

SM&CR MODULE

THE COMPLYSCI PLATFORM

ComplySci's SM&CR Module is designed to help regulated firms facilitate and manage the requirements of the FCA's Senior Managers and Certification Regime (SM&CR).

Easily capture relevant employee functions and responsibilities through the creation and distribution of digital SM&CR forms. Upon a certified employee's completion and approval of the assessment, ComplySci will generate a certificate remaining valid for 12 months from date issued.

INCREASE TRANSPARENCY

Leverage real-time dashboards and custom reports to monitor the completion of SM&CR questionnaires and analyse question responses by employee classification. Automated alerts can send reminders as needed and flag unexpected question responses that require additional follow-up.

IMPROVE EFFICIENCY

Easily classify employees as Senior Managers and/or Certified Staff to digitally distribute custom certification questionnaires. Leverage multiple approval levels for varying functional departments to create a single streamlined certification workflow.

BUILD AN AUDIT TRAIL

Automate certification production and repose all documentation of employee attestations and certificates. Easily run reports to evidence compliance with all SM&CR regulatory requirements.



COMPREHENSIVE COVERAGE

Senior Manager Regime

- » Creation and maintenance of Statement of Responsibilities (SORs)
- » Assignment of Senior Management Functions (SMF)
- » Multiple level assignments and approvals

Certification Regime

- » Fitness and Propriety Assessments
- » Supporting Continuous Professional Development (CPD)
- » Automatic certificate records upon approval
- » Streamlined annual renewal process

Conduct Rules

- » Automatic distribution of conduct rules
- » Conduct rules training progress tracking