



ComplianceWire® SmartForms

AUTOMATE YOUR QUALIFICATION AND RISK ASSESSMENT PROCESSES



Increasing regulatory compliance mandates in many parts of the world have forced compliance and regulatory executives to identify new tools that can “root out” compliance and quality gaps.

For many regulated companies, the key to meeting the latest regulatory standards is to revise existing “assessment controls” in a way that improves business efficiency and effectiveness.

UL EduNeering developed the SmartForms tool for use on ComplianceWire. This “Add-on” feature to our Forms tool enables customers to add rules to specific responses in surveys and assessments. These controls automatically add learners to defined user groups, based on answers provided in the Form assignment, which then triggers additional training. Alternatively, a learner can be removed from a user group.

SmartForms was developed to automate an organization’s controls related to compliance assessment and qualification profiling. Administrators are able to:

- Identify and mitigate risks of noncompliance.
- Make more accurate assignments based on the learner’s pre-existing knowledge.
- Build curriculum-level pre-testing.
- Enable managers to assign roles for employees.
- Improve the ability to categorize and report on team members.
- Improve training management of contractors and other nonemployees.

How SmartForms Works

With SmartForms, the administrator simply has to edit a Form and create a “rule” for a particular question response. For example: “If the learner answers ‘yes,’ place him or her into the “High Risk user group.” When training assignments are defined for the particular user group, it greatly reduces administrative tasks associated with the “assessment to training to compliant/qualified” cycle. The system even generates a full audit trail of all system actions taken by each SmartForm and the associated user group.



SmartForms Case #1: Automating Conflict of Interest Disclosure

The compliance officer in charge of managing Conflicts of Interest (COIs) needs to make sure all COIs are fully disclosed and documented, and that risk mitigation steps have been signed off on by the employee and the manager/responsible party. Compliance officers also need to train employees, contractors and suppliers in a secure, effective way.

SmartForms works within our **Conflicts of Interest Solution** as an online self-assessment that automatically triggers actions based on answers provided by employees. The resulting action could focus on targeted conflicts-of-interest areas, delivered via our engaging online courses, videos or your own educational programs.

The compliance officer can quickly and easily “assign” and track online conflict disclosure forms and review these results through real-time reports. What’s more, by assigning a rule to the answer on the form, the learner will be added to a user group, and then assigned courses and videos that clarify existing laws governing COI. The compliance officer can then add company policies to the curricula so that learners can recognize potential conflicts before they occur. Topics can include outside interests, business relations with customers, competitors and suppliers and more.

Also, the learners’ electronic signatures are unimpeachable and secure, simplifying recordkeeping and administrative tasks. The tool is available in multiple languages and supports contractors and other nonemployees.

The end result is a completely-automated assessment process, that provides the compliance officer with visibility into compliance and risk through robust management reports and dashboards that categorize learners by the type of conflict and other risk factors.

SmartForms Case #2: Automating Qualification Profiling

Quality and manufacturing executives have asked us: “How can we leverage an employee’s manager to help align the employee to the appropriate training requirements?”

SmartForms can answer this question by streamlining the challenge of building and maintaining a training matrix. The effort to develop targeted training often succumbs to the convenience of the “when in doubt, assign it out” policy, which often costs organizations significant hours of productivity loss on needless training.

Many quality and training executives have come to understand that the two people in the organization who truly understand an individual’s training needs are the manager and that particular individual.

SmartForms transfers role-based training matrix construction to the manager and employee (or contractor), ensuring that the employee’s interests are represented as accurately as possible. SmartForms can include “Knowledge Check” questions, in which incorrect answers can place the learner in a user group that receives “qualification refresher training.” If the learner answers correctly, he or she can be placed in the “advanced training user group.”

“A holistic risk management program encompasses the tools and processes used to identify, assess and quantify business threats and the measures taken to prioritize, monitor, control and mitigate those threats.”

PriceWaterhouseCoopers, Seizing Opportunity, July 2009