



# Training & Competency

**Confident Compliance.  
Competent Teams.  
Protected Managers.**

In financial services, maintaining a competent workforce isn't just good practice — it's a regulatory expectation and a business imperative. Whether facing internal audits, regulatory reviews, or public scrutiny, firms must be able to prove that employees are trained, qualified, and supervised appropriately. StarCompliance Enterprise (Star) can help.

## One Solution. All the Oversight.

A centralised, scalable solution, STAR is designed to meet regulatory requirements and drive productivity. It replaces manual processes with an automated, evidence-based approach that supports every stakeholder—compliance leaders, supervisors, and individuals—throughout the T&C lifecycle.

## Built-In Best Practices, Ready to Scale

STAR delivers out-of-the-box workflows that reflect regulatory expectations while remaining fully configurable to your firm's structure and risk model. Whether you're a growing firm or a global institution, STAR evolves with your needs—responding quickly to regulatory changes and organisational growth.

## Key Benefits

- Works Seamlessly with STAR SMCR**  
T&C sits alongside Star's SMCR solution to streamline annual fit and proper certifications—providing clear evidence of competence, conduct, and oversight, all in one place.
- Configurable Forms & KPIs**  
Tailor assessments (e.g. 1:1s, Role Plays, Sales Observations), action plans, and KPIs to your firm's risk profile and reporting needs.
- Single Source of Truth**  
Centralise oversight, documentation, and reporting in one platform accessible across the business.
- Span of Control & People Risk**  
Identify supervisory gaps and performance risks using banded KPIs (e.g., RAG status).
- Version Control & Automation**  
Keep every document, form, and process aligned to the correct version with minimal manual effort.
- Training Management & Testing**  
Manage classroom, virtual, and eLearning courses. Create custom regulatory tests, use built-in templates, or integrate with your preferred Learning Management System (LMS)\* and upload eLearning packages for distribution.

# Core Capabilities Organised by Role

## Compliance & Risk Leaders

### Regulatory Assurance

Ensure adherence to TC Sourcebook requirements and SMCR obligations.

### KPI-Driven Risk Monitoring

Deploy role-specific KPIs to assess people risk and monitor competence levels across the business.

### Dashboards & MI Reporting

Access real-time organisational oversight with traffic-light dashboards and drilldowns by span of control, geography, or hierarchy level.

### Audit-Ready Recordkeeping

Maintain detailed records of qualifications, assessments, CPD hours, and testing outcomes.

## Supervisors

### Targeted Oversight Tools

Prioritise supervisory actions based on risk and performance indicators. View and manage team-level dashboards to support oversight of both new and experienced employees.

### Track-Based Action Plans

Assign training, assessments, eLearning, and policies through configurable "Tracks" for new joiners or at-risk employees.

### Automated Workflows

Reduce manual lift with automated alerts, task assignments, and approvals tied to specific milestones or competency gaps.

## Individuals

### Personalised Competency Paths

Follow a clear route to competence with assigned activities, policies, and assessments based on your role.

### Integrated CPD Tracking

Log, view, and manage CPD activity and SPS progress in a single interface aligned with the Retail Distribution Review (RDR) and the Insurance Distribution Directive (IDD) requirements.

### Seamless Learning Experience

Complete training, testing, and eLearning within the same system.



## About StarCompliance

StarCompliance is the world's leading provider of employee compliance technology solutions. Trusted for over 25 years by millions of users in 114 countries, StarCompliance Enterprise provides a user-friendly interface that delivers the data, technology, and actionable insights needed to proactively mitigate risk, monitor conflicts globally, and support complex whistleblowing regulations. Visit [www.starcompliance.com](http://www.starcompliance.com) to discover the comprehensive security and unparalleled assurance you need to build a culture of compliance today.



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