

# PeopleSoft Human Capital Management 9.2

## PeopleSoft Human Resources Manage Professional Compliance



G49572-01  
May 2026



PeopleSoft Human Capital Management 9.2 PeopleSoft Human Resources Manage Professional Compliance,  
G49572-01

Copyright © 1988, 2026, Oracle and/or its affiliates.

This software and related documentation are provided under a license agreement containing restrictions on use and disclosure and are protected by intellectual property laws. Except as expressly permitted in your license agreement or allowed by law, you may not use, copy, reproduce, translate, broadcast, modify, license, transmit, distribute, exhibit, perform, publish, or display any part, in any form, or by any means. Reverse engineering, disassembly, or decompilation of this software, unless required by law for interoperability, is prohibited.

The information contained herein is subject to change without notice and is not warranted to be error-free. If you find any errors, please report them to us in writing.

If this is software, software documentation, data (as defined in the Federal Acquisition Regulation), or related documentation that is delivered to the U.S. Government or anyone licensing it on behalf of the U.S. Government, then the following notice is applicable:

U.S. GOVERNMENT END USERS: Oracle programs (including any operating system, integrated software, any programs embedded, installed, or activated on delivered hardware, and modifications of such programs) and Oracle computer documentation or other Oracle data delivered to or accessed by U.S. Government end users are "commercial computer software," "commercial computer software documentation," or "limited rights data" pursuant to the applicable Federal Acquisition Regulation and agency-specific supplemental regulations. As such, the use, reproduction, duplication, release, display, disclosure, modification, preparation of derivative works, and/or adaptation of i) Oracle programs (including any operating system, integrated software, any programs embedded, installed, or activated on delivered hardware, and modifications of such programs), ii) Oracle computer documentation and/or iii) other Oracle data, is subject to the rights and limitations specified in the license contained in the applicable contract. The terms governing the U.S. Government's use of Oracle cloud services are defined by the applicable contract for such services. No other rights are granted to the U.S. Government.

This software or hardware is developed for general use in a variety of information management applications. It is not developed or intended for use in any inherently dangerous applications, including applications that may create a risk of personal injury. If you use this software or hardware in dangerous applications, then you shall be responsible to take all appropriate fail-safe, backup, redundancy, and other measures to ensure its safe use. Oracle Corporation and its affiliates disclaim any liability for any damages caused by use of this software or hardware in dangerous applications.

Oracle®, Java, MySQL, and NetSuite are registered trademarks of Oracle and/or its affiliates. Other names may be trademarks of their respective owners.

Intel and Intel Inside are trademarks or registered trademarks of Intel Corporation. All SPARC trademarks are used under license and are trademarks or registered trademarks of SPARC International, Inc. AMD, Epyc, and the AMD logo are trademarks or registered trademarks of Advanced Micro Devices. UNIX is a registered trademark of The Open Group.

This software or hardware and documentation may provide access to or information about content, products, and services from third parties. Oracle Corporation and its affiliates are not responsible for and expressly disclaim all warranties of any kind with respect to third-party content, products, and services unless otherwise set forth in an applicable agreement between you and Oracle. Oracle Corporation and its affiliates will not be responsible for any loss, costs, or damages incurred due to your access to or use of third-party content, products, or services, except as set forth in an applicable agreement between you and Oracle.

# Contents

## Preface

---

Understanding the PeopleSoft Online Help and PeopleBooks	i
Using and Managing the PeopleSoft Online Help	iv
PeopleSoft HCM Related Links	iv
Contact Us	iv
Follow Us	v

## 1 Getting Started with Manage Professional Compliance

---

Manage Professional Compliance Business Processes	1
Manage Professional Compliance Business Process Integrations	1
Manage Professional Compliance Business Process Implementation	2

## 2 Setting Up Manage Professional Compliance

---

Understanding Manage Professional Compliance Business Processes	1
Manage Professional Compliance Business Process Structure	1
Tools for Moving Individuals Toward Compliance	2
Using Integration Points in Manage Professional Compliance	4
Setting Up Required Tables	5
Pages Used to Set Up Required Tables	5
Understanding Required Table Setup	6
PC Type Page	6
Reg Authority Page	7
Classification Page	8
Regulation Page	9
Assign Manager/Supervisor/RI Page	10
GBR_Setting Up Additional Tables for the U.K.	11
Page Used to Describe a Compliance Plan	12
Compliance Plan Page	12

## 3 Defining Development Plans

---

Understanding Development Plans	1
---------------------------------	---

Prerequisites	1
Setting Up a Development Plan	1
Pages Used to Set Up Development Plans	2
Understanding Development Plan Setup	2
Accomplishment Page	3
Competency Page	4
Training Course Page	4
Activity Page	5
Development Plan Page	6
Running a Compliance Plan Report	8
Page Used to Run a Compliance Plan Report	8

## 4 Entering and Maintaining Regulated Individual Data

---

Understanding Regulated Individual Data	1
Bringing Regulated Individuals into the Compliance Process	2
Pages Used to Bring Regulated Individuals into the Compliance Process	3
Understanding the Ways to Bring Individuals into the Compliance Process	3
Understanding PeopleSoft Integration Broker	3
Setting Up Automatic and Manual Entry	4
Job Code Compliance Page	4
RI Page	5
Assigning Regulated Individuals to Supervisors	6
Defining Classifications of Regulated Individuals	6
Page Used to Define Classifications of Regulated Individuals	7
Classification Status Page	7
Enrolling Regulated Individuals in Development Plans	7
Pages Used to Enroll Regulated Individuals in Development Plans	8
Understanding the Process of Enrolling Individuals in Development Plans	8
Development Record Page	8
Development Area Page	9
Reassigning Regulated Individuals to New Compliance Managers or Supervisors	11
Page Used to Reassign Regulated Individuals to New Compliance Managers or Supervisors	11
Reassign RIs Page	11
(GBR) Reviewing References and Prior Work Experience	14
Pages Used to Review References and Prior Work Experience	15
Reference Profile Page	15
Reference Address Page	16
Prior Work Experience UK Page	17

## 5 Monitoring Regulated Individuals

---

Understanding the Monitoring Process	1
Common Elements Used in Monitoring Regulated Individuals	2
Reviewing Regulated Individuals	3
Pages Used to Review Regulated Individuals	3
Understanding Regulated Individual Reviews	3
RI Dev Review Page	4
RI Dev Area Review Page	5
Observing Regulated Individuals	6
Pages Used to Set Up Observation Elements and Observe Regulated Individuals	6
Understanding Regulated Individual Observations	6
Elements Page or Review Rank Change Request MIL Page	7
Observation Model Page	8
Model Elements Page	9
RI Observation Page	9
Observation Elements Page	10
(GBR) Monitoring KPIs	11
Pages Used to Monitor KPIs	11
Understanding Monitoring KPIs	12
Complaint Type Page	14
RI Complaints Page	14
Product Type Page	15
Products Page	16
KPI Review Page	17
KPI Statistics Page	17
Setting Up and Entering Check Details	19
Pages Used to Set Up and Enter Check Details	20
Understanding Check Detail Setup and Usage	20
Check Type Page	20
RI Checks Page	21

## 6 Setting Up Notifications in Manage Professional Compliance Business Process

---

Understanding Notifications in the Manage Professional Compliance Business Process	1
Identifying Notification Formats and Messages	2
Setting Up Notifications	2
Pages Used to Set Up Notifications	3
Compliance Type - Notification Page	3
Regulatory Authority - Notifications Page	4

## 7 Using Inquiry Pages

---

Understanding Inquiry Pages	1
Common Elements Used in Inquiry Pages	2
Viewing Regulated Individual Data for Supervisors	3
Pages Used to View Regulated Individual Data for Supervisors	3
RI Status Page	3
RI Review History Page	4
RI Observation History Page	5
RI Checks Page	6
RI Re-Certifications Page	7
Viewing Regulated Individual Data for Managers	8
Pages Used to View RI Data - Manager Views	8
Unassigned RIs Page	8

# 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](#).

### 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. 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."

Installable PeopleSoft Online Help now includes PDF versions of each PeopleBook. For more information, see [Understanding Locally Installed PeopleSoft Online Help](#).

### 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 three main types of common help are:

- Application Fundamentals
- Using PeopleSoft Applications
- Using and Managing the PeopleSoft Online Help

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.

Finally, *Using and Managing the PeopleSoft Online Help* (this guide) introduces you to the setup, features, and usage of the online help system.

## 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.

Typographical Convention	Description
<b><u>Key+Key</u></b>	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 <b><u>Alt+W</u></b> , hold down the <b><u>Alt</u></b> key while you press the <b><u>W</u></b> 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.

Typographical Convention	Description
⇒	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, Country, 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.

An example of a region-specific heading is: "(Latin America) Setting Up Depreciation"

### Region Identifiers

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

- Asia Pacific
- Europe
- Latin America
- North America

### Country Identifiers

Countries are identified by a three-letter country code. The following are examples of country identifiers that may appear in the PeopleSoft Online Help:

- ARG (Argentina)
- AUS (Australia)
- CAN (Canada)
- NLD (The Netherlands)

### Industry Identifiers

Industries are identified by the industry name or by an abbreviation for that industry. The following are examples of industry identifiers that 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](#)

Application Fundamentals: HCM Abbreviations

[PeopleSoft Spotlight Series](#)





## Contact Us

Send your suggestions to [psoft-infodev\\_us@oracle.com](mailto:psoft-infodev_us@oracle.com).

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

## Follow Us

---

Icon	Link
	<a href="#">Watch PeopleSoft on YouTube</a>
	<a href="#">Follow @PeopleSoft_Info on X.</a>
	<a href="#">Read PeopleSoft Blogs</a>
	<a href="#">Connect with PeopleSoft on LinkedIn</a>

---

# 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 Topics

- Application Fundamentals: Identifying Integrations for Your Implementation

# 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 <a href="#">RI Page</a> .
PCMP_RIJOBCHGVW	CI_PCMP_JOBCHG	See <a href="#">Setting Up Notifications</a> .
PCMP_RECERT_AE	CI_PCMP_RECERT	See <a href="#">Admin Re-Certs Page</a> .
PCMP_RI_JOBTERVW	CI_PCMP_JOBTER	See <a href="#">Setting Up Notifications</a> .

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, and data models.

For more information, see:

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

# 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.

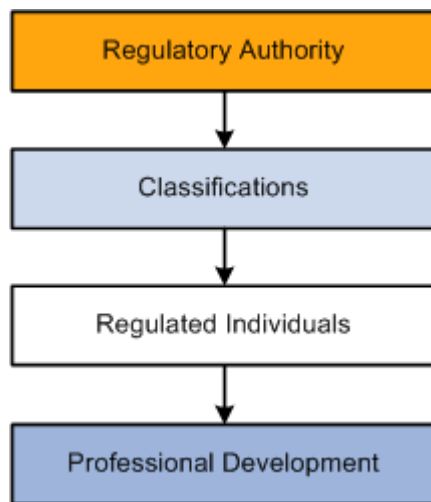
### Manage Professional Compliance Business Process Structure

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:

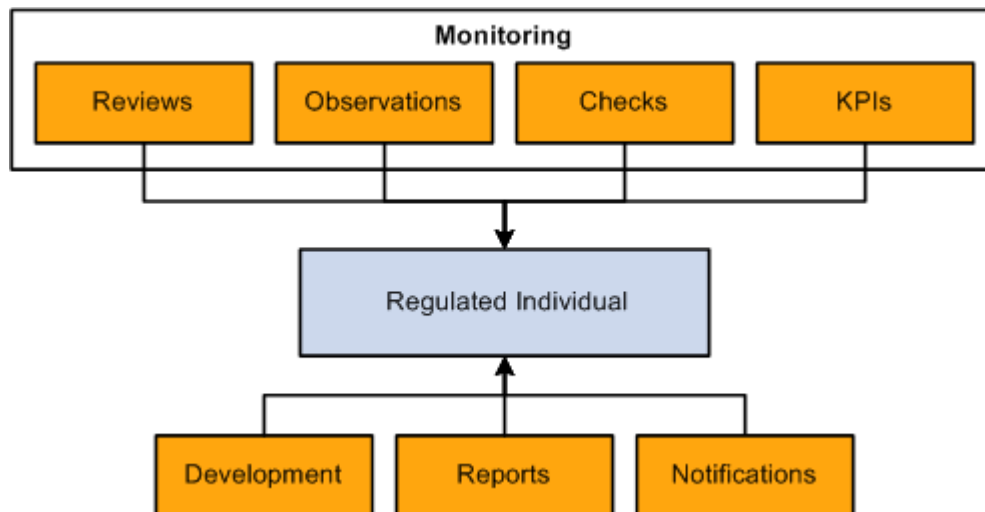
This diagram provides an overview of the Manage Professional Compliance structure.



## 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 Topics

- [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:
- [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.
- [Setting Up Notifications](#)

This section discusses how to set 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:

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

### Note

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

- [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.

- [Compliance Type - Notification Page](#)  
Use the Compliance Type - Notification page (PCMP\_TYPE\_NOTIFY) to create a hire notification.
- [Setting Up Notifications](#)  
This section discusses how to set up notifications.

## Setting Up Required Tables

This topic provides an overview of setting up required tables.

### Pages Used to Set Up Required Tables

Page Name	Definition Name	Usage
<a href="#">PC Type Page</a>	PCMP_TYPE	Define the different professional compliance types in your organization.
<a href="#">Reg Authority Page</a>	PCMP_AUTHORITY	Define the regulatory authority that governs the compliance types.
Address	PCMP_REG_AUTH_ADDR	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Define Compliance Information</b> , and then <b>Regulatory Authority</b> , and then <b>Address</b> Enter regulatory authority address and phone information.
<a href="#">Classification Page</a>	PCMP_CLASS	Set up regulatory authority classification schemes.
<a href="#">Regulation Page</a>	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	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Maintain Program</b> , and then <b>Assign Manager/Supervisor/RI</b> , and then <b>Assign Manager/Supervisor/RI</b> 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**, and then **Professional Compliance**, and then **Define Compliance Information**, and then **Compliance Type**, and then **PC Type**

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

Field or Control	Description
<b>Professional Compliance Type</b>	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 Topics

- [Application Fundamentals: Understanding PeopleSoft HCM System Data Regulation](#)

## 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**, and then **Professional Compliance**, and then **Define Compliance Information**, and then **Regulatory Authority**, and then **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'  Financial

Regulatory Authority

'Description'

Comments

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

Field or Control	Description
<b>Professional Compliance Type</b>	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.
<b>Regulatory Authority</b>	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 Topics**

- Application Fundamentals: Understanding PeopleSoft HCM System Data Regulation

## Classification Page

Use the Classification page (PCMP\_CLASS) to set up regulatory authority classification schemes.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Define Compliance Information**, and then **Regulatory Authority**, and then **Classification**

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

Field or Control	Description
<b>Classification</b>	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**, and then **Professional Compliance**, and then **Define Compliance Information**, and then **Company Compliance**, and then **Regulation**

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

The screenshot shows a web interface for setting up required tables. At the top, there are tabs for 'Regulation', 'Products', and 'Compliance Plan'. Below the tabs, the 'Company' is set to 'CFA Canadian Company CFA'. The main content area is divided into two sections: 'Company Compliance' and 'Compliance Details'. The 'Company Compliance' section has a search bar with 'Find | View All' and navigation controls for 'First', '1 of 1', and 'Last'. It contains two input fields: 'Professional Compliance Type' and 'Regulatory Authority', each with a magnifying glass icon. The 'Compliance Details' section also has a search bar with 'Find | View All' and navigation controls. It contains four fields: 'Effective Date' (05/21/2013 with a calendar icon), 'Status' (Active with a dropdown arrow), 'Reference Number', and 'Contact Name'.

### Company Compliance

Field or Control	Description
<b>Professional Compliance Type</b>	Enter the professional compliance type.
<b>Regulatory Authority</b>	Enter a code for the regulatory authority.

### Compliance Details

Field or Control	Description
<b>Reference Number</b>	Enter a regulatory authority–defined reference number that identifies the company.
<b>Contact Name</b>	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**, and then **Professional Compliance**, and then **Maintain Program**, and then **Assign Manager/Supervisor/RI**, and then **Assign Manager/Supervisor/RI**

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   Barry Theakston + -

Regulatory Authority   Standard Financial Regulatory Authority

Professional Compliance Type   Financial

Empl Record **0**     Business Unit **GBR02**

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

\*Status Date

RI Status

Field or Control	Description
<b>Role</b>	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.
<b>Date Assigned</b>	Displays the date on which the person is assigned to the compliance manager/supervisor role.
<b>Assignment Status</b>	
Field or Control	Description
<b>Status Date</b>	Select the date on which the person is assigned to the manager/supervisor whose ID appears at the top of the page.
<b>RI Status</b>	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

Page Name	Definition Name	Navigation	Usage
Compliance Plan	PCMP_COMPANY_TBL3	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Define Compliance Information</b> , and then <b>Company Compliance</b> , and then <b>Compliance Plan</b>	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**, and then **Professional Compliance**, and then **Define Compliance Information**, and then **Company Compliance**, and then **Compliance Plan**

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

The screenshot shows the Oracle Compliance Plan page for Company KG1 Business Institute - UK. The page is divided into two main sections: 'Company Compliance' and 'Compliance Details'. The 'Company Compliance' section includes fields for 'Professional Compliance Type' (KG1) and 'Regulatory Authority' (KG01), with a 'Financial' status and 'Standard Financial Regulatory Authority' description. The 'Compliance Details' section includes fields for 'Effective Date' (01/01/2000), 'Reference Number' (SFRA 14527), and 'Contact Name' (Stephen Tomkinson), with a 'Status' dropdown set to 'Active'. Navigation controls like 'Find', 'View All', 'First', and 'Last' are present for both sections.

### Company Compliance Plan

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

---

**Plan Area**

---

Field or Control	Description
<b>Sequence Number</b>	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.
<b>Compliance Plan Area</b>	Identify the compliance plan area that is linked to the sequence number.

---

**Related Topics**

- [Application Fundamentals: Manage Professional Compliance Reports](#)

# 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
<a href="#">Accomplishment Page</a>	PCMP_DEV_ACPS	Identify accomplishments that you want to add to the development plan.
<a href="#">Competency Page</a>	PCMP_DEV_COMP	Identify competencies that you want to add to the development plan.
<a href="#">Training Course Page</a>	PCMP_DEV_CRSE	Identify courses that you want to add to the development plan.
<a href="#">Activity Page</a>	PCMP_DEV_ACT	Define the activities that you want to add to the development plan.
<a href="#">Development Plan Page</a>	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 Topics**

- PeopleSoft Human Resources Manage Profiles: Manage Profiles Overview
- PeopleSoft Human Resources Administer Workforce: Human Resources Administer Workforce Overview
- [PC Type Page](#)  
Use the PC Type (professional compliance type) page (PCMP\_TYPE) to define the different professional compliance types in your organization.
- Application Fundamentals: Manage Professional Compliance Reports
- [Enrolling Regulated Individuals in Development Plans](#)  
This topic provides an overview of the process of enrolling 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**, and then **Professional Compliance**, and then **Define Development Information**, and then **Accomplishment**, and then **Accomplishment**

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

Field or Control	Description
<b>Accomplishment</b>	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.
<b>Renewal</b>	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.
<b>Length</b>	Displays the renewal length. The Manage Professional Compliance business process references this information in the recertification process.

Field or Control	Description
<b>Period</b>	Displays the renewal period. The Manage Professional Compliance business process references this information in the recertification process.

#### Related Topics

- PeopleSoft Human Resources Manage Profiles: Understanding the Content Catalog

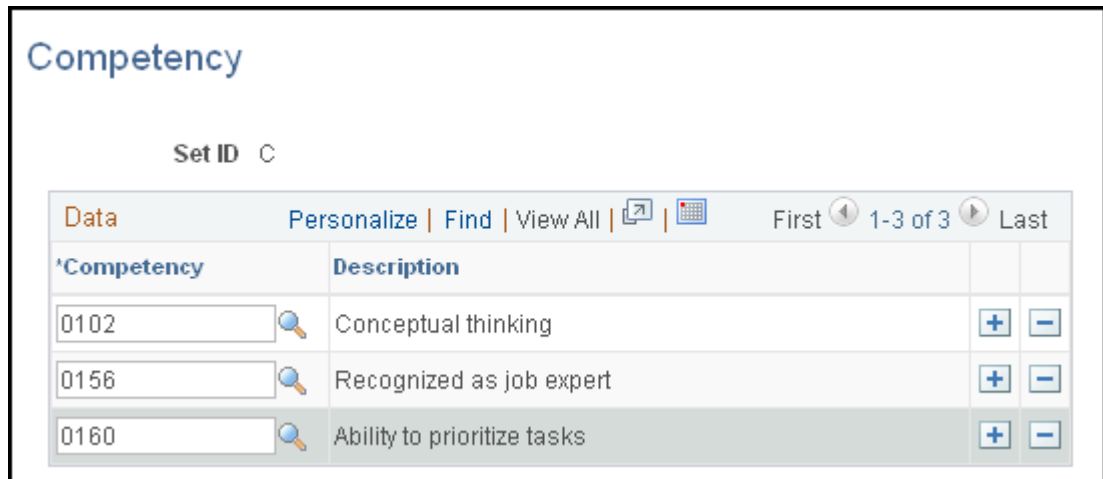
## Competency Page

Use the Competency page (PCMP\_DEV\_COMP) to identify competencies that you want to add to the development plan.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Define Development Information**, and then **Competency**, and then **Competency**

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



Field or Control	Description
<b>Competency</b>	Select the competencies that you want to use in the development plan.

#### Related Topics

- PeopleSoft Human Resources Manage Profiles: Understanding the Content Catalog

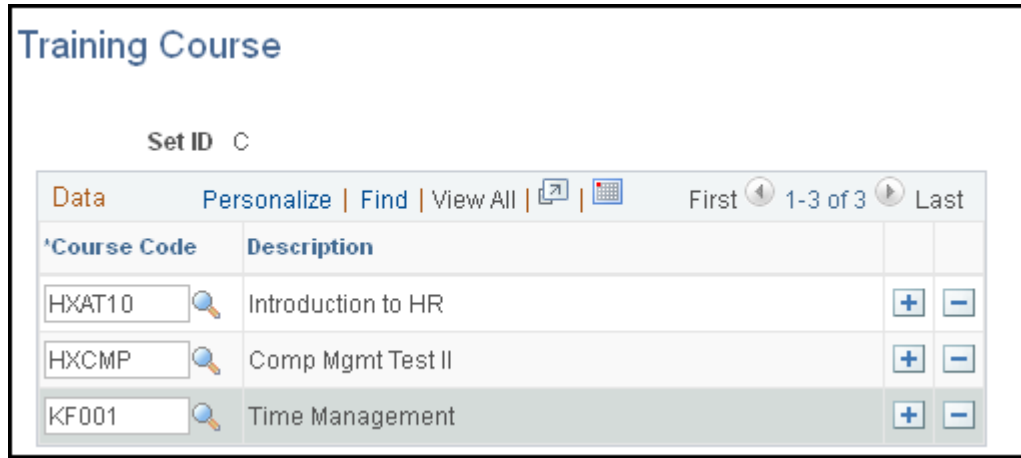
## Training Course Page

Use the Training Course page (PCMP\_DEV\_CRSE) to identify courses that you want to add to the development plan.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Define Development Information**, and then **Training Course**, and then **Training Course**

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



Field or Control	Description
<b>Course Code</b>	Select the courses that you want to use in the development plan.

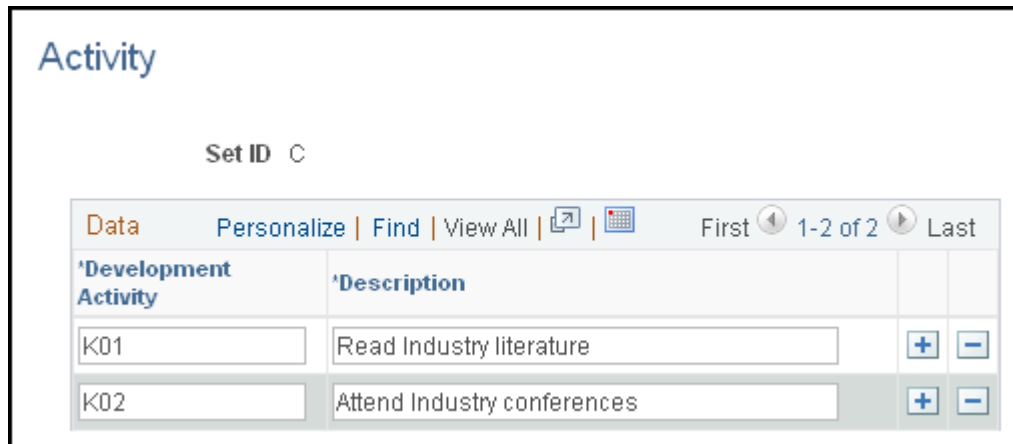
## Activity Page

Use the Activity page (PCMP\_DEV\_ACT) to define the activities that you want to add to the development plan.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Define Development Information**, and then **Activity**, and then **Activity**

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



Field or Control	Description
<b>Development Activity</b>	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**, and then **Professional Compliance**, and then **Define Development Information**, and then **Development Plan**, and then **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
<b>Professional Compliance Type</b>	Displays the professional compliance type that you entered to access the page. To define professional compliance type, use the PC Type (professional compliance type) page.

Field or Control	Description
<b>Regulatory Authority</b>	Displays the regulatory authority that you entered to access the page. To define regulatory authorities, use the Reg Authority (regulatory authority) page.
<b>Classification</b>	Displays the classification that you entered to access the page. To define the classifications, use the Classification page.
<b>Development Area</b>	
Field or Control	Description
<b>Development Type</b>	Select a development element that you want to include in the development plan: <i>Accomp</i> (accomplishment), <i>Activity</i> , <i>Competency</i> , or <i>Course</i> .
<b>Development Area</b>	Select the specific development elements (accomplishment, competency, activity or course) that you want to include in the development plan. You can select from the elements that are defined for the SetID on the 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 Topics

- [PC Type Page](#)  
Use the PC Type (professional compliance type) page (PCMP\_TYPE) to define the different professional compliance types in your organization.
- [Reg Authority Page](#)  
Use the Reg Authority (regulatory authority) page (PCMP\_AUTHORITY) to define the regulatory authority that governs the compliance types.
- [Classification Page](#)  
Use the Classification page (PCMP\_CLASS) to set up regulatory authority classification schemes.
- [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:

## 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	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Reports</b> , and then <b>Company Compliance Report</b> , and then <b>Company Compliance Report</b>	Use the Compliance Plan report (PCMP002) to collect complete details of a company's compliance plan.

# 4

## 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:

Category	Explanation
Data that you enter when you first bring individuals into the Manage Professional Compliance process.	When you hire an individual, you can use the hire pages in PeopleSoft 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"> <li>1. Enter the individual's professional compliance type on the RI page (only if you originally brought the individual into the Manage Professional Compliance process using the RI page).</li> <li>2. Specify the regulatory authority that governs the individual on the RI page (regardless of how you brought the individual into the Manage Professional Compliance process).</li> <li>3. Assign the individual to a compliance supervisor on the Assign Manager/Supervisor/RI page (enter additional details for a regulated individual only after this assignment). To assign an individual to a new manager or supervisor, use the Reassign RIs (reassign regulated individual) page.</li> <li>4. Specify the regulated individual's classification on the Classification Status (regulated individual classification) page.</li> <li>5. If you are using development plans, enroll the individual in a development plan using the Development Record and Development Area pages.</li> </ol>
(GBR) Other regulated individual data that you can view or enter as needed.	<p>Regulated individual data such as professional compliance type, regulatory authority, and classification can change over time, and must be maintained on an ongoing basis.</p> <p>Use the References page to view references that the regulated individual provides. To keep track of prior work experience or compliance, view or enter this information on the Prior Work page.</p>

## 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
<a href="#">Job Code Compliance Page</a>	PCMP_JOBCODE	Set up a default compliance type for each regulated individual who is hired through PeopleSoft HR.
<a href="#">RI Page</a>	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 Topics

- [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.

## 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 Topics

- [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.

## 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**, and then **Professional Compliance**, and then **Define Compliance Information**, and then **Job Code Compliance**, and then **Job Code Compliance**
- **Set Up HCM**, and then **Product Related**, and then **Workforce Monitoring**, and then **Professional Compliance**, and then **Job Code Compliance**, and then **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
<b>Job Code</b>	Displays the job code that is associated with the default compliance type at the time of hire.
<b>Professional Compliance Type</b>	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 Topics

- [PC Type Page](#)  
Use the PC Type (professional compliance type) page (PCMP\_TYPE) to define the different professional compliance types in your organization.

## RI Page

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

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Maintain Program**, and then **Enroll Regulated Individual-RI**, and then **RI**

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

RI | RI Product

Empl ID KG0004      Matabele Brooke

Empl Record 0

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

*Professional Compliance Type	KG2	UK Health & Safety
Regulatory Authority	KG02	UK First Aid Regulatory Authority
Date Registered	01/03/2000	
Business Unit	GBR03	Administration - UK

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

## Assigning Regulated Individuals to Supervisors

In the Manage Professional Compliance business process, you assign regulated individuals to a compliance supervisor on the 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

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

### Related Topics

- [Classification Page](#)  
Use the Classification page (PCMP\_CLASS) to set up regulatory authority classification schemes.

## Classification Status Page

Use the Classification Status page (PCMP\_RI\_CLASS) to define a regulated individual's classification.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Classification Status**, and then **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
<a href="#">Development Record Page</a>	PCMP_RI_DEV_REC	Create development records.
<a href="#">Development Area Page</a>	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:

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

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

### Note

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

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

## Development Record Page

Use the Development Record page (PCMP\_RI\_DEV\_REC) to create development records.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Assign Development Plan**, and then **Development Record**

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

Development Record
Development Area

**EmplID** HGPC02 **Barry Theakston**

**Prof Compliance Type** Financial

**Regulatory Authority** Standard Financial Regulatory Authority

**Empl Record** 0

**RI Status** Active

**Development Record Details** Find | View All First 1 of 1 Last

**Classification** New Entrant + -

**Creation Date** 05/22/2013 BT

**Expected Completion Date**  BT

**Actual Completion Date**

**Status**

Field or Control	Description
<b>EmplID</b>	Displays the employee ID of the regulated individual whom you are enrolling in a development plan. This is the ID that you entered to access the page.

#### Development Record Details

Field or Control	Description
<b>Creation Date</b>	Enter the date on which you enrolled the regulated individual in the development plan.
<b>Expected Completion Date</b>	Enter the expected completion date of the development plan.
<b>Actual Completion Date</b>	Displays the date that you entered in the <b>Actual Completion Date</b> field on the <b>RI Dev Review</b> (regulated individual development review) page.
<b>Status</b>	Displays the status that you entered on the <b>RI Dev Review</b> page. See <a href="#">RI Dev Review Page</a> .

## 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**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Assign Development Plan**, and then **Development Area**

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

Development Record
Development Area

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 Record Details
Find | View All
First 1 of 1 Last

Classification Non Qualified First Aider

Creation Date 01/03/2000
Load Development Plan

Development Area
Find | View All
First 1 of 4 Last

\*Development Type 
+ -

\*Development Area  
General Physical

Field or Control	Description
<b>EmplID</b>	Displays the employee ID of the regulated individual whom you are enrolling in a development plan. This is the ID that you entered to access the page.

**Development Record Details**

Field or Control	Description
<b>Creation Date</b>	Displays the creation date that you entered on the Development Record page.
<b>Load Development Plan</b>	<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
<b>Development Type</b>	Select the kind of development element that makes up your development plan: <i>Accomp</i> (accomplishment), <i>Activity</i> , <i>Competency</i> , or <i>Course</i> .
<b>Development Area</b>	Enter the specific development element (within each development type) to include in your development plan.

# Reassigning Regulated Individuals to New Compliance Managers or Supervisors

You initially assign regulated individuals to compliance managers or supervisors on the 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

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

### Related Topics

- [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.

## 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**, and then **Professional Compliance**, and then **Maintain Program**, and then **Reassign RIs**, and then **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

Reg Authority

Stephanie Andrews      Empl Record 0

Supervisor

#### Reassign To

\*Supervisor   Marcel Saint-Amand

## Reassignment Selection

Field or Control	Description
<b>Regulated Individuals</b>	<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"> <li>1. In the <b>Reassignment Option</b> group box, specify whether you want to reassign a single individual to a new supervisor, or all individuals who belong to the current supervisor.</li> <li>2. If you are reassigning a single individual, the <b>Emplid</b> field becomes available. Enter an employee ID to identify the regulated individual whom you are reassigning.</li> <li>3. If you are reassigning a single individual, the <b>Regulatory Authority</b>, <b>Empl Rcd Nbr</b> (employee record number), and <b>Supervisor</b> 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 <b>Empl Rcd Nbr</b> field. The system displays the current supervisor for the job in the <b>Supervisor</b> field.</li> <li>4. If you reassign all individuals under the care of a compliance supervisor, enter the compliance supervisor in the <b>Supervisor</b> field in the <b>Reassignment Option</b> group box. (This field becomes available only if you select <b>All Individuals</b>.)</li> <li>5. To complete the reassignment of a single individual, identify the new supervisor in the <b>Supervisor</b> field of the <b>Reassign To</b> group box. (The <b>Supervisor</b> field becomes available when you select <b>Regulated Individuals</b> in the <b>Reassignment Selection</b> group box.)</li> <li>6. To complete the reassignment of all individuals, identify the new supervisor in the <b>Supervisor</b> field of the <b>Reassign To</b> group box.</li> <li>7. Run the reassignment process.</li> </ol>

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

## (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
<a href="#">Reference Profile Page</a>	PCMP_RI_REFERENCE1	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Review Compliance Information</b> , and then <b>References UK</b> , and then <b>Reference Profile</b>	Review reference profiles.
<a href="#">Reference Address Page</a>	PCMP_RI_REFERENCE2	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Review Compliance Information</b> , and then <b>References UK</b> , and then <b>Reference Address</b>	Review reference addresses.
<a href="#">Prior Work Experience UK Page</a>	PCMP_RI_PREV	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Monitor Progress</b> , and then <b>Prior Work Experience UK</b> , and then <b>Prior Work Experience UK</b>	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**, and then **Professional Compliance**, and then **Review Compliance Information**, and then **References UK**, and then **Reference Profile**

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

The screenshot shows the 'Reference Profile' page for employee Matabele Brooke (Empl ID KG0004). The page has two tabs: 'Reference Profile' (selected) and 'Reference Address'. The main content area is titled 'Data' and shows a single record for Reference Number 1. The record includes the following fields and controls:

- Reference Number:** 1 (with '+' and '-' buttons)
- 'Date Contacted:** 05/21/2013 (with a calendar icon)
- 'Reference Type:** Professional (with a dropdown arrow)
- Reference Name:** (text input field)
- Title:** (text input field)
- Employer:** (text input field)
- Comment:** (text area with a help icon)

Navigation controls at the top right include 'Find | View All', 'First', '1 of 1', and 'Last'.

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**, and then **Professional Compliance**, and then **Review Compliance Information**, and then **References UK**, and then **Reference Address**

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

The screenshot shows the 'Reference Address' page for employee Barry Theakston (Empl ID HGPC02). The page has two tabs: 'Reference Profile' and 'Reference Address' (selected). The main content area is titled 'Data' and shows a single record for Reference Number 1. The record includes the following fields and controls:

- Reference Number:** 1 (with '+' and '-' buttons)
- 'Date Contacted:** 05/21/2013 (with a calendar icon)
- 'Reference Type:** Professional (with a dropdown arrow)
- Reference Name:** (text input field)
- Title:** (text input field)
- Employer:** (text input field)
- Comment:** (text area with a help icon)

Navigation controls at the top right include '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**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Prior Work Experience UK**, and then **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. Country USA United States

City London State

Phone Ending Job Title Customer Service Manager

Ending Pay Rate 4,000.00 \*Currency USD

\*Pay Frequency Month

Company Previously Regulated

Previous Classification

Reason for Leaving

Job Description

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.

# 5

## 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 Topics**

- [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:

## Common Elements Used in Monitoring Regulated Individuals

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

Field or Control	Description
<b>Regulatory Authority</b>	Body or organization that defines the compliance rules, standards, and regulations for certifying that individuals are qualified in a particular field. Define regulatory authorities on the Regulatory Authority page.

**Related Topics**

- Application Fundamentals: Understanding PeopleSoft HCM System Data Regulation

## Reviewing Regulated Individuals

This topic provides an overview of reviewing regulated individuals.

### Pages Used to Review Regulated Individuals

Page Name	Definition Name	Usage
<a href="#">RI Dev Review Page</a>	PCMP_RI_DEVREVVW	Enter development review details.
<a href="#">RI Dev Area Review Page</a>	PCMP_RI_DEVREVVW2	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 Topics**

- [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:
- [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:
- [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:


## 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**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Conduct Development Review**, and then **RI Dev Review**

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



Field or Control	Description
<b>Creation Date</b>	Displays the creation date of the regulated individual's development plan that you entered on the Development Record page.
<b>Expected Completion Date</b>	Displays the expected completion date of the regulated individual's development plan that you entered on the Development Record page.

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

## 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**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Conduct Development Review**, and then **RI Dev Area Review**

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

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

- 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

 The 'Development Review Details' section shows:
 

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

 The 'Development Area' section shows:
 

- Development Type: Accomplishment
- Development Area: 3005 (General Physical)
- Status: Pass (dropdown menu)
- Comments: No medical problems.

Field or Control	Description
<b>Development Type</b>	Displays the type of development activity against which you are assessing the regulated individual. Values are <i>Accomp</i> (accomplishments), <i>Competencies</i> , <i>Courses</i> , and <i>Activities</i> .

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

#### Related Topics

- [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:

## 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

Page Name	Definition Name	Usage
<a href="#">Elements Page or Review Rank Change Request MIL Page</a>	PCMP_OBS_ELEM	Define observation elements.
<a href="#">Observation Model Page</a>	PCMP_OBS_MODEL	Construct observation models.
<a href="#">Model Elements Page</a>	PCMP_OBS_MODEL2	Add observation elements to models.
<a href="#">RI Observation Page</a>	PCMP_RI_OBS	Enter observations of a regulated individual.
<a href="#">Observation Elements Page</a>	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 Topics

- [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:

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

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

Field or Control	Description
<b>Element and Description</b>	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**, and then **Professional Compliance**, and then **Define Observation Information**, and then **Models**, and then **Observation Model**

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

The screenshot shows the 'Observation Model' page with the following details:

- Set ID:** GBR01 (Set ID for GBR01)
- Observation Model:** KG01
- Effective Date:** 01/01/2000
- Status:** Active
- Description:** Financial Observation 1
- Comments:** This observation model applies to individuals who are dealing directly with customers and ensure that they are following best practice methods, as defined by the company. This process is designed to protect both the individual and customer by specifying all necessary information that must be given to and obtained from the customer.

Field or Control	Description
<b>Observation Model</b>	Enter name for the observation model.
<b>Comments</b>	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**, and then **Professional Compliance**, and then **Define Observation Information**, and then **Models**, and then **Model Elements**

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

Field or Control	Description
<b>Observation Element</b>	Enter the observation elements that you want to include in the observation model.
<b>Required</b>	Select if the observation element that you specified requires a mandatory "pass" status.
<b>Comments</b>	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**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Record RI Observation**, and then **RI Observation**

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

The screenshot shows the 'RI Observation' page with the following details:

- Empl ID:** KG0004, **Name:** 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)
  - Status:** (dropdown menu)
  - Comments:** (text area)

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

## Observation Elements Page

Use the Observation Elements page (PCMP\_RI\_OBS2) to enter observation details.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Record RI Observation**, and then **Observation Elements**

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

The screenshot shows a web interface for monitoring professional compliance. At the top, there are tabs for 'Observation' and 'Observation Elements'. Below this, the user's information is displayed: Empl ID HGPC03, Name Stephanie Andrews, Empl Record 0, Prof Compliance Type UK Health & Safety, and RI Status Active. The Regulatory Authority is UK First Aid Regulatory Authority. The main section is titled 'Observation Details' and includes fields for Classification (Non Qualified First Aider) and Observation Date (05/21/2013). Below this is the 'Observation Element' section, which has a 'Required' checkbox, a 'Status' dropdown menu, and a 'Comments' text area. Navigation links like 'Find', 'View All', 'First', and 'Last' are present throughout the interface.

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

## (GBR) Monitoring KPIs

This section discusses how to monitor KPIs.

### Pages Used to Monitor KPIs

Page Name	Definition Name	Navigation	Usage
<a href="#">Complaint Type Page</a>	PCMP_COMPL	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Define Compliance Information</b> , and then <b>Complaint Type</b>	Define complaint types that customers might make against a regulated individual.

Page Name	Definition Name	Navigation	Usage
<a href="#">RI Complaints Page</a>	PCMP_RI_COMPL	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Monitor Progress</b> , and then <b>RI Complaints</b> , and then <b>RI Complaints</b>	Register complaints against an individual.
<a href="#">Product Type Page</a>	PCMP_PROD_TYPE	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Define Compliance Information</b> , and then <b>Product Type</b>	Define products and product types to measure persistency, spread of business, and NTUs.
<a href="#">Products Page</a>	PCMP_COMPANY_TBL2	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Define Compliance Information</b> , and then <b>Company Compliance</b> , and then <b>Products</b>	Associate products with the companies that provide them.
<a href="#">KPI Review Page</a>	PCMP_RI_KPI_REV	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Monitor Progress</b> , and then <b>Review Performance Indicator</b> , and then <b>KPI Review</b>	Enter KPI review details.
<a href="#">KPI Statistics Page</a>	PCMP_RI_KPI_REV2	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Monitor Progress</b> , and then <b>Review Performance Indicator</b> , and then <b>KPI Statistics</b>	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.

- 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**, and then **Professional Compliance**, and then **Define Compliance Information**, and then **Complaint Type**

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

The screenshot shows a web form titled 'PC Type' with a 'Notification' tab. It contains the following elements:
 

- 'Set ID' field with the value 'GBR01' and a label 'Set ID for GBR01'.
- 'Professional Compliance Type' field with the value 'GB'.
- 'Description' field, which is currently empty.
- 'Comments' section with a large text area and a small icon in the top right corner.

Field or Control	Description
<b>Complaint Type</b> and <b>Complaint Description</b>	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**, and then **Professional Compliance**, and then **Monitor Progress**, and then **RI Complaints**, and then **RI Complaints**

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

### RI Complaints

**Empl ID** KG0004    **Matabele Brooke**    **Empl Record** 0

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

**Regulatory Authority** UK First Aid Regulatory Authority

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

**Classification** Qualified First Aider + -

**Supervisor** Robin de la Camara

**Complaint Type**  Not qualified

**Complaint Date**

**Comments**

Field or Control	Description
<b>Supervisor</b>	Displays the name of the regulated individual's supervisor.
<b>Complaint Type</b>	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.
<b>Complaint Date</b>	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**, and then **Professional Compliance**, and then **Define Compliance Information**, and then **Product Type**

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

### Product Type

Set ID GBR01

\*Product Type

\*Description

Product	Personalize   Find   View All			First 1-3
				of 3 Last
*Product	*Description			
<input type="text" value="KG01"/>	<input type="text" value="Capital Repayment"/>	<input type="button" value="+"/>	<input type="button" value="-"/>	
<input type="text" value="KG02"/>	<input type="text" value="Endowment"/>	<input type="button" value="+"/>	<input type="button" value="-"/>	
<input type="text" value="KG03"/>	<input type="text" value="Pension linked endowment"/>	<input type="button" value="+"/>	<input type="button" value="-"/>	

Field or Control	Description
<b>Product Type</b>	Displays the product type category that you entered to access the component.
<b>Product</b>	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**, and then **Professional Compliance**, and then **Define Compliance Information**, and then **Company Compliance**, and then **Products**

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

Regulation
Products
Compliance Plan

Company CT Commodity Futures Trading Comm

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

\*Product Type

\*Product

Status Find | View All First 1 of 1 Last

Effective Date

Status

Field or Control	Description
<b>Product Type</b>	Enter one of the broad product categories that you defined on the Product Type page.
<b>Product</b>	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**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Review Performance Indicator**, and then **KPI Review**

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

The screenshot shows the KPI Review page for employee Seamus O'Flaherty. The page is divided into several sections:

- Employee Information:** Empl ID KG0005, Name Seamus O'Flaherty, Empl Record 0, Prof Compliance Type Financial, RI Status Active, and Regulatory Authority Standard Financial Regulatory Authority.
- KPI Review Details:**
  - Classification: Competent Individual
  - Supervisor: Dewi Hopkins
  - Review Date: 03/30/2001
  - Frequency Type: Quarterly
  - Comments: First KPI review since Seamus became a Competent Individual.

Field or Control	Description
<b>Review Date</b>	Enter the date on which you are performing the review.
<b>Frequency Type</b>	Select the frequency of the review.
<b>Comments</b>	Enter comments about the regulated individual.

## 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**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Review Performance Indicator**, and then **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

**Persistency**

From Date  To Date

**Details**

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

**Spread of Business**

From Date  To Date

**Details**

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

**Not Taken Up (NTUs)**

From Date  To Date

**Details**

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

**Factfind Completion**

From Date  To Date

Percentage

Field or Control	Description
<b>Review Date</b>	Displays the date of the KPI review.
<b>Complaints</b>	
<b>From Date and To Date</b>	Enter the range of dates for which you are entering the number of complaints that were directed against the regulated individual.
<b>Number of Complaints</b>	Enter the number of complaints that were directed against the regulated individual within the date range.

PeopleSoft Human Resources Manage Professional Compliance  
G49572-01  
Copyright © 1988, 2026, Oracle and/or its affiliates.

May 8, 2026  
Page 18 of 22

**Persistency**

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

**Spread of Business**

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

**Not Taken Up (NTUs)**

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

**Factfind Completion**

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

## Setting Up and Entering Check Details

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

## Pages Used to Set Up and Enter Check Details

Page Name	Definition Name	Navigation	Usage
<a href="#">Check Type Page</a>	PCMP_CHK_TYPE	<b>Set Up HCM</b> , and then <b>Product Related</b> , and then <b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Check Type</b> , and then <b>Check Type</b>	Define check types that a regulated individual needs to pass.
<a href="#">RI Checks Page</a>	PCMP_RI_CHK	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Monitor Progress</b> , and then <b>RI Checks</b> , and then <b>RI Checks</b>	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 Topics

- [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:

## 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**, and then **Product Related**, and then **Workforce Monitoring**, and then **Professional Compliance**, and then **Check Type**, and then **Check Type**

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

Field or Control	Description
<b>Check Type</b>	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**, and then **Professional Compliance**, and then **Monitor Progress**, and then **RI Checks**, and then **RI Checks**

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

---

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

---

# 6

## 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 Topics

- [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:

## 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 Topics

- [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:

## 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
<a href="#">Compliance Type - Notification Page</a>	PCMP_TYPE_NOTIFY	Create a hire notification.
<a href="#">Regulatory Authority - Notifications Page</a>	PCMP_REGAUTH_NOTIF	Create the following notifications: RI add, classification change, job change, or termination.
<a href="#">Admin Re-Certs Page</a>	PCMP_RECERT_AE	Create a recertification notification.

### Related Topics

- [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.

## Compliance Type - Notification Page

Use the Compliance Type - Notification page (PCMP\_TYPE\_NOTIFY) to create a hire notification.

Navigation:

**Set Up HCM**, and then **Product Related**, and then **Workforce Monitoring**, and then **Professional Compliance**, and then **Compliance Type**, and then **Notification**

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

PC Type	Notification
Professional Compliance Type	KG1 Financial
<input checked="" type="checkbox"/> 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 Topics**

- [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:

## 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, and then Product Related, and then Workforce Monitoring, and then Professional Compliance, and then Regulatory Authority, and then Notifications**

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

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

- [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.

- PeopleSoft Human Resources Administer Workforce: Job Information Page
- [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.
- PeopleSoft Human Resources Administer Workforce: Changing Job Data
- [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.
- PeopleSoft Human Resources Administer Workforce: Changing Job Data

## Admin Re-Certs Page

Use the Admin Re-Certs (administer recertification) page (PCMP\_RECERT\_AE) to create a recertification notification.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Monitor Progress**, and then **Workforce Re-Certifications**, and then **Admin Re-Certs**

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

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

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

The recertification process can be broken into two steps:

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

---

Field or Control	Description
<b>Business Unit</b>	Displays the business unit for which you want to generate recertification data for regulated individuals.
<b>To Date</b>	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.

# 7

## 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 Topics**

- [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.

## Common Elements Used in Inquiry Pages

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

**Related Topics**

- Application Fundamentals: Understanding PeopleSoft HCM System Data Regulation

# 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
<a href="#">RI Status Page</a>	PCMP_RISTAT_INQ2	View development status.
<a href="#">RI Review History Page</a>	PCMP_RIREV_INQ	View review history.
<a href="#">RI Observation History Page</a>	PCMP_RIOBS_INQ	View observation history.
<a href="#">RI Checks Page</a>	PCMP_RICLK_INQ	View check history.
<a href="#">RI Re-Certifications Page</a>	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**, and then **Professional Compliance**, and then **Review Compliance Information**, and then **RI Status**, and then **RI Status**

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

The screenshot shows the 'RI Status' page interface. At the top, there's a 'Details' section with a 'Personalize' button and search options. Below that are three tabs: 'Name', 'Regulatory Authority', and 'Classification'. The 'Name' tab is selected, displaying a table with the following columns: 'Empl ID', 'Empl Record', 'Name', and 'Effective Date'. The table contains one row with a value '0' in the 'Empl Record' column.

### 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 Topics**

- [Manage Professional Compliance Business Processes](#)  
Manage Professional Compliance business processes in PeopleSoft HR provides these business processes:
- [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:

## RI Review History Page

Use the RI Review History (regulated individual review history) page (PCMP\_RIREV\_INQ) to view review history.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Review Compliance Information**, and then **RI Review History**, and then **RI Review History**

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

**RI Review History**

**Employee ID** KG0004      **Matabele Brooke**

**Prof Compliance Type** UK Health & Safety

**RI Status** Active

**Regulatory Authority** UK First Aid Regulatory Authority

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

**Related Topics**

- [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:
- [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.
- [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:

## RI Observation History Page

Use the RI Observation History (regulated individual observation history) page (PCMP\_RIOBS\_INQ) to view observation history.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Review Compliance Information**, and then **RI Observation History**, and then **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 <span style="float: right;">Personalize   Find     1 of 1</span>			
Observation Date	Observation Model	Description	Status
05/21/2013			

Field or Control	Description
<b>Observation Date</b>	Displays the date of the observation that you entered on the RI Observation page.
<b>Observation Model</b>	Displays the observation model that you specified on the RI Observation page.
<b>Status</b>	Displays the regulated individual's status relative to the observation that you defined on the RI Observation page.

**Related Topics**

- [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:

## RI Checks Page

Use the RI Checks (regulated individual checks) page (PCMP\_RICLK\_INQ) to view check history.

Navigation:

**Workforce Monitoring**, and then **Professional Compliance**, and then **Review Compliance Information**, and then **RI Checks**, and then **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**

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 Topics**

- [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:

## 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**, and then **Professional Compliance**, and then **Review Compliance Information**, and then **RI Re-Certifications**, and then **RI Re-Certifications**

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

The screenshot shows the 'RI Re-Certifications' page. At the top, there is a 'To Date' field with the value '05/13/2013' and a calendar icon. Below this is a 'Details' section with a 'Personalize' link, a 'Find' button, and a '1 of 1' indicator. The main table has a header row with columns for 'Empl ID', 'Name', and 'Business Unit'. The table body is currently empty.

### 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 Topics

- PeopleSoft Human Resources Manage Profiles: Manage Profiles Overview
- PeopleSoft Human Resources Administer Workforce: Human Resources Administer Workforce Overview
- [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:

- [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.

## Viewing Regulated Individual Data for Managers

This topic discusses how to identify unassigned regulated individuals.

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

Page Name	Definition Name	Usage
<a href="#">Unassigned RIs Page</a>	PCMP_UNASS_RI	Identify unassigned regulated individuals.
RI Status by Business Unit (regulated individual status by business unit)	PCMP_RISTAT_INQ	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Review Compliance Information</b> , and then <b>RI Status by Business Unit</b> , and then <b>RI Status by Business Unit</b> View the development status of all regulated individuals.
Compliance Re-Certifications	PCMP_RI_RECERTINQ2	<b>Workforce Monitoring</b> , and then <b>Professional Compliance</b> , and then <b>Review Compliance Information</b> , and then <b>Compliance Re-Certifications</b> , and then <b>Compliance Re-Certifications</b> 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**, and then **Professional Compliance**, and then **Review Compliance Information**, and then **Unassigned RIs**, and then **Unassigned RIs**

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

Unassigned RIs

Details		
Name	Regulatory Authority	
Empl ID	Empl Record	Name
KG0012		0David Barnes

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

Unassigned RIs

Details		
Name	Regulatory Authority	
Empl ID	Empl Record	Name
KG0012		0David 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.