

SM&CR

5 core pillars of the regime

- delivering people & scheme management, oversight, evidential records and audit trail

FEATURES AND FUNCTIONS	Configurable	 1. Governance: Accord enables firms to model potential governance arrangements. Once agreed, Accord provides all the mapping, supporting details and evidential record to ensure governance are fully documented and time stamped	 2. Reasonable Steps & Delegation: Accord provides easy to use functionality that enables senior manager to evidence and demonstrate reasonable steps	 3. Certification: Accord manages the Certification process end to end, providing the real-time oversight to ensure firms annual assessments can be completed on time and to standard	 4. The Directory: Accord enables the Directory to be managed as part the wider SM&CR process, so providing a 'single source of truth' across these two sets of related regulations	 5. Employee Competence & Conduct: Accord improves oversight of competence within your organisation
Configurable user permissions	✓	•	•	•	•	•
Company Directory	n/a	•	•	•	•	•
Multi-entity and Group structures	n/a	•	•	•	•	•
Job Role to Scheme mapping: • Senior Managers Regime • Certification Regime • Conduct Rules • Employee Competence	n/a	•	•	•	•	•
Personal colleague profiles (inc timelines)	✓	•	•	•	•	•
Senior Manager profiles (Inc Timelines)	✓	•	•			
Directory related colleague profiles	✓			•	•	•
Job description template	n/a	•	•	•	•	•
Management and overseers dashboards	n/a	•	n/a	•	n/a	•
Suite of core reports: • Senior Manager Regime reports • Certification Regime reports • Data extract reports • System operational reports	n/a	•	•	•	•	•
Data extract capability	✓	•	•	•	•	•
Reporting API's (integration with third party reporting tools)	✓	•	•	•	•	•
System integration (HR, LMS etc.)	✓	•	n/a	•	n/a	•
On-screen notifications and Activities lists	n/a	•	•	•	•	•
Activity log and consolidated audit trail	n/a	•	•	•	•	•
Activity management, automated notifications and workflows	✓	•	•	•	•	•
Evidence repository (attachments, uploads & links)	n/a	•	•	•	•	•
Comms Hub - distributable notifications, communications & attestations (eg policy updates, bespoke attestations, company related bulletins)	✓	•	•	•	•	•
Comprehensive set-up and system admin tools	n/a	•	•	•	•	•
Mineable Governance Map (Committees, attendance, members, ToR's)	n/a	•	•			

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SMF allocations - point in time evidence of allocations (Governance)	n/a	•	•			
Key Functions mapping	n/a	•	•			
Management Responsibility Maps	✓	•	•			
Committee allocations	n/a	•	•			
Board and Committee attendance tracking	n/a	•	•			
Prescribed Responsibility allocations	✓	•	•			
Statements of Responsibility	✓	•	•			
SMF, Responsibilities and Key Functions Timelines	✓	•	•			
Handovers / Handoffs	n/a	•	•			
Delegated Responsibilities	n/a	•	•			
Conduct Rules training and testing record	✓	•	•	•	•	•
Role based training record	✓	•	•	•	•	•
F&P attestations - templated	n/a	•		•		
F&P attestations - Configurable	✓	•		•		
Certification attestations - outcomes and significant harm functions	✓			•	•	
Comprehensive F&P review process/records	✓	•		•		
Hard copy certificates	n/a			•		
Regulatory reference template and repository	n/a	•	•	•	•	•
Conduct rules breach recoding and reporting	n/a	•	•	•	•	•
Development plans and remediation	✓			•		•
Performance Development review (process and form)	✓	•		•		•
Continual Professional Development	✓			•		•
File note	✓			•		•
Employee Competence sign-off	✓			•		•
Annual Competence attestation	✓	•		•	•	•
1:1 review	✓	•		•	•	•
Conflicts of interest record	✓			•	•	•
Personal account dealing record	✓			•	•	•