



September 2018

HRComply Version 5 New Features and Upgrade Options

New Features

- New authentication options including Single Sign-On
- SMCR Enhancements
 - SMR Governance
 - Breaches Register
 - Certification Automation
- Attachments Enhancements
- Performance Improvements
- New Menus and Navigation
- Dashboards and Reports
- Scoring of Assessments
- Business Rules

Example Dashboard


Navigation: Firm Setup | Staff Setup | Processes | Tasks | Reports | Regulations | Report a Breach | User Login | User Dashboard

Home

Legal Entity: ABC Investment Managers Ltd

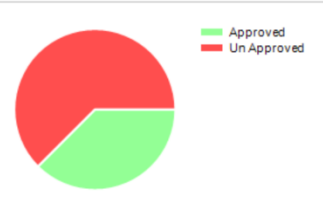
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SMCR Status Dashboard



Certified Persons


Certified Persons Approval Status



Unapproved	Approved	Total
15	9	24


Senior Managers Regime

Senior Manager Functions (SMF) Assignments



Unassigned SMFs	Assigned SMFs
8	10

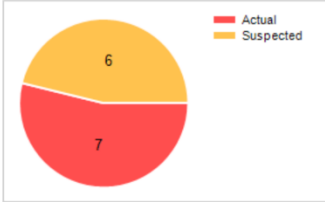
Senior Manager Responsibilities Assignments



Unassigned Responsibilities	Assigned Responsibilities
9	17

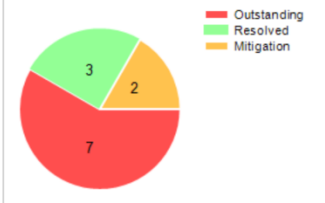
Conduct Rules

Conduct Rule Outstanding Breaches



Actual	Suspected
7	6

Conduct Rule Breach Resolution Status



Outstanding	Resolved	Mitigation
7	3	2

Example Process Completion



Automated generation of attachments

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Assessee Information

Assessee	John Smith
Department	Compliance/Risk
Job Title	Compliance Officer
Competency Set	Compliance/Risk / SMF16 Compliance Oversight
Cycle Start Date	01/01/2017
Assessment Cycle Name	SMR Responsibilities Attestation
Assessor	John Smith
Initiation Date	02/05/2018
Form Last Update Date	02/05/2018

SMR RESPONSIBILITIES ATTESTATION

I confirm I have read, understood and fully accept the responsibilities defined by the attached SMR Responsibilities Map.

I confirm I have read, understood and fully accept the responsibilities defined by the attached SMR Responsibilities Statement.

I confirm I have read, understood and fully accept the responsibilities defined by the attached SMR organisation chart.

I confirm I have read, understood and fully accept the responsibilities defined by the attached Job Description.

Attachments

Existing Attachments	
Compliance/Competence	Responsibilities Map as of 02/05/2018 11:23:59.pdf
Compliance/Competence	Responsibilities Matrix as of 02/05/2018 11:23:59.pdf
Compliance/Competence	John Smith - SMF 16 Job Description.pdf
Compliance/Competence	John Smith - SMF 16 Responsibilities Statement.pdf
Added attachments	

The information held in this database will be treated in accordance with the Company's D

Responsibilities Map as of 02_05_2018 11_23_59.pdf - Adobe Acrobat Reader DC

File Edit View Window Help

Home Tools Responsibilities Ma... x

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Firm Responsibilities Map

Allocation of Senior Manager Functions

Reference	Senior Management Function	Manager
SMF2	Chief Finance function	Wayne Mathews
SMF3	Executive Director function	Eric Barker H Montgomery
SMF4	Chief Risk function	Shaun Ahmed
SMF5	Head of Internal Audit function	H Montgomery
SMF6	Head of Key Business Area function	Shaun Ahmed
SMF7	Group Entity Senior Manager function	Susan Faulkner
SMF9	Chairman function	Peter Field
SMF13	Chair of the Nominations Committee function	Bruce Thompson
SMF16	Compliance Oversight function	John Smith
SMF17	Money Laundering Reporting function	Eric Barker

Allocation of Senior Manager Responsibilities

Reference	Responsibility	Manager
a	Senior Management Regime - Obligations	H Montgomery Paul Anderson

Breach Reports

[Home](#) » [Report a Breach](#)

[Edit](#)

Legal Entity
 Name:
 ABC Investment Managers Ltd

Select the plus to report a new breach

Name	Breach type	Issue Severity	Issue Status	Creation Date
Client information transmitted outside the firm	Suspected	Medium	Outstanding	19/09/2017
New Breach	Suspected	Critical	Outstanding	13/09/2017
Lack of consistency in handling customer complaints	Actual	High	Undefined	28/04/2016
Some staff training is not up-to-date	Actual	Medium	Outstanding	02/03/2016
May not be calculating the down-side risk in customer portfolios accurately	Suspected	High	Resolved	08/02/2016
Staff members in the operational support department may lack up to date training	Suspected	Medium	Outstanding	13/01/2016
Manager of Retail lending decisions sent incorrect information to regulators	Actual	High	Resolved	13/01/2016
Head of Payment Services does not have required training	Actual	Low	Mitigation in place	13/01/2016
Clarity of investment risks in marketing material	Actual	High	Mitigation in place	05/01/2016
Mortgage advice not made Appropriate disclosure to regulators about PPI cover	Suspected	Breach by senior manager	Resolved	17/12/2015
Corporate investments has not responded to request from regulator	Actual	Critical	Outstanding	07/12/2015

Upgrade Options

- Some features are available “out of the box” with no dependencies
- Some features enable new capabilities but need these to be specified and require configuration before delivery
- Some features are dependent on upgrade to either Windows Authentication or Single Sign-on
- Do not need to use a “big bang” approach. Some users can take advantage of new features while others continue as is.

“Out of the box” features

- Attachments – administrators can add the same attachment for all forms in a cycle – for example policy attestations
- User lists sorted by surname
- Cycle Initiation performance improvements
- These features become available to all users on upgrade of the existing software version

Customisable capabilities

- Scoring and other calculations can be added to Forms
 - Calculate a weighted performance score based on answers/assessments
 - Highlight good/bad results visually in the form
- Automate process steps –
 - Assessment cycle initiation
 - Reminders of overdue actions
- Customised emails (content and addressees)
- Risk based weighting of activities
 - More frequent assessments of poorer performers
- Need to agree requirements and implement rules/customizations

Migration to new authentication

- New, customisable menu system
 - Different menus/navigation for different roles
- Dashboards and reports
 - Process completion and outcomes
 - PDF generation of printable forms and documents
 - Role specific or generic
- New SMCR Capabilities
 - Build using the features covered here
- Requires migration to Windows or single sign-on based authentication, plus customisation to meet requirements

Implementation Options

- Upgrade of current “out of box” features
- Upgrade and implement new customizable calculations and business rule
- Deploy parallel site using new authentication with limited users
- Switch to new authentication and take advantage of all new features