

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

Talk to an expert today!

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COMPLY™



Senior Managers and Certification Regime (SMCR) Module

The SMCR Module on the ComplySci® Platform help regulated firms facilitate and manage the requirements of the FCA's Senior Managers and Certification Regime (SMCR). Easily capture relevant employee functions and responsibilities through the creation and distribution of digital SMCR forms. Upon a certified employee's completion and approval of the assessment, automatically generate a certificate that remains valid for 12 months from the date issued.

INCREASE TRANSPARENCY

Leverage real-time dashboards and custom reports to monitor the completion of SMCR questionnaires and analyse question responses by employee classification. Automated alerts can send reminders 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 documentation of employee attestations and certificates. Easily run reports to evidence compliance with all SMCR regulatory requirements.

