

Corrective actions - Create a corrective actions event

This feature allows you to create and manage events that include one or more corrective actions. To do this, you must have the superuser role.

Note: An event is created for managing corrective actions and may include one or more corrective actions to be implemented. The event can only be completed once all associated corrective actions have been validated.

STEP 1

To create a corrective action event, go to the platform menu **Compliance** → **Corrective actions**. Click on the **New Event** button.

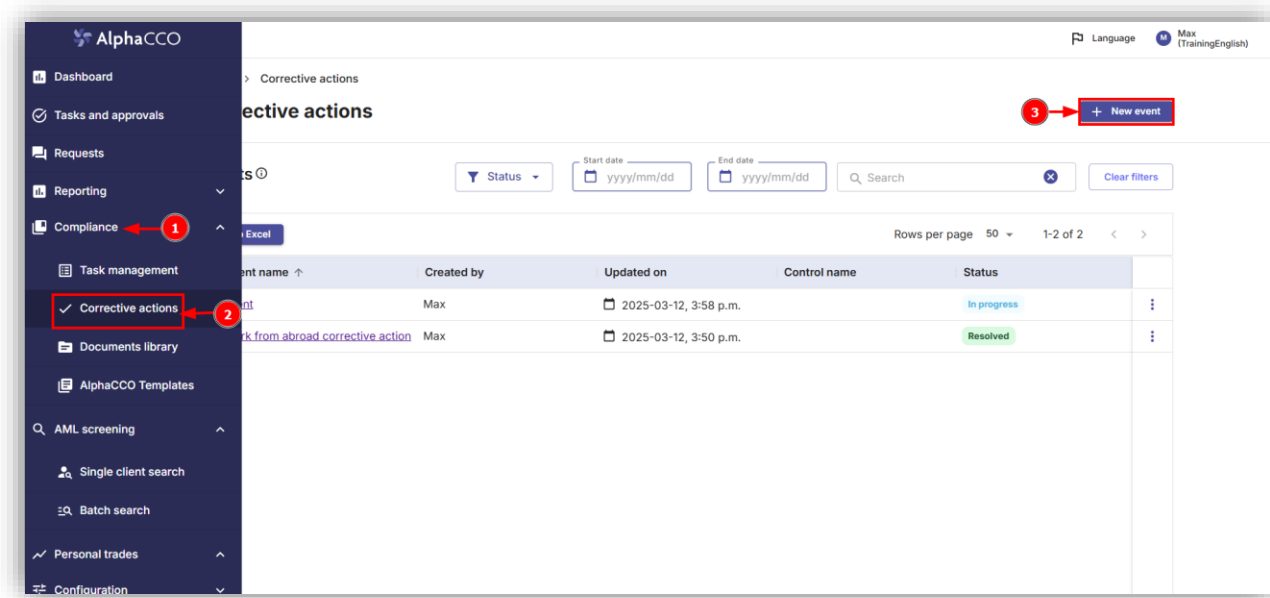
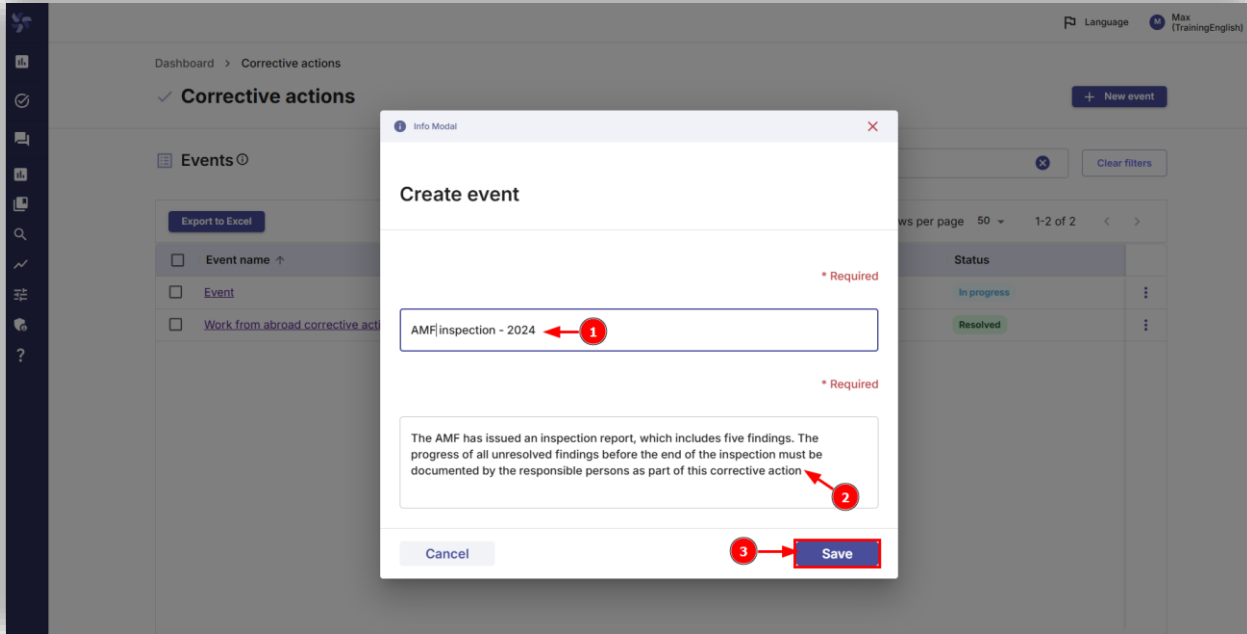


Figure 1: Corrective actions menu page.

STEP 2

Give the event a name and description, then click **Save**.



Dashboard > Corrective actions

✓ Corrective actions

Events

Export to Excel

Event name ↑

Event

Work from abroad corrective action

Info Modal

Create event

* Required

AMF inspection - 2024

* Required

The AMF has issued an inspection report, which includes five findings. The progress of all unresolved findings before the end of the inspection must be documented by the responsible persons as part of this corrective action

Cancel Save

Figure 2: Corrective actions event creation window.

STEP 3

Once the event has been created, the corresponding corrective actions must be added. Click on the **Add corrective action** button.

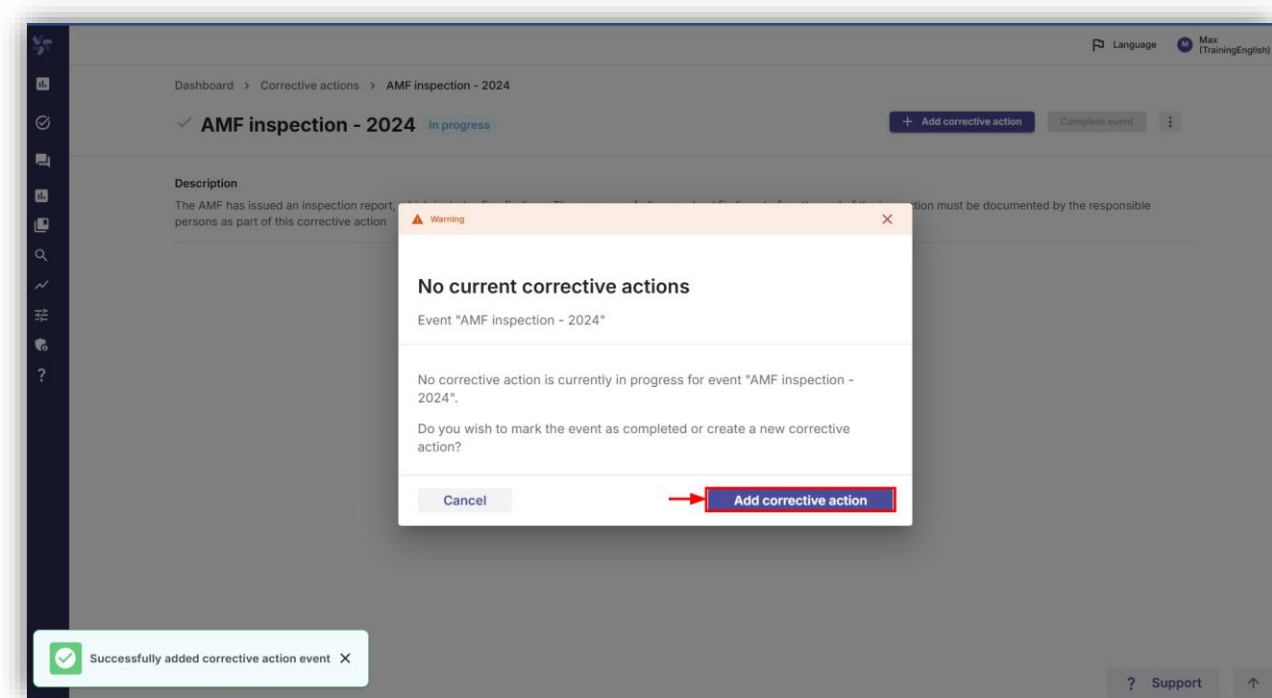
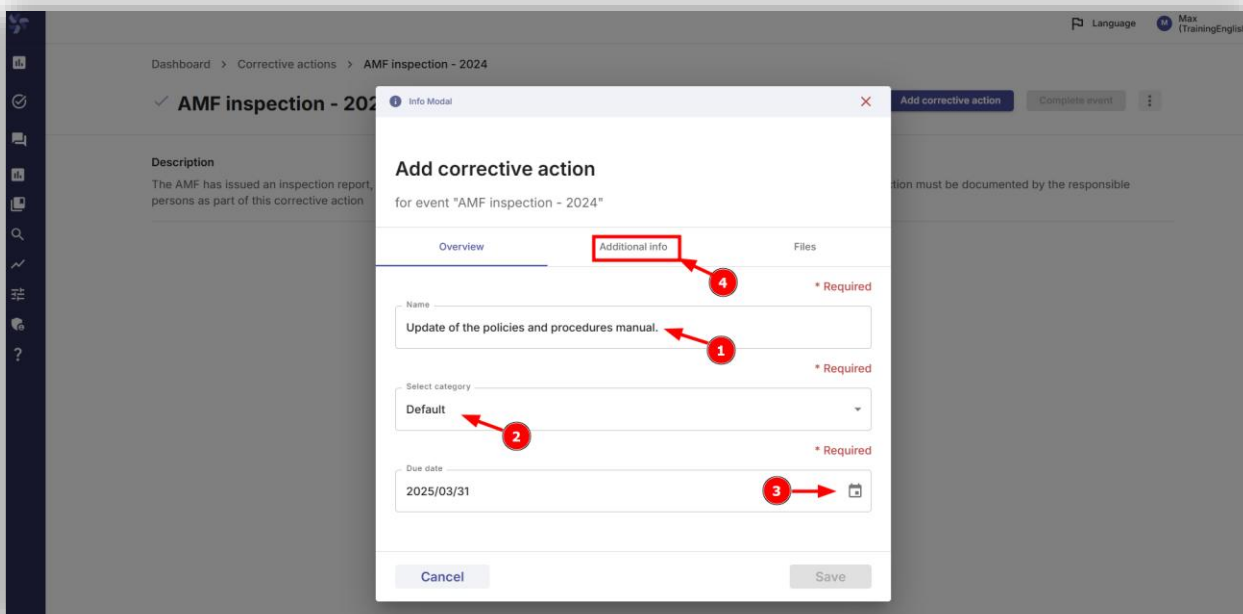


Figure 3: Window for adding a corrective action to an event.

STEP 4

In the **Overview** section of the displayed window, enter a **name** for the corrective action, select the default category, and specify its **due date**. Then proceed to the **Additional Information** section.



Dashboard > Corrective actions > AMF inspection - 2024

✓ AMF inspection - 2024

Description
The AMF has issued an inspection report, persons as part of this corrective action.

Add corrective action
for event "AMF inspection - 2024"

Overview Additional info Files

Name
Update of the policies and procedures manual.

Select category
Default

Due date
2025/03/31

Cancel Save

Figure 4: Overview section for adding a corrective action.

STEP 5

In the **Additional information** section, select **the user assigned to the corrective action task**, then **the user responsible for its validation**. Specify the **finding** and the expected **remediation**.

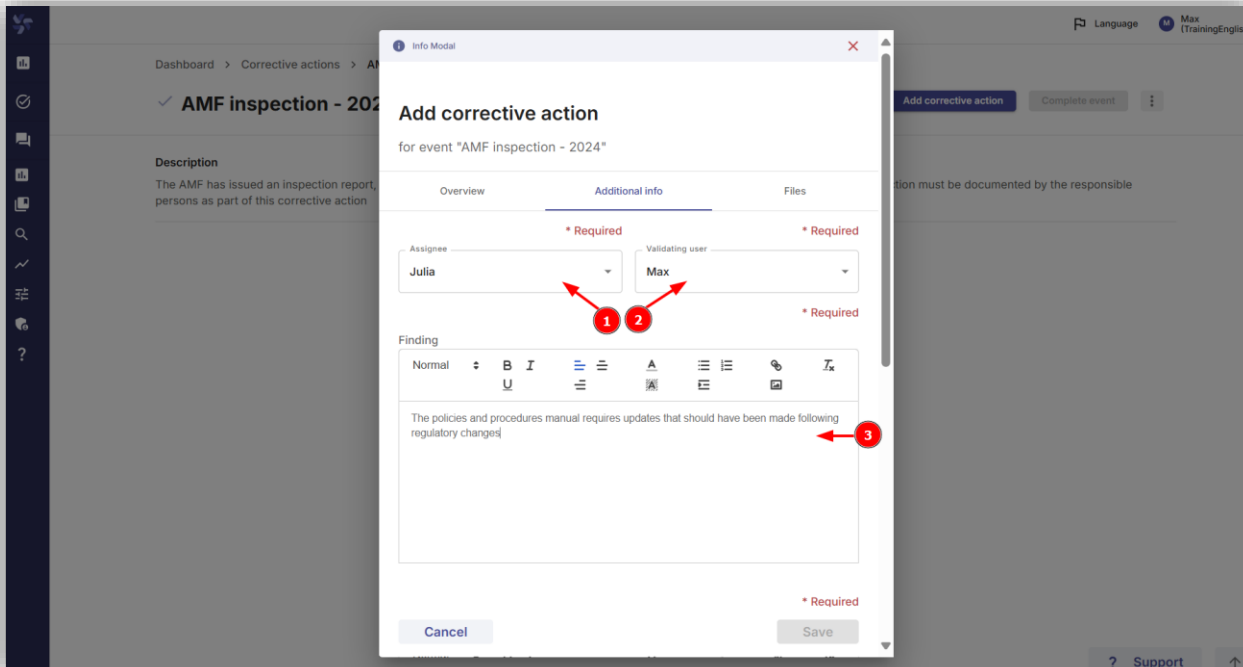
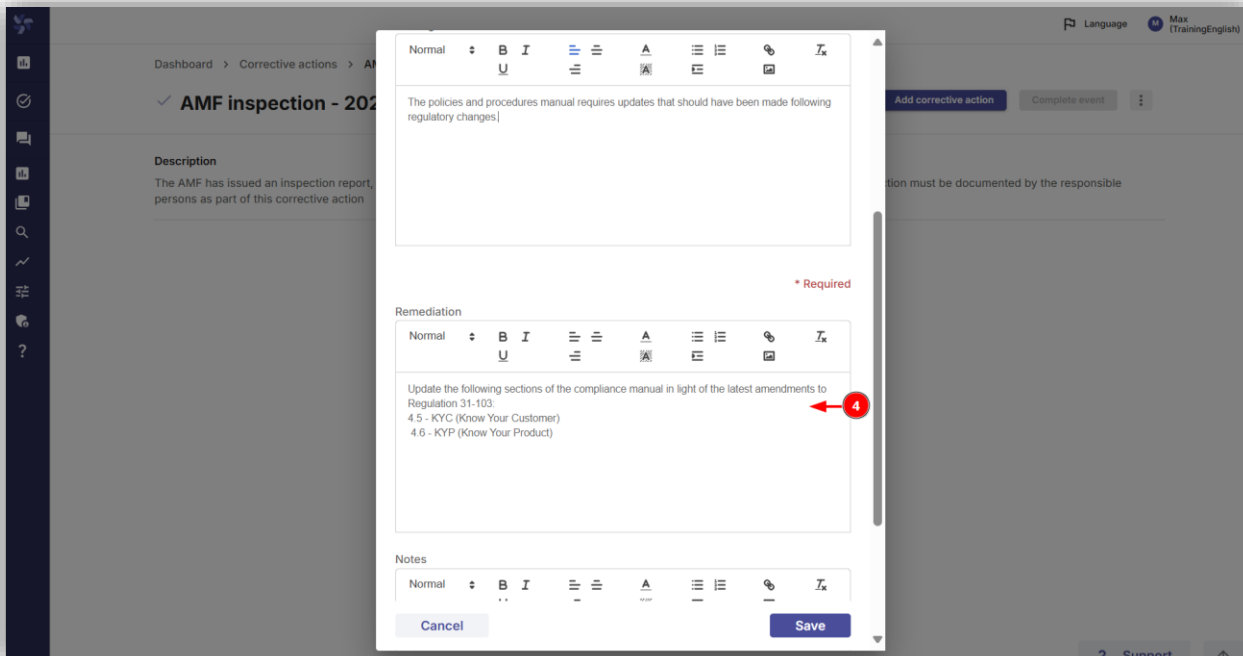


Figure 5: Additional Information section – Finding description.



Dashboard > Corrective actions > AMF inspection - 2024

✓ **AMF inspection - 2024**

Description

The AMF has issued an inspection report, persons as part of this corrective action

Remediation * Required

Update the following sections of the compliance manual in light of the latest amendments to Regulation 31-103:
4.5 - KYC (Know Your Customer)
4.6 - KYP (Know Your Product)

Notes

Cancel Save

Figure 6: Additional information section – Description of the expected remediation.

STEP 6

In the **Files** section, add descriptive documents if necessary. Otherwise, click on **Save**.

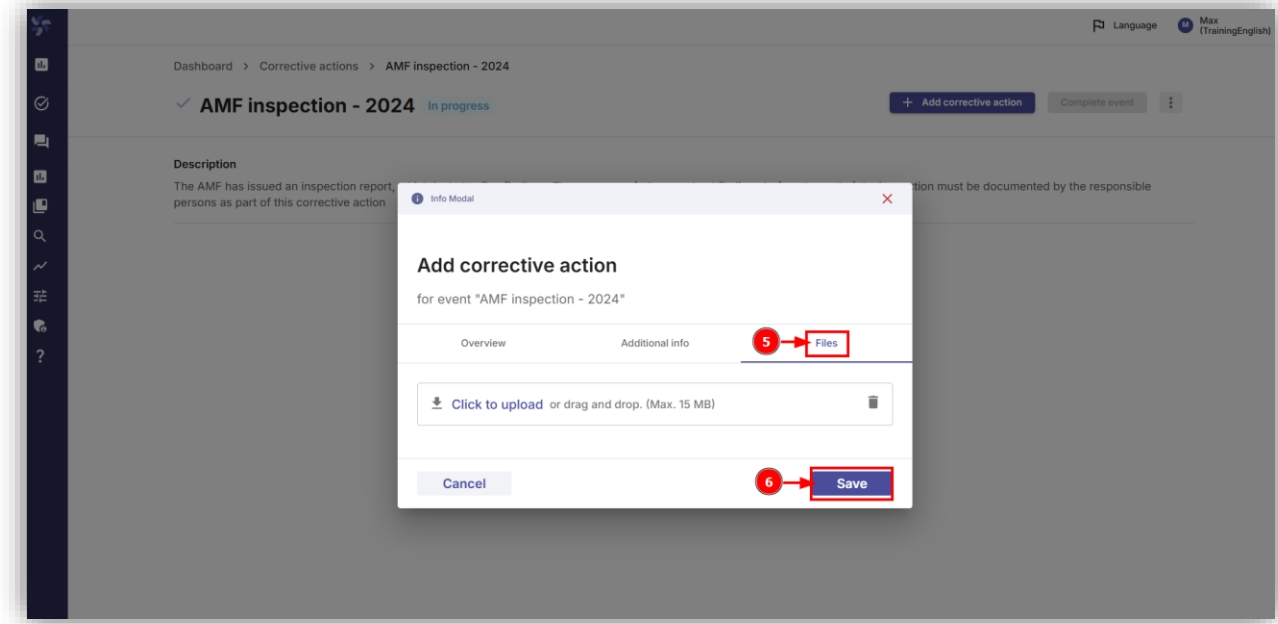


Figure 7: Corrective Action files adding section.

STEP 7

The corrective action is added to the event with the information entered during the previous steps. You can add another corrective action to the event if needed.

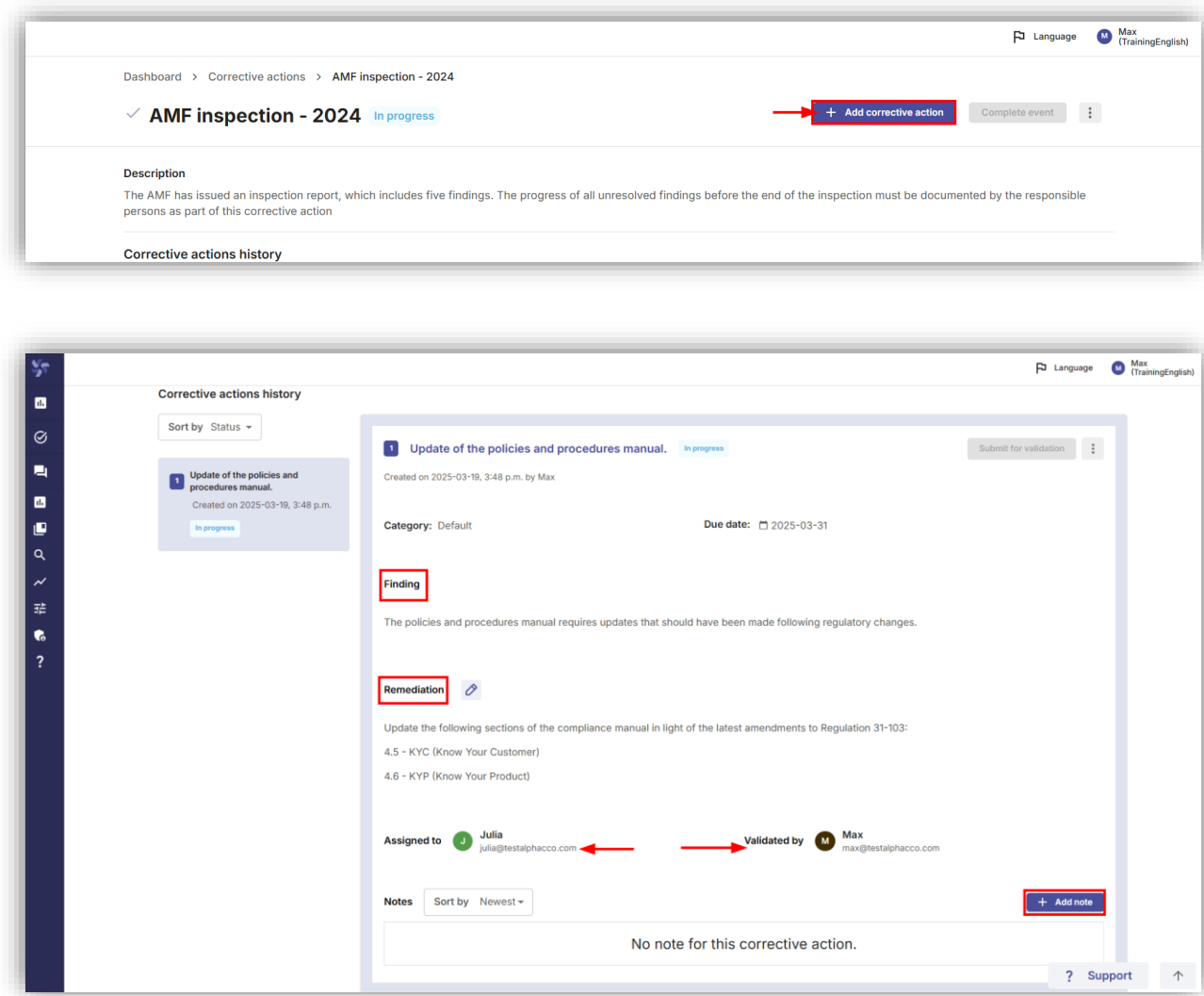


Figure 8: Corrective actions details history page

STEP 8

Once the corrective actions are added to the event, the corrective action task is assigned to the designated user. It is visible in the dashboard, under the **All tasks** section, with the *Corrective Action* tag.

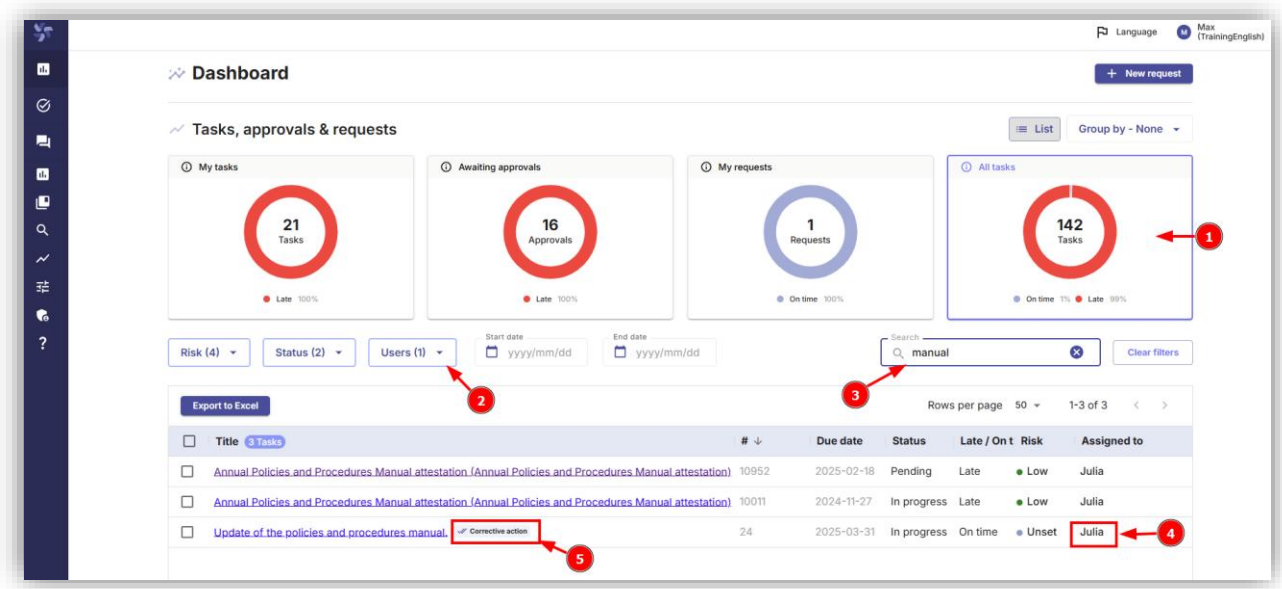


Figure 9: All Tasks page in the dashboard with the corrective action task.

STEP 9

An existing or newly created control can be launched from the corrective action page. Click on the three-dot button [⋮], then select **Start Control**. In the window that appears, select the control, then Initiate then confirm the sending.

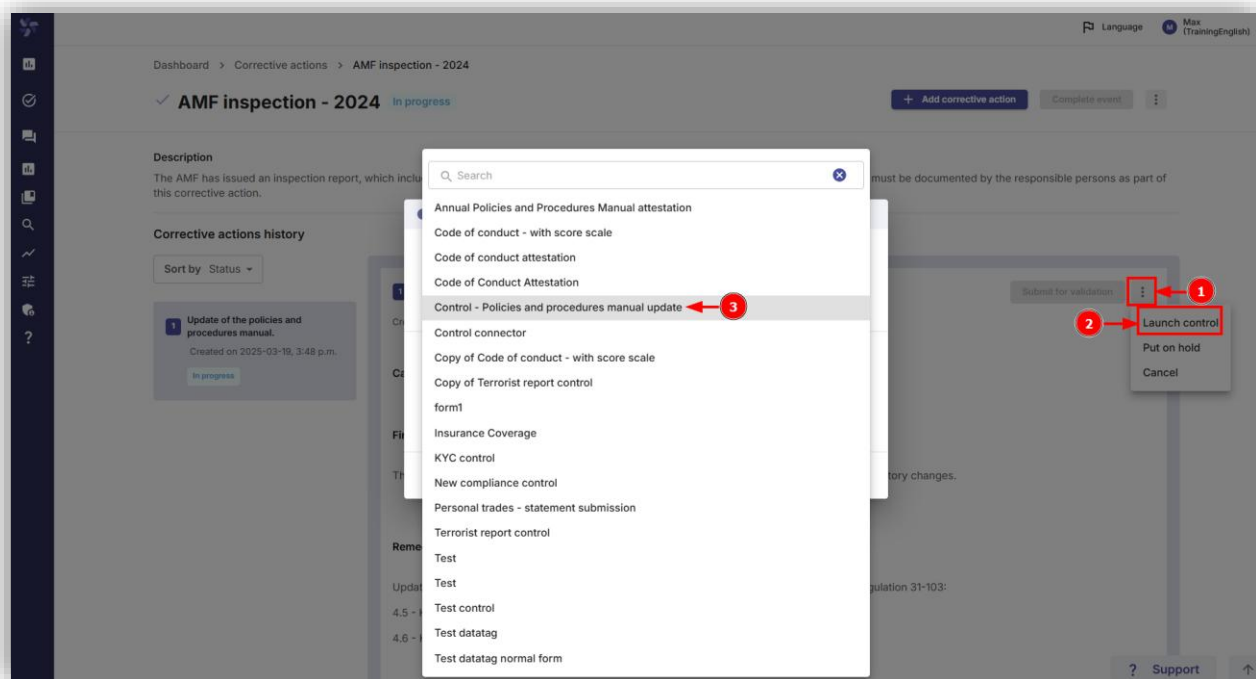


Figure 10: Corrective action measures related control selection window.

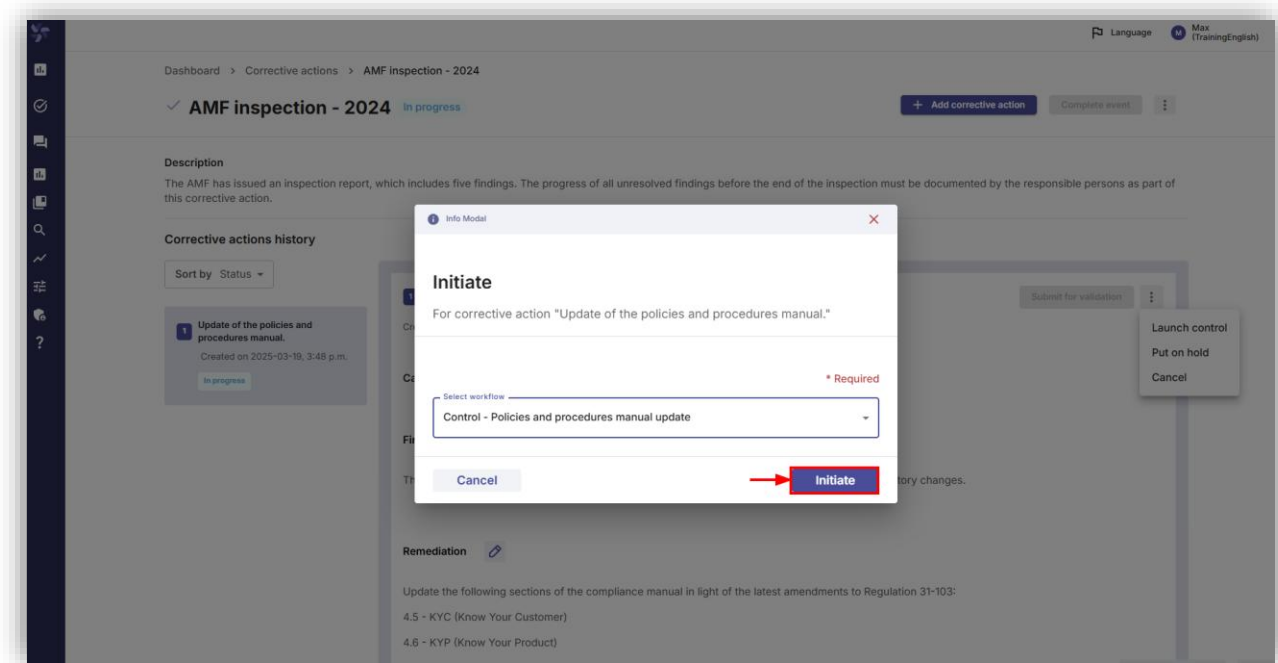


Figure 11: Control submission confirmation window

STEP 10

The control started from the corrective action page is assigned to the user.

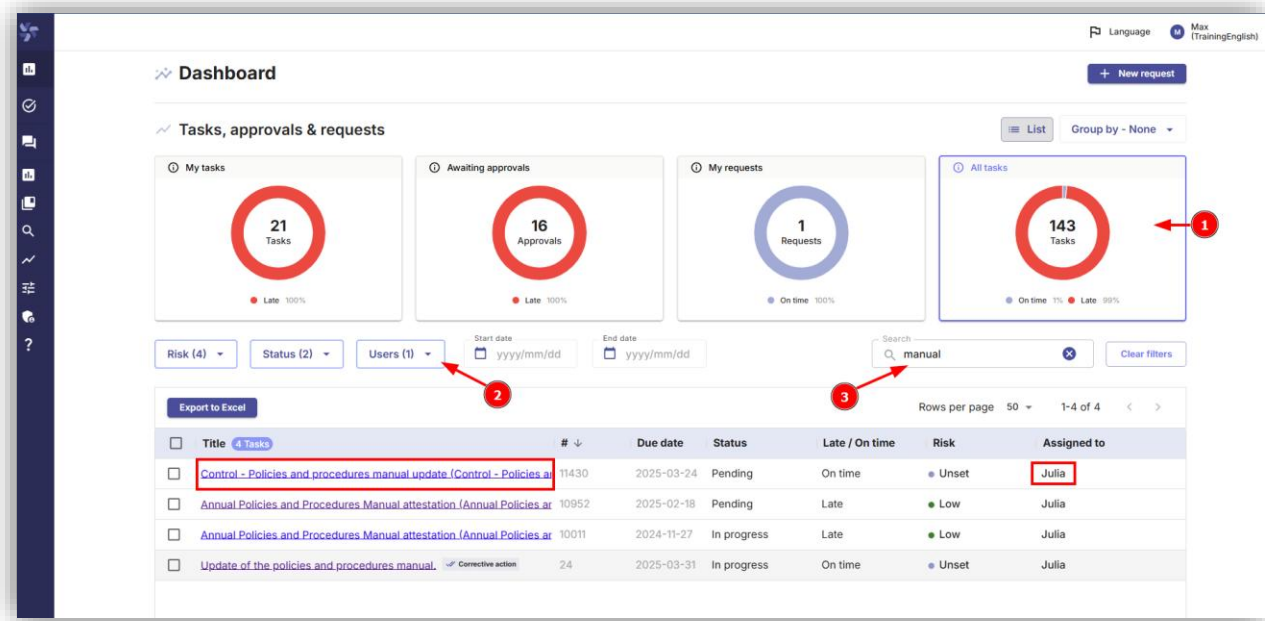


Figure 12: All tasks page in the dashboard displaying the control task started by a corrective action

NOTES

Please note that this document is only a brief guide. The AlphaCCO support team will be happy to assist you if you require further guidance. Please do not hesitate to contact us at support@alphacco.com