

SM&CR Module

THE COMPLYSCI PLATFORM

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.

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 followup.

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.

