

# How To... Manage Disclosure Documentation

The Key supports a number of options for disclosure documentation, including both printed disclosure documents as well as 'script templates' for use by firms that support oral disclosure.

## Adding and Managing Printed Disclosure Documentation

Disclosure documentation can include the replacement for the IDD as noted in the MMR update to the FCA rulebook, the CIDD, and any other documentation that the firm usually provides at this stage in the sales process.

Managing disclosure documentation requires the user to have the permission 'User can view / edit / add letter templates'.

## Adding a Disclosure Document

The first step is to add a document to the available templates within the Key. Navigate to Setup>Letters, and click on 'Add Existing File'.

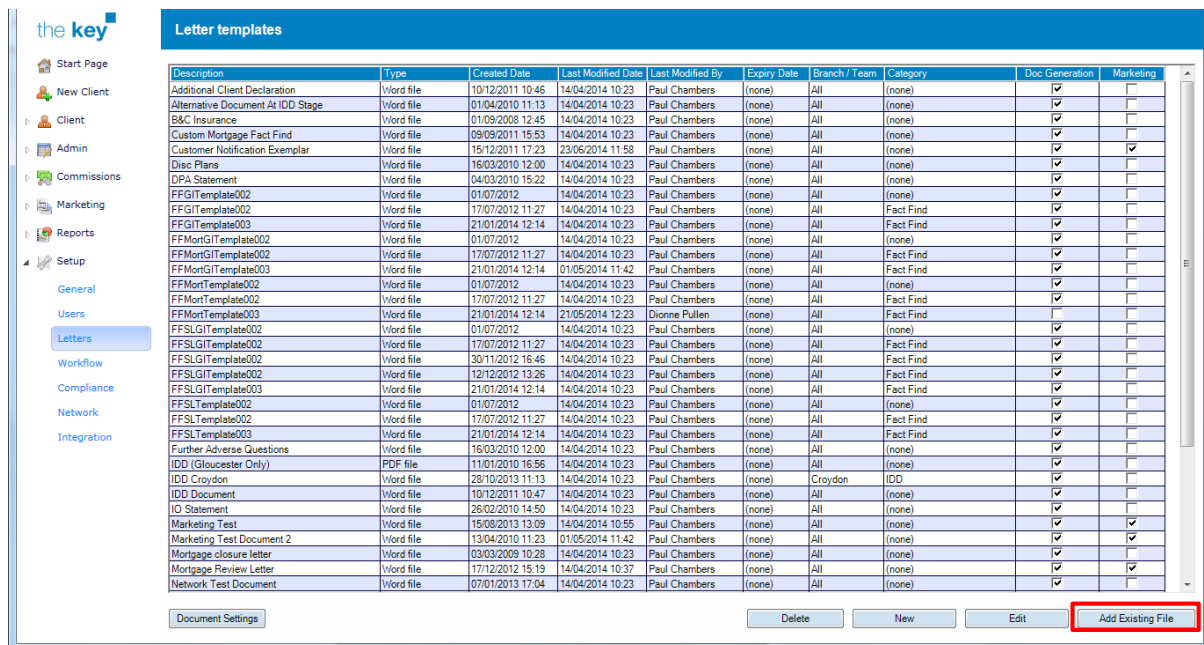


Figure 1: Adding Document to Letter Templates

Navigate to the template to be used, and click on 'Open' to add it.

Upon adding the document, a dialogue box will appear to confirm the category and description, as shown below.

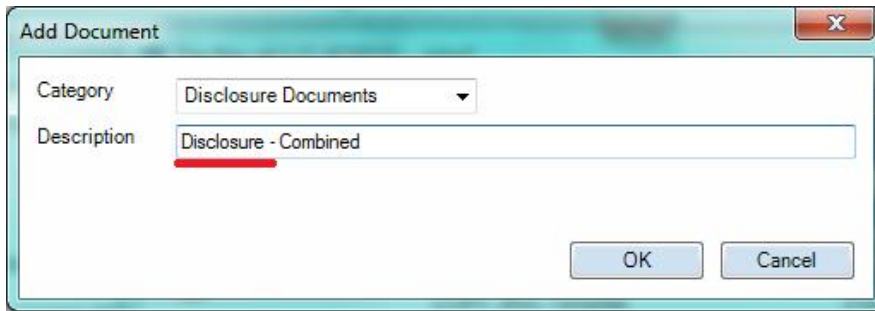


Figure 2: Add Document Dialogue

At this point, the description **MUST** begin with either 'IDD' or 'Disclosure' (without quotes), as shown in figure 2. This is what will enable the document to appear when the 'Disclosure Document' button is clicked from the Client>Fact Find screen

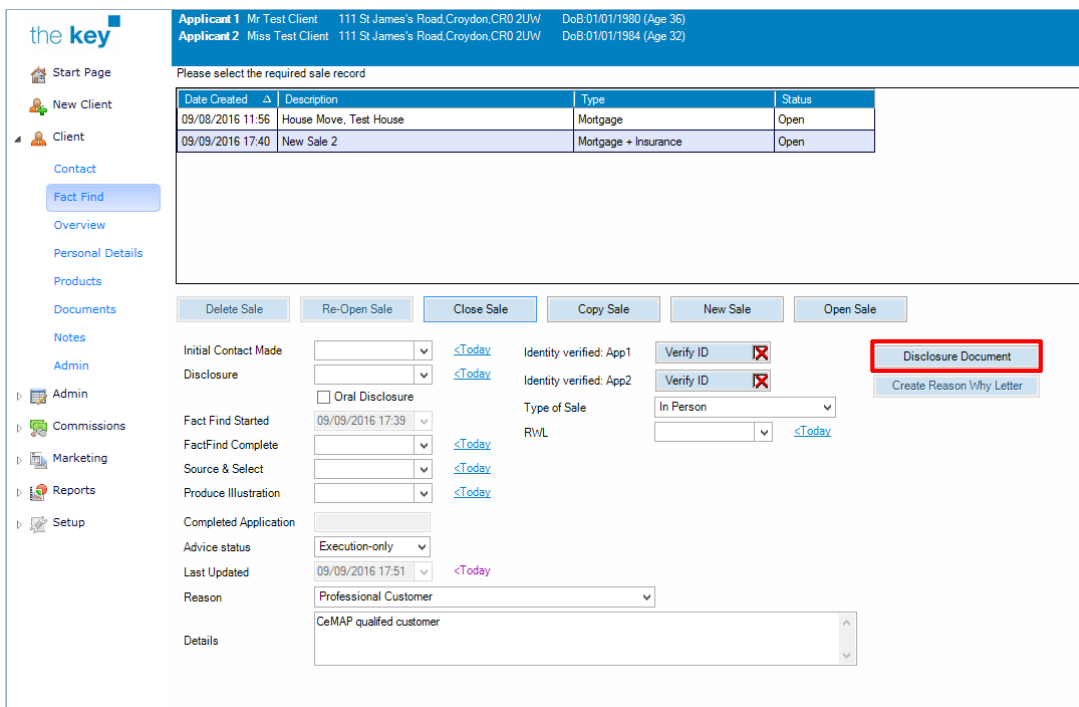


Figure 3: Disclosure Document Launch Point

### Adding other documents for creation alongside the Disclosure Document

There may be certain documents which, despite not being a formal Disclosure Document, are to be created at the same time as the Disclosure Document. These documents will vary according to the respective firm's requirements. The Key offers the ability for up to three non-Disclosure Documents to be made available from the Setup>Letters are when using the 'Disclosure Document' button. To configure these:

- Click on Setup>General in the left navigation menu.
- Select the 'Disclosure/RWL' tab. The following screen is displayed:

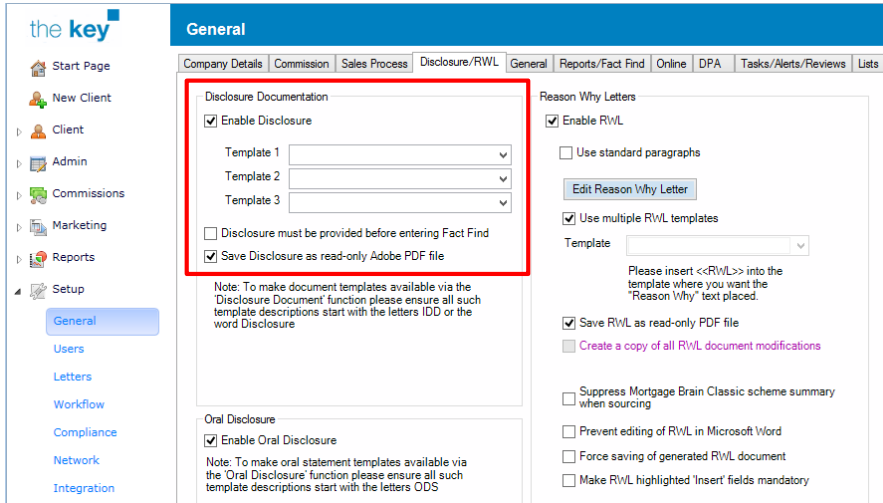


Figure 4: Additional disclosure documents settings

- Click on the dropdown next to 'Template 1'. From the list select the document to be shown. Repeat, if required, for Template 2 and 3.

### Amending Disclosure Document settings

There are a number of settings that can be changed in relation to the Disclosure Document. To confirm or amend these:

- Click on Setup>General in the left navigation menu.
- Select the 'Disclosure/RWL' tab. The following screen is displayed:

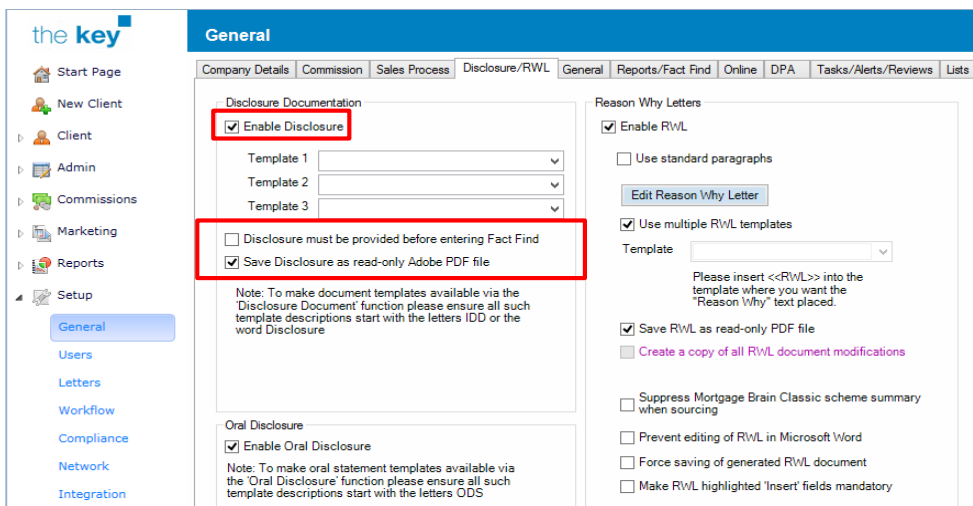


Figure 5: Additional disclosure settings

- Confirm, using the checkbox, whether the Disclosure Document creation button is to be shown on the client screen.
  - a) Note that this defaults to yes, but can be turned off in cases where paper Disclosure Documents are being used and will be added to the client file at a later date.
- Place a tick in the appropriate box if a Disclosure Document is required to be issued to the client prior to the user gaining access to the fact find. This defaults to no.

- Confirm whether the Disclosure Document is to be saved as a PDF file. This prevents later editing of the file, but retains the ability to manage the template as a normal document. This defaults to yes.

## Adding and Managing Oral Disclosure Documentation

An Oral Disclosure document can be created for use as a script template for use with each sale.

### Adding an Oral Disclosure Document

Follow the process outlined above for adding a disclosure template to the Key. However, when the 'Add Document' dialogue box is displayed, for oral disclosure documentation the prefix is 'ODS' (without quotes).

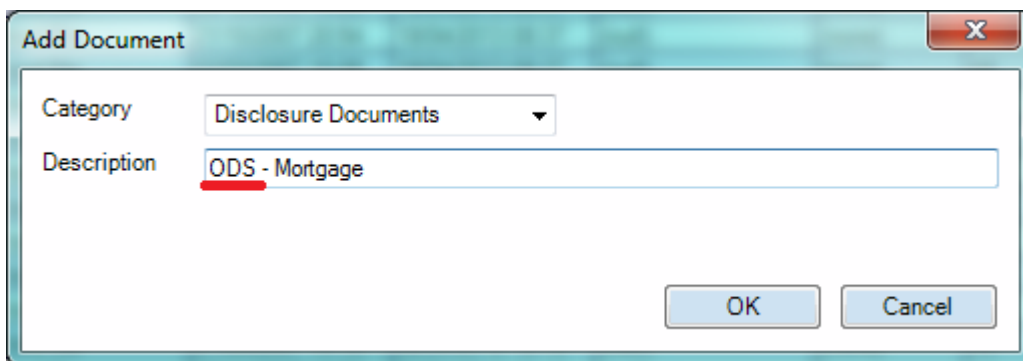


Figure 6: Oral disclosure template setting

**Note:** Only documents, which have a description starting with ODS, for example 'ODS – Mortgage', will be available to use when the Oral Disclosure checkbox is ticked within Client>Fact Find.

Date Created	Description	Type	Status
09/08/2016 11:56	House Move, Test House	Mortgage	Open
09/09/2016 17:40	New Sale 2	Mortgage + Insurance	Open

Buttons: Delete Sale, Re-Open Sale, Close Sale, Copy Sale, New Sale, Open Sale

Initial Contact Made: [dropdown] <Today

Disclosure: [dropdown] <Today

Oral Disclosure

Fact Find Started: 09/09/2016 17:55

FactFind Complete: [dropdown] <Today

Source & Select: [dropdown] <Today

Produce Illustration: [dropdown] <Today

Completed Application: [dropdown]

Advice status: Execution-only

Last Updated: 09/09/2016 17:51 <Today

Reason: Professional Customer

Details: CeMAP qualified customer

Buttons: Verify ID (X), Verify ID (X), In Person (dropdown), Disclosure Document, Create Reason Why Letter

Figure 7: Recording oral disclosure on a sale

Selecting the checkbox will open a window to select the appropriate oral disclosure template.

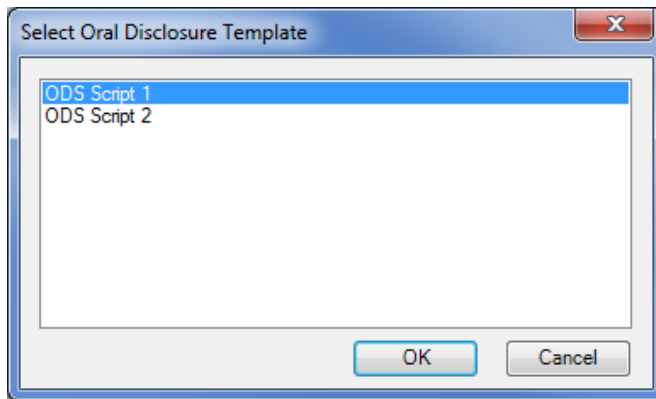


Figure 8: Selecting Oral Disclosure Template

Clicking OK will open the content of the template in a window for the user to read to the client. This template will automatically be saved to the client file.

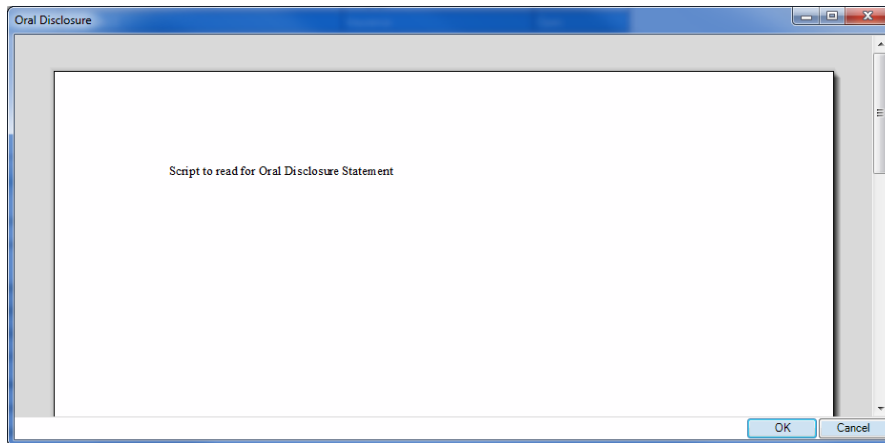


Figure 9: Oral Disclosure Display

### Enabling Oral Disclosure

In order for users within the Key to be able to be granted access the Oral Disclosure functionality, Oral Disclosure must first be enabled at the system level.

To learn how to enable or disable specific users from accessing the Oral disclosure functionality, please refer to the 'How To Setup User Profiles Within The Key'.

- On the left navigation menu click on Setup > General.
- Select the 'Disclosure/RWL' tab
- Tick the 'Enable Oral Disclosure' checkbox

The screenshot shows the 'the key' software interface. On the left is a sidebar with navigation options: Start Page, New Client, Client, Admin, Commissions, Marketing, Reports, and Setup. Under 'Setup', 'General' is selected. The main content area has a blue header with 'the key' logo and a 'General' tab. Below the header are several tabs: Company Details, Commission, Sales Process, Disclosure/RWL, General, Reports/Fact Find, Online, DPA, Tasks/Alerts/Reviews, and Lists. The 'Disclosure/RWL' tab is active, showing two main sections: 'Disclosure Documentation' and 'Reason Why Letters'. In the 'Disclosure Documentation' section, 'Enable Disclosure' is checked, and there are three dropdown menus for 'Template 1', 'Template 2', and 'Template 3'. Below these is a note: 'Note: To make document templates available via the 'Disclosure Document' function please ensure all such template descriptions start with the letters IDD or the word Disclosure'. In the 'Reason Why Letters' section, 'Enable RWL' is checked, and there are several other options, including 'Use standard paragraphs', 'Use multiple RWL templates', 'Save RWL as read-only PDF file', and 'Create a copy of all RWL document modifications'. At the bottom of the 'Disclosure Documentation' section, there is a sub-section titled 'Oral Disclosure' which is highlighted with a red box. It contains the option 'Enable Oral Disclosure', which is checked, and a note: 'Note: To make oral statement templates available via the 'Oral Disclosure' function please ensure all such template descriptions start with the letters ODS'.

Figure 10: Oral disclosure setup

To disable the Oral Disclosure functionality untick/clear the Enable Oral Disclosure checkbox.

END