



Setting Up Users within the Key

Initial Considerations

Setting up users within the Key is fundamental to the future use of the application. The primary function is to control access to the data held on the system, whether it is client information or business information as a whole. In addition to the data, user permissions established in the setup area also allow, or prevent, access to certain configuration functions. In this fashion, it is possible to ensure that each user has access to the areas of the system that they need, whilst still maintaining a demonstrable control over access to ensure effective risk and business process management.

User Roles

The Key is completely flexible when it comes to assigning permissions to a user: there is no requirement to select from a pre-determined set of permissions. Therefore, access can be as broad or as narrow as required. In addition, the roles permissions and access rights can be changed at any time according to the needs of the business in order to cater for changes in a user's area of responsibility, or simply to allow 'extra' access to cover absences etc.

However, in order to minimise the need to continually amend user profiles, it is a good idea to determine the general roles and responsibilities of a user before adding them to the system. Users tend to fall into a number of discrete categories:

- **Superuser**
- **Administrator**
- **Advisers**
- **Compliance Officers**
- **Commissions Users**

Note that these are not either/or categories. It is quite possible, and likely, that a superuser might be a compliance officer, that an administrator might also be responsible for commissions management, and that an adviser might be his or her own administrator as well.

Accessing User Setup

The screenshot shows the 'Users' management interface in 'The Key v2.9.27 (K00018)'. The interface includes a sidebar menu on the left with 'Setup -> Users' selected. The main area displays a table of users with the following data:

Firstname	Surname	Job Title	Branch/Team	Work Tel	User Name	Advisor	View Own Wo	View branch
Tom	Cavanagh				Tom Cavana	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Paul	Chambers	Managing Director			Paul Chambe	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Karen	Crookes	Compliance Director			Karen Crooke	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Kay	Goodwin				Kay	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Toni	Martin				Toni	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Georgina	Mcgill	Mortgage Advisor		0208 665 3200	Georgina	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Anucha	Mora-Richards				Anucha	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Money	Penny	Senior Administrator			Money Penny	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Andrew	Robinson				Andrew Robi	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Technical	Support				T3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

At the bottom of the screen, there are three buttons: 'Delete', 'New', and 'Open'. The text 'Total users shown 10' is visible at the bottom left of the main area.

The users screen is accessed from the left menu (**Setup – Users**). Upon initial access to this screen a list of all created users will appear, summarising their details, adviser status, branch details (if any) and job title. From this screen it is possible to edit a user by selecting them from the list and clicking on the **Open** button at the bottom right, or to add a new user by clicking the **New** button. The screens are the same in either case, albeit with currently recorded data displayed in the case of editing a user.

Note that after initial setup, only users with the appropriate permission can gain access to this screen to make any changes.

User Details Screens

The screenshot shows a 'User Details' window with five tabs: 'Main Details', 'Roles', 'Permissions', 'Training & Competence', and 'Logins'. The 'Main Details' tab is active. The form contains the following fields:

- User Name: text input
- Password: text input
- Company Name: text input
- National Insurance Number: text input with dashes
- Title: dropdown menu
- First Name: text input
- Surname: text input
- Job Title: text input
- Branch/Team: dropdown menu
- Region: dropdown menu
- Email: text input
- Work Tel: text input
- Mobile: text input
- Fax: text input
- Date of employment: text input with a calendar icon
- Leaving Date: text input with a calendar icon
- Address: four stacked text input fields
- Non UK: checkbox
- Copy Address...: button
- Notes: text area
- Disable log on: checkbox

At the bottom right, there are 'OK' and 'Cancel' buttons.

Clicking the **New** button opens the **User Details** screen. There are five tabs here:

- **Main Details:** login details and personal information
- **Roles:** access settings, authorisation settings, and compliance settings
- **Permissions:** what work can be viewed
- **Training & Competence:** a record of that users T&C activity
- **Logins:** a record of the login data for a number of applications, allowing the user to bypass any login screens.



Main Details

Entering the main details is merely a matter of completing the various data entry fields, and is the same for any type of user.

There are a couple of more important fields in this screen. The **User Name** and **Password** controls this user's access to the Key. It is important to note that this is case sensitive. The password used will be encrypted. If it is forgotten at a later date, when the user's profile is opened a button will appear called **Reset Password** which will clear the existing one and allow a new one to be entered. The format of the password can be controlled through options available in the **Setup – General – Company Details** tab, including a minimum/maximum length and the requirement to include alpha and numeric characters.

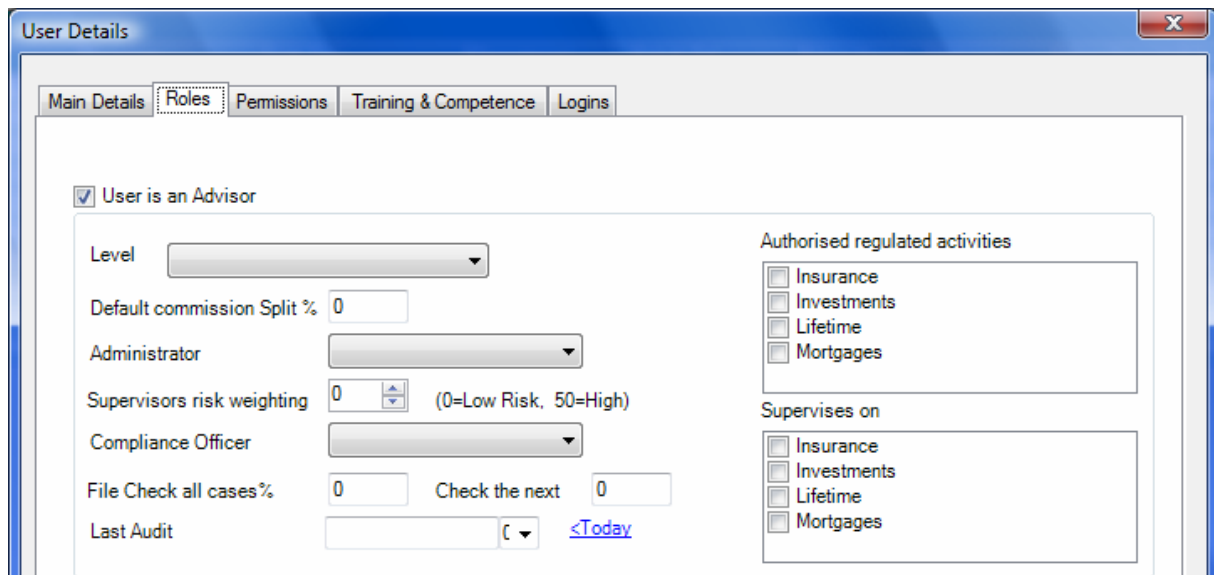
The **Branch/Team** drop down allows for users to be allocated to specific branches or teams. Note that this terminology is flexible, and could be used for entering details of different companies in an AR network, branches in different geographical areas, or even teams within the same location. Although this is a drop down box, it is possible to add a new branch/team simply by typing in the appropriate name in this area. Users can be restricted to see only the details pertaining to the branch to which they have been allocated. The label Branch/Team can be changed to something more suitable through the **Setup – General – General** tab, and renaming the box marked **User grouping label**.

To the bottom of the screen is the **Disable log** on checkbox. This will prevent the user from having access to the Key, but will retain their details on file. Should a user leave the company, it is this box that should be ticked rather than deleting them from the Key entirely, in order to maintain a record of all activity carried out by this user.

Roles

This area controls what Key functionality the user can access, as well as their role within the company. As such there are two main areas to the screen; the adviser section and the restrictions section.

The Adviser Section



This is the upper half of the screen, and is controlled by the tick box indicating whether the user is an adviser or not. If this is not ticked, then the remainder of this area is greyed out, and the user is recorded as an administrator.

If the user is an adviser, there are a number of areas to be completed. These are either drop down selections, or areas for data to be typed in directly.

- **Level:** the competence level of the user. The options available are Trainee, Qualified Non Competent and Qualified Competent Adviser (the other option, Unqualified Competent Adviser, is no longer to be used). The selection made here will have an impact on an individual's risk weighting as detailed in the compliance section.
- **Default commission split:** enter the required split % if appropriate.
- **Administrator:** select the user's administrator (if appropriate) from a list of user's already added.
- **Supervisor's risk weighting:** this is the individual risk weighting associated with this adviser, as determined (usually) by their supervisor (or compliance team). Any number from 0 to 50 can be used, with a higher number reflecting a higher risk. For example, a



highly experienced adviser may have a rating of 0, whilst an individual with less experience would have a rating of 30. This forms part of the user's overall risk weighting, and is detailed fully in the compliance section.

- **Compliance Officer:** allows for the selection of an associated compliance officer from the list of existing users. Note that this does not restrict compliance access to this user's cases, but rather assists in filtering cases. No matter which compliance officer is associated with this user, any other user marked as a compliance officer will be able to access them.
- **File check % and Check the next:** this allows for the default file checking rate to be set for this user. File checks are carried out at random depending upon the figure entered here. However, it is possible to override this setting by 'forcing' the next N cases to be marked for checking, no matter what the case may be (where N is the number entered alongside Check the next). Note that as cases are marked for checking this number will decrease automatically.
- **Last audit:** as opposed to a file check, this allows for a record to be made of the last time the user was fully audited. This may include items such as advertising material, premises and so forth.
- **Authorised regulated activities and Supervises on:** allows for a record of the areas in which a user is allowed to give advice or to supervise on as appropriate.



User Restrictions

Restrictions

<input type="checkbox"/> User can edit system settings	<input type="checkbox"/> Client Data is Readonly
<input type="checkbox"/> User can view / edit / add users	<input type="checkbox"/> User can submit electronic regulatory returns
<input type="checkbox"/> User can view / edit / add letter templates	<input type="checkbox"/> User can view closed clients
<input type="checkbox"/> User can delete information	<input type="checkbox"/> User can edit product details after application date is entered.
<input type="checkbox"/> User can enter commission management	<input type="checkbox"/> User is a compliance officer
<input checked="" type="checkbox"/> User can edit contacts after creation	<input checked="" type="checkbox"/> User can edit case accounts
<input checked="" type="checkbox"/> User can reassign work	

Supervisor

OK Cancel

This section controls the user access to the Key. It consists of a number of statements which are enabled by the presence of a tick in the associated box.

- **Edit system settings:** if ticked, this allows the user access to the set up area of The Key. Specifically, the General, Letters and Workflow areas (Network and 3rd Party Links are always accessible as they contain machine specific information).
- **View/edit/add user:** if ticked allows the user to enter the user details area, and so amend (and add to) the data therein.
- **View/edit/add letter templates:** the user has permission to make amendments to, and create new, letter templates within the Key.
- **Can delete information:** if ticked the user has the ability to delete any information on the Key. If unticked, the delete button is removed from the screen.
- **Can enter commission management:** if not ticked, then the Commissions menu on the left hand side will not appear, and therefore the user has no access to the Receipts, Reconciled and Amounts Due areas.
- **Can edit contacts after creation:** if this is not ticked, a user can not edit contacts. This maintains the integrity of the contacts data, and ensures that a new contact is added when appropriate, rather than editing an existing one.
- **Can reassign work:** if ticked, the user can reassign work to other users.
- **Client data is readonly:** in this case, the user will only be able to view client data and not



make any changes.

- **Can submit electronic regulatory returns:** this statement is greyed out, as that functionality has not yet been launched.
- **Can view closed clients:** if ticked, the user can not see client's that are marked as closed.
- **Can edit product details after application date is entered:** if this is not ticked, once an application date has been entered for a product the user will not be able to make changes to the product details. This maintains the integrity of the product data post application.
- **Compliance officer:** if ticked allows the user access to the compliance functions, including the Compliance area within setup, as well as the compliance section in Admin and Compliance reports.
- **Can edit case accounts:** it ticked allows the user access to the case accounts area within the product details section.
- **Supervisor:** this allows the identification of another existing user as a supervisor.
- **Only view own work:** if ticked the user will not be allowed to search for and open other user's clients. That section of the search area will be greyed out.
- **Can only view own Branch/Team work:** if ticked, the user is restricted to viewing only the work associated with their own branch or team.

Permissions

The screenshot shows a 'User Details' window with a 'Permissions' tab selected. The window contains three main sections for permissions:

- User can only view their own work
- User can only view their own Branch / Team work
- Other users granted access to view this users work
 - Mr Tom Cavanagh
 - Miss Karen Crookes
 - Miss Kay Goodwin
 - Mrs Toni Martin
 - Georgina McGill

This section allows for control as to what data the user will be able to view.

- **Can only view own work:** as indicated, if this is ticked the user will be restricted to seeing only their work, and will not be able to search for / open another user's clients.
- **Can only view their own Branch/Team work:** if ticked the user is restricted to viewing work associated with the branch or team assigned to their profile under Main Details.
- **Other users granted access to view this users work:** Rather than apply blanket permissions to all users, this allows for specific users to be given permission to view this user's work. This may be an immediate supervisor or similar. Simply place a tick next to the name of the person being given such permission.

Training & Competence

User Details

Main Details Roles Permissions **Training & Competence** Logins

Please enter training / qualification / development events, dates, purpose & outcomes

Event Type	Date	Notes
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Open New

OK Cancel

This section allows for a record of all T&C activity carried out. To enter a new activity, click on the **New** button.



Field	Options/Content
Event Type	(Free text) Any other training/development events
	1:1 meetings with supervisor
	Any development/project work handled by the adviser
	Compliance audit
	Compliance audit follow up
	Details of discussions regarding any complaints
	E-learning courses
	Formal internal or external courses/seminars/conferences attended
	Post sale review with client
	Qualifications studied for/earned
	Regular company/team sales meeting
	Sales appointments accompanied by supervisor

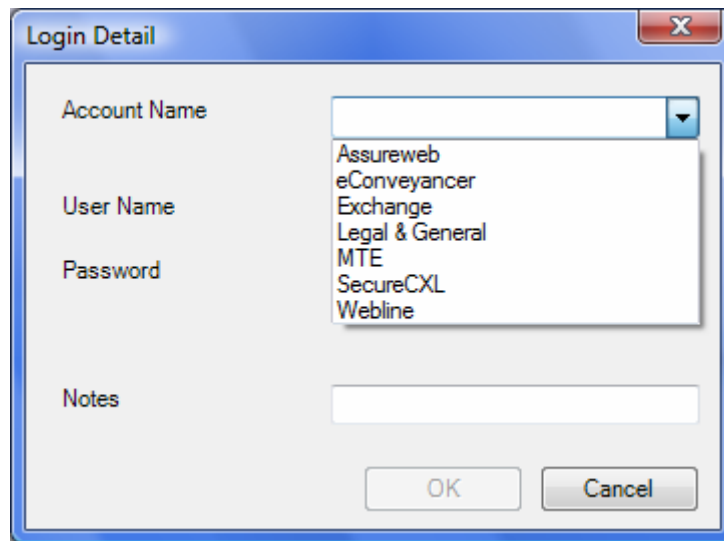
Select the appropriate event from the drop down list. The top option of free text allows for the selection of any event not listed, and the event type can then be overwritten.

The date can then be entered, along with any notes and CPD hours (if appropriate). Click on **Save** to add this record to the list.

Logins

The screenshot shows a software window titled "User Details" with a close button (X) in the top right corner. Inside the window, there are five tabs: "Main Details", "Roles", "Permissions", "Training & Competence", and "Logins". The "Logins" tab is selected and active. Below the tabs is a table with the following headers: "Account Name", "User Name", "Password", and "Notes". The table body is currently empty. Below the table, there are two buttons: "Open" and "New". At the bottom right of the window, there are two buttons: "OK" and "Cancel".

This area allows for specified login information to be stored alongside a user's record. When recorded, if a user launches a third party application (such as **mte** or a supported third party insurance quotation application, e.g. Exchange) then the login credentials will be passed through automatically removing the need for the user to remember and enter the detail manually. As before, click **New** to add information.



Account Name

User Name

Password

Notes

Assureweb
eConveyancer
Exchange
Legal & General
MTE
SecureCXL
Weblines

OK Cancel

Select the appropriate third party from the list, and enter the user name and password where required. If there is additional login information, or any associated notes, these can be added in the relevant section. Click OK to save the information.

Summary

The Users section of the Setup menu is one of the most important within the Key, as it not only controls the access granted to an individual, but also records other important information such as their regulated activity and T&C records.

However, it is important to note that nothing in this area is locked to the extent that it can not be changed at a later date. This is especially important in relation to information such as level, risk weighting and file check %, all of which may well be changed on a frequent basis.