

RelianSys® Compliance
Transforming Compliance

QS3- How to Sign Off Obligations

Compliance Module

Quick Start Guide 3- How to Sign Off Obligations

There is a lot of functionality in RelianSys® Compliance, so getting things done can look daunting. Actually it is quite easy to get quick results.

For most Users, this is the only thing you’ll need to do in Compliance.

1. LOCATE YOUR ASSIGNED OBLIGATIONS

When you log in, and select Compliance, you will be taken to your Dashboard. This shows you your personal compliance profile. You can everything you need to from your Dashboard. You can locate your Dashboard from the menu screen at the top if you need to quickly go back for any reason.

Dashboard			
Registers List			
Obligations to Action	Signoff Required		
	Not Yet Assessed	17	
	Due Soon	0	
	Due Today	0	
	Overdue	2	
Information	Missed	0	
	Compliance Profile		
	Allocated	35	
	Complies	16	
	Partially Complies	2	
	Does Not Comply	0	
	Not Applicable	0	
	Awareness	0	
	Registers List		
	Review Required		
Changed Obligations		4	
Deleted Obligations		0	
Due Dates Profile			
Current		0	
Due Date Set		2	
No Due Date Set		33	
Assessment Cycle Set		0	
No Assessment Cycle Set		33	
No Assessment Cycle Required		0	

The Dashboard is your own personal compliance profile. If you have more than one Position profile, it will appear as a collated summary report, with each Position profile report shown separately underneath.

2. Select the Obligation to sign off

Select the category of Obligations you will want to sign off from the “Obligations to Action – Signoff Required” group.

When starting with RelianSys® Compliance you’ll normally work on the “Not Yet Assessed” category.

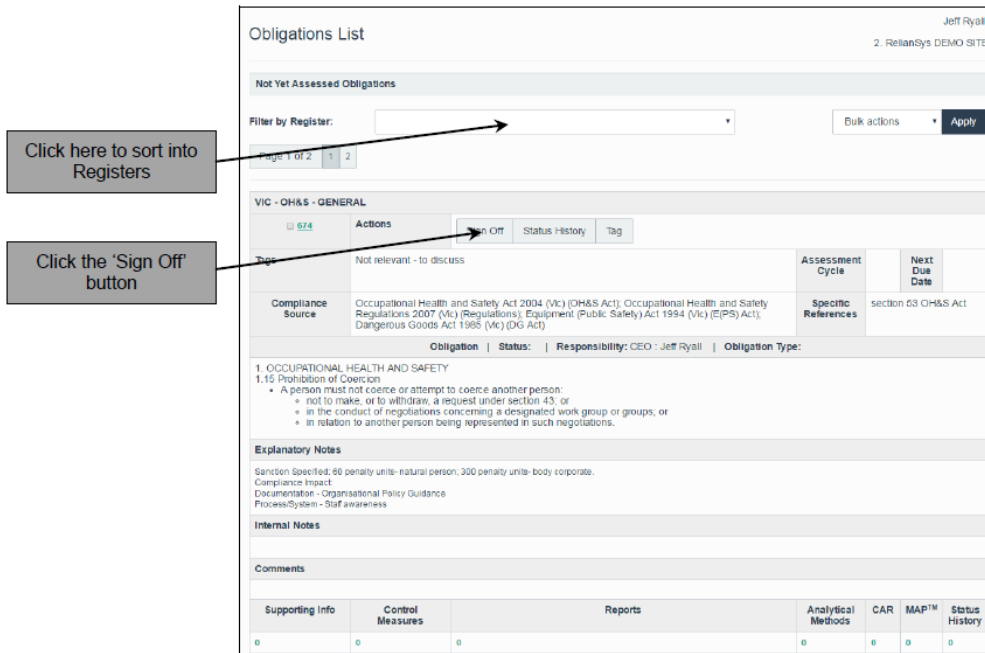
Later, you will deal with other categories if necessary, such as “Overdue”, or “Partially Complies” which is in the “Information – Compliance Profile” group.

Click on the number of Obligations that are waiting to be assessed.

This will take you to the Obligations List screen, where all of the Obligations represented by the number you clicked will be presented to you.

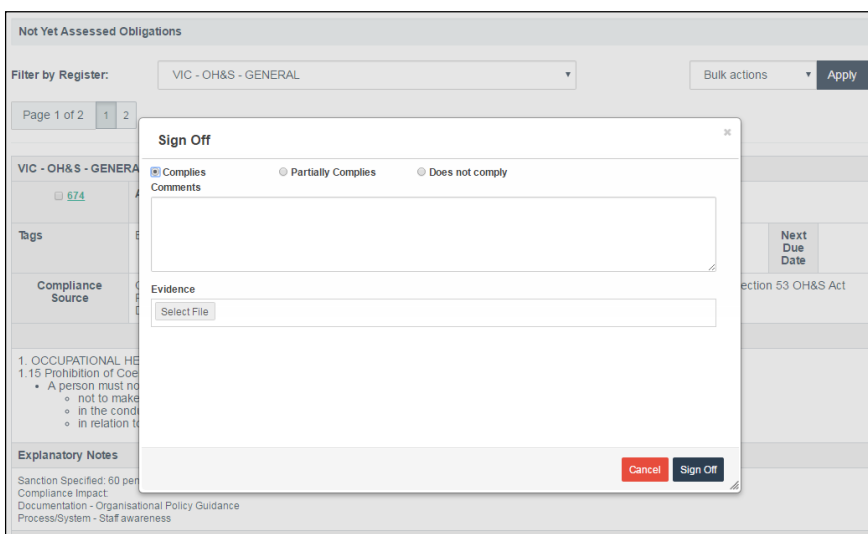
If you want to, you can sort these into their individual Registers. Just click on the ‘Filter by Registers’ field to do this.

Next, click the ‘Sign Off’ button.



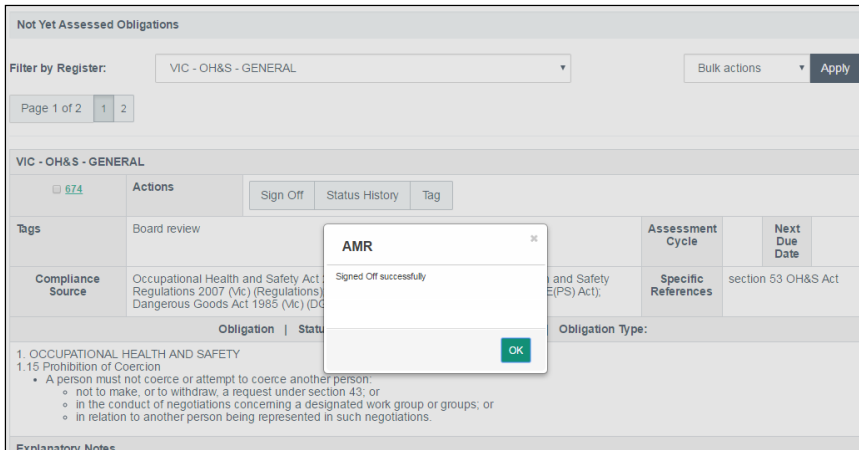
3. Sign off the Obligation

When you click on the ‘Sign Off’ button, the ‘Sign Off’ window will appear.



- Decide if the Complies, Partially Complies or Does not Comply selection is appropriate.
- Add the appropriate Comment. Your organisation should already have a Compliance Policy and Procedure which explains what kinds of comments are expected.
- You can upload any files that you want to associate with the Obligation as evidence.
- Click the ‘Sign Off’ button at the bottom of the screen.

The screen will confirm that the signoff has been successful.



Click ‘OK’. The screen will refresh to the Obligations List screen, showing the next Obligation you have to sign off. Repeat the signoff process for the next obligation.

You can also sign off an Obligation from the History screen...

This enables you to see the previous Comments that were made when the Obligation was signed off previously, so you can't do this the first time you sign off an Obligation.

The screenshot shows a detailed view of an obligation. At the top, there are tabs for 'Sign Off', 'Status History', and 'Tag'. The main content area includes sections for 'Tags', 'Compliance Source', 'Assessment Cycle', 'Next Due Date', 'Specific References', 'Obligation', 'Status', 'Responsibility', and 'Obligation Type'. Below these are sections for 'Explanatory Notes', 'Internal Notes', and 'Comments'. At the bottom, there is a summary table with columns for 'Supporting Info', 'Control Measures', 'Reports', 'Analytical Methods', 'CAR', 'MAP', and 'Status History'. The 'Status History' column contains the number '2'. A callout box with an arrow points to this number, stating 'The Status History link is located here'.

To do this, click on the number under 'Status History' in the bottom right corner of the screen. The Status History screen will appear.

The 'Status History' screen displays the following table:

Sign Off Date	Due date	Signed by	Sign off	Comment	Attached Files
27 Apr 2017	27 Apr 2017	Jeff Ryall	Complies	A Policy is in place to ensure that the Organisation's standards and expectations are clear on this. This has been supported by training, both at induction, and subsequently. Additionally, there is a whistle blower contact number to call if anyone feels they have experienced this kind of coercion.	
27 Apr 2017	27 Apr 2017	Jeff Ryall	Complies		

At the bottom left, there is a 'Sign off' button and a 'Return to previous page' link.

Click on the 'Sign Off' button at the bottom of the screen. The 'Sign Off' window will appear. Enter your data as described previously.

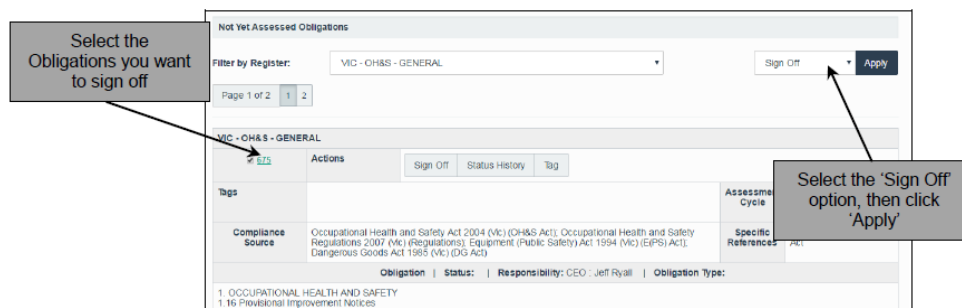
The purpose of being able to do this is that you can see, refer to, or re-use the Comments you've made previously about the Obligation.

If you receive a reminder email...

If you click through to RelianSys® Compliance from the reminder email, once you sign in you will be taken directly to the relevant Obligation. The steps are the same as those described above.

Did you know you can sign off a number of Obligations all at once?

Sometimes you'll have a number of Obligations, for which you will want to record the same signoff Comment. The 'Bulk Actions' function allows you to do this.



1. Select the Obligations you want to sign off in bulk. Do this by ticking off the check box next to the green Obligation number. You can select up to 10 at a time, which is the maximum shown on each page.
2. Select the 'Sign Off' option from the 'Bulk Actions' drop down.
3. Click 'Apply'. The 'Sign Off' window will appear.
4. Enter your data as described previously.

4. See Your Report

The whole purpose of using RelianSys® Compliance is to make compliance management faster, easier and more transparent. It especially pays off in the reporting.

In a few seconds you can retrieve reports that would otherwise take hours or days.

This how you do it.

You can get a report that shows your compliance profile for yourself, or those who report to you (for example your whole department, or the organisation. Just click on the Reports option at the top of the screen, and then select the report you want. While there are many preformed report types, which you can tailor to your requirements, the most common ones are described below.

Reports ▾	Settings ▾	Help	Logout
Compliance Profile by Position / User			
Compliance Profile by Register			
Organisational Compliance Profile (current)			
Organisational Compliance Profile (history)			
Compliance Obligation (current)			
Compliance Obligation (history)			
Compliance Status			
Compliance Status With Sign Off Comments			
Compliance Source/Obligation			
Compliance Obligation Type With Last Change Comments			
Compliance Obligation Type With Internal Notes			
Compliance Controls			
Register / Compliance Source			
CAR/MAP			
Subscribed Obligation Changes			

Compliance Profile by Position/User.

This shows the Dashboard summary for each User who has Obligations allocated to them. This report will appear. You really only need to look at the 5 columns under ‘Compliance’

Position/User	Compliance					Due Status				
	Allocated	Complies	Partially Complies	Does Not Comply	Not Yet Assessed	Current	Overdue	Urgent	No Due Date Set	No Review Reminder Required
Director of Nursing - John Smith	105	12	2	0	91	1	1	6	97	0
General Manager - Chris Houlder	31	3	0	0	28	0	1	0	30	0
Total	136	15	2	0	119	1	2	6	127	0

Allocated
This is the total number of Obligations for which the person is Responsible.

Complies
This is the total number of Obligations that comply. More is better.

Partially Complies
This requires further work to bring it up to a compliant status.

Does Not Comply
This is where the work needs to focus, to get these to green.

Not Yet Assessed
This should be zero. Initial implementation normally focusses here, but it depends on your priority plan.

↑ ↑ ↑ ↑ ↑

Compliance Profile by Register

This report is similar to the Compliance Profile by Position/User. Instead of showing you the profile for each User, it shows you the profile for each Register.

You can filter for any number of individual Users who are Responsible for those Obligations in the Registers, as well as other selections.

Organisational Compliance Profile (Current)

This provides an overall Dashboard for your organisation. It contains the same data as you’ll see across the bottom row in the previous two reports. Again, you can filter by individual Users who are Responsible for those Obligations covered by the report (effectively everything in the system).

Organisational Compliance Profile (Current)		
Obligation Status Breakdown	Due Status Breakdown	Allocated Person Breakdown
Complies 19	Current 17	Responsible Person Allocated 89
Partially Complies 3	Overdue 4	Responsible Person Not Yet Allocated 107
Does Not Comply 0	Illiquid 2	
Not Yet Assessed 174	Due Date Set 7	
Total 196	No Due Date Set 189	
	Assessment Cycle Set 3	
	No Assessment Cycle Set 193	
	No Assessment Cycle Required 0	

This report normally is produced for Audit and Risk Committees, Executive Management Groups, and Boards.

Helpful Tips

1. Use the ‘BACK’ button in your browser if you want to get back to previous screens. Remember to refresh to bring the information up to date.
2. The ‘Tags’ function enables you to create memorised reports. Tags are fully customisable to suit your own requirements. They are added to individual Obligations, and you can apply them in Bulk.
3. You can export all reports to Word and Excel.