



Compliance Manager Manual

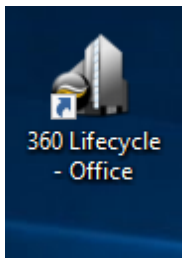
COMPLIANCE MANAGER

Introduction

360 Lifecycle Office includes a Compliance management component which is seamlessly integrated into the rest of the system. This module allows you to centralise compliance and provides a configuration layer for businesses own compliance recording and reporting requirements. Depending on level of access you can create 'Actions' or 'Tracks' for an individual, team, group or region. Actions are potential tasks that need to be performed and are pre-set in the system (including PD Log, Test, Completion, File Check Lists and One To One Forms). Tracks can be a single action or a group of automated actions to complete. For example, you may wish to setup a 'New Starter' Track that groups several actions for the individual to complete at different stages.

Getting Started

Begin by double clicking on the Office Icon which should be located on your Desktop.



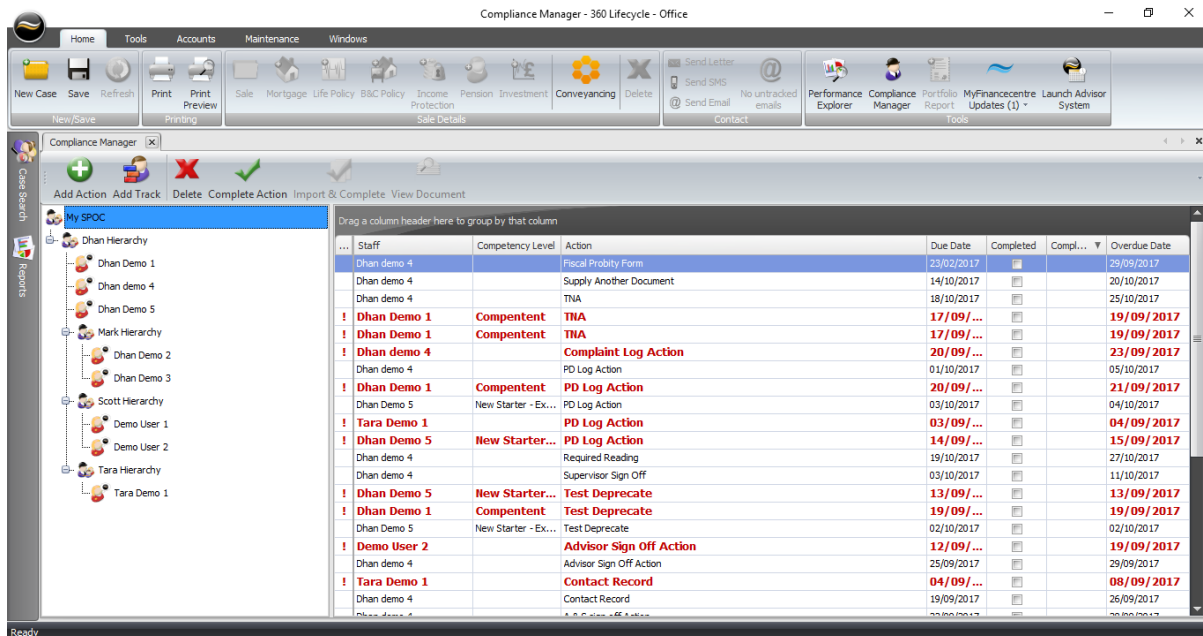
Your login page should now open, like this one.



You will now be able to enter the username and password supplied to you.

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The Office landing page will open as per the below and you will be able to select 'Tools' within the heading and click on '**Compliance Manager**'. This will then present a list of Actions against the relevant individual, team, group or region (depending on level of access).



So that the Compliance Hierarchy, Actions & Tracks etc.. can be initially configured and maintained the allocation of the Compliance Manager role will need to be provided to individual(s) within the business (typically the Compliance Officer).

Compliance Manager Role within Staff Members

All users with the 'Advisor' role and who can login into 360 Office will have access to the Compliance Manager module. This will allow individuals to view themselves within the hierarchy and all compliance Actions recorded against them. If an individual oversees a SPAN (please see SPOC Manager section) they will be able to see the team/group, they are supervising.

By allocating a Staff Member the **Compliance Manager** role this will provide the individual with additional functionality such as;

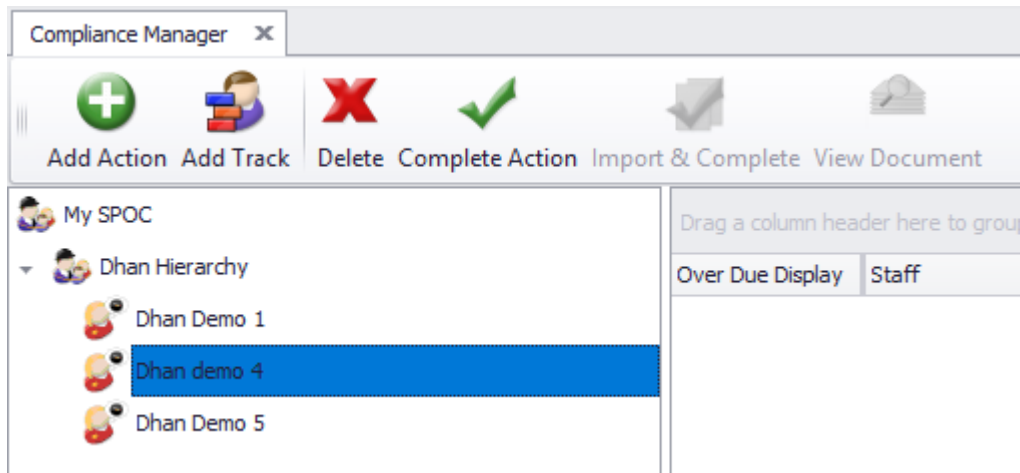
- 360 Office>Maintenance>Compliance Options – ability to configure and maintain compliance Actions, Tracks & Tests etc...
- 360 Office>Maintenance>SPOC Manager – ability to configure compliance reporting hierarchy e.g. create teams/groups and supervisors.
- 360 Office>Tools>Compliance Search – ability to search specific actions against individuals based on search parameters.
- Compliance Manager Full Hierarchy View – users with the Compliance Manager role will have access to view the full Compliance Manager hierarchy.

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Compliance Manager

To access Compliance Manager, login to 360 Office click on the '**Tools**' tab and click '**Compliance Manager**'.

A Team Manager can access the hierarchy or group they oversee, however an individual who has not been set up as a Manager, or been provided with the Compliance Manager role will only be able to access their own Actions.



As shown above you can add an **Action** or **Track** to an individual user, or where access is provided a Manager can implement this onto the hierarchy so each user within the 'SPAN' will then have the same Action or Track created.

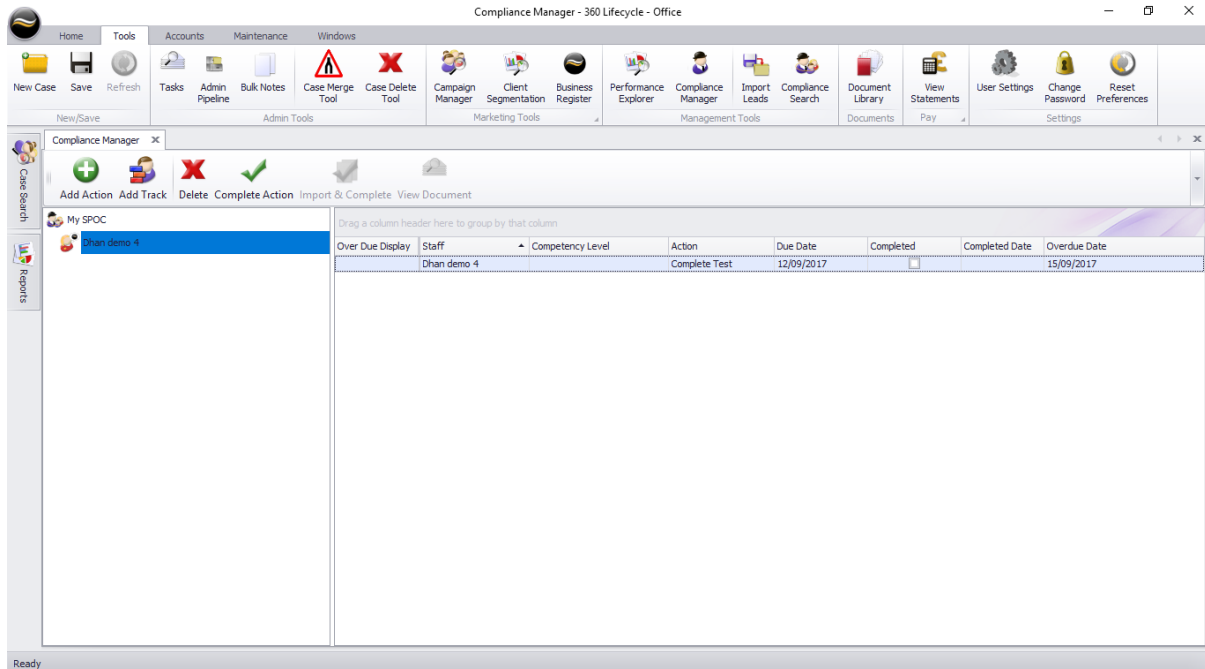
When adding an Action, you will be required to fill in the information below;

The 'Add Action' dialog box has a title bar with a minimize, maximize, and close button. Inside, there are three input fields: 'Action' (a dropdown menu), 'Due Date' (a text box), and 'Overdue Date' (a text box). At the bottom are 'OK' and 'Cancel' buttons.

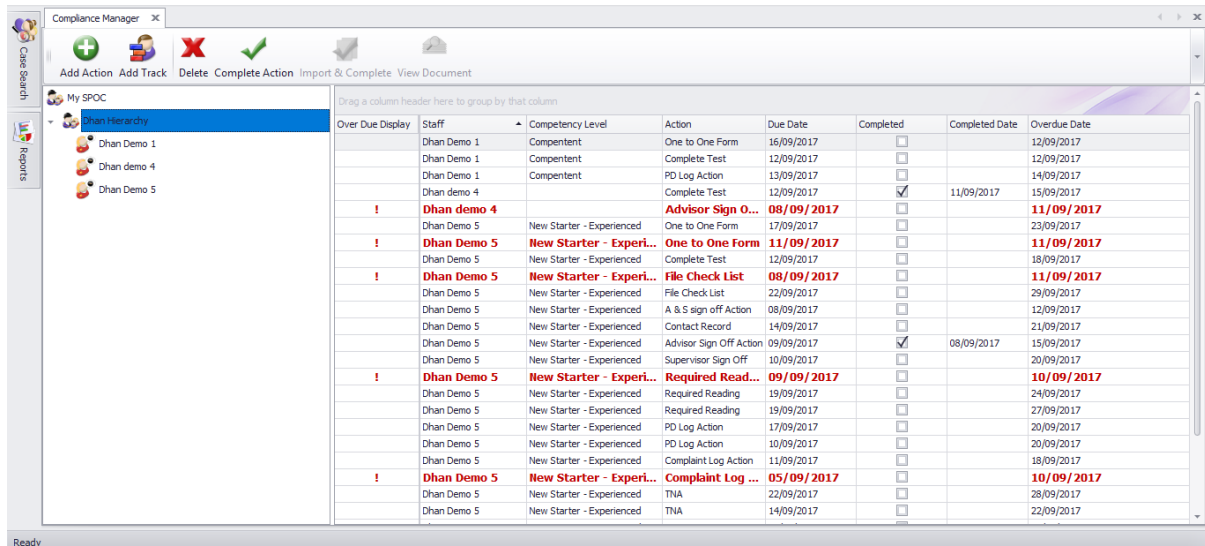
Once you click 'OK' this will then show as an Action to be completed within Compliance Manager.

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Without an individual being set as a Manager within the 'SPAN' or being provided with the Compliance Manager role they will only see their own name and own compliance Actions (as per below screenshot).



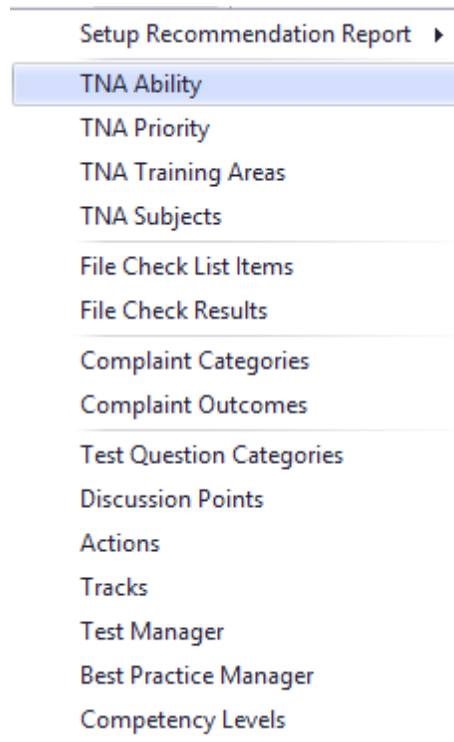
As a manager within the 'SPAN', you will be able to see a full hierarchy of non-completed, completed and overdue actions across a number of individuals within the group.



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Compliance Manager Configuration

Those with either 'System Administrators' or 'Compliance Manager' roles have access to the configurable setup options which are found within 360 Office >Maintenance>Compliance. These are;



❖ **TNA – Training Needs Analysis**

TNA Ability – Allows you record the ability of an adviser. Examples; No Development Required, Some Development Required & Significant Development Required

TNA Priority – Record the priority of the TNA action. Examples; Low, Medium, High

TNA Training Areas – Record the topic of training action Examples; Mortgages, Insurance Products

TNA Subjects – Items with which training area it links to. Examples; Repayment Methods would link to TNA Area of Mortgages

The 4 headings above link to 'Training Needs Analysis' Form (see Actions)

File Check List Items – Record items needed for file checks. Examples; Completed Factfind, IDD sent, FKI's on file

File Check Results – Record the outcome of a file check. Examples; Pass – No Issues, Pass – Minor Issues, Fail Minor Actions

The 2 headings above link to 'File Check List' form (see Actions)

Complaint Categories – Record complaint categories. Examples; GI, Life, Mortgage

Complaint Outcome – Record the outcome. Examples; Compensation paid, Compensation not paid.

The 2 headings above link to 'Complaints' form (see Actions)

Test Question Categories – The categories in which tests fall into. Examples; Mortgage, Protection, Data Protection

The heading above relates to 'Test' form (see Actions)

Discussion Points – Record discussion points to be reviewed. Examples; File Checks, DPA, TCF, Training Needs

The heading above relates to 'One To One Form' (see Actions)

Actions – Individually set-up Actions which need to be performed and which can be added in Compliance Manager. Each Action needs to relate to a relevant Form **(see Actions)**

Tracks – Actions can be grouped together to create tracks, building several actions which need to be actioned

Test Manager – Create tests which can then be added to a user's action list or added to a track.

The heading above relates to 'Test' form (see Actions)

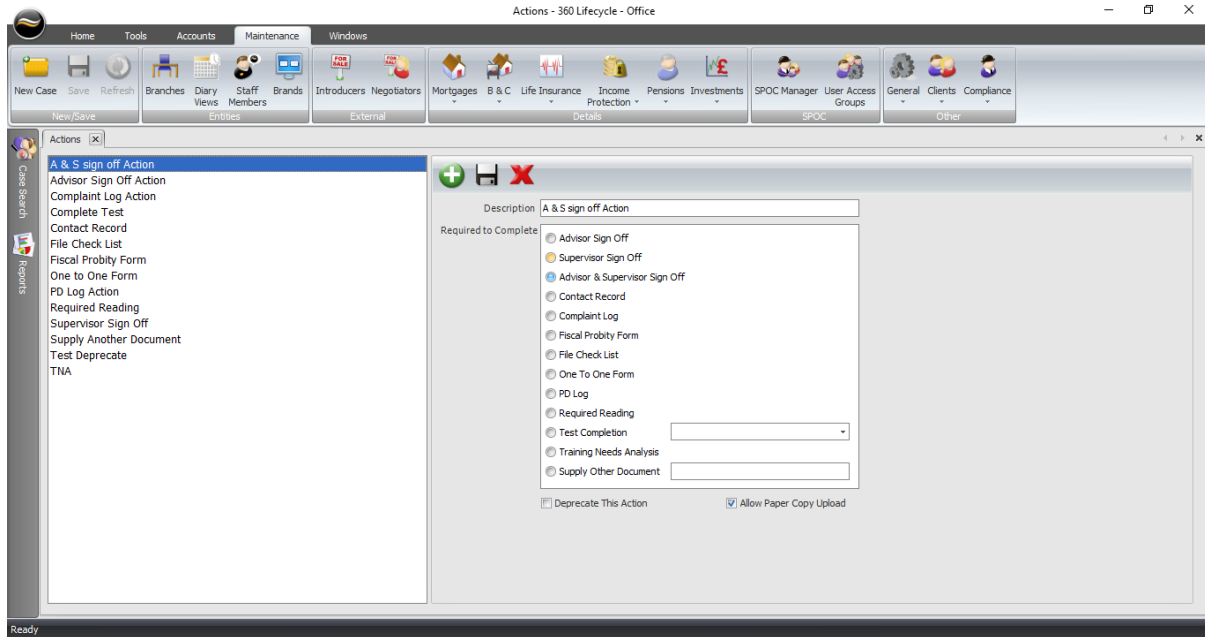
Best Practice Manager – This will allow you to amend Target Compliance KPI's which are shown in the 'Show Data' report within Performance Explorer

Competency Levels – Record the level of knowledge of each user. Examples; Pre-CAS, CAS – Advisor Competency Level can be set against the individual within Staff Member Roles

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Actions

Businesses have the opportunity to record their own 'Actions' which are available for selection within Compliance Manager. Newly created Actions need to link to a pre-set form within the system that the individual is **Required To Complete**. Listed below are screenshots of the forms that an action can be linked to. Selecting '**Allow Paper Copy Upload**' will allow the action to be completed via the '**Import & Complete**' option shown within Compliance Manager.

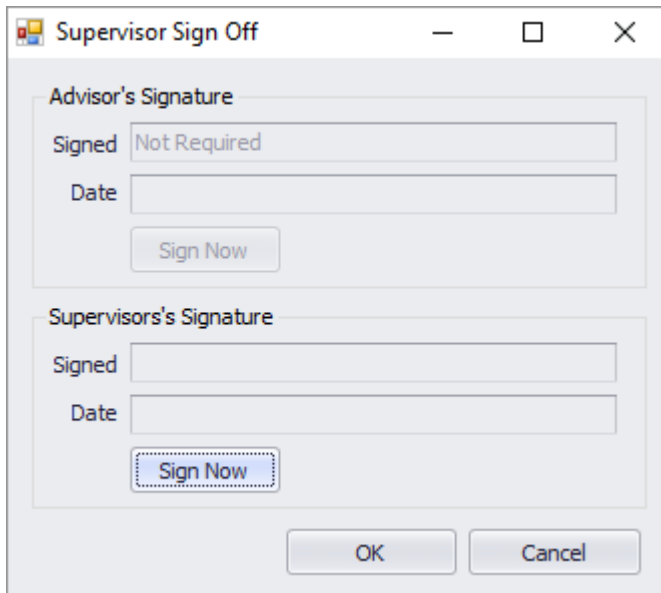


1. **Advisor Sign Off Form** - Advisor will enter in their username and password to complete the action.

A screenshot of the 'Advisor Sign Off Action' form. The form has a title bar with a window icon, the text 'Advisor Sign Off Action', and standard window controls. The form is divided into two main sections: 'Advisor's Signature' and 'Supervisors's Signature'. The 'Advisor's Signature' section contains a 'Signed' field, a 'Date' field, and a 'Sign Now' button. The 'Supervisors's Signature' section contains a 'Signed' field with the text 'Not Required', a 'Date' field, and a 'Sign Now' button. At the bottom of the form are 'OK' and 'Cancel' buttons.

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2. **Supervisor Sign Off Form** – Supervisor will enter their username and password to complete the action.



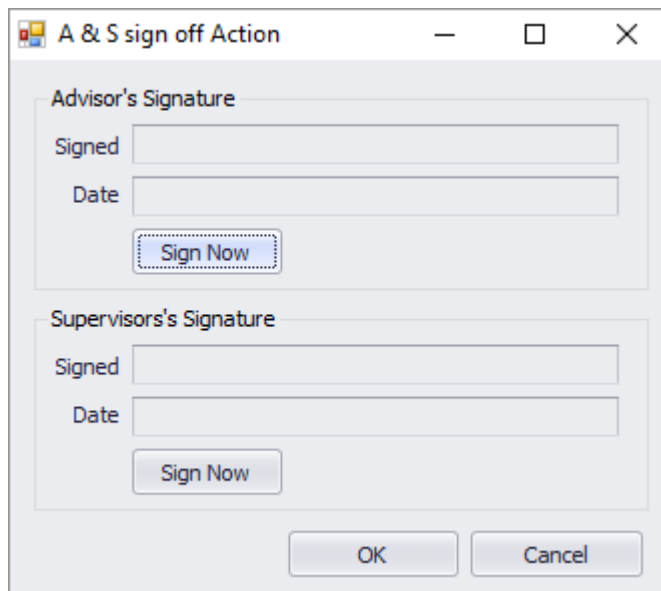
The 'Supervisor Sign Off' dialog box contains two signature sections. The 'Advisor's Signature' section has a 'Signed' field with the text 'Not Required' and an empty 'Date' field, with a 'Sign Now' button below. The 'Supervisors's Signature' section has empty 'Signed' and 'Date' fields, with a 'Sign Now' button below. At the bottom are 'OK' and 'Cancel' buttons.

Advisor's Signature	
Signed	Not Required
Date	
<button>Sign Now</button>	

Supervisors's Signature	
Signed	
Date	
<button>Sign Now</button>	

OK Cancel

3. **Advisor & Supervisor Sign Off Form** – Both Advisor and Supervisor will enter their username and password to complete the action.



The 'A & S sign off Action' dialog box contains two signature sections. The 'Advisor's Signature' section has empty 'Signed' and 'Date' fields, with a 'Sign Now' button below. The 'Supervisors's Signature' section has empty 'Signed' and 'Date' fields, with a 'Sign Now' button below. At the bottom are 'OK' and 'Cancel' buttons.

Advisor's Signature	
Signed	
Date	
<button>Sign Now</button>	

Supervisors's Signature	
Signed	
Date	
<button>Sign Now</button>	

OK Cancel

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4. **Contact Record** - Both the Advisor and Supervisor will need to enter their username and password to complete the action.

The screenshot shows the 'Contact Record - 360 Lifecycle - Office' window. The interface includes a top menu bar with 'Home', 'Tools', 'Accounts', 'Maintenance', and 'Windows'. Below this is a toolbar with icons for 'New Case', 'Save', 'Refresh', 'Branches', 'Diary Views', 'Staff Members', 'Brands', 'Introducers', 'Negotiators', 'Mortgages', 'B & C', 'Life Insurance', 'Income Protection', 'Pensions', 'Investments', 'SPOC Manager', 'User Access Groups', 'General', 'Clients', and 'Compliance'. The main area is a large empty box. At the bottom, there are fields for 'Advisor's Signature', 'Supervisor's Signature', 'Date', and 'Sign Now' buttons. The status bar at the bottom left says 'Ready'.

5. **Complaint Log** - showing the *Complaint Categories* and *Compliant Outcomes* as set in Compliance Maintenance.

The screenshot shows the 'ComplaintLog - 360 Lifecycle - Office' window. The interface includes a top menu bar with 'Home', 'Tools', 'Accounts', 'Maintenance', and 'Windows'. Below this is a toolbar with icons for 'New Case', 'Save', 'Refresh', 'Branches', 'Diary Views', 'Staff Members', 'Brands', 'Introducers', 'Negotiators', 'Mortgages', 'SPOC Manager', 'User Access Groups', 'General', 'Clients', and 'Compliance'. The main area is divided into sections. At the top, there are fields for 'Client Name', 'CaseID', and 'Complaint Received' (29/09/2017). Below this is a 'Complaint Details' section with a large empty box. To the right of this box is a 'Category' dropdown menu. Below the 'Category' dropdown is an 'Attachment' section with a list of items: 'GI', 'Life', and 'Mortgage'. Below the 'Attachment' section is a 'GridColumn1' table. At the bottom, there are fields for 'Compliance Sign Off', 'Advisor's Signature', 'Supervisor's Signature', 'Date', and 'Sign Now' buttons. The status bar at the bottom left says 'Ready'.

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6. **Fiscal Probity Form** - Both the Advisor & Supervisor will enter their username and password to complete the action.

The screenshot shows the 'Fiscal Probity Questionnaire - 360 Lifecycle - Office' window. The interface includes a top menu bar with 'Home', 'Tools', 'Accounts', 'Maintenance', and 'Windows'. Below this is a toolbar with icons for 'New Case', 'Save', 'Refresh', 'Tasks', 'Admin Pipeline', 'Bulk Notes', 'Case Merge Tool', 'Case Delete Tool', 'Campaign Manager', 'Client Segmentation', 'Business Register', 'Performance Explorer', 'Compliance Manager', 'Import Leads', 'Compliance Search', 'Document Library', 'View Statements', 'User Settings', 'Change Password', and 'Reset Preferences'. The main content area contains five questions with radio button options for 'Yes' and 'No':

- Have you ever been disqualified from acting as a Director?
- Have you had any CCJ's Registered against you?
- Have you made any proposal or arrangements with any Creditors?
- Has there been a petition for Bankruptcy Order made against you?
- Have you been charged or convicted of any criminal offence? (Other than minor motoring offences NOT resulting in disqualification)

Below the questions is a text area for details: 'If the answer to any of these questions is yes please enter details below:'. At the bottom, there are signature fields for the 'Advisor's Signature' and 'Supervisor's Signature', each with a date field and a 'Sign Now' button.

7. **File Check List Form** - showing the *File Check List Items* and *File Check List Results* as set in Compliance Maintenance.

The screenshot shows the 'File Check - Roy Fox (01/09/2017 00:00:00) - 360 Lifecycle - Office' window. The interface includes a top menu bar with 'Home', 'Tools', 'Accounts', 'Maintenance', and 'Windows'. Below this is a toolbar with icons for 'New Case', 'Save', 'Refresh', 'Branches', 'Diary Views', 'Staff Members', 'Brands', 'Introducers', 'Negotiators', 'Mortgages', 'SPOC Manager', 'User Access Groups', 'General', 'Clients', and 'Compliance'. The main content area has a 'Case Reference' field with the value '0' and a 'View' button. Below this is a 'Client' field. The 'File Check List' tab is active, showing a table with three columns: 'Check List Item', 'Result', and 'Action Required'. The table contains the following data:

Check List Item	Result	Action Required
Mortgage Into Retirement		NA
Protection Justified		NA
Appropriate KFT's On File (Duplicate)		NA
Mortgage Term Justified		NA
Correct Advice Given		NA
Report dated within 4 Days		NA
Full Income & Expenditure Analysis		NA
ID Held		NA
Appropriate KFT's On File		NA
Recommendation Report Accurate	Yes	
Express Consent Signed	No	
Self Certification	NA	
Debt Consolidation		NA
Source of deposit		NA
Lender Justified		NA

At the bottom, there are signature fields for the 'Advisor's Signature' and 'Supervisor's Signature', each with a date field and a 'Sign Now' button.

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8. One To One Form - showing the *Discussion Points* Reviewed as set in Compliance Maintenance.

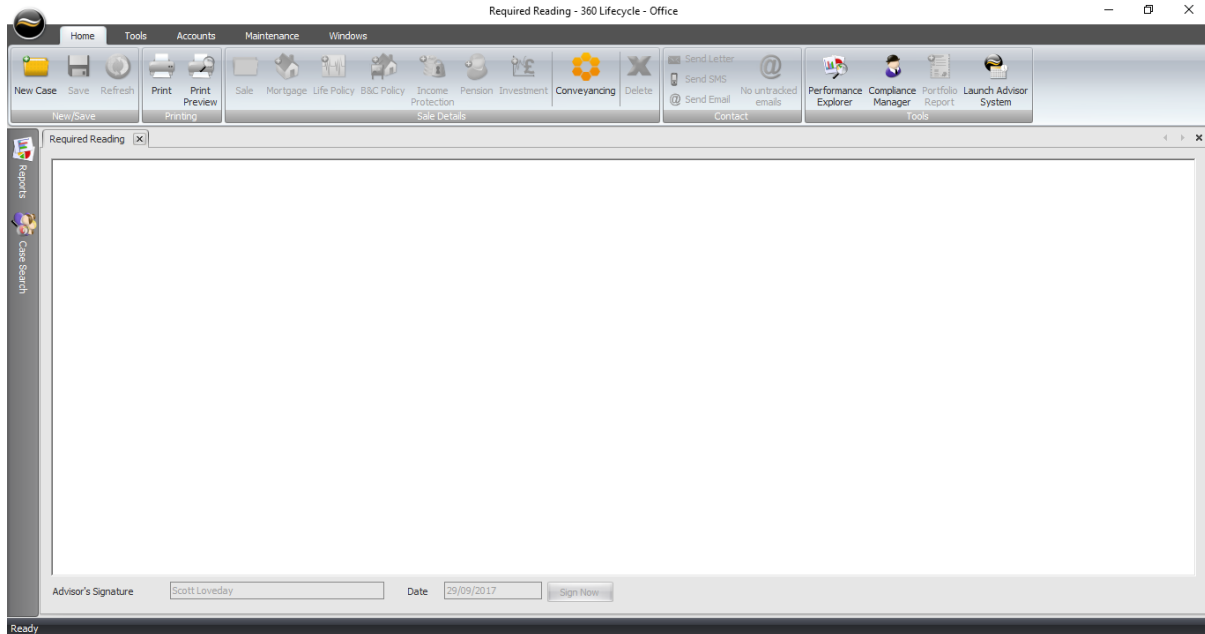
The screenshot shows the 'One to One Form' window for 'Roy Fox' dated '01/09/2017 00:00:00'. The window has a menu bar with 'Home', 'Tools', 'Accounts', 'Maintenance', and 'Windows'. Below the menu bar is a toolbar with icons for 'New Case', 'Save', 'Refresh', 'Branches', 'Diary Views', 'Staff Members', 'Brands', 'Introducers', 'Negotiators', 'Mortgages', 'SPOC Manager', 'User Access Groups', 'General', 'Clients', and 'Compliance'. The main area is divided into two panes. The left pane is titled 'Discussion Points Reviewed' and contains a list of items: 'Production', 'File Checks', 'Training Needs', 'Compliance Overview', 'AOB', 'DPA', 'Compliance KPIs', 'TCF', and 'Oral Discussion'. The right pane is titled 'Production' and is currently empty. At the bottom of the window, there are fields for 'Advisor's Signature', 'Supervisor's Signature', 'Date', and 'Sign Now' buttons.

9. PD Log Form – Record the development of an individual. Both the Advisor & Supervisor will enter their username and password to complete the action.

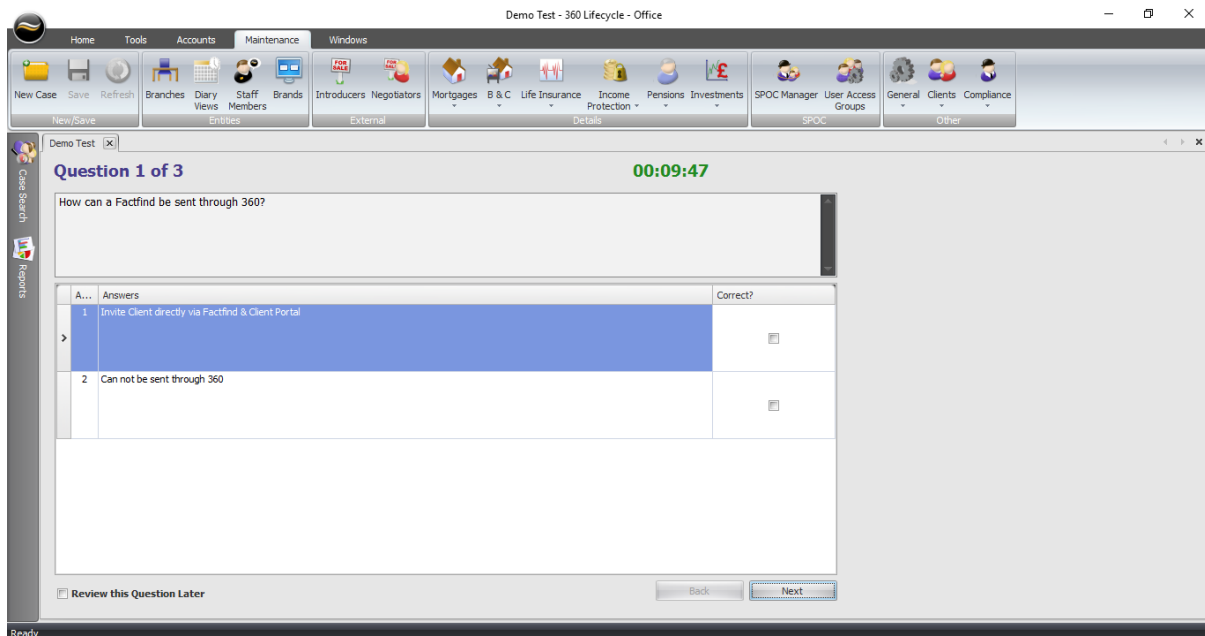
The screenshot shows the 'PD Log' window for 'Dhan demo 4' dated '01/10/2017 00:00:00'. The window has a menu bar with 'Home', 'Tools', 'Accounts', 'Maintenance', and 'Windows'. Below the menu bar is a toolbar with icons for 'New Case', 'Save', 'Refresh', 'Tasks', 'Admin Pipeline', 'Bulk Notes', 'Case Merge Tool', 'Case Delete Tool', 'Campaign Manager', 'Client Segmentation', 'Business Register', 'Performance Explorer', 'Compliance Manager', 'Import Leads', 'Compliance Search', 'Document Library', 'View Statements', 'User Settings', 'Change Password', and 'Reset Preferences'. The main area is divided into two panes. The left pane is titled 'PD Log' and contains a list of items: 'Add', 'Edit', and 'Remove'. The right pane is titled 'Lesson Learned' and is currently empty. At the bottom of the window, there are fields for 'Advisor's Signature', 'Supervisor's Signature', 'Date', and 'Sign Now' buttons.

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10. **Reading Required** - Advisor will enter in their username and password to complete the action.



11. **Test Completion Form** - showing *Test Question Categories* and *Test Manager* questions as set in Compliance Manager.



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12. Training Needs Analysis Form - showing the *TNA Ability*, *TNA Priority*, *TNA Training Areas* & *TNA Subjects* as set in Compliance Maintenance.

The screenshot shows the 'TNA Form - Roy Fox (01/09/2017 00:00:00) - 360 Lifecycle - Office' window. The interface includes a menu bar (Home, Tools, Accounts, Maintenance, Windows) and a toolbar with icons for New Case, Save, Refresh, Branches, Diary Views, Staff Members, Brands, Introducers, Negotiators, Mortgages, SPOC Manager, User Access Groups, General, Clients, and Compliance. The main area displays a table with columns: Subject, Ability, Priority, and Proposed Activity. The table is divided into two sections: 'Training Area' and 'Training Area: Mortgages'. The 'Training Area' section lists subjects like Buyers Protection, Income Protection Benefit, Mortgage Protection Insurance, Accident, Sickness & Unemployment, Buildings & Contents Insurance, Level / Decreasing Options, and Critical Illness Cover. The 'Training Area: Mortgages' section lists subjects like Offset, Interest Only, Capital & Interest, Buy to Let, Debt Consolidation, Part 10, Part C&I, Shared Ownership, Right to Buy, Repayment Methods, and Into Retirement. The 'Repayment Methods' row has a dropdown menu with options: '1) No Development Re...', '1) Low', and '2) Medium'. The 'Proposed Activity' column for this row is labeled 'Free Text'. At the bottom, there are fields for Advisor's Signature, Supervisor's Signature, Date, and buttons for 'Sign Now'.

Subject	Ability	Priority	Proposed Activity
Buyers Protection			
Income Protection Benefit			
Mortgage Protection Insurance			
Accident, Sickness & Unemployment			
Buildings & Contents Insurance			
Level / Decreasing Options			
Critical Illness Cover			
Training Area: Mortgages			
Offset			
Interest Only			
Capital & Interest			
Buy to Let			
Debt Consolidation			
Part 10, Part C&I			
Shared Ownership			
Right to Buy			
Repayment Methods	1) No Development Re...	1) Low	Free Text
Into Retirement	3) Significant Develop...	2) Medium	

13. Supply Other Document Form – upload a document to the Action which can then be viewed. Both the Advisor & Supervisor will enter their username and password to complete the action.

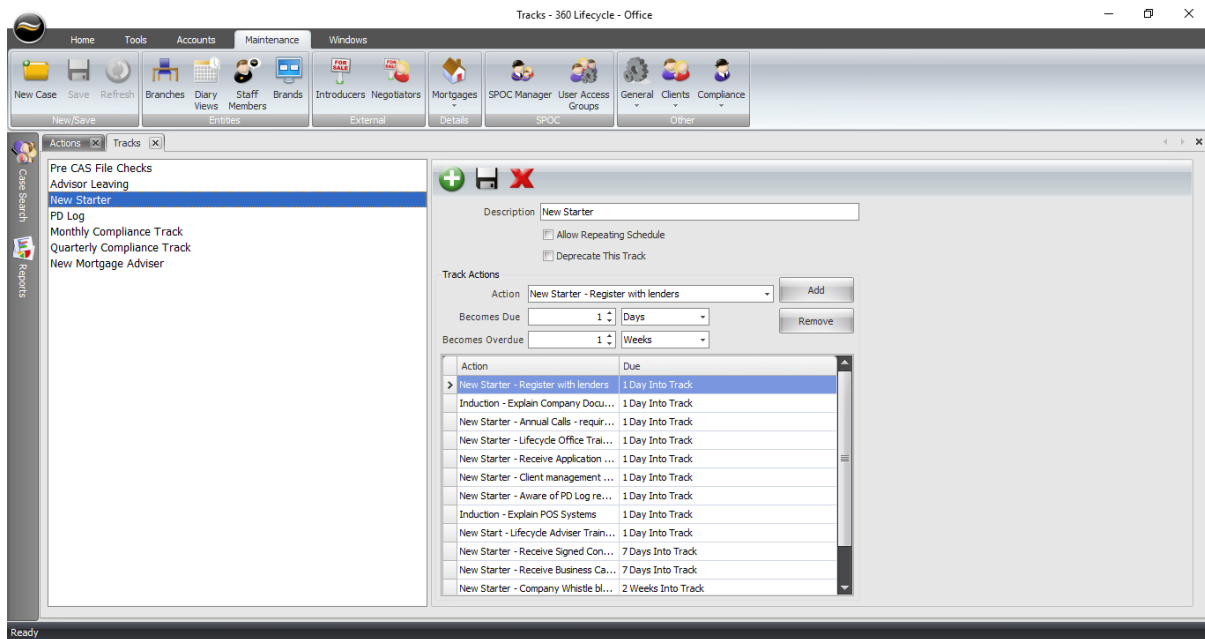
The screenshot shows the 'Supply Another Document' dialog box. It has a title bar with a document icon and the text 'Supply Another Document'. The main area contains a 'Choose Document' section with a text input field and a button with three dots. Below this, there are two columns for signatures. The left column is for the 'Advisor's Signature' and the right column is for the 'Supervisors's Signature'. Each column has a 'Signed' field, a 'Date' field, and a 'Sign Now' button. At the bottom right, there are 'OK' and 'Cancel' buttons.

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Tracks

Tracks are designed and created to allow a series of Actions that will need to be completed in an automated fashion. For example, you may have an 'Induction' or 'New Starter Track' that requires a number of Actions to be completed at different stages. Tracks can be set to automatically repeat on an ongoing daily, weekly or monthly basis by choosing 'Allow Repeating Schedule'.

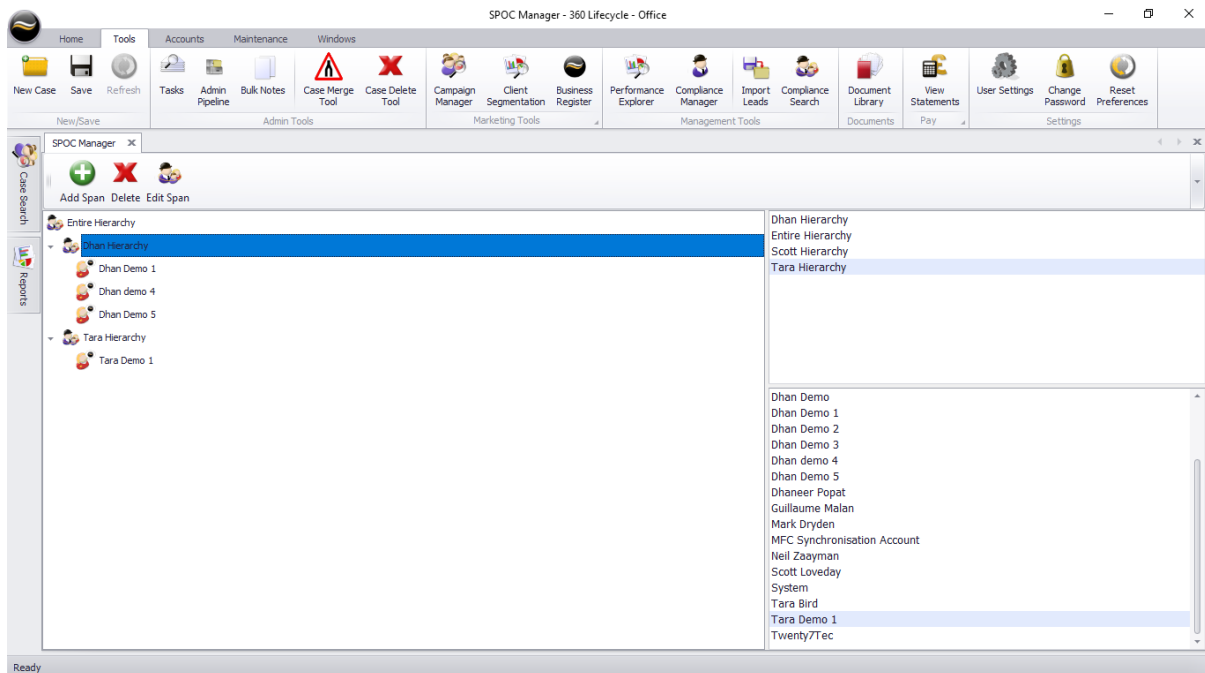
Below is an example 'New Starter' Track which has been created and which can be distributed via 'Add Track' in Compliance Manager.



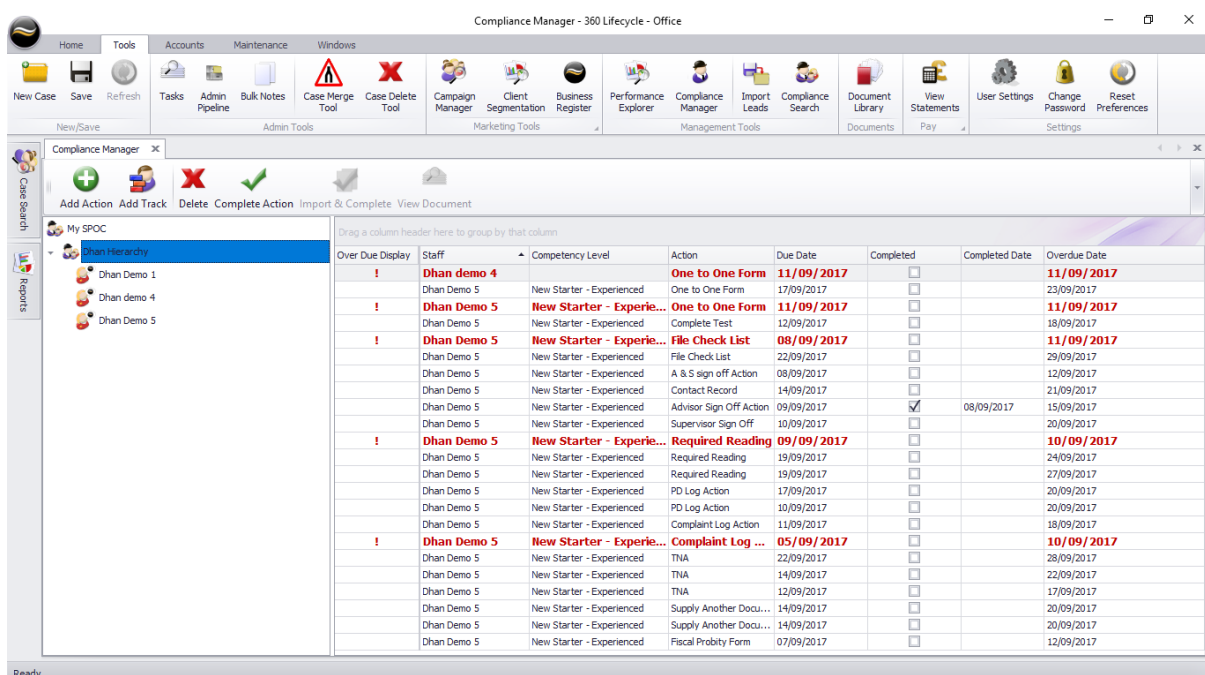
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SPOC Manager (Span Of Control)

Those with either 'System Administrators' or 'Compliance Manager' roles have access to SPOC Manager, found within 360 Office >Maintenance>SPOC Manager. Within SPOC Manager you can create Compliance Manager hierarchy's or groups which can have different managers assigned. This means when a manager logs in they will only be able to see the hierarchy or group they oversee. Each hierarchy or group is called a 'Span'. Editing or creating a new 'Span' works in a very similar way to User Access Groups in Performance Explorer.



The above screenshot shows two separate Span's (Dhan Hierarchy & Tara Hierarchy) . However as the managers are different this means when logging into Compliance Manager each manager will only see their own team.



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Compliance Search

Those with either 'Managers', 'System Administrators' or 'Compliance Manager' roles have access to Compliance Search, found within 360 Office >Tools>Compliance Search. Those with a Manager role will only see themselves within the Compliance Search hierarchy, unless they are a manager within the 'SPAN'.

Within **Compliance Search** you can search across 'Action Type', 'Due Date and 'Completed Date'. If dates are specified an Action Type then must be chosen.

ComplianceSearch - 360 Lifecycle - Office

Home Tools Accounts Maintenance Windows

New Case Save Refresh Tasks Admin Bulk Notes Case Merge Case Delete Campaign Manager Client Segmentation Business Register Performance Explorer Compliance Manager Import Leads Compliance Search Document Library View Statements Pay User Settings Change Password Reset Preferences

ComplianceSearch [x]

My SPOC

- Dhan Hierarchy
 - Dhan Demo 1
 - Dhan demo 4
 - Dhan Demo 5
- Mark Hierarchy
 - Dhan Demo 2
 - Dhan Demo 3
- Scott Hierarchy
 - Demo User 1
 - Demo User 2
- Tara Hierarchy
 - Tara Demo 1

Action: PD Log Action

Due Date: 01/09/2017 30/09/2017

Completed Date: Search Clear

Drag a column header here to group by that column

Ov...	Staff	Competency Le...	Action	Due Date	Completed	Completed Date	Overdue Date
!	Tara Demo 1		PD Log Action	03/09/2017			04/09/2017
	Dhan demo 4		PD Log Action	01/10/2017			05/10/2017
!	Demo User 2		PD Log Action	28/09/2017			29/09/2017
	Demo User 2		PD Log Action	29/09/2017		29/09/2017	30/09/2017
!	Dhan Demo 5	New Starter...	PD Log Action	14/09/2017			15/09/2017
	Dhan Demo 5	New Starter - E...	PD Log Action	30/09/2017			11/10/2017
	Dhan Demo 5	New Starter - E...	PD Log Action	03/10/2017			04/10/2017

Ready