|
| Professional Compliance Type | Displays the professional compliance type that you entered to access the page. To define professional compliance type, use the PC Type (professional compliance type) page. |
| Regulatory Authority | Displays the regulatory authority that you entered to access the page. To define regulatory authorities, use the Reg Authority (regulatory authority) page. |

| Field or Control | Description |
|-------------------------|--|
| Classification | Displays the classification that you entered to access the page. To define the classifications, use the Classification page. |

Development Area

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

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

Related Links

[PC Type Page](#)

[Reg Authority Page](#)

[Classification Page](#)

[Understanding Regulated Individual Data](#)

Running a Compliance Plan Report

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

Page Used to Run a Compliance Plan Report

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

Entering and Maintaining Regulated Individual Data

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 topic discusses can be grouped into these categories:

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

Bringing Regulated Individuals into the Compliance Process

This topic provides overviews of the ways to bring individuals into the compliance process and PeopleSoft Integration Broker.

Pages Used to Bring Regulated Individuals into the Compliance Process

| Page Name | Definition Name | Usage |
|---------------------------------|------------------------|--|
| <u>Job Code Compliance Page</u> | PCMP_JOBCODE | Set up a default compliance type for each regulated individual who is hired through PeopleSoft HR. |

| Page Name | Definition Name | Usage |
|-------------------------|------------------------|---|
| RI Page | PCMP_RI | Add a regulated individual to the Professional Compliance process manually. |

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 Job Code 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 [Understanding Notifications in the Manage Professional Compliance Business Process](#).

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.

Related Links

[Using Integration Points in Manage Professional Compliance](#)

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 Job Code Compliance page.
2. Hire an individual by using the Job Data component in Workforce Administration.
3. After hiring the individual, use the RI page to set the regulatory authority for each default compliance type.

4. Assign the regulated individual to a compliance supervisor on the Assign Manager/Supervisor/RI page.

To manually enter an individual:

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

Related Links

[Assign Manager/Supervisor/RI Page](#)

Job Code Compliance Page

Use the Job Code Compliance page (PCMP_JOBCODE) to set up a default compliance type for each regulated individual who is hired through PeopleSoft HR.

Navigation:

- **Workforce Monitoring > Professional Compliance > Define Compliance Information > Job Code Compliance > Job Code Compliance**
- **Set Up HCM > Product Related > Workforce Monitoring > Professional Compliance > Job Code Compliance > Job Code Compliance**

This example illustrates the fields and controls on the Job Code Compliance page.

Job Code Compliance

Set ID SHARE Table Set shared across Corp
Job Code 110000 Accountant

Default Jobcode Compliance

|
1-1 of 1
View All

***Professional Compliance Type**

| Field or Control | Description |
|-------------------------------------|--|
| 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. |

Related Links

[PC Type Page](#)

RI Page

Use the RI (regulated individual) page (PCMP_RI) to add a regulated individual to the Professional Compliance process manually.

Navigation:

Workforce Monitoring > Professional Compliance > Maintain Program > Enroll Regulated Individual-RI > RI

This example illustrates the fields and controls on the RI page.

The screenshot shows the RI page interface. At the top, there are tabs for 'RI' and 'RI Product'. Below the tabs, the 'Empl ID' is 'KG0004' and the 'Empl Record' is '0'. The name 'Matabele Brooke' is displayed. The 'Professional Compliance Type' is 'KG2' and the 'Regulatory Authority' is 'KG02'. The 'Date Registered' is '01/03/2000' and the 'Business Unit' is 'GBR03'. The 'Compliance Details' section is visible with a search bar and navigation controls.

| Field or Control | Description |
|-------------------------------------|--|
| Professional Compliance Type | Enter the professional compliance type for the individual whose identification appears at the top of the page. If you set up a default compliance type based on the individual's job code, the professional compliance type that appears in this field is the one that you defined as the default. |
| Regulatory Authority | Enter the regulatory authority that corresponds to the individual's professional compliance type. |

| <i>Field or Control</i> | <i>Description</i> |
|-------------------------|--|
| Date Registered | Enter the date on which the individual was registered with the regulatory authority. |

Assigning Regulated Individuals to Supervisors

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

See [Understanding Manage Professional Compliance Business Processes](#).

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 topic discusses how to define classifications of regulated individuals.

Page Used to Define Classifications of Regulated Individuals

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

Related Links

[Classification Page](#)

Classification Status Page

Use the Classification Status page (PCMP_RI_CLASS) to define a regulated individual's classification.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Classification Status > Classification Status

This example illustrates the fields and controls on the Classification Status.

Classification Status

Empl ID

HGPC02

Barry Theakston

Empl Record

0

Prof Compliance Type

KG1

Financial

RI Status

Active

Regulatory Authority

KG01

Standard Financial Regulatory Authority

Classification

Find | View All

First 1 of 1 Last

Effective Date

07/09/2001

Classification

LEVEL1

New Entrant

Enrolling Regulated Individuals in Development Plans

This topic provides an overview of the process of enrolling individuals in development plans.

Pages Used to Enroll Regulated Individuals in Development Plans

| Page Name | Definition Name | Usage |
|-------------------------|-----------------|---|
| Development Record Page | PCMP_RI_DEV_REC | Create development records. |
| Development Area Page | PCMP_RI_DEVAREA | View and add development areas that are associated with a default development plan. |

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:

- 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 Job Code Compliance page), defined the individual's regulatory authority on the RI page, and entered the individual's classification on the Classification Status page.
- Enter the creation date and expected completion date of the development plan.
- 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.

Development Record Page

Use the Development Record page (PCMP_RI_DEV_REC) to create development records.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Assign Development Plan > Development Record

This example illustrates the fields and controls on the Development Record page.

The screenshot shows the 'Development Record' page. At the top, there are tabs for 'Development Record' and 'Development Area'. Below the tabs, the 'Empl ID' is 'HGPC02' and the name is 'Barry Theakston'. The 'Empl Record' is '0'. The 'Prof Compliance Type' is 'Financial' and the 'RI Status' is 'Active'. The 'Regulatory Authority' is 'Standard Financial Regulatory Authority'. Below this is a section titled 'Development Record Details' with a 'Find | View All' link and a pagination control showing 'First 1 of 1 Last'. The details section includes fields for 'Classification' (New Entrant), 'Creation Date' (05/22/2013), 'Expected Completion Date', 'Actual Completion Date', and 'Status'.

| Field or Control | Description |
|------------------|--|
| 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

| Field or Control | Description |
|---------------------------------|--|
| Creation Date | Enter the date on which you enrolled the regulated individual in the development plan. |
| Expected Completion Date | Enter the expected completion date of the development plan. |

| Field or Control | Description |
|-------------------------------|--|
| Actual Completion Date | Displays the date that you entered in the Actual Completion Date field on the RI Dev Review (regulated individual development review) page. |
| Status | Displays the status that you entered on the RI Dev Review page. See RI Dev Review Page . |

Development Area Page

Use the Development Area page (PCMP_RI_DEVAREA) to view and add development areas that are associated with a default development plan.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Assign Development Plan > Development Area

This example illustrates the fields and controls on the Development Area page.

The screenshot displays the 'Development Area' page for employee Matabele Brooke (Empl ID KG0004). The page is divided into two main tabs: 'Development Record' and 'Development Area'. The 'Development Record' tab is active, showing details for the employee's record, including their classification as 'Non Qualified First Aider' and the creation date '01/03/2000'. The 'Development Area' tab is also visible, showing a dropdown menu for 'Development Type' set to 'Accomplishment' and a text field for 'Development Area' set to '3005'. A 'Load Development Plan' button is present between the two tabs. The page includes navigation controls like 'Find | View All', 'First', '1 of 1', and 'Last' for the Development Record, and similar controls for the Development Area.

| Field or Control | Description |
|-------------------------|--|
| 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

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

Development Area

| Field or Control | Description |
|-------------------------|--|
| Development Type | 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> . |
| Development Area | Enter the specific development element (within each development type) to include in your development plan. |

Reassigning Regulated Individuals to New Compliance Managers or Supervisors

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

This topic discusses how to reassign regulated individuals.

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

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

Related Links

[Assign Manager/Supervisor/RI Page](#)

Reassign RIs Page

Use the Reassign RIs (reassign regulated individual) page (RUN_CNTL_PCMP1) to reassign regulated individuals to new compliance managers or supervisors.

Navigation:

Workforce Monitoring > Professional Compliance > Maintain Program > Reassign RIs > Reassign RIs

This example illustrates the fields and controls on the Reassign RIs page.

Reassign RIs

Run Control ID 1
Report Manager
Process Monitor
Run

Reassignment Selection

☒ Regulated Individuals
☐ Compliance Supervisors

Reassignment Option

☒ Single Individual
☐ All Individuals

*Emplid HGPC03
Reg Authority
Stephanie Andrews
Empl Record 0
Supervisor

Reassign To

*Supervisor KC0031
Marcel Saint-Amand

Reassignment Selection

| <i>Field or Control</i> | <i>Description</i> |
|------------------------------|---|
| Regulated Individuals | <p>Select to assign a regulated individual to a new compliance manager or supervisor. When you select this option, perform the following actions:</p> <ol style="list-style-type: none"> 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. |

| <i>Field or Control</i> | <i>Description</i> |
|--------------------------------|--|
| Compliance Supervisors | <p>Select to place a compliance supervisor under the direction of a new compliance manager. When you select this option, perform the following actions:</p> <ol style="list-style-type: none"> 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 HR and displays the information on the Reference Profile, Reference Address, and Prior Work Experience UK pages.

This section discusses how to review profiles, addresses and previous work experience.

Pages Used to Review References and Prior Work Experience

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

Reference Profile Page

Use the Reference Profile page (PCMP_RI_REFERENCE1) to review reference profiles.

Navigation:

Workforce Monitoring > Professional Compliance > Review Compliance Information > References UK > Reference Profile

This example illustrates the fields and controls on the Reference Profile page.

The screenshot shows the 'Reference Profile' page for employee KG0004, Matabele Brooke. The page includes a search bar, pagination controls, and a form with fields for Reference Number, Date Contacted, Reference Type, Reference Name, Title, Employer, and Comment.

Use this page to review and edit reference profiles.

Reference Address Page

Use the Reference Address page (PCMP_RI_REFERENCE2) to review reference addresses.

Navigation:

Workforce Monitoring > Professional Compliance > Review Compliance Information > References UK > Reference Address

This example illustrates the fields and controls on the Reference Address page.

The screenshot shows the 'Reference Address' page for employee HGPC02, Barry Theakston. The page has two tabs: 'Reference Profile' and 'Reference Address'. The 'Reference Address' tab is selected. Below the tabs, the employee's ID and name are displayed. The main section is titled 'Data' and contains the following fields and controls:

- Reference Number:** 1 (with '+' and '-' buttons for navigation)
- 'Date Contacted:** 05/21/2013 (with a calendar icon)
- 'Reference Type:** Professional (dropdown menu)
- Reference Name:** (text input field)
- Title:** (text input field)
- Employer:** (text input field)
- Comment:** (large text area with a small icon in the bottom right corner)

At the top right of the 'Data' section, there are navigation controls: 'Find | View All', 'First', '1 of 1', and 'Last'.

Use this page to review and edit reference addresses.

Prior Work Experience UK Page

Use the Prior Work Experience UK page (PCMP_RI_PREV) to review prior work experience and record the previous classification of a regulated individual.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Prior Work Experience UK > Prior Work Experience UK

This example illustrates the fields and controls on the Prior Work Experience UK page.

Regulatory Authority UK First Aid Regulatory Authority

Prior Work Experience Find | View All First 1 of 1 Last

Sequence Number 1

'Start Date 05/21/2005

End Date 05/01/2013

☐ Relevant Work Experience

Employer Auto Care Ltd.

City London

Phone

Ending Pay Rate 4,000.00

'Pay Frequency Month

☐ Company Previously Regulated

Previous Classification

Reason for Leaving

Job Description

Country USA United States

State

Ending Job Title Customer Service Manager

'Currency USD

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.

Monitoring Regulated Individuals

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.

Related Links

[Understanding Inquiry Pages](#)

Common Elements Used in Monitoring Regulated Individuals

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

Related Links

“Understanding PeopleSoft HCM System Data Regulation” (Application Fundamentals)

Reviewing Regulated Individuals

This topic provides an overview of reviewing regulated individuals.

Pages Used to Review Regulated Individuals

| <i>Page Name</i> | <i>Definition Name</i> | <i>Usage</i> |
|---|------------------------|--|
| RI Dev Review Page | PCMP_RI_DEVREVIEW | Enter development review details. |
| RI Dev Area Review Page | PCMP_RI_DEVREVIEW2 | Review a development area. |
| RI Review Report (regulated individual review report) | RUN_CNTL_PCMP4 | Use the RI Review report (PCMP004) to collect complete details of a regulated individual's review. |

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.

Related Links

[Understanding Development Plans](#)

[Understanding Regulated Individual Data](#)

[Understanding Inquiry Pages](#)

RI Dev Review Page

Use the RI Dev Review (regulated individual development review) page (PCMP_RI_DEVREVV) to enter development review details.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Conduct Development Review > RI Dev Review

This example illustrates the fields and controls on the RI Dev Review page.

RI Dev Review

RI Dev Area Review

Empl ID

KG0004

Matabele Brooke

Empl Record

0

Prof Compliance Type

UK Health & Safety

RI Status

Active

Regulatory Authority

UK First Aid Regulatory Authority

Development Review Details

Find | View All

First 1 of 1 Last

Classification

Non Qualified First Aider

Expected Completion Date

01/31/2000

Creation Date

01/03/2000

Actual Completion Date

01/28/2000

Status

Pass

Comments

Matabele has now qualified as a first aider.

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

RI Dev Area Review Page

Use the RI Dev Area Review (regulated individual development area review) page (PCMP_RI_DEVREVV2) to review a development area.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Conduct Development Review > RI Dev Area Review

his example illustrates the fields and controls on the RI Dev Area Review page.

RI Dev ReviewRI Dev Area Review

Empl ID KG0004Matabele BrookeEmpl Record 0

Prof Compliance Type UK Health & SafetyRI Status Active

Regulatory Authority UK First Aid Regulatory Authority

Development Review DetailsFind | View AllFirst1 of 1Last

Classification Non Qualified First Aider

Creation Date 01/03/2000

Development AreaFind | View AllFirst1 of 4Last

Development Type Accomplishment

Development Area 3005General Physical

Status Pass

CommentsNo medical problems.

| Field or Control | Description |
|------------------|--|
| Development Type | 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> . |
| Development Area | Displays the specific activity within the development area (accomplishment, competency, course, or activity) against which you are assessing the individual's performance. |
| Status | Select the performance status of the regulated individual relative to the specific development activity that appears in the Development Area field. |
| Comments | Enter comments about the regulated individual's performance. |

Related Links

[Understanding Development Plans](#)

Observing Regulated Individuals

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

Pages Used to Set Up Observation Elements and Observe Regulated Individuals

| <i>Page Name</i> | <i>Definition Name</i> | <i>Usage</i> |
|--|------------------------|--|
| Elements Page or Review Rank Change Request MIL Page | PCMP_OBS_ELEM | Define observation elements. |
| Observation Model Page | PCMP_OBS_MODEL | Construct observation models. |
| Model Elements Page | PCMP_OBS_MODEL2 | Add observation elements to models. |
| RI Observation Page | PCMP_RI_OBS | Enter observations of a regulated individual. |
| Observation Elements Page | PCMP_RI_OBS2 | Enter observation details. |
| RI Observation (regulated individual observation) | RUN_CNTL_PCMP3 | Use the RI Observation report (PCMP003) to collect complete details of a regulated individual's observation. |

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 Review Rank Change Request MIL or Elements page.

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

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

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

charges, assessing risks, and selling are part of a process that can be observed and structured as an observation model.

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

Related Links

[Understanding Inquiry Pages](#)

Elements Page or Review Rank Change Request MIL Page

Use the Elements page or Review Rank Change Request MIL page (PCMP_OBS_ELEM) to define observation elements.

Navigation:

- **Workforce Monitoring > Professional Compliance > Define Observation Information > Elements > Elements**
- **Set Up HCM > Product Related > Workforce Monitoring > Professional Compliance > Review Rank Change Request MIL > Review Rank Change Request MIL**

This example illustrates the fields and controls on the Elements page.

Review Rank Change Request MIL

Set ID SHARE

Observation Element

1-3 of 3

View All

| *Element | *Description | | |
|----------|----------------------------|---|---|
| K01 | Remained calm | + | - |
| K02 | Analyzed situation | + | - |
| K03 | Took necessary precautions | + | - |

| Field or Control | Description |
|--------------------------------|--|
| Element and Description | Enter name and description for the observation elements that you want to use in the observation model. |

Observation Model Page

Use the Observation Model page (PCMP_OBS_MODEL) to construct observation models.

Navigation:

Workforce Monitoring > Professional Compliance > Define Observation Information > Models > Observation Model

This example illustrates the fields and controls on the Observation Model page.

The screenshot shows the 'Observation Model' page. At the top, there are two tabs: 'Observation Model' and 'Model Elements'. Below the tabs, there are several fields and controls:

- Set ID:** GBR01
- Set ID for GBR01:** (empty field)
- Observation Model:** KG01 (with '+' and '-' buttons)
- Effective Date:** 01/01/2000 (with a calendar icon)
- Status:** Active (with a dropdown arrow)
- Description:** Financial Observation 1
- Comments:** A text area containing the following text: "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."

| Field or Control | Description |
|--------------------------|---|
| Observation Model | Enter name for the observation model. |
| Comments | Enter comments about the observation model. |

Model Elements Page

Use the Model Elements page (PCMP_OBS_MODEL2) to add observation elements to models.

Navigation:

Workforce Monitoring > Professional Compliance > Define Observation Information > Models > Model Elements

This example illustrates the fields and controls on the Model Elements page.

| <i>Field or Control</i> | <i>Description</i> |
|----------------------------|--|
| 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. |

RI Observation Page

Use the RI Observation (regulated individual observation) page (PCMP_RI_OBS) to enter observations of a regulated individual.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Record RI Observation > RI Observation

This example illustrates the fields and controls on the RI Observation page.

The screenshot shows the 'RI Observation' page with the following fields and controls:

- Empl ID:** KG0004, **Matabele Brooke**
- Empl Record:** 0
- Prof Compliance Type:** UK Health & Safety
- RI Status:** Active
- Regulatory Authority:** UK First Aid Regulatory Authority
- Observation Details:**
 - Classification:** Qualified First Aider
 - *Observation Date:** 05/21/2013
 - *Observation Model:** (empty field with a magnifying glass icon)
 - Status:** (dropdown menu)
- Comments:** (text area)

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

Observation Elements Page

Use the Observation Elements page (PCMP_RI_OBS2) to enter observation details.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Record RI Observation > Observation Elements

This example illustrates the fields and controls on the Observation Elements page.

RI Observation

Observation Elements

Empl ID

HGPC03

Stephanie Andrews

Empl Record

0

Prof Compliance Type

UK Health & Safety

RI Status

Active

Regulatory Authority

UK First Aid Regulatory Authority

Observation Details

Find | View All

First

1 of 1

Last

Classification

Non Qualified First Aider

Observation Date

05/21/2013

Observation Model

Observation Element

Find | View All

First

1 of 1

Last

Observation Element

☐ Required

Status

Comments

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

(GBR) Monitoring KPIs

This section discusses how to monitor KPIs.

Pages Used to Monitor KPIs

| Page Name | Definition Name | Navigation | Usage |
|-------------------------------------|------------------------|--|---|
| Complaint Type Page | PCMP_COMPL | Workforce Monitoring > Professional Compliance > Define Compliance Information > Complaint Type | Define complaint types that customers might make against a regulated individual. |
| RI Complaints Page | PCMP_RI_COMPL | Workforce Monitoring > Professional Compliance > Monitor Progress > RI Complaints > RI Complaints | Register complaints against an individual. |
| Product Type Page | 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 Page | PCMP_COMPANY_TBL2 | Workforce Monitoring > Professional Compliance > Define Compliance Information > Company Compliance > Products | Associate products with the companies that provide them. |
| KPI Review Page | PCMP_RI_KPI_REV | Workforce Monitoring > Professional Compliance > Monitor Progress > Review Performance Indicator > KPI Review | Enter KPI review details. |
| KPI Statistics Page | PCMP_RI_KPI_REV2 | Workforce Monitoring > Professional Compliance > Monitor Progress > Review Performance Indicator > KPI Statistics | Define KPI statistics for the individual whose performance you want to measure. |

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 Complaints (regulated individual complaints) page.
3. Define products and product types on the Product Type page.

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

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

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

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

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

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

6. Enter KPI review details, such as review date and frequency type, on the KPI Review (key performance indicator review) page.
7. On the KPI Statistics (key performance indicator statistics) page, enter complaint, persistency, spread of business, NTU , and factfind completion data for the individual.

Complaint Type Page

Use the Complaint Type page (PCMP_COMPL) to define complaint types that customers might make against a regulated individual.

Navigation:

Workforce Monitoring > Professional Compliance > Define Compliance Information > Complaint Type

This example illustrates the fields and controls on the Complaint Type page.

| <i>Field or Control</i> | <i>Description</i> |
|--|--|
| Complaint Type and Complaint Description | Enter a complaint type code and description. |

RI Complaints Page

Use the RI Complaints (regulated individual complaint) page (PCMP_RI_COMPL) to register complaints against an individual.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > RI Complaints > RI Complaints

This example illustrates the fields and controls on the RI Complaints page.

The screenshot shows the 'RI Complaints' page for employee Matabele Brooke (Empl ID KG0004). The page displays the following information:

- Empl ID:** KG0004
- Empl Name:** Matabele Brooke
- Empl Record:** 0
- Prof Compliance Type:** UK Health & Safety
- RI Status:** Active
- Regulatory Authority:** UK First Aid Regulatory Authority
- Regulated Individual Complaint:** A section with a search bar (Find), view options (View All), and pagination (First, 1 of 1, Last).
- Classification:** Qualified First Aider
- Supervisor:** Robin de la Camara
- Complaint Type:** KG03 (Not qualified)
- Complaint Date:** 05/21/2013
- Comments:** Assigned to First Aid Training Program

| Field or Control | Description |
|------------------|--|
| 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. |

Product Type Page

Use the Product Type page (PCMP_PROD_TYPE) to define products and product types to measure persistency, spread of business, and NTUs.

Navigation:

Workforce Monitoring > Professional Compliance > Define Compliance Information > Product Type

This example illustrates the fields and controls on the Product Type page.



Product Type

Set ID GBR01







'Product Type' KG01

'Description' Mortgages

Product

Personalize | Find | View All |  

First 1-3 of 3 Last

| 'Product' | 'Description' | | |
|-----------|--------------------------|---|---|
| KG01 | Capital Repayment |  |  |
| KG02 | Endowment |  |  |
| KG03 | Pension linked endowment |  |  |

| Field or Control | Description |
|------------------|--|
| 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. |

Products Page

Use the Products page (PCMP_COMPANY_TBL2) to associate products with the companies that provide them.

Navigation:

Workforce Monitoring > Professional Compliance > Define Compliance Information > Company Compliance > Products

This example illustrates the fields and controls on the Products page.

RegulationProductsCompliance Plan

Company CTCommodity Futures Trading Comm

Company Product RangeFind | View AllFirst1 of 1Last

*Product Type

*Product

StatusFind | View AllFirst1 of 1Last

Effective Date03/23/2015

Status

| Field or Control | Description |
|------------------|--|
| 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. |

KPI Review Page

Use the KPI Review (key performance indicator review) page (PCMP_RI_KPI_REV) to enter KPI review details.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Review Performance Indicator > KPI Review

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This example illustrates the fields and controls on the KPI Review page.

KPI ReviewKPI Statistics

Empl ID KG0005Seamus O'FlahertyEmpl Record 0

Prof Compliance Type FinancialRI Status Active

Regulatory Authority Standard Financial Regulatory Authority

KPI Review DetailsFind | View AllFirst1 of 1Last

Classification Competent Individual

Supervisor Dewi Hopkins

Review Date03/30/2001Frequency TypeQuarterly

CommentsFirst KPI review since Seamus became a Competent Individual.

| Field or Control | Description |
|------------------|--|
| 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. |

KPI Statistics Page

Use the KPI Statistics (key performance indicator statistics) page (PCMP_RI_KPI_REV2) to define KPI statistics for the individual whose performance you want to measure.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Review Performance Indicator > KPI Statistics

This example illustrates the fields and controls on the KPI Statistics page.

KPI Review

KPI Statistics

Empl ID KG0004

Matabele Brooke

Empl Record 0

KPI Review Details

Find | View All

First 1 of 1 Last

Review Date 05/21/2013

Complaints

From Date

To Date

Number of Complaints

0

Persistency

From Date

To Date

Details

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

Spread of Business

From Date

To Date

Details

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

Not Taken Up (NTUs)

From Date

To Date

Details

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

Factfind Completion

From Date

To Date

Percentage

| Field or Control | Description |
|------------------|--------------------------------------|
| Review Date | Displays the date of the KPI review. |

Complaints

| Field or Control | Description |
|------------------------------|---|
| 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

| Field or Control | Description |
|------------------------------|---|
| 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

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

Not Taken Up (NTUs)

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

Factfind Completion

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

Setting Up and Entering Check Details

This section provides an overview of setting up and entering check details.

Pages Used to Set Up and Enter Check Details

| <i>Page Name</i> | <i>Definition Name</i> | <i>Navigation</i> | <i>Usage</i> |
|---------------------------------|------------------------|---|---|
| Check Type Page | PCMP_CHK_TYPE | Set Up HCM > Product Related > Workforce Monitoring > Professional Compliance > Check Type > Check Type | Define check types that a regulated individual needs to pass. |

| Page Name | Definition Name | Navigation | Usage |
|--------------------------------|------------------------|--|-------------------|
| RI Checks Page | PCMP_RI_CHK | Workforce Monitoring > Professional Compliance > Monitor Progress > RI Checks > RI Checks | Enter check data. |

Understanding Check Detail Setup and Usage

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

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

To set up and use checks:

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

Related Links

[Understanding Inquiry Pages](#)

Check Type Page

Use the Check Type page (PCMP_CHK_TYPE) to define check types that a regulated individual needs to pass.

Navigation:

Set Up HCM > Product Related > Workforce Monitoring > Professional Compliance > Check Type > Check Type

This example illustrates the fields and controls on the Check Type page.

| Check Type | Description |
|------------|----------------------------|
| KG01 | Financial Background check |
| KG02 | Security check |
| KG03 | Financial stability check |

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

RI Checks Page

Use the RI Checks (regulated individual checks) page (PCMP_RI_CHK) to enter check data.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > RI Checks > RI Checks

This example illustrates the fields and controls on the RI Checks page.

Empl ID KG0005 Seamus O'Flaherty Empl Record 0

Prof Compliance Type KG1 Financial RI Status Active

Regulatory Authority KG01 Standard Financial Regulatory Authority

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

Classification Competent Individual

Supervisor Dewi Hopkins

Check Date 01/05/2001

Check Type KG03 Financial Stability Check

Status Pass

Comments Annual financial stability check revealed no concerns for Seamus.

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

Setting Up Notifications in Manage Professional Compliance Business Process

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.

Related Links

[Understanding Regulated Individual Data](#)

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 |

Related Links

[Understanding Regulated Individual Data](#)

Setting Up Notifications

This section discusses how to set up notifications.

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.

Pages Used to Set Up Notifications

| Page Name | Definition Name | Usage |
|--|------------------------|--|
| <u>Compliance Type - Notification Page</u> | PCMP_TYPE_NOTIFY | Create a hire notification. |
| <u>Regulatory Authority - Notifications Page</u> | PCMP_REGAUTH_NOTIF | Create the following notifications: RI add, classification change, job change, or termination. |
| <u>Admin Re-Certs Page</u> | PCMP_RECERT_AE | Create a recertification notification. |

Related Links

[Understanding Notifications in the Manage Professional Compliance Business Process](#)

Compliance Type - Notification Page

Use the Compliance Type - Notification page (PCMP_TYPE_NOTIFY) to create a hire notification.

Navigation:

Set Up HCM > Product Related > Workforce Monitoring > Professional Compliance > Compliance Type > Notification

This example illustrates the fields and controls on the Compliance Type - Notification page.

PC Type Notification

Professional Compliance Type KG1 Financial

☒ Hire

Notification Message

Employee/Non-Employee has entered financial compliance programme.

Notification Action

Set regulatory authority.

Action Time Limit (Days) 1

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.

Related Links

[Understanding Regulated Individual Data](#)

Regulatory Authority - Notifications Page

Use the Regulatory Authority - Notifications page (PCMP_REGAUTH_NOTIF) to create the following notifications: RI add, classification change, job change, or termination.

Navigation:

Set Up HCM > Product Related > Workforce Monitoring > Professional Compliance > Regulatory Authority > Notifications

This example illustrates the fields and controls on the Regulatory Authority - Notifications page .

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

Add

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.

Change of Classification

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.

Change in Job

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.

Job Termination

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

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

Related Links

[Defining Classifications of Regulated Individuals](#)

“Job Information Page” (PeopleSoft Human Resources Administer Workforce)

[Defining Classifications of Regulated Individuals](#)

“Changing Job Data” (PeopleSoft Human Resources Administer Workforce)

[Assign Manager/Supervisor/RI Page](#)

“Changing Job Data” (PeopleSoft Human Resources Administer Workforce)

Admin Re-Certs Page

Use the Admin Re-Certs (administer recertification) page (PCMP_RECERT_AE) to create a recertification notification.

Navigation:

Workforce Monitoring > Professional Compliance > Monitor Progress > Workforce Re-Certifications > Admin Re-Certs

This example illustrates the fields and controls on the Admin Re-Certs page.

The screenshot shows the 'Admin Re-Certs' page with the 'Notification' tab selected. At the top, there is a 'Run Control ID' of 100, and links for 'Report Manager' and 'Process Monitor'. A yellow 'Run' button is located to the right. Below these, the 'Business Unit' field contains 'EGJBU' with a magnifying glass icon, and the text 'E&G Junior College' is displayed next to it. The 'To Date' field contains '05/21/2010' with a calendar icon.

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.

| Field or Control | Description |
|-------------------------|---|
| Business Unit | Displays the business unit for which you want to generate recertification data for regulated individuals. |
| To Date | Enter the date up to which you want to generate data on upcoming or lapsed recertification requirements. No recertification requirement following this date will be reported. |

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

Using Inquiry Pages

Understanding Inquiry Pages

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

- Review history
- Observation history
- Check history

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

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

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

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

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

Managers can view the following information about all regulated individuals:

- Unassigned RIs (Unassigned RIs page).
- Status (RI Status by Business Unit 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).

For more information, see your *PeopleTools: Security Administration* product documentation.

Related Links

[Understanding the Monitoring Process](#)

Common Elements Used in Inquiry Pages

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

Related Links

“Understanding PeopleSoft HCM System Data Regulation” (Application Fundamentals)

Viewing Regulated Individual Data for Supervisors

This topic discusses how to view regulated individual data for supervisors.

Pages Used to View Regulated Individual Data for Supervisors

| Page Name | Definition Name | Usage |
|---|------------------------|------------------------------|
| RI Status Page | PCMP_RISTAT_INQ2 | View development status. |
| RI Review History Page | PCMP_RIREV_INQ | View review history. |
| RI Observation History Page | PCMP_RIOBS_INQ | View observation history. |
| RI Checks Page | PCMP_RICHK_INQ | View check history. |
| RI Re-Certifications Page | PCMP_RI_RECERT_INQ | View recertification status. |

RI Status Page

Use the RI Status (regulated individual status) page (PCMP_RISTAT_INQ2) to view development status.

Navigation:

Workforce Monitoring > Professional Compliance > Review Compliance Information > RI Status > RI Status

This example illustrates the fields and controls on the RI Status page.

The screenshot shows the 'RI Status' page with a 'Details' tab selected. The page includes a search bar with 'Find' and 'Personalize' buttons. Below the search bar is a table with the following columns: 'Empl ID', 'Empl Record', 'Name', and 'Effective Date'. The 'Empl Record' column contains the value '0'. The page also shows '1 of 1' records.

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.

Related Links

[Manage Professional Compliance Business Processes](#)

[Understanding Development Plans](#)

RI Review History Page

Use the RI Review History (regulated individual review history) page (PCMP_RIREV_INQ) to view review history.

Navigation:

Workforce Monitoring > Professional Compliance > Review Compliance Information > RI Review History > RI Review History

This example illustrates the fields and controls on the RI Review History page.

RI Review History



Employee ID KG0004

Prof Compliance Type UK Health & Safety

RI Status Active

Regulatory Authority UK First Aid Regulatory Authority

Matabele Brooke

| History Details | | | | Personalize Find   1 of 1 |
|-----------------|--------------------------|------------------------|--------|---|
| Creation Date | Expected Completion Date | Actual Completion Date | Status | |
| 01/03/2000 | 01/31/2000 | 01/28/2000 | Pass | |

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

Related Links

[Understanding Development Plans](#)

[Understanding the Monitoring Process](#)

Understanding Regulated Individual Data

RI Observation History Page

Use the RI Observation History (regulated individual observation history) page (PCMP_RIOBS_INQ) to view observation history.

Navigation:

Workforce Monitoring > Professional Compliance > Review Compliance Information > RI Observation History > RI Observation History

This example illustrates the fields and controls on the RI Observation History page.

RI Observation History

Employee ID KG0004 Matabele Brooke

Prof Compliance Type UK Health & Safety

RI Status Active

Regulatory Authority UK First Aid Regulatory Authority

| History Details | | | | Personalize | Find | | | 1 of 1 |
|------------------|-------------------|-------------|--------|-------------|------|--|--|--------|
| Observation Date | Observation Model | Description | Status | | | | | |
| 05/21/2013 | | | | | | | | |

| Field or Control | Description |
|--------------------------|---|
| 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. |

Related Links

Understanding Regulated Individual Data

RI Checks Page

Use the RI Checks (regulated individual checks) page (PCMP_RICLK_INQ) to view check history.

Navigation:

Workforce Monitoring > Professional Compliance > Review Compliance Information > RI Checks > RI Checks

This example illustrates the fields and controls on the RI Checks page.

RI Checks

Employee ID KG0005 Seamus O'Flaherty
Prof Compliance Type Financial RI Status Active
Regulatory Authority Standard Financial Regulatory Authority

History Details

1-3 of 3

| 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 |

| Field or Control | Description |
|------------------|--|
| Check Type | Displays the type of check that you are performing against the regulated individual. You entered this check type on the RI Check page. |
| Check Date | Displays the date on which you performed the check. |
| Status | Displays the regulated individual's status relative to the check being performed. You entered this status on the RI Checks page. |

Related Links

[Understanding Regulated Individual Data](#)

RI Re-Certifications Page

Use the RI Re-Certifications (regulated individual re-certifications) page (PCMP_RI_RECERT_INQ) to view recertification status.

Navigation:

Workforce Monitoring > Professional Compliance > Review Compliance Information > RI Re-Certifications > RI Re-Certifications

This example illustrates the fields and controls on the RI Re-Certifications page.

Name Tab

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

Re-Certification Tab

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

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

Related Links

“Manage Profiles Overview” (PeopleSoft Human Resources Manage Profiles)

“Human Resources Administer Workforce Overview” (PeopleSoft Human Resources Administer Workforce)

[Understanding Development Plans](#)

[Understanding Notifications in the Manage Professional Compliance Business Process](#)

Viewing Regulated Individual Data for Managers

This topic discusses how to identify unassigned regulated individuals.

Pages Used to View RI Data - Manager Views

| <i>Page Name</i> | <i>Definition Name</i> | <i>Usage</i> |
|-------------------------------------|------------------------|--|
| Unassigned RIs Page | PCMP_UNASS_RI | Identify unassigned regulated individuals. |

| Page Name | Definition Name | Usage |
|---|------------------------|--|
| RI Status by Business Unit (regulated individual status by business unit) | PCMP_RISTAT_INQ | Workforce Monitoring > Professional Compliance > Review Compliance Information > RI Status by Business Unit > RI Status by Business Unit View the development status of all regulated individuals. |
| Compliance Re-Certifications | PCMP_RI_RECERTINQ2 | Workforce Monitoring > Professional Compliance > Review Compliance Information > Compliance Re-Certifications > Compliance Re-Certifications View the recertification status of all regulated individuals. |

Unassigned RIs Page

Use the Unassigned RIs (unassigned regulated individuals) page (PCMP_UNASS_RI) to identify unassigned regulated individuals.

Navigation:

Workforce Monitoring > Professional Compliance > Review Compliance Information > Unassigned RIs > Unassigned RIs

This example illustrates the fields and controls on the Unassigned RIs page: Name tab.

The screenshot shows the 'Unassigned RIs' page with the 'Name' tab selected. The table displays the following data:

| Empl ID | Empl Record | Name |
|---------|-------------|--------------|
| KG0012 | 0 | David Barnes |

This example illustrates the fields and controls on the Unassigned RIs page: Regulatory Authority tab.

The screenshot shows the 'Unassigned RIs' page with the 'Regulatory Authority' tab selected. The table displays the following data:

| Empl ID | Empl Record | Name |
|---------|-------------|--------------|
| KG0012 | 0 | David Barnes |

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.
